



Government of Uganda
Ministry of Water and Environment

Operations Manual for Water and Sanitation Development Facility

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Uganda
Vision 2040

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Foreword

The Water and Sanitation Development Facility (WSDF) is a Facility of the Directorate of Water Development (DWD) under the Ministry of Water and Environment (MWE), with substantially semi-autonomous branches. The WSDF funds and implements water and sanitation facilities in all four regions in the country. During the Joint Water and Sanitation Sector Programme Support of 2008/09-2012/13, three WSDF branches, WSDF-Central, WSDF-East and WSDF-North were established basing on the WSDF-SW, which was established earlier on, in 2006, following piloting of the approach in the South-Western Region since 1996.

The WSDF approach is a mechanism for funding water and sanitation investments In Small Towns, Town Boards and Rural Growth Centres; the WSDF branches carry out design and construction of water supply and sanitation facilities, including the related software activities

Currently, the WSDF is funded under the Joint Partnership Fund (JPF): a basket fund under the Joint Water and Environment Sector Support Programme, which receives funding from various sources and Development Partners, for the purpose of implementing Water & Sanitation interventions in the country.

The operations of the WSDFs are governed and controlled by agreements signed between MWE and the Development Partners supporting WSDFS through JPF as well as the JPF Manual in its current version.

Based on the experience in South –West the WSDF approach has been up-scaled. Currently the intervention area of four regional branches covers the whole country:

1. Water and Sanitation Development Facility South-West (WSDF–SW), Mbarara
2. Water and Sanitation Development Facility Central (WSDF-C), Wakiso
3. Water and Sanitation Development Facility North (WSDF-N), Lira
4. Water and Sanitation Development Facility East (WSDF-E), Mbale

The Water and Sanitation Sub-sector Working Group has endorsed the WSDF Operations Manual at hand. Official approval has been done by the Ministry of Water and Environment in December 2013.

David O.O. Obong

PERMANENT SECRETARY,

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List of Abbreviations

AO	Administration Officer
ADC	Austrian Development Co-operation
ADB	African Development Bank
BM	Branch Manager
BoQ	Bills of Quantities
CAO	Chief Administrative Officer
CBO	Community Based Organisation
CC	Contracts Committee
CLTS	Community-Led Total Sanitation
CFMS	Computerised Financial Management System
CM	Component Manager
CoA	Chart of Accounts
CPS	Contracts/Procurement specialist
DP	Development Partner(s)
DWD	Directorate of Water Development
FA	Fund Accountant
FMA	Financial Management Advisor
FMS	Financial Management System
FSC	Finance Sub committee
FY	Financial Year
GoU	Government of Uganda
HoDs	Heads of Department
IEC	Information, Education and Communication
JPF	Joint Partnership Fund
JWESSP	Joint Water and Environment Sector Support Programme
KfW	Kreditanstalt für Wiederaufbau
LG	Local Government
LPO	Local Purchase order
MC	Management Contract
MoLG	Ministry of Local Government

MoU	Memorandum of Understanding
MWE	Ministry of Water and Environment
NGO	Non Governmental Organisation
NCO	National Coordination Office
NSC	National Steering Committee
OM	Operational Manual
PC	Performance Contract
PCR	Project Completion Report
PDE	Procuring/disposing entity
PDU	Procurement and Disposal Unit
PFAA	Public Finance and Accountability Act
PHAST	Participatory Hygiene and Sanitation Transformation
PPDA	Public Procurement and Disposal of Assets Authority.
PO	Private Operator
PS	Permanent Secretary
Q1	Quarter 1
RGC	Rural Growth Centre
RSC	Regional Steering Committee
SC	Steering Committee
SO	Scheme Operator
ST	Small Town
ToR	Terms of Reference
UGX	Uganda Shillings
WA	Water Authority
WSC	Water Source Committee
WSSB	Water Supply and Sewerage Board
WSSWG	Water Supply and Sanitation Sector Working Group
WUA	Water User Association
WSDF	Water and Sanitation Development Facility

INTRODUCTION

This Operations Manual has been prepared to guide implementers of the water supply and sanitation systems in Uganda in planning, implementing and managing the systems.

Where specific donors request for specific additions or amendments, these shall be discussed, and the WSDFs will be compliant to the bilateral agreements. If there is any inconsistency or contradiction between the contents of this manual and any of the bilateral arrangements/agreements, the provisions of the bilateral arrangements/agreements will prevail.

Background

A long term aim of Uganda's water sector reforms since the early 2000s was to establish a "Water and Sanitation Development Facility" (WSDF) as a means by which to channel funding and technical support into the sector's service providers, i.e. the local governments in the Small Towns and Rural Growth Centres, in a way that increases efficiency and reduces transaction costs. It was intended also that the WSDF would ultimately transition into an autonomous fund (with the same initials) with an expanding remit across the sector and its stakeholders.

To this end, Government with Development Partner support launched WSDF-SW in July 2006 under Directorate of Water Development, an arm of the Ministry of Water and Environment. It was established as a pilot structure responsible for supporting Small Towns (STs) and Rural Growth Centres (RGCs) get access to piped safe water and improved sanitation. The WSDF-SW identifies Small Towns/RGCs, funds production of designs and actual construction of the systems, and sets up Operation and Maintenance structures. The WSDF-SW operations were guided by an Operations Manual approved by Development Partners and the Government of Uganda.

The experiences gained in the WSDF-SW were replicated in the setup of similar WSDFs in the Northern part of Uganda and subsequently in East and Central Uganda as well. These Water and Sanitation Development Facility branches were established with delegated financial and procurement powers for efficient implementation at local /regional levels.

The WSDF branches have as main source of income the Joint Partnership Fund of a sector programme funded by multiple development partners, initially the JWSSPS (FY 2008/09-2012/13) and currently the JWESSP (FY2013/14-FY2018/19). However, other funds can be accommodated¹.

Set up for construction of small towns' water and sanitation systems

Water and Sanitation Development Facilities employ a demand-driven approach when identifying Rural Growth Centres (RGCs) and Small Towns (STs) to be supported with new water supply systems. The Facility communicates to communities within its jurisdiction about the funds available and those STs / RGCs interested can subsequently submit their applications.

The four WSDFs are supported by different Development Partners through the Joint Partnership Fund (JPF) whereby currently the German Government through KfW is funding WSDF-N and E, the European Union managed by Austrian Development Cooperation (ADC) is earmarking towards WSDF-SW and WSDF-E, while the African Development Bank (ADB) is supporting WSDF-C.

¹ In future it is planned to establish the WSDF as a semi-autonomous fund by an Act of Parliament, which will make it an established institution that can raise its own funds.

The WSDFs are governed by a National Steering Committee convened under the auspices of the DWD at the Ministry of Water and Environment head-quarters, and by a Regional Steering Committee established in each WSDF region. The National WSDF Coordination Office supports the National Steering Committee. In day to day implementation work, the team of the WSDF Coordination Office is ‘the stem’ that will bind the branches to work together as a unit.

Operation and maintenance (O&M) of schemes is not part of the tasks of the WSDFs, but is implemented by private or scheme operators, supervised by the Water Authorities through Water Supply and Sewerage Boards (WSSBs). Regional Umbrella Organisations for Water Supply and Sanitation support WSSBs where an individual scheme’s capacity is overburdened.

Maps of the operation areas of the various WSDFs as well as the various Umbrella Organisations with their respective headquarters are provided in Annex A.1, and Annex A.2, respectively.

Purpose of this Manual

The purpose of this Manual is to provide a guide to the operations of the WSDF. It is intended to serve both the beneficiaries and decision makers in the Facility, as well as act as a useful reference to all stakeholders. It is intended for use by all WSDF regional offices.

The update process

The first edition of the Operations Manual of 2009 was prepared based on experiences in WSDF-SW Regional Branch. Over time, a number of modalities in WSDF operations have been realised in addition to provisions under the JWESSP, which are documented in the JFA 2013 and the JPF III manual. These necessitated update of the WSDF Operations Manual to cater for the modalities in the approaches and to harmonise its provisions with the JWESSP.

Subsequent reviews of the Manual and possible update shall be undertaken after commencement of a new JWESSP or equivalent based on the provisions in the JFA, the updated JPF manual and prevailing circumstances in the WSDF program.

Users of this Manual

Users of the Manual include staff from the WSDFs, DWD, Development Partners contributing to the JWESSP, and, possibly, other implementers of piped water supply schemes.

Structure of this Manual

The Manual covers all major operational components of the WSDF. For ease of reference, the Manual is divided into five sections:

- Section A: Institutional Framework.** This section outlines the key stakeholders, roles and responsibilities
- Section B: Project Cycle.** This lays out the key implementation stages from the planning stages, call for application right through to the development and commissioning of projects
- Section C: Staffing and Organisational Development.** This section provides the key staffing structure as well as laying out the basic capacities required for effective performance.
- Section D: Planning, Budgeting and Reporting.** This covers the planning, budgeting and reporting procedures and formats.
- Section E: Financial and Procurement Guidelines.** This covers the financial and procurement management procedures and regulations together with appropriate formats for administering the funds.

The Manual sets out basic principles and guidelines that all WSDF Regional Branches must adapt to in the development of community sub-projects. Where necessary, these principles and guidelines must be customised to suit the requirements of the individual Regional WSDF Branches.



All stakeholders in piped water supply schemes will adhere to the overall principles and approaches as described in this Manual. Sections particularly relevant are marked with the sign to the left.

Reference to relevant related sector documents, guidelines and manuals

To ensure that the Manual suits GoU regulations, references are made in this Manual to the various sector documents, guidelines and manuals. Any changes and updates in the mentioned documents are directly applicable to this Manual. Procedures in the Manual therefore contain the minimum controls deemed necessary for the management of the WSDF.

A. INSTITUTIONAL FRAMEWORK

This section of the Operations Manual deals with the WSDF organisational setup, its co-ordination and steering organs as well as its various stakeholders.

The WSDFs are contributing to the Urban Water Supply and Sanitation component of the Joint Water and Environment Sector Support Program (JWESSP, 2013-2018) and funded through the Joint Partnership Fund (JPF) and Government of Uganda (GoU).

The overall responsibility for management of the WSDF lies with the Ministry of Water and Environment (MWE), and the overall accounting responsibilities for the WSDF are vested on the Accounting Officer of the JPF, being the Permanent Secretary of the MWE. The Permanent Secretary delegates duties to the Branch Managers and appoints them as Sub-Accounting officers for their respective WSDF Regional Branches in accordance to the Public Finance and Accountability Act (2003) section 8.

Every WSDF Branch is responsible to the Urban Water Supply and Sanitation Component Manager (Commissioner for Urban Water and Sewerage Services Department (UWSSD)) in DWD, whose responsibility it is to ensure quality and cost-efficiency of water supply and sanitation investments under the WSDF and meet the Development Partners' expectations by ensuring a harmonised and transparent implementation approach. The branches are directly supervised by the Assistant Commissioner for Planning and Development in the UWSSD with support of the National WSDF Coordination Office (NCO).

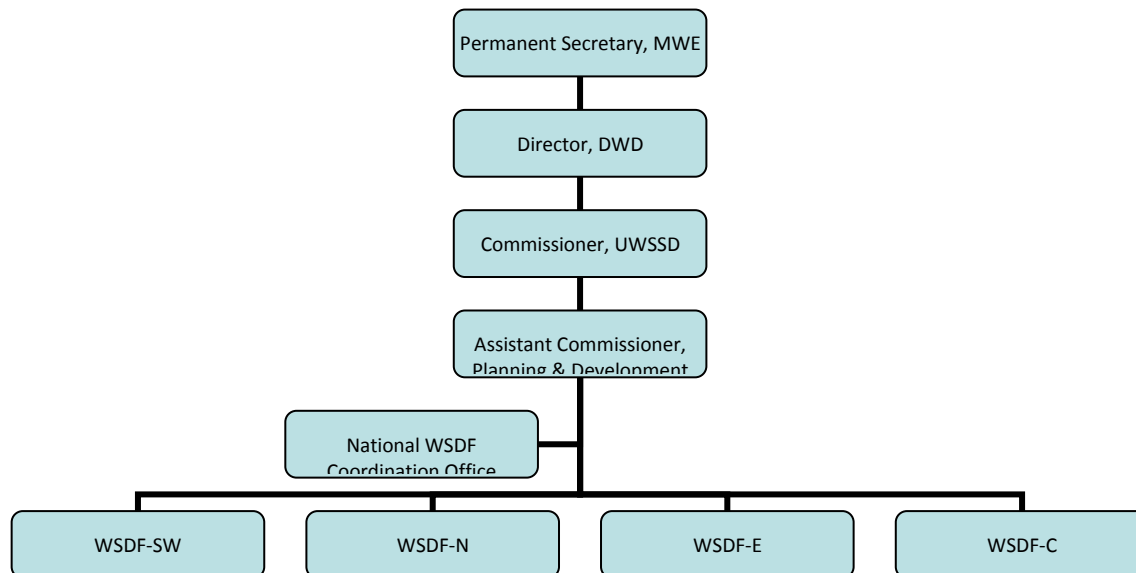


Figure A.1 Institutional set-up of WSDF in MWE

A.1 Steering and coordination

Steering at national and regional level as well as good coordination between all WSDFs are key to consolidate the model, harmonise and document implementation approaches. This is in particular relevant to ensure that implementation approaches in the different branches stay in harmony. There is need to look beyond the

funding period, and need to overcome the tendency to move on independently - all of which point to the need for efficient steering and close coordination. The mechanisms of steering and coordination to address these issues are carried out by the following structures:

- National Steering Committee (NSC)
- Regional Steering Committee (RSC)
- National WSDF Coordination Office (NCO)

The WSDFs are governed by a National Steering Committee convened under the auspices of the DWD at the Centre and by a Regional Steering Committee established in each WSDF region. Oversight of the WSDF–Regional Branch operations is exercised by the RSC.

The National Coordination Office supports the National Steering Committee. In day-to-day implementation. The National WSDF Coordination Office is ‘the stem’ that binds the branches to work together as a unit’. It is composed of key staff in the UWSSD who are assigned additional duties to coordinate the activities of the WSDF branches. Where deemed necessary, the UWSSD may recruit additional staff to support the coordination function.

The detailed terms of reference for the NSC, NCO and RSC can be found in Annex A.3. An overview of the coordination and steering mechanism is provided in Figure A.2.

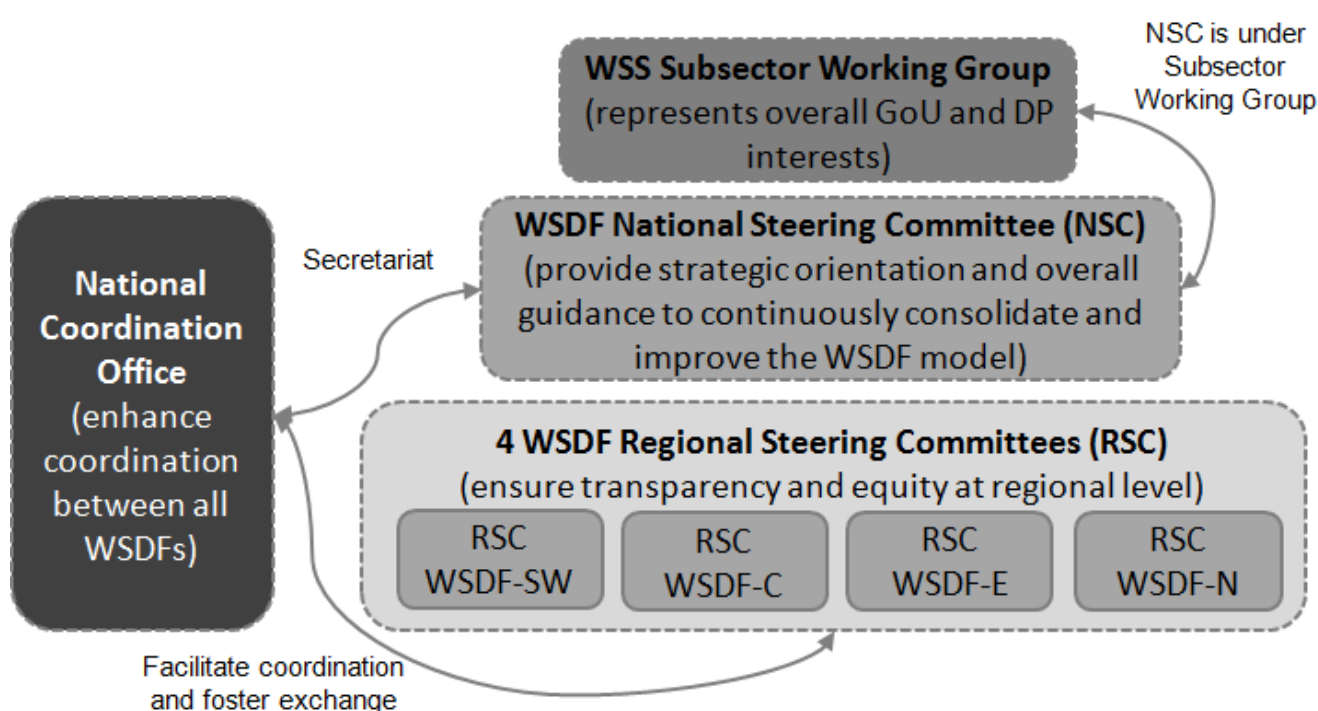


Figure A.2 Overview steering and coordination mechanisms

A.2 Objectives of the WSDFs

The mission statement for the Urban Water and Sewerage Department is: “provision of sustainable water and sanitation services to the population and economic activities in the urban areas of Uganda”. The overall policy objective of the Government of Uganda (GoU) for water and sanitation in urban areas is 100% coverage of

water supply and hygienic sanitation facilities, based on management responsibility and ownership by the users in the urban population by the year 2015.

Within the overall programmatic framework of the JWESSP, WSDFs fall under Component 3 “Urban Water Supply and Sanitation”. WSDFs mainly contribute to the achievement of the planned outcomes under theme area 1: “Increase water supply service coverage for Small Towns and Rural Growth Centres”, and theme area 4: “Improved Urban Sanitation and Hygiene Services”. The contribution is achieved through conducting feasibility studies, designs, implementation management, construction and commissioning of water supplies and sanitation facilities (including sludge and sewerage management facilities) and promotion of urban sanitation.

Furthermore, WSDFs support the achievement of the planned outcomes under theme areas 2: “Improve O&M of urban piped water supply systems” and 3: “Establish effective regulation of urban water supply and sanitation services”, within the framework of WSDFs’ important role in setting up the O&M structures in the schemes that they implement.

The overall objective of WSDF is *“To improve the socio-economic situation and the opportunities for people living in the Small Towns (STs) and Rural Growth Centers (RGC’s) through provision of safe, adequate, reliable, sustainable and accessible water supply and promotion of improved practices of hygiene and sanitation”*.

Specific objectives include:

- a Development of piped water supply systems in targeted STs and RGCs that are safe, adequate, reliable and accessible including feasibility studies, water source development, construction, establishment of O&M structures using the “demand driven approach” and incorporating gender issues.
- b Improved general health conditions through reduction of water borne diseases and promotion of good practices of hygiene and sanitation in the targeted STs and RGCs targeting achievement of 100% toilet coverage in the water supply areas by substantial completion of the construction works of the piped water supply systems.
- c Empowered communities in the targeted STs and RGCs through a high degree of community engagement and capacity building for O&M of the installed facilities.
- d Contribution to water resource and environmental protection through the use of appropriate technologies in water and sanitation interventions and adherence to related national guidelines.
- e Development and promotion of appropriate technologies of sanitation facilities both at household level and public infrastructure including sludge management systems
- f Support to operations and maintenance of existing water supply systems through major renewal and expansion of infrastructure to improve their functionality and increase coverage.

A.3 WSDF roles and responsibilities

A.3.1 WSDF Regional Branch roles and responsibilities

The Roles of the WSDF Regional Branch shall be executed in collaboration with various stakeholders and include:

- Manage the process of implementing water supply systems throughout the implementation cycle
- Conduct advocacy and promotional campaigns to advertise the availability of the Facility, funding conditions and eligibility criteria.
- Ensure the quality of the works and services rendered by the private sector are of acceptable standards.

- Prepare, evaluate & manage calls for proposals according to the guidelines of the WSDF and guidelines incorporated from donors.
- prepare feasibility studies, detailed designs, tender documents for construction works of piped water supply and sanitation infrastructure in accordance with national guidelines and standards
- Procure service providers inclusive of issuing invitation for tenders and their evaluation specifically to ensure that transparency is followed and that established guidelines are followed. Support in the procurement processes in form of membership of the delegated Contracts' Committee and evaluation committees may be sought from government institutions, particularly from the MWE headquarters and the Local Governments
- Manage the execution of the procured contracts in accordance with set guidelines
- Establish water supply management arrangements in accordance with the best practices identified in the Ministry, including coordination of gazetting water supply areas, appointing Water Authorities and WSSBs, related training of those tasked to run the systems, processing abstraction permits, registration of land where infrastructure is constructed, registration of new schemes with the Regional Umbrella Organizations among other related activities.
- Pay service providers for their services, supplies and works rendered.
- Ensure the proper financial management of the WSDF Branch funds in accordance with the JFA, JPF manual and bilateral agreements with Development Partners.
- Implement decisions made by the Steering Committees.
- In close consultation with the Regional Umbrella Organizations, WSDF will support major renewal and expansion of existing water supply systems.
- Support to O&M of newly constructed water supply systems by contributing the funds collected as application fee for private connections to the revolving fund of the Regional UO as a deposit on behalf of the beneficiary community and providing spare pumps to the UO for future assistance to the schemes when the installed pumps fail..

A.3.2 WSDF National Steering committee roles and responsibilities

Planning and budgeting

- Propose an allocation of the available resources to the Branches to ensure balanced and equitable development of the subsector as basis for allocations within JPF following the routine JPF procedure. Allocations within WSDFs are proposed by the Regional Steering Committee
- On behalf of and under the overall direction of the Water and Environment Sector Working Group (WESWG), appraise, and approve as appropriate, branch office annual rolling work plans and budgets
- Provide guidance to branches to reduce fiduciary risk as much as possible
- Ensure that disbursements represent value for money

Policy

- Ensure that WSDF operations are consistent with the applicable laws, policies, strategies, manuals and guidelines of MWE as well as with those of other stakeholder Ministries
- Compliance with cross cutting issues – poverty, good governance, gender and environment.

Management and Coordination

- Ensure that there is coordination between the WSDF Branches to harmonise implementation approaches
- Provide management feed-back to the WSDF Branches especially regarding proper and timely presentation of accountability and reports, transparent non-discriminatory procurement procedures and allocation of resources.
- Collection of experiences and lessons learnt and development of common design standards, guidelines and procedures.
- Receive and consolidate monitoring and progress reports
- Providing monitoring and quality assurance, including a strategy and methods of knowledge management.

Consolidation and further Development

- Define and initiate steps necessary to consolidate the WSDF model (short-term) and to transform the WSDF into a semi-autonomous fund (medium-term)

A.3.3 WSDF Regional Steering committee roles and responsibilities

- Approve/reject evaluations, rankings and funding decisions of WSDF Branch
- In view of transparency and equity within region:
 - Receive and comment on Audit Reports and Action Plans
 - Monitoring WSDF Branch activities
 - Review annual work plans and budgets and make suggestions on how to amend before submission for approval by the Sub-sector working group
 - Review financial and physical progress through report submitted by the Branch Manager to RSC (equal to quarterly JPF reports of the previous two quarters).
- Bring to the attention of the NSC any significant deviations concerning the above analysis.

A.3.4 WSDF National Coordination Office roles and responsibilities

The WSDF Coordination Office shall be in charge of the following:

Planning and budgeting

Assist in preparation of harmonised work plans (receive, consolidate, store and disseminate work plans and reports from the Branches).

Policy

Support implementation of decisions that affect all the branches

Management and Coordination

- Provide a one stop centre for all the activities, reports and information of all the WSDF Branches
- Provide back up support to WSDF Branch activities such feasibility studies, detailed designs and construction works.
- Organize and provide Secretariat functions for the WSDF coordination meetings
- Provision of the 'Secretariat' functions for the National Steering Committee.

Consolidation and further Development

- Coordinate and participate in all undertakings, studies etc. that cut across or affect all Branches (sanitation pilots in WSDF-North, asset management project in WSDF-North, development of a data management system in WSDF-Central)
- Foster experience and knowledge exchange, sharing of innovations to continuously improve quality of implementation of hardware (e.g. design quality) and software activities. Actual quality assurance is done by DWD
- Provide a platform for learning from bad experiences to ensure they are not repeated in other branches.



The below section is relevant to all implementers of piped water supply schemes and urban sanitation interventions!

A.4 Stakeholders' roles and responsibilities

The activities of the WSDF are to be executed through a coordination process that is managed by the WSDF Regional Branch office and supported by its stakeholders. Table A.1 provides the details of the key WSDF stakeholders and their roles and responsibilities.

Table A.1 WSDF Stakeholder Roles and Responsibilities

Stakeholders	Roles and Responsibilities	Lead Responsible Person
Community and Local Government		
Consumers / Communities (STs / RGCs)	<ul style="list-style-type: none"> • Participate in planning meetings to identify intervention areas for funding. (Guidelines for application will be given during discussions on the availability of the opportunity). • Apply for water and sanitation services (first step to get service and done by community as whole, but can get assistance from NGOs/CBOs and the appropriate lowest Local Government Level in filling in the forms). • Apply for connections (individual level, at construction stage for some and later during extension of scheme for others) • Sign consumer contracts with the water supply operators • Pay for water used. • Secure/safeguard the infrastructure on their property (every consumer to secure water related infrastructure leading to and on their private property e.g. water meter, pipes. • Safeguard the infrastructure in the water supply area including inspection chambers, marker posts, pipes, tanks etc. • Report any damages, leakages and other problems identified/seen/noticed on water scheme in the water supply area. For example bursts, water colour change, missing parts or stolen equipment such as meters, pipes. • Participate in planning meetings (during various application levels, during 	<p>District Water Officer</p> <p>Administrative and Political heads of appropriate lowest Local Government Level</p>

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Stakeholders	Roles and Responsibilities	Lead Responsible Person
	<p>selection of management committee, design process, construction phase and operation and maintenance phase).</p> <ul style="list-style-type: none"> • Offer their service when selected on management structures such as Water and Sanitation Committees which is a voluntary management arrangement, and Water Boards. • Improve sanitation status in community by building latrines at household level. • Provide appropriate land that is free of encumbrances for installation of water and sanitation facilities including mobilising funds to effect related payments and supporting the process of acquisition of related title deeds. • Practice proper hygiene behaviours (as will be disseminated through various channels). • Manage their domestic waste water properly (by digging soak pits) or as will be advised by various professionals involved in implementation of the subprojects. • Report any irregular finding to the supervisor of the construction works. • Should feel free to interact with the implementing team (consultant for hardware and mobilisation, contractor) and ask questions where they are uncertain of the course of action being taken. 	
<p>Lowest appropriate Local Government (Sub Counties, Town Councils, Municipalities)</p>	<ul style="list-style-type: none"> • Offer assistance to communities in filling in of application forms (by providing some of the required data and helping to understand/interpret the form where communities do not understand or are having problems). • Sign Memoranda of Understanding with the WSDF branch that will outline roles and responsibilities specific to the interventions in their areas of jurisdiction • Monitor progress of community contributions especially on land acquisition, including mobilisation of financial resources for the same purpose. • Resolve any land wrangles (which are likely to arise as transmission and distribution lines and especially service pipes are dug) and any other conflicts that may arise that are related to the intervention/Facility being put in place. • Monitor Water Supply and Sanitation construction work done in the target communities and bring to the attention of WSDF Branch any irregular finding. • May be appointed as the Water Authority and therefore required to form a Water Supply and Sanitation Board (WSSB) whose role is to oversee management of water and sanitation facilities put in place in accordance with the Performance Contract Signed with the responsible Minister. • Establish and enforce ordinances related to water and sanitation in their areas of jurisdiction • Organise and facilitate community meetings to discuss issues related to water and sanitation • Register their water supply system with the Regional Umbrella Organisation and ensure timely payment of the required subscriptions • Contribute to the revolving fund of the Regional Umbrella Organisation through timely payment for services rendered and equipment provided by the UO in support to operations and maintenance of the water supply systems. 	<p>Administrative and Political heads of appropriate lowest Local Government Level</p> <p>District Water Officer</p>
<p>District Local Governments</p>	<ul style="list-style-type: none"> • Sign a Memorandum of Understanding with the MWE which defines the respective roles and responsibilities of both parties in identification and implementation of water supply systems in the districts. • Ensure that Environmental concerns are addressed including establishment and enforcement of local ordinances and enforcement of existing laws and 	<p>Administrative and Political heads of appropriate lowest Local</p>

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Stakeholders	Roles and Responsibilities	Lead Responsible Person
	<p>regulations.</p> <ul style="list-style-type: none"> • Collaborate with WSDF in Monitoring the performance of procured contractors and consultants to ensure compliance with their contracts with the Ministry and draw the attention of WSDF to any emerging issue. Contract management) remains a core responsibility of WSDF. • Liaise with the lower local governments to ensure that the community obligations are fulfilled, including supporting them on acquisition and registration of land where infrastructure is to be installed. • Use its technical superiority to provide technical assistance to the lower local governments in areas of water and sanitation particularly capacity building and mobilisation of communities, contract management and operation and maintenance of water supply systems. • Ensure use of best practices in operation and maintenance of piped water supply systems • Offer follow up support to sub county and community as the need may arise. • Co funding implementation of water and sanitation services where this is possible. • Establish and enforce ordinances related to provision of adequate and portable water supply systems and good practices of hygiene and sanitation. • May be appointed as the Water Authority and therefore required to form a Water Supply and Sanitation Board (WSSB) whose role is to oversee management of water and sanitation facilities put in place in accordance with the Performance Contract Signed with the responsible Minister. • Organise and facilitate community meetings to discuss issues related to water and sanitation • Register their water supply systems with the Regional Umbrella Organisation and ensure timely payment of the required subscriptions • Contribute to the revolving fund of the Regional Umbrella Organisation through timely payment for services rendered and equipment provided by the UO in support to operations and maintenance of the water supply systems. 	<p>Government Level</p> <p>District Water Officer</p>
Ministry of Water and Environment and Development Partners		
Regional Umbrella Organisation	<ul style="list-style-type: none"> • Support the WSSB to ensure sustainable operations of the infrastructure/facilities during the post-construction phase. • Represent the interests of its members, the Water and Sanitation Boards/Committees. • Support, including training, to member schemes in the best practices of operation and maintenance of the schemes and provision of key services such as water quality testing, provision of equipment at a cost to the schemes, relevant technical expertise, among others. • Recruit member schemes in accordance with the procedures of the UO. All piped water schemes outside the jurisdiction of NWSC shall be members of the UO. • Water quality monitoring and sanitary inspections according to the National Water Quality Strategy (2006) • Lobby for O&M support to member schemes • Propose schemes to the WSDF branch for major renewal and expansion • Share information on O&M of schemes implemented by WSDF regional branch. 	<p>Manager Umbrella Organisation</p>
Water	<ul style="list-style-type: none"> • Receive and process applications for water abstraction permits for piped water 	<p>Team Leader</p>

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Stakeholders	Roles and Responsibilities	Lead Responsible Person
Management Zone (WMZ)	supply systems <ul style="list-style-type: none"> • Receive and process applications for wastewater discharge permits • Assist in the establishment of measures in line with Water Source Protection Guidelines (2013) • WSDF is one stakeholder when WMZs develop their (sub-catchment management plans) • Monitor and ensure sustainable utilisation of water resources • Monitor the quality of water supplied by the Water Authorities to ensure that it meets the national standards • Monitor operational labs at scheme level and that of the UOs to ensure accuracy of the equipment that tests are conducted to acceptable standards. • Maintain records on water resources and availed it to WSDFs whenever required.. 	WMZ
Technical Support Unit (TSU)	<ul style="list-style-type: none"> • Provide technical guidance to local governments on aspects of their water and sanitation services • Participate in meetings of WSSB whenever required • Provide feedback on the performance of the schemes to WSDFs and UOs • Communication link between WSDFs and the local governments where the Facility is not active 	Team Leader TSU
National Water and Sewerage Co-operation (NWSC)	<ul style="list-style-type: none"> • Operates water supply and sewerage systems in large towns • Responsible for operation and maintenance of water supply systems in STs and RGCs which source water from gazetted NWSC supply areas and complex schemes that are beyond the capacity of Private Operators • Participates in construction activities for the schemes that are to be taken over by the Corporation for O&M. • Secures funding for renewal and expansion of water supply and sewerage systems under its jurisdiction 	Area Manager
Central Government / DWD	<ul style="list-style-type: none"> • Supervises the WSDF Branch office and establishes guidelines and policies for execution by WSDF. • Develop and disseminate all required planning data and information, costing figures, planning and design guidelines, reporting formats etc. • Ensure quality of results and cost effective use of resources including audits, both financial and technical. • Compile progress reports from WSDF branches to Government of Uganda and Development Partners • Recruitment of technical staff for WSDFs • Identify and assign additional duties to staff in the UWSSD to run the National Coordination Office of WSDFs • Convenes the National Steering Committee of WSDFs and the meetings of the WSSWG • Lobbies for funding for the WSDF branches and appropriates it accordingly • Ensures timely release of operational funds to the branches • Ensures that WSDFs are adequately facilitated to fulfill their objectives • Key members of the Regional Steering Committee meetings of WSDFs • Take lead in technical commissioning of schemes that have been implemented by WSDFs 	Component Manager Urban Water and Sanitation Component
JWESSP Partners	<ul style="list-style-type: none"> • Monitor the project implementation process. • Conduct joint evaluations and reviews in the framework of JPF and in 	Lead Donor Individual

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Stakeholders	Roles and Responsibilities	Lead Responsible Person
	<p>accordance to the bilateral agreements.</p> <ul style="list-style-type: none"> • Ensure that funding to WSDF branches is available in time. • Generally ensure harmonisation with and alignment to the WSDF approach and adhere to JWESSP and JPF modalities. • Key members of the steering committees, both at national and regional level • Participate in the establishment of guidelines for implementation of projects by WSDFs • Support the capacity development for WSDFs through provision of various expertise to work with the regional branches • Actively participate in the routine meetings of the WESWG and WSSWG which are forums for coordination of implementation of activities under the JWESSP 	Donors supporting the WSDF
Private Sector Stakeholders		
Private Sector	<ul style="list-style-type: none"> • Provide consultancy services inclusive of socio-economic studies, hydro-geological studies, feasibility studies, design, construction, construction supervision, operation and maintenance of water supply and sanitation facilities. • Supply of goods, e.g. training materials, pumps, pipes etc. • Operate and maintain schemes through qualified private operator or scheme attendant based on a management contract 	
NGOs and CBOs	<ul style="list-style-type: none"> • Act as facilitators and catalysers to mobilise communities and identify their needs. • Mobilise resources to facilitate implementation of water and sanitation activities in STs and RGCs • Assist communities with the preparation of applications. • Provide services such as mobilisation, awareness, hygiene education or training. • cooperate with WSDFs during implementation of water and sanitation activities and establish synergies that will ensure efficiency in uplifting the welfare of people living in STs and RGCs • Mobilise and build the capacity of communities to utilize the available opportunities to improve their living conditions • Actively participate in the Regional Steering Committee meetings of WSDFs 	
Other implementers of piped water supply schemes and urban sanitation interventions (non JWESSP partners)	<ul style="list-style-type: none"> • This manual intends to provide guidance to all implementers to ensure harmonised implementation approaches in urban water supply and sanitation. • Stakeholders are to adhere to the overall principles and approaches as described in this manual². • Coordination takes place through the District Water and Sanitation Coordination Committee in question. • Stakeholders are advised to attend Regional Steering Committee meetings of the respective WSDF branch. 	Commissioner Urban Water and Sewerage Department

² “DWD will ... ensure that all implementation follows the basis implementation principles and make them a requirement to be applied by all future interventions in the urban water sector, regardless whether through JPF or not” (JWEPPS Programme Document, page 156 ff).

B. PROJECT CYCLE

B.1 General

This section presents the phases of implementation of the projects identified from planning, project implementation to handover and commissioning. The descriptions of the phases, and what they involve, are as follows:

Phase 1: Identification and approval - Establishing a priority list of ST/RGCs once per funding cycle

Phase 2: Mobilisation and design - All community mobilisation activities prior to start of construction works and design and design approval procedure

Phase 3: Construction of water supply scheme - Construction and supervision of construction

Phase 4: Sanitation implementation progress - All sanitation activities done in parallel to the implementation of a new water supply scheme

Phase 5: Operation and Maintenance - Set-up of the operation and maintenance system

Phase 6: Handover - Final contractual and administrative procedures to handover facilities to the Water Authority

Each phase involves a number of activities as outlined in the following sections. These activities are the basis for the “Progress Implementation Chart”, an annex to the JPF quarterly report (see Annex D.1.8) that shows implementation progress for each ST/RGC (see also Section D on reporting).

All activities are briefly described in Table B.1 to Table B.6. The description involves preconditions, an actual description, and outputs. Preconditions are critical activities to be concluded or any conditions to be fulfilled before the start of described activity. The actual description contains more details and information on length. Output refers to the direct product available after completion of the activity.

Other columns describe (i) tools or WSDF-external resources required, (ii) what are stakeholders getting from WSDF? (iii) which input is provided by other stakeholders, and (iv) reference material (sector manuals / guidelines section, chapters or annexes within this manual).

B.1.1 Types of projects

Three different types of projects can be distinguished:

- WSDF projects: projects that follow entirely the below outlined phases activities
- Rehabilitations and projects done by other implementers where WSDF is involved: projects where the phases and activities of the project cycle are only partly followed.
- Output Based Aid (OBA) projects: projects that follow an OBA approach, for further details see Section 0.

Other funds implemented under WSDF follow WSDF procedures.

B.1.2 Sequence of project phases

In the following sections, the activities within the various phases of the project cycle are outlined. The phases are not subsequent – the timing can be roughly presented as outlined in Figure B.1. The activities as described

under the various phases are in a logical order but not strictly chronological, and can therefore be implemented in parallel.

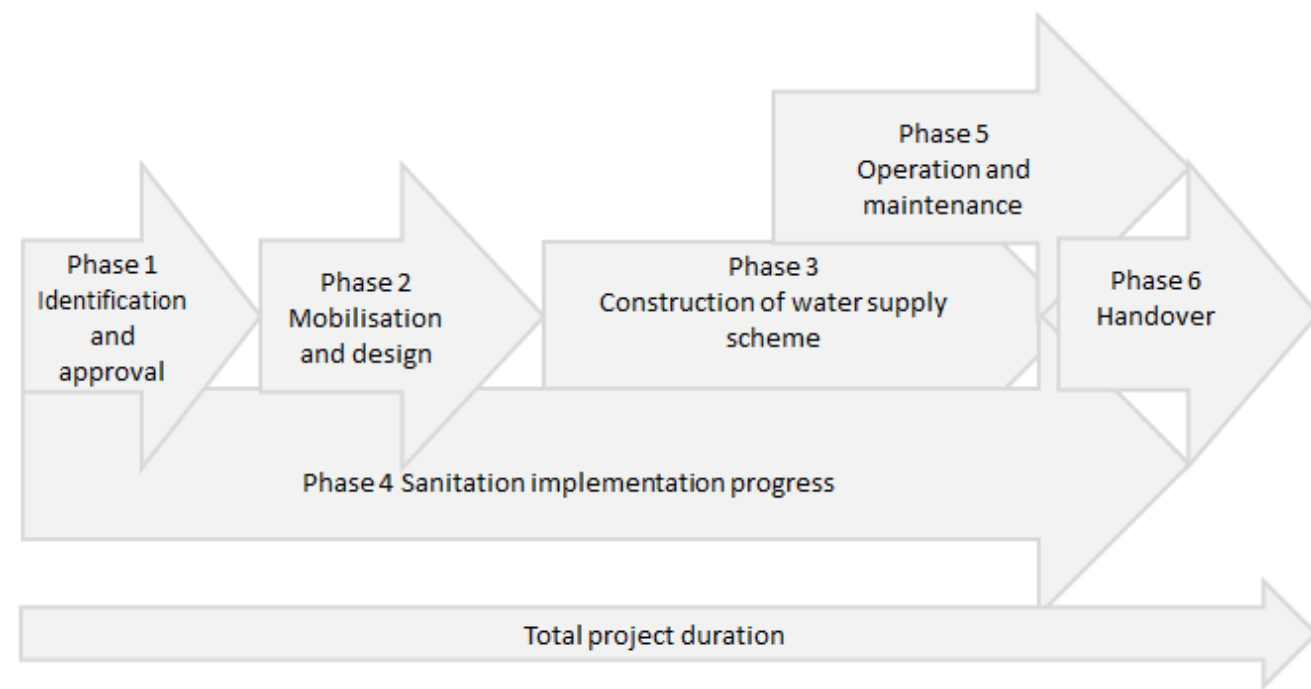


Figure B.1 Phases of the project cycle

B.2 Phase 1: Identification and approval

The Water and Sanitation Development Facility employs the demand driven approach in identifying RGCs / STs for support. The Facility takes responsibility to make known to communities within its jurisdiction about the funds available and those STs / RGCs interested submit their applications.

At each District, the Facility holds a meeting with selected District and Sub County officials. The purpose of the meeting is to discuss the project approaches, raise awareness about the availability of funds for the implementation of the water and sanitation programme, and give a highlight on the eligibility of the RGCs/STs that should apply.

Participants in this meeting are amongst others the LC V Chairperson and his executive, Chief Administrative Officer, District Water Office staff, Community Development Officer, District Health Officer, District Health Inspector and District Engineer. At the District, a Memorandum of understanding is entered into, to establish a general framework for cooperation and participation between the Water and Sanitation Development Facility and the District Local Governments and give guidance on modalities of offering technical expertise and financial support to the water and sanitation programs in a particular district.

The WSDF receives all applications for design from responding RGCs / STs. Upon reception, each application is stamped, coded and checked for completeness

All RGCs / STs that apply are visited and verified to ensure correctness of the information provided. The verification exercise is carried out by WSDF together with the DWO staff. RGCs / STs that do not comply with the required eligibility criteria are dropped at this stage. All applications that pass the verification stage are prepared for the evaluation stage.

All RGCs / STs' applications that have passed the verification stage are subjected to the evaluation criteria, and each application is given a score. The applications are then ranked, with highest priority given to the one with the highest score. The WSDF recommends the towns to be put on the selected towns' list and waiting list, depending on available funds.

A first round of identification and approval has been done for all WSDFs. A new identification and approval process takes place approximately every three years, in cases where new funding is confirmed. This interval corresponds to the funding cycle of the particular Development Partner. The process of identification and approval results in three categories of lists:

1. Priority list of critical towns: These are approved by the WSDF Steering Committee once funding is available. The actual implementation order tries to follow the priorities as per the priority list after the approval of the priority list. However, selection for implementation is affected by practical issues that cannot be foreseen at the time of application (e.g. implementing close ST/RGCs together, fulfilment of community obligations, and availability of water resources). Every update in order of implementation of ST/RGCs from the priority list is approved by the Regional Steering Committee. Selection criteria for new town schemes can be found in Annex B.1.3).
2. Waiting list / Long list: The establishment of a waiting list allows a WSDF to have an overview on the needs in the entire region.
3. List of potential new ST/RGCs to be integrated: Identification of potential new ST/RGCs is a continuous process done by WSDF. Follow-up to gather data can be done after identification.

Based on new funding becoming available, a new call for applications is sent to local government (e.g. newly developed RGCs), to review and update existing and new needs for schemes. Those on the waiting list can be re-considered with updated data. ST/RGCs from the list of potential new ST/RGCs can be integrated. Updating of data is done by the WSDF in close collaboration with District Water Officer (e.g. in terms of growth of the ST/RGC, and potential for clustering arrangements (see section B.7.1) and Umbrella Organisations, in case of expansion or rehabilitation. This is done only in cases where funding has been confirmed.



The below section is relevant to all implementers of piped water supply schemes and urban sanitation interventions!

Other private and public implementers planning to become active in the region should link up with the respective DWO and WSDF to ensure that the approved ranking is not contradicting.

B.3 Project selection evaluation guidelines

To ensure transparent and cost effective implementation, the selection of Small Towns' and Rural Growth Centres' water supply schemes to be implemented under a WSDF follows a guideline for evaluation of applications. The above outlined process (See section B.2 Phase 1: Identification and approval) together with the criteria listed in Annex B.1.3 guarantees transparency and reflects the need to ensure cost-effectiveness.

Developing infrastructure in Small Towns and Rural Growth Centres under "un-favourable conditions" will result in high unit costs. These conditions are related to topography, availability of water resources, raw water quality, situation in cholera prone areas and technical solutions required for affordable operation and maintenance cost. It is therefore crucial that the feasibility studies assess different options and provide justifications for dismissing as well as for recommending options. This approach is intended to lead to a transparent and informed decision on the economically most viable option to be designed and implemented

(JWESSP Programme Document, 2013) while ensuring access for the urban poor and adherence to the “some for all rather than all for some” principle.

At the design stage, cost-efficiency of WSDF projects is ensured through following a well-established design process. This process is guided through the use of the Design Manual and Design Guidelines and approval of all designs before tender stage to ensure cost control and equity.

The “Fiduciary Risk Assessment and Recommendations to Contain Risks with Regard to the German Financial Contribution to the JWSSPS / JPF for WSDF North and WSDF East” (Volvendo Consulting, 2011) suggests reviewing the evaluation criteria towards selecting good value for money investments. Another recommendation of the Fiduciary Risk Assessment is to provide more transparency of the scoring and ranking of the ST/RGCs to the applicants.

Annex B.1.3 provides the criteria for evaluating and ranking sub-projects. For each criterion, points are allocated. A weight is allocated to each criterion and the total score is arrived at by multiplying the score with the weight for each criterion. Scores are summed up for all criteria to arrive at the total score for each scheme. Schemes are ranked according to the total scores with the highest scores given due priority. Representatives of all Districts are informed about the process, including the criteria prior to the submission (re-submission) of their applications. After the evaluation and scoring of the new or renewed proposals all applicants will be informed in detail about the evaluation results (see also chapter XY on identification and approval).

A thorough estimation of per capita investment costs and future O&M costs at a stage where no design is available is in many cases hardly possible. However the selection criteria shown in this section cater for cost-efficiency aspects since:

- A high population size can be considered a valuable proxy indicator for potentially low unit costs of the planned investments
- Energy costs are appropriate proxy-indicators for future operation costs.
- Number of households per km of pipeline and per capita investment costs are proxy-indicators for cost-efficient investment.

An overview of the different steps to be taken for Phase 1 are provided in Table B.1. **Under each activity, the outcome number according to the 5 year work plan (see Annex D.2) is provided in brackets, e.g. X112.** The activities that are not in the current log frame are included without the log frame output number.

Table B.1 Overview on steps of phase 1 identification and approval

Activity no.	Activity -	Description	Role of WSDF	Role of stakeholders	Reference
1	Call for applications (X112)	Description: Filling of forms for completely new schemes, update of information, or rehabilitation. Output: Filled application forms	Issues application forms	Community fills the application forms with support from districts. District submits the forms	Annex B.2, Annex B.3.1, Annex B.3.2, and Annex B.3.3.
2	Verification of applications (X112)	Description: - Verify whether the given information on the submission form is correct - Analyze surrounding existing or	Verifies data on forms Recommends clustering if viable	Regional Steering Committee approves	Section B.7.1 on clustering

Activity no.	Activity -	Description	Role of WSDF	Role of stakeholders	Reference
		planned small schemes and assess potential for clustering Output: Verification report			
3	Evaluation and ranking of applications (X112)	Description: Subject all forms to the evaluation criteria. - A list of critical priority towns is established, the number depending on the available funding commitments - A “waiting list” is established Output: Priority list and waiting list	Develops a ranked list of towns and recommends towns for priority list or waiting list		Annex B.1.3
4	Approval of priority list (X112)	Description: - Regional Steering Committee Output: List of approved towns	Communicates priority list to district local government	Regional Steering Committee approves	

B.4 Phase 2: Mobilisation and Design

All phases of the project implementation cycle are accompanied by community mobilisation activities. The approach followed is demand-driven and requires active expression of demand and fulfilment of community obligations. Community mobilisation ensures the required involvement to empower the community to fulfil its role.



The below section is relevant to all implementers of piped water supply schemes and urban sanitation interventions!

Particularly community mobilisation ensures:

- Adequate awareness on the project purpose, stage of implementation and future plans at all Local Government and community levels
- Feedback on various outputs (baseline, design, etc.)
- Fulfilment of community obligations
- Establishment of sustainable operation and management structures for water supply and sanitation systems
- Gender and HIV/AIDS mainstreaming
- Environmental mainstreaming

The approaches used are meetings, workshops (participatory approaches, lectures, presentation, plenary discussions), radio programs, exchange visits, drama groups, visual materials (posters), use of NGOs.

B.4.1 Community obligations

- Formation of a gender sensitive **Water and Sanitation Committee(WSC)**

- **Opening a bank account:** This activity can be fulfilled any time after the WSC has been formed and the MoU has been signed. The committee is required to open a bank account on to which monies mobilised to run scheme activities is deposited and more so for future O&M stage. The account MUST be opened in a commercial bank and details of nature of account and particular commercial bank is agreed upon by the WSC. The signatories to this account during implementation are the WSC: Chairperson (Principal), Treasurer and Secretary. An introduction letter to the bank can be given by WSDF, Sub County / Town Council or the District. In some instances where the RGC is quite a distance from the commercial bank, it may not suffice to have an account in the commercial bank as the long distance requires costs to bank and withdraw money. It is advisable to open a secondary account in the village banks and pool funds on to this account. The village banks must be those which are licensed. However, monies on this account should be regularly transferred to the commercial bank account. Money on the village bank account should not exceed One Million (1,000,000) Shillings.
- **Membership to Umbrella Organisation:** The WSSB applies for membership to the respective regional Umbrella Organisation as soon as the WSSB has been formed.
- **Acquiring land for infrastructure development:** It is the community's obligation to acquire all land and resolve all disputes pertaining to land in consideration. Minimum land requirements for water sources shall be 60mx60m and 50mx100m for deep/shallow wells, and springs respectively. Other land requirements shall be according to the design specifications of the infrastructure. The Facility will take the responsibility of processing the land titles for all the infrastructure development. The title shall be processed in the names of the Water Authority.
- **Applying for connection:** The household/institution shall apply for a connection and must adhere to the sanitation requirements and meet the technical requirements for approval.
- **Payment of connection fees:** Connection fees of UGX 50,000 shall be paid for household connections, institutional connections and public water kiosks. Payment is done on verification and approval of existence of at least a basic latrine with a functional hand washing facility and good hygienic practices in the household.
- **Applying for construction:** When the designs are completed, they are presented to the beneficiaries for their inputs and comments. The ST/RGC applies for construction, a process that requires (i) land agreements without conditionalities and encumbrances, (ii) gender sensitive WSC Members and (iii) a copy of community history (to include Water and Sanitation, Gender, HIV, Social Cultural aspects and climate and environment), (iv) a copy of proof of membership to the regional Umbrella Organisation, (v) a bank statement showing the proof for connection fees. to be submitted together with the application (see also Annex B.3.4 and Annex B.5.6).
- **100 % basic sanitation coverage:** by the time of handover, basic sanitation coverage within the water supply area is at 100%.

B.4.2 Standard mobilisation activities

Sub-County / Town Council Advocacy

A meeting is held with the Sub-County / Town Council to which the RGC/ST belongs, to introduce the WSDF into the area. This aims at seeking support from the local leaders, and improving their knowledge about WSDF through sensitising the leaders about the Facility approach, strategies, activities, working principles, roles and responsibilities of stakeholders.

Small Town / RGC community Advocacy

A mobilisation drama show is staged in the RGC /ST. Day, venue and time are determined in the Sub-County advocacy meeting. The drama targets the benefitting RGC/ST community. Mobilisation for drama show and subsequent selection of WSC are spearheaded by S/C officials.

First level training (awareness creation training)

After a WSC has been selected and the WSDF has received communication from the Sub-County, training is conducted. This is an initial training in the RGC/ST that aims at introducing the community to the basic working principles of the WSDF. It equips identified community leaders and focal persons with knowledge to assist the WSDF team with community mobilisation and sensitisation for a smooth design stage. However, it also unveils all the steps the RGC/ST is to go through till they get a functional water supply and sanitation system (Manual Available).

Signing Memorandum of Understanding (MoU)

Once sensitization of local leaders and WSC has been accomplished, arrangements should be put in place to sign an MoU. The MoU signing is carried out at the Sub-County / Town Council. District officials are involved in the activity and also witness the agreement.

Baseline survey

The baseline survey includes a systematic gathering of data on demographic, social, economic, and sanitation status in the RGC/ST. Data captured is used as a basis for planning of water and sanitation programmes in the area. WSDF conducts a census of all households within the water area defined under the first level training. In case the water source is outside the RGC/ST, the source area is added.

Once the supply area has been mapped out, WSDF looks at all available water resources in and around the RGC/ST using local staff / consultants to determine the quality and quantity of the water sources. Other design procedures shall follow the guidelines in the Ministry design manual. The draft design should be discussed with all stakeholders at the RGC/ST level.

The activities are summarised in Table B.2.

Table B.2 Overview on steps of phase 2 mobilisation and design

Activity no.	Activity -	Description	Role of WSDF	Role of stakeholders	Reference
1	Awareness creation at district level (X121)	<p>Description:</p> <ul style="list-style-type: none"> - Content of MoU including obligations - Clarify on application process - Raise awareness for clustering of schemes to be under the same Water Authority (WA) within the district boundaries <p>Output: Signed MoU with district</p>	<ul style="list-style-type: none"> - Conducts the awareness creation workshop - Distributes WSDF brochures 	DLG, NGO/CBO active in the region participates in workshop	Section B.7.1 on clustering; Annex B.7.1
2	Awareness creation at Sub County / Town Council level (X121)	<p>Precondition:</p> <ul style="list-style-type: none"> - Have MOU with respective district. <p>Description:</p> <ul style="list-style-type: none"> - Content of MoU including obligations - Clarify on working principles, 	Conducts the training	DLG supports WSDF in conducting the training by availing appropriate staff members	Annex B.7.3

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Activity no.	Activity -	Description	Role of WSDF	Role of stakeholders	Reference
		<p>approaches and strategies.</p> <ul style="list-style-type: none"> - Raise awareness on implementation process. <p>Output: signed MOU between the Sub County/Town Council and WSDF.</p>			
3	Signing MoU with the community (X121)	<p>Precondition: WSC in place</p> <p>Output: Signed MoU</p>	Signs the MoU	Lowest LG and DLG signs the MoU	Annex B.7.3
4	Selection of gender sensitive WSC (X122)	<p>Precondition: Signed MoU</p> <p>Description:</p> <ul style="list-style-type: none"> - WSC represents the entire community in mobilisation and fulfilment of community obligation. - Members of the WSC should be selected from the community benefiting from the water supply. The CDO will be monitoring and supervising to ensure that the WSC performs. The WSC acts as a bridge between the community and other stakeholders. - The total number should ensure that adequate representation of each village is ensured. - The composition of WUCs/ WSCs shall include at least 50% women; women should take up key positions in the WUC/WSC (i.e., chair, vice-chair, secretary, treasurer). - Discussion of roles and responsibilities of each WSC member (sanitation, hygiene (safe water chain), - WSC members are not paid because this is voluntary work. When they are called for meeting and training, they are facilitated in form lunch and transport refund. <p>Output: An operational, gender sensitive WSC</p>	<ul style="list-style-type: none"> - Guides the selection of the WSC by providing the qualifications and criteria to use - Trains and equips the WSC to perform its role 	Community selects the WSC	0
5	Awareness creation trainings for planning and design (1st level training)	<p>Precondition:</p> <ul style="list-style-type: none"> - ST/RGC is part of priority list - Timing for start of design has been agreed upon - WSC is in place <p>Description: Discussion of WSDF</p>	Conducts the training	DLG supports WSDF in conducting the training by availing appropriate	Annex B.6.3

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Activity no.	Activity -	Description	Role of WSDF	Role of stakeholders	Reference
	(X121)	approach, cross cutting issues and community obligations (mutual expectations) Output: ST/RGC implementation Workplan		staff members	
6	Developing and submitting community information (X121)	Description: - Developed during 1st level training where representatives of each ward / parish are present - The community information involves historic development, and present situation. - The community information is an annex to the MoU Output: Community information available at WSDF	Explains what is expected of the community	DLG provides additional supplemental information	Annex B.5.5
7	Community map showing the preferred supply area (X121)	Description: - Developed during 1st level training - Limited to preferred water supply area - The community map involves among others: open defecation areas, institutions, settlement structure, infrastructure such as roads - Map together with its analysis of it informs the baseline and the design process, it is annexed to the MoU Output: Community map available at WSDF	Draws the map	Community members provide the necessary information	
8	Procuring a design consultant (X131)	Precondition: WSDF management decision whether to do the design in-house or outsourced (based on assessment of work load, potential complexity of the scheme, availability of funding) Description: optional activity (see also precondition) Output: Signed contract	Spearheads the procurement process	District's lowest LG participates in the evaluation of bids	Annex B.8.2
8	Feasibility study including	Precondition:	- Conducts, or hires a	Community provides the	Annex

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Activity no.	Activity -	Description	Role of WSDF	Role of stakeholders	Reference
	Baseline survey (X132)	<ul style="list-style-type: none"> - RGC / ST is on the priority list - MoU is signed <p>Description: carrying out geophysical studies, detailed assessment of the water resources potential, baseline and socio-economic survey that fully addresses socio-economic status, gender, hygiene and sanitation of the beneficiaries and assess the ability to operate and manage the piped water supply system and public sanitation facilities.</p> <p>Output: feasibility report, baseline survey report, ToR for subsequent implementation works (geophysical siting, drilling, piped supply etc)</p>	<ul style="list-style-type: none"> consultant to conduct the feasibility study and baseline study - Approves the report of the consultant 	necessary information	B.8.4
8	Source identification (X133)	<p>Description: water quality testing according to National Water Quality Strategy. Testing of volume for abstraction (70% of dry season flow).</p> <p>Output: water quality testing, water flow measurements at end of dry season.</p>	Spearheads implementation of the activity	<p>Town engineer provides support</p> <p>UO provides water quality testing services</p>	National Water Quality Strategy (2006)
9	Water source development (X133)	<p>Precondition:</p> <ul style="list-style-type: none"> - Water abstraction permit - Approved feasibility study <p>Description: Protection of spring / Drilling of borehole</p> <p>Output: Improved water source with sufficient yield to serve design population in dry season.</p>	Spearheads implementation of the activity	<ul style="list-style-type: none"> - Drilling company required in case of groundwater supply - WMZ supports application for water permit process 	Design manual, design guidelines, Annex 6.
10	Topographic surveys (X134)	<p>Precondition: ensure that surveyor and surveying equipment are available in time (if in-house design)</p> <p>Description: Elevation and location survey of pipeline and accessories</p> <p>Output: Topographic map and</p>	Spearheads implementation of the activity	Community ensures that surveyor can do his work	Design manual, design guidelines, Annex 6.2

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Activity no.	Activity -	Description	Role of WSDF	Role of stakeholders	Reference
		survey report			
11	Draft design report (X134)	<p>Precondition: ensure that water source protection area to be fenced off is of suitable size as recommended by Water Source Protection Guideline (2013) and guided by WMZ</p> <p>Description: socio-economic, sanitation, technical information</p> <p>Output: Draft design report</p>	Spearheads implementation of the activity	WMZ provides guidance in deciding how big water source protection area should be	Design Manual (2013) and Design Guideline (2013)
12	Presenting designs to stakeholders (X135)	<p>Precondition: design approved by WSDF</p> <p>Description: Present the designs, emphasize water source protection issues</p> <p>Output: signed minutes of meetings showing approval by stakeholders</p>	Spearheads implementation of the activity	Local government, WSC and relevant community members	Water Source Protection Guideline (2013)
13	Producing tender documents (X135)	<p>Precondition: design approved by WSDF</p> <p>Description: produce detailed tender document based on topographic survey and community aspects</p> <p>Output: tender documents for all piped scheme components</p>	Prepares the documents, or approves the documents	If a consultant is engaged, the private sector prepares the documents	Design Manual (2013) and Design Guideline (2013)
14	Design approved by MWE Design Committee (X135)	<p>Precondition: comments made by community are integrated</p> <p>Description: All designs for piped water supply schemes follow the Design Guideline (“what”) and the Design Manual (“how”), are owned by a registered engineer and approved by the DWD Design Review Committee.</p> <p>Output: MWE approved design</p>	Design consultant is informed on result of approval process	Design Review Committee of DWD	Design Manual (2013) and Design Guideline (2013)
15	Facilitate UO membership (X141)	<p>Precondition: Signed MoU</p> <p>Description: All new Towns should be facilitated by the WSDFs to join the UO</p>	Inform WUC of the importance of becoming a member of the UO	Pay membership fee	

Activity no.	Activity -	Description	Role of WSDF	Role of stakeholders	Reference
		Output: Proof of UO membership			
16	Support communities to fulfill their obligations for application for construction (X142)	<p>Precondition: Signed MoU</p> <p>Description: Community obligations are clearly explained, including consequences of not fulfilling them. The fulfilment if the obligations is confirmed.</p> <p>Output: application form for construction filled</p>	<ul style="list-style-type: none"> - Explains the community obligations - Confirms fulfilment. 		Annex B.3.1

B.5 Phase 3: Construction of Water Supply Schemes

After the community has submitted an application for construction, the process of procuring contractors and supervision consultants where necessary, should commence. A second level training is then organized focusing on preparing the community for the construction stage. Selected community leaders are taken through a training to gain knowledge and information on issues pertaining to the construction process: communication channels, how to deal with contractors, monitoring as opposed to supervision etc. This training ushers in the construction stage and sensitises the community on what to expect and how to conduct themselves during this stage so as to have smooth construction stage.

Regular site meetings are held with stakeholders to discuss issues pertaining to the construction, supervision and monitoring of schemes. During such meetings the contractor presents progress of works and challenges for discussion by stakeholders.



The below section is relevant to all implementers of piped water supply schemes and urban sanitation interventions!

B.5.1 Environmental Impact Assessment of piped water schemes

All environmental protection activities are carried out in line with the respective DWRM and NEMA guidelines. The EIA Guidelines for water resources related projects (2011) provide lead agencies, EIA practitioners and others involved in the Environmental Impact Assessment (EIA) process with practical guidance and a ready source of information about the process.

The steps to monitor, participate in, or conduct an EIA can be summarised as follows.

1. Prepare the brief (or, for non-government-initiated projects: Review the developer's project concept)
2. Screen the proposed project to determine if it requires an EIA and, if so, the level of EIA required
3. After screening, consult the EIA-process flow chart to determine the anticipated disposition of the project proposal.

4. Determine the major issues and concerns through scoping.
5. After scoping, prepare ToRs (or, for non-government-initiated projects, review ToR)
6. Determine the initial boundaries (scope) of the study area for the proposed project.
7. Begin collecting baseline data that relate to the important issues and concerns as they occur within the study area.
8. Characterize the affected environments in the study area according to their relevant attributes
9. Identify environmental impacts by scrutinizing each development action against each environmental parameter, indicating the occurrence and character of the predicted impact in the intersecting cell.
10. List the predicted environmental impacts identified in the matrix exercise, according to the environment in which they occur and to their anticipated character.
11. Determine the significance of the environmental impacts, according to their suspected magnitude, duration, and importance vis-a-vis the scoping results and the baseline status.
12. Decide upon the appropriate and sound measures to mitigate and/or enhance significant environmental impacts (see also section B.5.2).
13. Determine the project development stages-design, construction, or operation-at which mitigation or enhancement is optimally implemented and the manner in which the measures are to be implemented.
14. Prepare an EIA report (EIS). The Environmental Management Plan is part of the information to be included in the EIA report.
15. Submit 1 (one) copy of the EIA report to DWRM and 10 (ten) copies to NEMA for final review and decision making.
16. If the EIA report has been approved, the certificate of approval of the EIA, the environmental management plan, monitoring and auditing plans should be included in the project documents as legally binding documents.
17. For a project that might have adverse environmental impact across international borders, the impact assessment may be incomplete if other countries are not consulted.



The below section is relevant to all implementers of piped water supply schemes and urban sanitation interventions!

B.5.2 Water source protection of piped water schemes

The Water Source Protection Guidelines (DWRM, 2013) are amongst others intended for WSDF staff involved in planning new or extended piped water supply schemes, who want to find out how best to protect them from current or future water quality and quantity problems. They are also for non-governmental, civil society or faith-based organisations involved in building or maintaining of small piped water systems, such as gravity-flow schemes.

Water Source Protection guidelines for piped water supply systems address new and existing supply schemes. The guidelines specifically require that: 1) Future water use permits (and at the anniversary of renewing existing water use permits) must be approved alongside a corresponding Water Source Protection Plan. 2) All

water supply infrastructure development must have an approved Water Source Protection Plan before commencement.

Water Source Protection Guidelines fit in both the interaction between the WMZ team as a regulator of the Water Supply and Sanitation Board and their delegated operator, and also within the regulation of any contracts in which Water Source Protection is specified. Therefore, the future de-concentrated Regulation Unit will have a role to play in ensuring that Water Source Protection is done as part of the conditions of the Performance Contract set between MWE and the Water Board.

The organisational mandate of WSDFs in relation to the WSPG is as follows:

- New Water Schemes have a budget line for Water Source Protection. These guidelines enable that budget line to be operationalised.
- The objectives of the WSDF regional branch include a contribution to environmental protection, the provision of safe, adequate, reliable and accessible water supply.
- The role of the Environmental Sanitation Specialist includes: Support the ST/RGC in designing, implementing and safeguarding catchment protection measures.
- The ToR for the Design/Mobilisation Consultant includes: “Design catchment protection area”.
- The role of the WSDF is “To provide technical support to the community in generating and implementing catchment protection”.
- On behalf of the Water Authority, under Section 81 of the Water Act 1995: Subject to section 91 (land compensation), an authority may - (a) establish a protected zone on land adjacent to - (i) any water, borehole, treatment or other works forming part of a water supply or from which a water supply is drawn; or (ii) any sewer, sewerage treatment works or outfall; (b) erect and maintain fences on or enclose the land under the protected zone; and (c) prohibit activities within the protected zone, as it sees fit. Role in relation to Water Source Protection

To successfully apply these guidelines, the following activities must be implemented:

- Preparing a Water Source Protection Plan. This could be a stand-alone plan, or mitigation plan **within the overall framework of the Environmental Impact Assessment** (EIA – see also section B.5.1).
- Submitting a Water Source Protection Plan along with an application for a Water use Permit.
- Implementing the Water Source Protection Plan and monitoring or evaluating the performance of the Water Source Protection Plan. This requires a commitment of financial resources to facilitate the implementation as well as designing and applying strategies for stakeholder participation as appropriate.

There are seven steps in the process of developing a Water Source Protection Plan, as follows:

Step 1 provides for preparation on the part of the institution seeking to apply these guidelines (Implementer) to prepare itself adequately before embarking on the protection processes.

Step 2 provides for analysis of technical issues pertaining to the water source and the planned or on-going piped water supply system. The technical issues referred to include assessments of catchment and water source hydrological, social and economic issues, assessment of threats to the catchment and water source as well as opportunities for protection, likely protection measures and means for measuring impacts, among others.

Step 3 provides procedures for mapping stakeholders, stakeholder sensitisation, engagement and capacity strengthening, among others.

Step 4 provides procedures for identifying and committing financial and other resources for source protection.

Step 5 provides procedures for developing a source protection plan.

Step 6 provides procedures for implementing the source protection plan.

Step 7 provides procedures for monitoring the implementation progress and evaluating implementation outputs.

It is recommended to run steps 2, 3 and 4 in parallel, allowing exchange of information between each step until there is sufficient information and stakeholder buy-in to write and propose a Water Source Protection Plan and/or a Water Protection Zone under step 5.

Checklists for, and further details on the specific activities for the various steps as well as a template of the Water Source Protection Plan are provided in the Water Source Protection Guidelines Volume 2: Guidelines for Protecting Water Sources for Piped Water Supply Systems MWE, May 2013).

Table B.3 Overview on steps of phase 3 construction of water supply scheme

Activity no.	Activity	Description	Role of WSDF	Role of stakeholders	Reference
1	Surveying acquired land	<p>Precondition: signed land agreement in annex of application for construction</p> <p>Description: - Cadastral survey as basis for demarcation of boundaries and subsequent registration</p> <p>Output: survey report</p>	Conducts the survey using the WSDF surveyor	Community leaders participate	Annex B.5.6
2	Securing a title deed / land title	<p>Precondition: fully signed transfer of land ownership forms</p> <p>Description: registration of land for public use</p> <p>Output: land title</p>	WSDF to support Local Government throughout the process	Local Government to secure	
3	Procurement of supervision consultant (X151)	<p>Precondition: WSDF management decision whether to do supervision in house or outsourced (based on assessment of work load, potential complexity of the scheme, availability of funding)</p> <p>Description: optional (see also precondition)</p> <p>Output: Contract signed</p>	Spearheads the process	DLG and lowest LG participate in the evaluation of bids	0
4	Environmental Impact Assessment as per NEMA guidelines	(section B.5.1)	Spearheads the process of procuring and managing the consultant	Provides the required information to the consultant	NEMA guidelines (section B.5.1)

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Activity no.	Activity	Description	Role of WSDF	Role of stakeholders	Reference
	(X152)		contract		Annex 6.2
5	Procurement of contractors (X153)	<p>Precondition: design approved by MWE Design Review Committee</p> <p>Description: start after application for construction has been verified and approved</p> <p>Output: Contract signed</p>			<p>Tender and contract documents for construction (PPDA)</p> <p>Application for construction (Annex B.3)</p>
6	Start the construction	<p>Precondition: Community obligations fulfilled</p> <p>Description:</p> <ul style="list-style-type: none"> - Verification of fulfilment of preconditions - Handover of the site <p>Output: certificate of site handover</p>			<p>Application for construction (Annex B.3)</p> <p>Certificate of site handover</p>
7	Awareness creation training for construction (X154)	<p>Precondition: signed contract with contractor and site handed over</p> <p>Description:</p> <ul style="list-style-type: none"> - A political ground breaking ceremony is optional depending on the availability of funds - Mobilisation of community to support construction activities 	Conducts the training	DLG participates in the training	Annex B.6.3
8	Construction ongoing (X155, 156)	<p>Precondition: Mobilised community</p> <p>Description:</p> <ul style="list-style-type: none"> - Regular site meetings are held depending on progress - In site meetings WSDF, contractor and beneficiary community are represented - Monitors household connection process <p>Bacteriological water quality testing according to National Water Quality Strategy (2006) after full installation in case of groundwater being used as a water source</p> <p>Output:</p> <ul style="list-style-type: none"> -Signed minutes of site meetings and progress report of contractor -Progress report by supervision consultant or WSDF clerk of works 	Spearheads the process	UO provides water quality testing services	Private connection form: Annex B.3.5

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Activity no.	Activity	Description	Role of WSDF	Role of stakeholders	Reference
		- Water quality testing results			
9	Community obligations: Achieving 100% basic sanitation coverage	Description: continuous activity throughout construction by supervision consultant or WSDF clerk of works with guidance by the respective WSDF officer	Methodology (including forms)	External data on regular updates are provided by DHIs or LC1 chairpersons	Annex B.5.11
10	Protection of catchment and water sources (X157)	Description: <ul style="list-style-type: none"> - Starts at commencement of construction works - Awareness creation and execution of measures to protect water source (e.g. fencing off and tree planting in water source protection area, training of WSSB) - Continuous monitoring throughout construction by supervision consultant or WSDF clerk of works with guidance by the respective WSDF officer Output: Suggestions how Water Source Protection Guideline (2013) can be improved to be fed into the update process of the guideline in 2015.	WSDF involves and collaborates with District Environmental Office	Respective Water Management Zone to provide overall technical guidance	Water Source Protection Guidelines (2013)
11	Construction completed (X158)	Precondition: draft as built drawings, draft operators manual and draft asset register are submitted Description: <ul style="list-style-type: none"> - All works have been to satisfactory and the system is ready for test running - At this stage the operator can take initial meter readings to be able to bill during test running Output: <ul style="list-style-type: none"> - Instruction to commence test running - Certificate of substantive completion 	Issues the certificate of substantive completion	DLG and lowest local government participate in the final inspection and issuing of the certificate of substantive completion	Design manual, design guidelines

B.6 Phase 4: Environmental and sanitation implementation progress

Implementation of Environment and Sanitation activities cuts across all phases of the project cycle, namely: identification and approval, mobilisation and design, construction of water supply, support to O&M and handover.

WSDF activities in the area of environmental protection focus on catchment and water source protection and are based on the Framework and Guidelines for water source protection, particularly volume 2, the Guidelines for Protecting Water Sources for Piped Water Supply Systems.

WSDF activities in the area of sanitation and hygiene promotion involve carrying out sanitation baseline surveys at both pre-construction and post-constructions, Actual construction of Sanitation facilities (household, public, schools, institutions, Faecal Sludge Management) and Hygiene and sanitation promotion activities.



The below section is relevant to all implementers of piped water supply schemes and urban sanitation interventions!

As a rule, the construction or rehabilitation of piped water supply schemes is combined with sanitation interventions. The achievement of 100% basic latrine coverage for all households of the STs/RGCs before technical commissioning is a central community obligation (refer to ISH and sanitation implementation manual).

B.6.1 Sanitation promotion activities

The WSDF focuses its sanitation promotion activities on the household level, public level, school/ institutional level, in the field of faecal sludge management, and on the coordination of urban sanitation.

B.6.1.1 Household sanitation promotion

Household sanitation promotion activities commence with the execution of community mapping and town-specific sanitation baseline surveys to establish baseline conditions before implementation of key WASH activities. The baseline survey will provide information required for planning of appropriate interventions aimed at improving sanitation and hygiene levels in the STs/RGCs. Additionally, the survey findings will provide benchmarks for monitoring and evaluating achievements registered as a result of implementing the interventions.

Intensive household mobilisation and sensitisation is subsequently carried out towards sanitation and hygiene improvements at the household level. IEC materials and training guides/manuals are used in training and participatory planning with relevant stakeholders including beneficiary communities and the established water and sanitation committees. Standard evaluation criteria will be used to assess 100% coverage of sanitation and hygiene practices in all households before the water supply system can be opened in STs/RGCs.

Training of beneficiary communities using participatory approaches is very key during hygiene and sanitation promotion. These approaches include; Community-Led Total Sanitation (CLTS), Participatory Hygiene and Sanitation Transformation (PHAST) (including identification, discussion and selection of options), Identification of feasible sanitation technological options for implementation in the project/beneficiary town. The identified sanitation technological options will be constructed as demonstration units in the ST/RGC to pave way for multiplication.

The WSDF will support operationalisation of sanitation and hygiene national laws and by-laws in ST/RGC through capacity building of the relevant LG staff. Formation of by-laws and follow up to rejuvenate existing but non-operational by-laws will be supported.

Community-based masons will be selected and trained in construction of sanitation technologies. The trained masons will aid in replication and scaling up these technologies in the community. The masons are selected from the beneficiary town or RGC with the key responsibilities of constructing, promoting and sensitising the communities and advocating for the use of the new technologies. Standard criteria for selection of masons will be used across all the WSDFs (see Annex B.1.1) as well as standard designs for all types of sanitation technology options and a standard training manual for training the masons.

Household verification exercises are done to identify the households that will benefit from a household demonstration toilet and follow-up visits on the households to establish whether the households are complying with the set conditions. Standard criteria for selection of the households for the identified feasible sanitation technology should be followed (see Annex B.1.2).

At the end of the WSDF intervention, an evaluation of sanitation and hygiene promotion activities, including dissemination is carried out, to measure the achievement of the intervention.

B.6.1.2 Public / Institutional sanitation

Appropriate sites and appropriate sanitation technological options will be selected for collection and disposal systems for institutional sanitation, such as schools and health centers in the beneficiary towns and RGCs. This activity will be conducted with relevant stakeholders in the beneficiary town.

The standard designs to the relevant stakeholders are presented in the town for any special input in relation to the town's unique requirements. Standard designs for all types of sanitation technology options appropriate for public and institutions will be used across all the WSDFs.

Subsequently, the identified appropriate sanitation technological option is constructed and sludge collection equipment is purchased and will be handed over to the operator. The construction is closely supervised to ensure compliance to the designs by the contractor. A standard construction manual will be used across all the WSDFs.

In order to ensure that operation and maintenance (O&M) systems are in place for sludge management and follow-ups to evaluate its functionality, an O&M plan for the constructed facilities is prepared in consultation with the relevant stakeholders in the project town/RGC. The operators will be trained on sustainable use and maintenance of the provided sanitation facilities. A standard training manual will be used across all the WSDFs.

B.6.1.3 Faecal sludge management

As a first step, the need and demand for the faecal sludge management system in the ST/RGC and the neighbouring towns/RGCs is assessed in terms of existence, collection, transportation and disposal/treatment. This exercise will be done in consultation with the stakeholders in the project town/RGC.

The selected system will be constructed while supervising the contractor closely.

Finally, an O&M plan will be established for the provided facilities/equipment in consultation with the relevant stakeholders in the project town/RGC and operators will be trained before hand-over of the facilities/equipment to the beneficiary town/RGC.

B.6.1.4 Urban sanitation coordination

The urban water supply department of MWE will coordinate and harmonise the following urban sanitation activities implemented by WSDFs:

- Hold WSDFs' sanitation coordination meetings for experience sharing and harmonisation of sanitation implementation approaches

- Support supervision and monitoring of urban sanitation and hygiene promotion activities in WSDFs
- Conduct research studies on urban sanitation technology options
- Upgrade and update urban sanitation inventory/database
- Compile the urban sanitation achievements for the sector performance reporting
- Disseminate policies and guidelines to WSDFs and other relevant stakeholders in urban sanitation.

Table B.4 Overview on steps of sanitation implementation

Activity no.	Activity	Description	Role of WSDF	Role of stakeholders	Reference
PHASE 1 (IDENTIFICATION AND APPROVAL)					
1.	Community and stakeholder mapping (X112)	<p>Precondition: Beneficiary communities identified and approved.</p> <p>Description: Process of traversing selected project area and its administration /LG. It provides an accurate snap shot of environment and sanitation coverage and functionality at a given point in time.</p> <p>Output:</p> <ul style="list-style-type: none"> - Action plan for priority areas - Laws known and by-laws in place -Stakeholder list and their current roles in Wash 	<ul style="list-style-type: none"> -Lead in planning, activity implementation, funding, and reporting. -Improve on scale working coalitions. -Conducting consultations amongst local government, NGOs, and private sector -Identifying and implementing solutions. 	<ul style="list-style-type: none"> -Participation through availing information -Mobilization 	Participatory Toolkit for Water Supply and Sanitation- November (2007)
2.	Conducting baseline survey and presenting baseline survey results (X132)	<p>Precondition: Development of the data collection tool Training of enumerators</p> <p>Description: Conducting Pre-intervention baseline Dissemination of baseline survey results</p> <p>Output: Baseline report</p>	<p>Conducting</p> <ul style="list-style-type: none"> - Identification and training enumerators -Data analysis -Report writing - Defining the method of data collection <p>Dissemination</p> <ul style="list-style-type: none"> -Disseminate to the towns 	<p>Local authority</p> <ul style="list-style-type: none"> -Mobilization -Participation <p>Beneficiaries</p> <ul style="list-style-type: none"> -Participation -Mobilization <p>Community Leaders and VHTs</p> <ul style="list-style-type: none"> -Guiding the enumerators 	Annex B.5.9 and Annex B.5.10
3.	First level training in Hygiene and	<p>Precondition: -Availability of a Baseline report</p>	<ul style="list-style-type: none"> - Organize and fund the training 	<p>Local authority</p> <ul style="list-style-type: none"> -mobilize participants 	Participatory toolkit for Water

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Activity no.	Activity	Description	Role of WSDF	Role of stakeholders	Reference
	Sanitation (X121)	<p>Description: -Training of Town Authorities, community leaders, VHTs</p> <p>Output: Training report</p>	<p>-Avail feedback and literature on training topics</p> <p>-Provision of IEC Materials and Health Education training</p>	-Active participation & selection of WSC	supply & sanitation Annex B.6.2 and Annex B.6.3
4.	Identification and verification of demonstration sites (X322)	<p>Precondition: First level training Availability of a standard selection criterion</p> <p>Description: working with stakeholders, sites for construction of demonstration facilities will be screened using a standard criterion.</p> <p>Output: List of verified beneficiary households/communities</p>	Provision of guidelines & verification of sites	Identification of sites, provision of land	Annex B.1.2, local Maps from project towns
PHASE 2 (MOBILISATION AND DESIGN)					
1.	Selection of the appropriate sanitation technologies (X323, x324)	<p>Precondition: List of verified beneficiary households / communities</p> <p>Description: A case by case consideration of technologies per site based on acceptability, affordability and environment sustainability</p> <p>Output: Site list with chosen technology option</p>	Technical support	Participation in selection of technology/ designs.	Posters, Design Manual
2.	-Form/Strengthen and train the water and sanitation committees (WSC) (X122)	<p>Precondition: 1st level training</p> <p>Description: Form/reconstitute Water, environment and sanitation committees where they are not available, Mobilize and</p>	<p>-Technical support during formation</p> <p>-Training of the committees</p>	<p><u>Community:</u> -Selection of committee members</p> <p><u>WSC members:</u> -Active participation</p>	Annex 11.4

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Activity no.	Activity	Description	Role of WSDF	Role of stakeholders	Reference
		<p>train on roles and responsibilities including cross cutting issues.</p> <p>Output: WSC trained</p>		during training	
3.	Design the environment and sanitation technologies (X323, X324, X325)	<p>Precondition: Site list with chosen technology option</p> <p>Description: Sanitation technologies designed / adopted appropriately to meet the environment and sanitation requirements</p> <p>Output: Appropriate designs developed</p>	Technical support	<ul style="list-style-type: none"> - Active participation - Provision of required information 	Design guidelines
4.	Procurement of a consultant for ESIA and Water catchment/ source protection activities (X152); see also Table B.3.	<p>Precondition: Project briefs Screening report/TOR</p> <p>Description: To assess the project's impact on the environment and the community and recommend mitigation measures as well as protection of water catchment/source from quality and quantity depreciation.</p> <p>Output: ESIA report, Water Catchment and source protection plan</p>	<ul style="list-style-type: none"> -Preparation of TOR -Supervision -Review of the report - Dissemination of ESIA report - Implementation of the recommendations 	<p><u>LG</u></p> <ul style="list-style-type: none"> -Monitoring -Supervision - Implementation of the recommendations 	Sector catchment and source protection guidelines
5	Formation/Identification and training of drama groups (X121)	<p>Precondition: Availability of drama groups</p> <p>Description: Use of drama groups to create awareness</p> <p>Output: Drama shows conducted</p>	Training of drama groups	<p><u>LG:</u></p> <p>Identification of drama groups</p> <p>Mobilization of communities</p>	Drama scripts
6.	Procurement of IEC materials (X121)	<p>Precondition: Intended message</p> <p>Description: Use of IEC materials to create awareness</p> <p>Output:</p>	<ul style="list-style-type: none"> -Designing messages -Pre-testing IEC materials -Printing the materials 	<ul style="list-style-type: none"> -Participate in pre-test -Promote the message 	Communication strategy for Environment and Sanitation

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Activity no.	Activity	Description	Role of WSDF	Role of stakeholders	Reference
		IEC material developed			
7.	Conduct radio/TV talk shows and spot messages (X121)	<p>Precondition: -Intended message -Availability of appropriate media</p> <p>Description: Use of radio/TV to create awareness</p> <p>Output: Awareness created through radio/TV, Reports, CDs, DVDs</p>	-Designing the message -Participate in the show	<u>LG/Community</u> -Mobilization -Change agents -participation	
PHASE 3 (CONSTRUCTION OF SANITATION FACILITIES)					
1.	Follow ups, training and participatory planning with relevant stakeholders (X323, 324 and 325)	<p>Precondition: commencement of construction works</p> <p>Description: Home visiting to monitor home sanitation improvement and capacity building on gaps identified</p> <p>Output: Reports</p>	Organize and facilitate visits and subsequent training.	-Participate in sanitation improvement activities and monitoring progress. -Attend capacity building sessions	Annex B.5.11,
2	Identification and training of masons (X321)	<p>Precondition: identification of contractor</p> <p>Description: local authority identifies trained local masons that are trained on Job by contractor and client.</p> <p>Output: constructed facilities and local man power for replication.</p>	-identify contractor introduce local masons to contractor --Verification of suggested local masons	<u>LGs</u> -provide training venue -mobilize participants -Verification of suggested local masons.	Annex B.1.1
3.	Support operationalisation of sanitation and hygiene by-laws (X323, 324)	<p>Precondition: 1st level training and recommendation on bye laws.</p> <p>Description: build capacity on formation of bye laws and follow up to rejuvenate existing but non-operational by-laws.</p> <p>Output: Bye laws, reports</p>	facilitate capacity building on bye law formation and operationalisation	provide training venue mobilize participants enforce bye laws	training guide on bye laws (ISH manual); Generic Sanitation bye-laws for Small Towns in Uganda (draft, 2014)
4.	Construction of sanitation facilities	Precondition: site-technology options report,	-Procure contractor	-Land for construction,	Design manual

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Activity no.	Activity	Description	Role of WSDF	Role of stakeholders	Reference
	(household, public, schools, institutions, FSM) (X322, 323, 324)	land agreement Description: contractor with identified local masons build sanitation facilities in chosen sites Output: Land agreements, Completed facilities	and consultant -Training in O&M and re-use	-Operate, Maintain the facilities and re-use products	
5	Construction supervision of sanitation facilities (X323, 324 and 325)	Precondition: start of construction Description: Technical teams visit all construction sites with consultant and contractor to monitor progress and quality assurance Output: Supervision reports	conduct Construction supervision	Participate in supervision	0
6	Implement behavioral change interventions for environment and sanitation improvement (X311)	Precondition: project commencement Description: carry out general sanitation and environment improvement activities including waste mgt, environment protection with specific approaches. Output: Number of trainings carried out.	-Training the beneficiary communities	Participate in training	Annex B.6.2
7	Verification of households' water connections (X313)	Precondition: commencement of construction Description: inspection of suggested households for improved sanitary requirements and approve for connection. Output: Approved lists of applicants for connection	Inspect homes of applicants for improved sanitation.	Apply for connection	Annex B.5.11
8	Marketing of sanitized products	Precondition: stake holder mapping; availability of skill, equipment, materials, private sector Description: Meeting groups interested in producing	Organises for sanitation marketing	Share skills and equipment for sanitation	Training manual for producing sanitation products (not yet

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Activity no.	Activity	Description	Role of WSDF	Role of stakeholders	Reference
		sanitation products for further marketing the by-products. Output: Reports			available)
9	Research, studies and Documentation	Precondition: commencement of project Description: Piloting environment and sanitation approaches and documenting best practices Output: Study reports	conducts the studies	participate in the study	
PHASE 4 SANITATION - CROSS CUTTING					
	Refer to sections				
PHASE 5 OPERATION AND MAINTENANCE					
1	2nd level training of beneficiary communities on operation and maintenance of sanitation facilities and environmental / catchment protection (X311)	Precondition: Construction of demonstrational sanitation facilities should be completed, and facilities ready for use Description: Trainings will be aimed at ensuring sustainable utilization of the sanitation facilities provided, and promotion of environmental / catchment protection to ensure continued availability of the water resource in desired quality & quantities Output: Community Training reports Competent masons	WSDFs will in liaison with the beneficiary communities invite and mobilize and the participants to attend the trainings. And also facilitate the trainings including procurement of hotel services/ any other necessary logistics	Community leaders and WSC to assist in mobilizing communities for the trainings	Annex B.6.4, ISH manual
2	Follow up activities on operation and maintenance of sanitation facilities (X311)	Precondition: Provided sanitation facilities should be functional / in use Description: Periodical monitoring of the constructed sanitation facilities to ensure that they are put to good use, and properly maintained in a functional state at all times. Monitoring will particularly cover aspects of usage / operation, maintenance,	Arrange / undertake the monitoring visits in target communities	Umbrella Organisation and WSC/ WSSB and leaders to participate in monitoring	Monitoring checklist – to be developed

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Activity no.	Activity	Description	Role of WSDF	Role of stakeholders	Reference
		<p>and general management of the toilets. Best practices and challenges encountered with regard to emptying of the filled Ecosans, VIPs or septic tanks shall be documented</p> <p>Output: Quarterly monitoring reports on operation and maintenance of sanitation facilities in target STs/RGCs</p>			
3	Capacity building for sustainable utilization of sanitation facilities (X321)	<p>Precondition: Existing sanitary facilities and presence of User Management Committees</p> <p>Description: Periodical training of the beneficiaries, and management Committees for Institutional / Public sanitation facilities in aspects of operation & maintenance.</p> <p>Output: Sanitation facilities well used and maintained in good state of repair</p>	Assess the training needs among the stakeholders / beneficiary communities. Arrange for and conduct the necessary capacity building trainings	Attend the capacity building trainings on operation and maintenance of sanitation facilities	Leaflet for use of Ecosan toilets
4	Monitoring of implementation of Environmental & Social Management Plan (ESMP) for all construction sites	<p>Precondition: - Site-specific ESMPs should be in place before construction phase of the water supply and sanitation infrastructure</p> <p>Description: i) Conduct Environmental Impact Assessments (EIAs) / Screening of in-house designed projects and submit the resulting Environmental and Social Impact Statements (ESISs) / Project Briefs / Screening Reports to NEMA for review and approval, before commencement of the</p>	Develop and avail site-specific ESMPs to Contactors for implementation ii) Supervise implementation of site-specific ESMPs by the Contactors / Construction Crew	The beneficiary communities to report any complaints (during the lifecycle of the project) to WSDF Management	NEMA guidelines

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Activity no.	Activity	Description	Role of WSDF	Role of stakeholders	Reference
		<p>construction phase of those projects</p> <p>ii) Review Environmental and Social Impact Statements (ESISs) / Project Briefs / Screening Reports prepared by Consultants during detailed design / feasibility studies of specific projects before submission to NEMA for review and approval prior to commencement of the construction phase of those projects.</p> <p>iii) Conduct and Prepare quarterly ESMP implementation monitoring reports for project sites under implementation / construction</p> <p>Output:</p> <p>i) Project Briefs / Environmental Impact Assessment Statements for in-house designed projects</p> <p>ii) Quarterly ESMP Implementation monitoring reports</p>	<p>III) Prepare Quarterly ESMP monitoring reports</p>		
5	Procurement of sludge collection equipment (X325)	<p>Description: optional step, may be considered if not available in the region around the disposal system</p>	Procurement		Design manual
6	Ensuring O&M systems are in place for sludge management, follow-up and evaluation of functionality (X325)	<p>Precondition: Approved asset register, as built drawings and operators manual</p> <p>Description: Private operator of water supply scheme is trained to operate facility</p> <p>Output: Operational sludge management</p>	Training of PO in sludge management	Regulation unit to amend the performance contract and management contract	O&M manual – to be developed
7	Water quality monitoring (X327)	<p>Precondition: completed and functional piped water supply systems</p> <p>Description: During test-</p>	WSDFs supervise Private Water Operators / Scheme	Private Water Operators / Scheme Operators perform routine	Annex B.6.1

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Activity no.	Activity	Description	Role of WSDF	Role of stakeholders	Reference
		running, pick water samples from functional water supply systems and subject them to water quality tests (i.e. physical, chemical, and biological). During the defects liability period, get feed-back from UO. Output: i) Water quality monitoring reports ii) water quality standards maintained for piped water supply systems	Operators to ensure that routine water quality monitoring tests are done	water quality monitoring tests with support from Umbrella Organizations	
8	Continuous awareness creation among beneficiary STs and RGCs (X311)	Description: Communities in beneficiary STs / RGCs continuously sensitized on aspects of proper sanitation, hygiene, and environmental / catchment protection sensitization through use of drama, IEC materials, radio, TV, etc Output: increased awareness among beneficiary communities on sanitation, hygiene, and environmental aspects	Coordinate and Conduct relevant WASH awareness campaigns in target STs / RGCs	Community Leaders and WSC to assist in mobilizing communities for WASH related awareness creation campaigns	ISH manual
Phase 6	HANDOVER				
1	Conducting post construction survey / impact evaluation study (X327)	Description: (i) Final inspection of the provided sanitation facilities to ensure they are in good structural condition & ready for use (ii) Hand over the constructed sanitation facilities to the beneficiary communities (i.e. Individual Ecosan Beneficiaries, Beneficiary Institutions, and the Local Authority / Water Management Boards- for Public toilets) (iii) Continuously monitor operation and maintenance of the	(i) Carry out final inspection of sanitation facilities to ensure their suitability (ii) Hand over the sanitation facilities to the Beneficiaries (iii) Undertake quarterly monitoring of the	Participate in inspection	Annex B.4.2, Annex B.5.11

Activity no.	Activity	Description	Role of WSDF	Role of stakeholders	Reference
		<p>provided sanitation facilities (on a quarterly basis) for at least one year after hand-over</p> <p>Output:</p> <p>i) Constructed sanitation facilities handed over to the Beneficiaries</p> <p>ii) Quarterly monitoring reports on status of sanitation facilities</p>	sanitation facilities		

B.7 Phase 5: Operation and Maintenance (O&M)

This largely apply to water supply systems that will remain outside the jurisdiction of NWSC and only activity no.1 will apply to STs and RGCs earmarked for NWSC.

B.7.1 Clustering

MWE/DWD allows having small water supply systems in the same District under the same management arrangement (“clustering”). There are a number of factors that make clustering of schemes attractive. First of all, current management arrangements, where each scheme is gazetted at LCIII government level, have not always been successful and often lead to loss of investment due to mismanagement of assets. Availability of adequately qualified persons to be incorporated on the WSSB is usually very limited.

The more remote and the smaller a scheme is, the more evident is the need for clustering compared to a scheme that is big and easy to access. A high number of small and remote schemes is leading to a non-manageable situation in terms of O&M support and regulation i.e. UO to provide an adequate service level, and MWE to regulate. Operation of WSSBs in line with contractual obligations, e.g. submission of reports to MWE in due time, is challenging because of infrastructure and capacity issues.

The potential to attract qualified POs to bid and stay at duty station in small schemes is limited, due to the absence of economies of scale.

Willingness to implement clustering arrangements under the district, where viable, has therefore been expressed at all MWE’s management levels.

In the clustering approach, the District Local Government is appointed as Water Authority. The Water supply Area (WA) is defined in the gazetting instrument. The WA is guided as follows to compose the WSSBs:

- The CAO is the Secretary to the WSSB
- Members are drawn from the different STs/RGCs that the water supply area includes. Each scheme WSSB is represented in the District WSSB by a minimum of one member³
- The District Water Office (DWO) provides technical support to the WSSB

³ It is rare to have a district with more than 10 schemes.

- At scheme level a WSSB composed of 5 members with the same qualification of the present WSSBs is formed.
- The scheme WSSB, through its member, reports to a WSSB at District level, which in turn reports to the national level (Regulation Unit).
- The scheme WSSB’s activities should be facilitated from the collections (5% going to the WSSB).
- A detailed ToR will be developed and included in the Performance Contract (PC), which should also reflect the existence and relation between the WSSB and Water User Association (WUA).
- Related adaptations to the Management Contract (MC) need to be made.
- Clustering in general does not exclude (associations of) scheme attendants from bidding.
- A potential handover to NWSC has to involve the entire cluster.

Table B.5 Overview on steps of phase operation and maintenance (O&M) set-up

Activity no.	Activity	Description	Role of WSDF	Role other stakeholders	Reference
1	Appointment of a water authority and gazetting water supply area (X211)	<p>Precondition: construction has commenced</p> <p>Description: - At the start of construction work - Assess actual and future potential for clustering and include surrounding schemes in water supply area if management under one WA makes sense</p> <p>Output: publication in Uganda Gazette, signed Performance Contract</p>	<p>Identify potential Water Authority</p> <p>Sensitize community</p> <p>Process gazetting instrument in collaboration with the Regulation Unit</p> <p>Publish instrument in the Uganda gazette</p> <p>Prepare and have the Performance Contract signed in collaboration the Regulation Unit</p>	<p>Regulation Unit to draft and get the instruments signed</p> <p>Regulation Unit to draft and get the Performance Contract signed</p>	<p>Water Act CAP 152</p> <p>Generic Performance Contract</p>
2	Appointing a gender sensitive WSSB (X212)	<p>Precondition: Performance Contract signed</p> <p>Description: - Min. of 5 members, thereof min. 50% women - Preferably key positions (secretary, chair, treasurer) should be held by women</p>	<p>Guides the Water Authority to ensure that WSSB members selected have the required qualifications to perform their tasks as per PC</p>	<p>Water Authority to propose and appoint members</p>	<p>Generic Performance Contract</p> <p>See Section B.7.1 on clustering</p>
3	Training of	<p>Precondition: WSSB in place</p>	<p>Facilitates</p>	<p>WSC/ DWO/</p>	<p>Annex B.6.1</p>

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Activity no.	Activity	Description	Role of WSDF	Role other stakeholders	Reference
	Water Authority/WSSB on O&M (X213)	<p>Description:</p> <ul style="list-style-type: none"> - Known best practice in O&M - Contract management (Performance and Management Contract) to ensure compliance with contracts in place - Emphasize role in water source protection according to Water Source Protection Guideline (2013) 	related activities including the trainers	LGs Mobilizing key people to participate	
4	Selection/procurement of private operator / scheme attendant	<p>Description:</p> <ul style="list-style-type: none"> - Procurement starts when construction progress is at 50% depending on the complexity of the scheme⁴ - Procurement is done by WSDF on behalf of the Water Authority but in close cooperation with the Authority 	Execution of entire procurement process	Regulation Unit and Water Authority collaborate with WSDF	<p>PPDA Act and Regulations</p> <p>Guideline for Procurement of Private Operators</p> <p>Generic Management Contract</p>
5	Support tariff setting (X214)	<p>Precondition: duly signed Management Contract, test running of water supply system has commenced</p> <p>Description: Preparation of Business Plan (BP) and obtain its approval by all stake holders</p> <p>Output: BP for the first year tariff set to meet O&M costs</p>	May facilitate the process for preparation of the first Business Plan ⁵	<p>P.O. prepares and presents the BP to the WSSB</p> <p>WSSB approves the BP</p>	<p>Standard Template For BP From The RU</p> <p>Tariff Policy For Small Towns, Rural Growth Centres and Large Gravity Flow Schemes 2009</p>
6	Scheme specific Training of WA, WSSB and PO / scheme attendants (X215)	<p>Precondition: Commencement of test running of WSS, Management Contract signed, WSSB in place</p> <p>Description: Training those responsible for O&M on practical management of the installed infrastructure and equipment by the Contractor. The activity lasts the entire test running period of the scheme</p>	Mobilise key personnel of the Water Authority to participate in the training	Contractor undertakes the training of the Water Authority and PO	

⁴ It may start earlier to allow for the statutory minimum periods in the procurement process such as submission period, publication of notices of best valuated bidders, etc.

⁵ May be achieved through a workshop with the WSSB, selected LG Councilors and the PO.

Activity no.	Activity	Description	Role of WSDF	Role other stakeholders	Reference
		<p>Output: Water Authority with practical knowledge on operations and maintenance of the infrastructure.</p>			

B.8 Phase 6: Handover

Operation can be done by an individual operator, a private operator or by National Water and Sewerage Cooperation (NWSC). The handover process starts with test running of the constructed infrastructure by the Contractor and ends with test running protocol of the entire system signed by the WSDF branch.

Table B.6 Overview of steps for operation and handover

Activity no.	Activity	Description	Role of WSDF	Roles of other stakeholders	Reference
1	Test running by Contractor (X155)	<p>Precondition: draft As-built drawings, operators manual, asset register submitted, private operator / scheme attendant / NWSC on board</p> <p>Description:</p> <ul style="list-style-type: none"> - Minimum period of 1 month - Non-functional system for more than 2 days is considered a failed test running - Failure of major assets (pumps, bulk meters, transmission, reservoir, treatment works,...) is considered a failed test running - Failed test running leads to restart of the whole process after rectification of the problem - Training of the technical team of the Water Authority including the Private Operator <p>Output:</p> <ul style="list-style-type: none"> - Technical commissioning report of the works - Certificate of substantial completion - Reviewed and approved As-built drawings, operators manual, asset register - Trained Water Authority and Private Operator 	Contract Management and review of As-built drawings, O&M manual and asset register	<p>Contractor meets full costs of operations excluding payment of Management fees</p> <p>Contractor trains the Technical team of the Water Authority on how to operate the infrastructure</p> <p>P.O. ensures full operations of the water system including billing of users. Assists review of operational documents submitted by contractor</p> <p>Water Authority supervises P.O.</p>	Contract documents
2	Assets register approved	<p>Precondition: Draft asset register submitted.</p> <p>Description:</p> <ul style="list-style-type: none"> - Verification of draft asset register during test running phase to ensure that all major scheme components are adequately captured <p>Output: Approved asset register</p>	<p>Provide format to contractor</p> <p>Review and approve asset register</p> <p>Capture data into the software tool</p>	<p>Details to be provided by the contractor</p> <p>PO and WA review register and recommend to WSDF areas that need improvement</p>	Generic standard format for asset register (to be developed)

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			Maintains soft copy for future updates	Regulation Unit to issue an addendum to the Performance Contract (second schedule) to the Water Authority	
3	As-built drawings approved	<p>Precondition: Draft built drawings submitted</p> <p>Description: - Verification whether the as built drawings are satisfactory by WSDF in collaboration with supervision consultant (where applicable)</p> <p>Output: Approved as-built drawings</p>	<p>WSDF to review and approve</p> <p>Maintains soft copy for future updates</p>	<p>To be provided by the contractor</p> <p>P.O. and WA review register and recommend to WSDF areas that need improvement</p>	Annex 11.8
4	O&M Manual approved	<p>Precondition: draft O&M manual submitted</p> <p>Description: - Scheme specific basis for operation and maintenance</p> <p>Output: Approved O&M manual</p>	<p>Standard structure and outline to contractor</p> <p>Review and approve documents</p>	<p>To be provided by the contractor</p> <p>P.O. and WA review register and recommend to WSDF areas that need improvement</p>	Annex B.6.1
5.	Test running by Contractor completed	<p>Precondition: acceptable level of reliability of water supply system</p> <p>Output: Test running report by contractor, with some input from WSDF</p> <p>Snag list prepared</p>	Approval of successful test running in collaboration with WA	WA supports operations by mobilizing for support among the consumers and participates in the approval of successful test running	Generic test running report format (to be developed)
6	Technical commissioning and handover	<p>Precondition: - As community obligation, by the time of handover land should be fully registered for public use and basic sanitation coverage within the water supply area should be at 100% - Asset register, as built drawings, operators manual approved</p>	Contract Management including preparation of completion certificates	WA receives water supply system	Annex B.4.2

		<p>Description: joint field inspections and site meeting, requires representatives of Urban water and sewerage department of DWD</p> <p>Output: Handover certificate, substantial completion certificate, filled checklist for technical commissioning, snag list with descriptions of issues to be addressed in defects liability period, minutes of technical commissioning</p>			
7.	Test running by WSDF and UO (X222)	<p>Precondition: Technical Commissioning of works completed</p> <p>Description: - minimum Period of 3 months - This activity is conducted immediately after technical commissioning and during the defects liability period, to identify and correct defects and to ensure proper functioning of the institutional setup for proper management of the infrastructure and service delivery.</p> <p>Output: Certificate of successful completion at end of defects' liability period.</p>	Contract Management Monitoring performance of the water system through UO	<p>Contractor corrects defects</p> <p>Water Authority and Private Operator ensure full operations of the water system including billing of users.</p> <p>Water Authority supervises P.O.</p> <p>Umbrella Organisation supports the Water Authority</p>	Works Contract documents, Performance Contract, Management Contract, Snag list
8	Test running by WSDF completed (X222)	<p>Precondition: Fully operational water supply system with fully functional related administrative structures</p> <p>Output: draft project completion report, updated snag list</p>	Approval of successful test running in collaboration with WA	Water Authority together with the Operator are responsible for all operation maintenance aspects of the system and participates in	<p>Generic project completion report (to be developed)</p> <p>Test Running report by Contractor</p> <p>Snag list</p>

				the approval of successful test running	
9	Defects liability period	<p>Precondition: technical commissioning</p> <p>Description: - Regular joint site inspections, with operator, WSSB and contractor - interval dependent on the extent of snags to be rectified</p> <p>Output: updated snag list and contractors work plan to rectify outstanding works</p>	Contract Management	<p>UO supports WA/WSSB in performing their responsibilities and ensure contract compliance and actively participate in the joint inspections</p> <p>WA reports issues regarding the infrastructure and equipment to WSDF</p>	Snag list, Contract documents
10	Final inspection	<p>Precondition: rectification of all snags</p> <p>Description: after defects liability period</p> <p>Output: Final completion certificate, final project completion report</p>	Contract Management	WA participates in the	Generic project completion report (to be developed)
11	Political commissioning (X223)	<p>Precondition: technical commissioning</p> <p>Description: - Optional activity depending on availability of funding -May take place anytime after Technical Commissioning</p> <p>Output: visibility for MWE and donors e.g. in national newspaper</p>	WSDF coordinate the activities in collaboration with the WA and the respective district	<p>Water Authority Collaborates with WSDF in the preparations</p> <p>Political leadership preside over the activity</p>	

B.9 Output Based Aid (OBA)

Output Based Aid (OBA) approaches may be used within the WSDF framework.⁶ OBA, in the context of implementation of piped water supply and sanitation systems in STs and RGCs, incorporates design, build and

⁶ Source: The World Bank / GPOBA, Development of an Operational, Framework for Mainstreaming OBA within the Water and Sanitation Development Facilities in Uganda, Draft Operations Manual (Task 2), Outline of Changes – December 2010.

operate contracts where Private Operators pre-finance delivery of outputs and meet part to the investment cost to be recovered from tariffs during operation.

The WSDF Regional Branch in its annual work plan can identify projects potentially suitable for an OBA approach. Projects' suitability for OBA is verified against a set of predefined screening criteria.

The community confirms its formal acceptance of the proposed OBA projects during the project selection. More specifically, the Water Authority (or Water and Sanitation Committee in a "Greenfield investment"⁷) of the community confirms in writing its acceptance of a respectively longer contract duration (minimum of 5 years for extension schemes and 7-10 years for new water systems) and a tariff, which is sufficient to cover potentially higher costs related to O&M costs, Water Authority operational costs, and an emergency investment and system renovation reserve fund. It is recommended that the WA/WSSB receive strong O&M support through the respective regional Umbrella Organisation, given that the contractual relation between the WA/WSSB and the PO will be longer, and the involvement will be greater in OBA projects as compared to traditional projects.

In principle, the project cycle of OBA projects is similar to "traditional" WSDF projects. With respect to the responsibilities of WSDF it differs, for instance since, according to the recommendations of previous OBA pilot projects, a transaction advisor and an independent verification engineer were involved. During the operations stage, WA/WSSB is the contracting authority and the signatory to the Management Contracts with the design build operate contractors (the POs). Furthermore, the WA/WSSB is responsible for the subsequent monitoring of the performance of the POs, with O&M support provided by the Umbrella Organisations. The Regulation Unit of MWE will be the key entity in monitoring the Management Contract between the WA/WSSB and the POs during operation.

In terms of OBA project screening criteria, an OBA project should fulfil normal feasibility criteria like technical, financial, socio-economic and institutional feasibility (the latter referring to the existence and quality of the WA). Projects selected for OBA under the WSDF should also fulfil additional criteria:

- Greenfield project or a significant extension of existing scheme
- Availability of preliminary design upon tendering
- Intent to use professional private operator firm
- Acceptance of 5-10 year management contract duration
- Acceptance of cost-covering and inflation-indexed tariffs

In work plans and reports, OBA projects should be noted separately and the overall target for use of OBA should be stated. Specific OBA performance indicators might refer to investment efficiency, payment efficiency, transaction efficiency, implementation efficiency and transaction costs.

⁷ Type of venture where finances are employed to create a new physical facility for a business in a location where no existing facilities are currently present.

C. STAFFING & ORGANISATIONAL DEVELOPMENT

C.1 Introduction

The WSDF regional branches require a mix of expertise and competencies to achieve the mandate and development objectives under the WSDF Program. The staffing requirements in the WSDF regional branches has evolved since inception to suit the various roles delegated to the Branches. The WSDFs are funded by both GoU and Development Partners through various funding modalities and as such WSDF Staff conduct and procedures are subject to the Public Service Act, 2008, the Uganda Public Service Standing Orders, 2010, and any other staff policies and regulations provided by the development partners forum through the Water and Sanitation Sub-Sector Working Group.

All the key WSDF's activities will involve ensuring value for money i.e. to ensure economy, efficiency and effectiveness of its funding operations. For these activities WSDF requires a lean team of professionals with an adequate mix of skills to ensure oversight over every angle of implementation. The typical organogram of a WSDF branch, as approved by the Water and Sanitation Sector Working Group (WSSWG) is provided in Figure C.1. The staffing structure may be revised with the approval of the Water and Sanitation Sub-Sector Working Group depending upon the need and level of activity in a given WSDF.

C.2 Recruitment and remuneration

A policy document on WSDF recruitment and posting was developed, approved by the Accounting Officer. Staff recruitment planning is done by the WSDF in tandem with the GoU annual planning guidelines and timing. Recruitment of Graduate staff is conducted at the Ministry of Water and Environment headquarters, with the involvement if WSDF management. On the other hand, recruitment of non-graduate staff is conducted at the WSDF regional office, with the involvement of the Human Resources section of the MWE. Policies of fairness and equal opportunity to all Ugandans are adhered to in the recruitment in accordance with the Public Service Act, 2008 and the Standing Orders.

Remuneration of WSDF staff is approved by the Water and Sanitation Sector Working Group (WSSWG) and subsequently the Accounting Officer, with full cognizant of the duties of the WSDF staff. Annex C.1 provides the WSDF staff remuneration as of August 2013. Proposed revised salaries are inclusive of all consolidated allowances including lunch, transport, gratuity, health insurance etc.

C.3 Staff training and development

The WSDFs shall always strive to have a motivated and well trained workforce in order to match the requirements of water and sanitation infrastructure planning, development and operation. Staff training needs are developed through annual staff appraisal processes and Training Needs Assessment. An Annual Training Plan is developed for each WSDF Branch in line with the available funding and constitutes the WSDF Annual Work Plan.

Operations Manual Water and Sanitation Development Facility

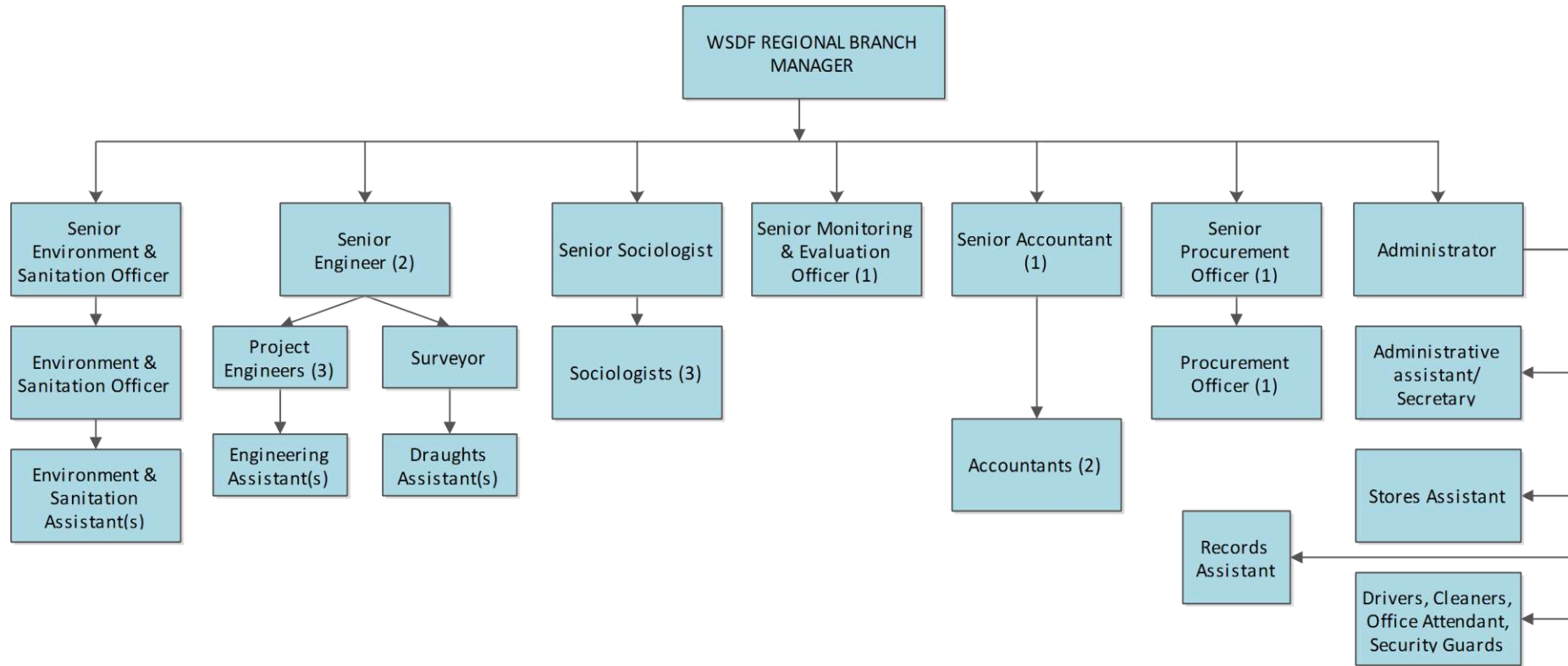


Figure C.1 WSDF Branch staffing structure, as approved by WSSWG

C.4 Job descriptions for key staff

Job descriptions, requirements, functions and reporting for all the WSDF staff positions are presented in this section. Requirements may be amended, with justification, depending upon the functional requirements of the WSDF. Any such proposed amendments shall be subject to Approval by the Accounting Officer.

C.4.1 Branch manager

Qualifications and specifications

Bachelor's degree in Civil Engineering; Master's degree in a relevant subject; a minimum of 10 years' experience in design and implementation of water supply and sanitation systems, project planning and management.

Functions and reporting

- Overall management of the facility
- Participate in the WSDF branch meetings, reviews, workshops, discussions, sharing sessions, documentation, opinions
- Drafting implementation strategies and policy directions in consultation with the Department, Directorate and Ministry of Water and Environment
- Preparation and presentation of annual/periodic work plans, budgets, procurement plans and reports for the facility in formats specified by the Ministry
- Day to day management of the Facility including construction and consultancy contracts under the Branch, monitoring and quality assurance of the sub projects, financial management of the facility resources including proper usage and accountability of all funds
- Make appropriate recommendations to members of the Department regarding implementation of projects in the region covered by the Facility and harmonising Districts approaches towards WSDF activities
- Convene meetings and provide secretariat for the steering committee including follow up of recommendations as discussed and agreed
- Initiate where necessary, training and capacity building plan for graduates recruited under the division and posted to the facility including but not limited to, knowledge transfer and mentoring
- Sign MoUs with District Local Governments and communities
- Call and evaluate applications
- Promote and publicise the fund activities
- Financial management of the fund including proper usage and accountability of all funds
- Coordinating and harmonising Districts approaches towards WSDF activities
- Ensure that the facility complies with all Government Statutory regulations
- Any other assignment as and when required under the Division, Department and the Directorate

C.4.2 Deputy Branch manager

Qualifications and specifications

Bachelor's Degree in Civil/Water Engineering, Postgraduate Diploma in Project planning and management. A minimum of 8 years' experience in design and implementation of water supply and sanitation systems.

Functions and reporting

- Administration and management of the WSDF branch

- Conducting feasibility studies and detailed designs for new water supply and sanitation systems and old systems that need major rehabilitation/expansion by both internal capacity and consultants
- Conducting environmental impact assessments and environmental monitoring for constructed water supply and sanitation systems
- Procurement of consultants, contractors and specialised equipment/machinery and materials for water supply and sanitation systems
- Supervision of contraction works for water supply and sanitation systems through field/site visits, coordination meetings, performance monitoring and quality assurance
- Contract management for works and services, payment processing for service providers and ensuring timely delivery of outputs
- Technical commissioning, test running and handover
- Operators training and preparation of operations manuals
- Periodic updates of the WSDF operations manual
- Any other assignments as and when required under the WSDF, Department, Directorate and Ministry

C.4.3 Senior project engineer

Qualifications and specifications

Bachelor's Degree in Civil Engineering/ Water Resources Engineering . A minimum of 6 years' experience in design and implementation of water supply and sanitation systems.

Functions and reporting

- Heads and Supervise the Project Engineers and Engineering Assistants, consultants and contractors. Review activity plans, requisitions for funds, reports, accountabilities and advise management accordingly
- Produce quarterly, annual and ad-hoc work plans summarising the physical and financial performance targets of the technical services department of the WSDF
- Produce quarterly, annual and ad-hoc reports summarising the performance of the technical services department of the WSDF
- Advise and make appropriate recommendations to management team on identified project implementation strategies and project targets and operational problems through reports, review meetings and site visits
- Monitor the progress of project components within the technical services department to ensure adherence to set standards and specifications and agreed implementation time schedules
- Prepare terms of reference and material specifications for procurement and agreement with suppliers, contractors and consultants
- Analyse data and reports prepared by consultants and make recommendations to the WSDF branch based on the analysis
- Liaise with other department heads to execute the facility activities in a streamlined approach
- In corroboration with other departments/sections develop operation and maintenance manuals for each water supply scheme implemented. Ensure that the intended users are trained and advised accordingly
- Develop and implement short and long term monitoring plans towards achieving project implementation

- Generate specific outputs (deliverables) as determined from time to time in the respective projected work plans for each quarter
- Assist and train graduate and industrial training trainees deployed under your department to realise the training objectives
- Keep a register of all assets allocated to their section and ensure that are operated, maintained and used for their intended purposes and for the achievement of the facility objectives
- Maintain urban water resources data and developments within the WSDF region
- Head the team of engineers
- Perform any other duties as may be assigned by the WSDF Branch manager

C.4.4 Project Engineer

Qualifications and specifications

Bachelor's Degree in Civil Engineering, minimum of 5 years' experience in design and implementation of water supply and sanitation systems.

Functions and reporting

- In charge of water supply and sanitation activities reporting to the Head technical services/Senior Engineer
- Prepare designs and documents for water and sanitation systems
- Carry out surveys for water and sanitation activities
- Prepare work plans for implementation of the projects and ensure that all environmental concerns are addressed as stipulated in the design documents and environmental impact assessment report
- Liaise and cooperate with district Water Officers for effective implementation of projects
- Supervise programme implementation
- In corroboration with other departments develop O&M manuals for each water supply scheme implemented and ensure that O&M structures are established, trained and advised accordingly
- Ensure that "AS-BUILT" drawings are in place
- Supervise and oversee the test running process and ensure it is done adequately and appropriately in accordance with the WSDF standards
- Prepare Terms of Reference and material specifications for procurements and agreements with suppliers, contractors and consultants
- Maintain urban water resources data and developments within in the central region
- Participate in preparation of ToRs/specifications for technical services, works and supplies to WSDF
- Monitoring of project progress
- Supervision of Contractor and Consultants
- Assist the Senior Sociologist in setting-up of Umbrella organisation for O&M improvement in the region
- Perform any other duties as may be assigned by the WSDF branch manager through the Senior Engineer/Head Technical services
- Reports to Senior Engineer

C.4.5 Senior Sociologist

Qualification and specifications

Bachelor's degree in Degree in Social Sciences or related field. Post graduate in social sciences or any related field. A minimum of 5 years of experience in community mobilisation.

Functions and reporting

- Head the social services department, report to WSDF Branch Manager
- Supervise social services department staff members, consultants and contractors. Review activity plans, requisitions for funds, reports, accountabilities and advise management accordingly
- Produce quarterly, annual and ad-hoc work plans summarising the physical and financial performance targets of the social services department of the Facility
- Produce quarterly, annual and ad-hoc reports summarising the performance of the social services department of the Facility
- Advise and make appropriate recommendations to management team on identified project implementation strategies and project targets and operational problems through reports, review meetings and site visits
- Monitor the progress of project components within the social services department to ensure adherence to set standards and specifications and agreed implementation time schedules
- Prepare Terms of reference and material specifications for procurements and agreements with suppliers, contractor and consultants
- Liaise with other departments Heads to execute the facility activities in a streamlined approach
- In corroboration with other departments develop O&M manuals for each water supply and sanitation scheme implemented and ensure that O&M structures are established and advised accordingly
- Develop and implement short and long term monitoring plans towards achieving project implementation
- Generate specific outputs (deliverables) as determined from time to time in the respective projected work plans for each quarter
- Assist and train graduate and industrial trainees deployed under your department to realise the training objectives
- Keep a register of all assets allocated to your department and ensure they are operated, maintained and used for their intended purposes and for the achievement of the facility objectives
- Conduct advocacy
- Supervise consultants
- Spot-checking mobilisation, sanitation and training extent
- Advise the contracts specialist on payment for mobilisation consultants
- Perform any other duty as may be assigned by the WSDF Branch Manager
- Reports to Branch Manager.

C.4.6 Senior Environment and Sanitation Officer

Qualification and specifications

Bachelor's degree in Environmental Health Sciences -; Post Graduate relevant degree in Environment and sanitation promotion/public health. An advanced training in environment and Sanitation related fields is an added advantage. A minimum of 5 years of experience in sanitation promotion and Environment/water source protection activities.

Functions and reporting

- evaluate the environment and sanitation situation in the target RGCs at the time of application identify the necessary interventions to improve the situation and carry out follow up surveys.
- Participate in preparation of ToRs and RFPs to guide designers and implementers on Environment and I sanitation activities required.
- Review the ESIA and EMP developed by the Design Engineer and make recommendations on mitigation measures for the facilities during construction and operation of the facilities.
- Together with key stakeholders, develop sanitation-related M&E tools
- Review achievement of sanitation goals
- Develop and coordinate all Sanitation supervision schedules for the WSDF regional Branch
- Support the ST/RGC in designing, implementing and safeguarding catchment protection measures, waste water disposal measures and mitigation plans during implementation.
- Prepare evaluation reports highlighting progress in the implementation of Sanitation activities and recommending areas requiring redress.
- Reports to Branch Manager.

C.4.7 Senior monitoring and evaluation officer

Qualification and specifications

Bachelor's degree in Development Studies/Economics or any related field; Post graduate qualification in Monitoring and Evaluation. A minimum of 5 years' experience in monitoring and evaluation.

Functions and reporting

- Together with key stakeholders, review, customise and ensure application of the M&E indicators
- Participate in preparations of ToR for Technical consultants and contractors showing key performance indicators
- Develop, implement and coordinate short term and long term M&E schedules/plans towards achieving project implementation
- Conduct periodic M&E and develop M&E reports highlighting progress of implementation and recommending key areas requiring redress
- Participate in production of quarterly, annual and ad-hoc reports summarising the performance of the project
- Design and update the M&E system that incorporates the effective monitoring inputs, outputs, effects and impacts
- Provide and update details of information that will be collected at each phase of the project cycle and how it is to be captured by MIS
- Support the development of the MIS for monitoring the effectiveness of the project and updating the data base
- Supervise the collection of information for analysing the project information
- Liaise with other institutions to monitor and evaluate aspects of poverty reduction in project areas
- Advise and make appropriate recommendations to management team on identified implementation strategies and project targets and operation problems through reports, review meetings and site visits
- Maintain urban water resources data and developments within in the region
- Perform any other duties as may be assigned by the WSDF Branch Manager
- .Reports to the Branch Manager

C.4.8 Administrator

Qualification and specifications

Bachelor's degree in any related field. Postgraduate degree in Management or related field. A minimum of 5 years' experience in administrative functions.

Functions and reporting

- Supervise Administration department staff members, consultants and contractors, review their activity plans, requisitions for funds, reports, accountability and advise management accordingly.
- Handle all personnel matters, including but not limited to identifying human resource gaps, identifying staff training needs in relation to their jobs ,task, organizing timely and continuous staff performance evaluations, keeping personnel management files, attending to personnel needs and entitlements like annual and sick leave, working on weekends, medical issues etc.
- Produce quarterly, annually and ad hoc work plans summarizing the physical and financial performance targets of the administration department.
- Produce quarterly, annual ad ad-hoc reports summarizing the performance of the administration department of the facility.
- Collect and summaries quarterly, annually and ad hoc work plans and reports from all departments and units so that you come up with overall facility work plans and reports required by the different stakeholders (Prime Minister's office, finance, Joint Partnership Fund etc), ensuring adherence to the issued guideline and deadlines.
- Prepare, continuously update and keep the asset register of the facility. Ensure that the facility assets are operated and maintained in accordance to the manufacture's recommendations and the government of Uganda laws. Maintain records of all projects vehicle operation and maintenance history. Ensure the assets are used for their intended purposes for the achievements of the facility objectives.
- Liaise with other department heads to identify goods, services and works to procure, the assets to acquire or dispose of, prepare the necessary bid documents such as terms of references and material specification for procurements and agreements with suppliers, contractors and consultants for the administration department. Liaise with the respective district or ministry procurement and disposal structure to ensure procurement and disposal of any assists is done with in the Government of Uganda laws, regulations and guidelines.
- Develop and implement short and long term monitoring plans towards archiving project implementation.
- Plan for recruitment of staff, graduate and industrial training trainees. Provide logistical support, orientation and any other assistance to newly recruited staff members graduate and industrial training trainees.
- Ensure that the facility complies with all Government Statutory regulations.
- Constant adviser to the Manager WSDF on issues related to public relations.
- Ensure that the Facility Newsletter is published and circulated quarterly, covering all the Facility accomplishments in the quarters.
- Maintain and update asset registers and asset maintenance in accordance with GoU laws and regulations
- Administration of vehicles, preparation of vehicle reports and asset use
- Collaborate with the Head Human Resources in the Ministry to handle personnel matters including identifying capacity needs and recommending relevant training.
- Ensure that the Facility Branch complies with all Government Statutory regulations.

- Organising staff meetings
- Assist in preparation of presentations and reports using MS word, Excel and PowerPoint.
- Maintaining office equipment, making travel arrangements, monitoring stationery.
- Reports to the Branch Manager

C.4.9 Senior Accountant

Qualification and specifications

Bachelor's degree in Business Administration or Bachelor of Commerce (Finance and Accounting) and any other related field. Post graduate degree in Accounting, Level three qualification in a relevant Accounting Professional Course (CPA, ACCA). Minimum of 5 years' experience in financial management.

Functions and reporting

- Assist in preparing the facility's quarterly and annually budgets and work plans both for the joint partnership fund (JPF), the donors and the government of Uganda (GoU).
- Prepare financial management reports that meet requirements of the JPF, the donors and the GoU and ensure timely submission.
- Analyze monthly, quarterly and annually cash projections to ascertain amounts of transfers required and ensure timely requisitions.
- Ensure that funds requested by staff are in conformity to the approved budget and that funds are available on those budgets before payments. Ensure the payments are made in a timely manner.
- Frequently travel to the field, especially during the test running of the constructed water supply schemes, to train scheme operators and water and sanitation boards and ensure that good financial management procedures are established and practiced.
- Monitor, review and analyze the facility's budgets, forecasts and work plans and advise management accordingly on diversions or variances that might arise.
- Ensure that accounting records are up to date and securely kept.
- Receive, review and advise management accordingly on, accountabilities for advances made to staff members.
- Timely process all payments to staff and service providers; deduct statutory deductions (PAYE, WHT, NSSF, etc) and timely remit to the relevant bodies.
- Perform any other duties as may be assigned by the Manager.
- Ensure that the financial procedures as spelt out in this manual are adhered to throughout the project transactions at all times.
- Check whether planned expenditures are in accordance with the approved budget and work plan.
- Ensure that the project opens and maintains a local Current Project bank account for each fiscal year.
- Prepare and cross-check all the Local Purchase Orders (LPOs)
- Ensure that all cheques to be signed are supported by payment vouchers, other supporting documents like invoices, Local Purchase Orders and are properly authorised and coded.
- Ensure the safe custody of WSDF's assets by regularly monitoring the assets register and carrying out spot checks on WSDF's assets.
- Make monthly bank reconciliations.
- Make daily cash reconciliations.

- Make provision for the secure custody under key and lock of all receipt books, cheque books, petty cash books and other accounting stationary.
- Cooperate with the External Auditors in the execution of their duties to ensure that deadlines are met.
- Prepare, draft annual accounts for head office and prepare financial statements as required by the MoU on JPF and the GoU accounting guidelines
- Assist the Project Manager and Heads of departments in budgeting and ensure that the budget is completed before the start of the GoU financial year.
- Prepare quarterly financial statements to be submitted to the Component Manager (CM) of JPF
- Posting of transactions into Navision software and updating the ledgers
- Co-operate with the External Auditors in the execution of their duties to ensure that deadlines are met.
- Prepare draft annual reports for Head Office and prepare financial statements as required by the MoU on JPF and the GoU accounting guidelines.
- Assist the Project Manager and Heads of Departments in budgeting and ensure that the budget is completed before the start of the GoU financial year.
- Heads a team of 1-2 accounting assistants.
- Reports to Branch Manager.

C.4.10 Senior Procurement Officer

Qualification and specifications

Bachelor's degree in Procurement and Supplies Chain Management or a Member of Chartered Institute of Purchasing and Supply (MCIPS) and Post graduate Diploma in related field is an added advantage.

Functions and reporting

- Assist the WSDF Regional Branch in preparation of procurement plans and subsequent incorporation to the overall Ministry of Water Environment procurement and disposal plans and participate in all activities involved in the procurement cycles.
- Assist in drafting and review of bidding documents.
- Prepare and submit bidding documents to contracts committee for approval.
- Issue approved bid documents to approved providers.
- Obtain copies of approved bidding documents and maintain a register of bids issued, bids received and arrange for the bid openings and ensure that all notices are appropriately publicised.
- Manage evaluation of bids and submit the reports to contracts committee for approval.
- Manage the delegated PDU achieve of records system by among other things filing all relevant documents sequentially to ensure quick retrieval of information.
- Ensure that contract management reports are in place.
- Liaise with the MWE PDU on all procurement matters related to the WSDF Regional Branch
- Reports to the Branch Manager.

C.4.11 Procurement Officer

Qualification and specifications

Bachelor's degree in Procurement and Supplies Chain Management or a Member of Chartered Institute of Purchasing and Supply (MCIPS) and Post graduate Diploma in related field is an added advantage.

Functions and reporting

- Assist WSDF Regional Branch in preparation of procurement plans and subsequent incorporation to the overall Ministry of Water Environment procurement and disposal plans and participate in all activities involved in the procurement cycles.
- Assist in drafting and review of bidding documents.
- Prepare and submit bidding documents to contracts committee for approval.
- Issue approved bid documents to approved providers.
- Obtain copies of approved bidding documents and maintain a register of bids issued, bids received and arrange for the bid openings and ensure that all notices are appropriately publicised.
- Manage evaluation of bids and submit the reports to contracts committee for approval.
- Manage the delegated PDU achieve of records system by among other things filing all relevant documents sequentially to ensure quick retrieval of information.
- Ensure that contract management reports are in place.
- Liaise with the MWE PDU on all procurement matters related to the WSDF regional branch.
- Reports to the senior procurement officer

C.4.12 Accountant

Qualification and specifications

Bachelor's degree in Accounting, B.Com, BBA or any related field. A minimum of 1 year experience in financial management.

Functions and reporting

- Receive approved payment requests and take appropriate action.
- Updating the budget performance report for both GOU and JWSSP for budget monitoring purposes.
- Provide to the BM and BA on a weekly basis, a budget performance report (balances) as basis for payment approvals.
- Ensure correct expenditure codes picked as per BM's approval and raise query for any discrepancy/error (if any) on codes to the Accountant for guidance and liaison with BM for correction.
- Raise cheques for all approved payment requests.
- Journal entry of financial information into the Accounting software (Navision) and Excel.
- Perform agency role on both WSDF-C bank accounts.
- Pay cash to staff at project office and deliver cash to other Ministry staff that are not stationed in at project office as per the Officers' request and clearance from the Accountant and Branch Manager (Accounting Officer)
- Issue cheques to service providers.
- Ensure that cash and cheques are signed for by the rightful persons.
- Ensure safe custody of cash, cheques, payment vouchers and any other financial related documents in the Accounts office.
- Assist on any other payment-related issues raised by staff.

- Maintain and update regularly contracts ledgers for all contractors managed by the WSDFs
- Confirm before writing any payment voucher that the relevant authorities have authorised (in writing) the request(s)
- Confirm before writing any payment voucher for supplies that the stores' controls have been adhered to and the relevant authorities have authorised (in writing) the request(s)
- Assist in ensuring completeness, accuracy, validity and value for money on all procurement payment requests and accountabilities.
- And any responsibility and role assigned by the supervisor.
- Supporting other de-concentrated units
- Reports to the senior Accountant

C.4.13 Surveyor

Qualification and specifications

Bachelor's Degree in Land surveying. A minimum of 3 years' experience in topographic surveying.

Functions and reporting

- Carrying out all the cadastral surveys of the land acquired by the communities in the RGCs for the development of water supply and sanitation infrastructure.
- Processing all the necessary documents for the acquisition of land titles.
- Liaising with the concerned authorities to settle land disputes that may come up in the communities.
- Producing prints and maps of the surveyed land.
- Prepare detailed topographical surveys for installation sites and routes of pipelines.
- Maintain survey data and developments in the region.
- Spot check validity of technical (water and sanitation) issues in consultant's reports.
- Review technical plans and reports.
- Prepare monthly/quarterly/annual technical reports.
- Prepare monthly/quarterly/annual technical work plans
- Participate in other project activities including attending various sector related meetings, workshops, seminars, reviews and functions.
- Any other duties that may be given by the manager WSDF or head of Technical Services Department.
- Reports to the Engineering Specialist.

C.4.14 Engineering Assistant

Qualification and specifications

Diploma in engineering field.

Functions and reporting

- Assist the Engineers in the technical activities.
- Supervise project constructions and follow up on sanitation improvement programmes in the RGCs.
- In charge of technical matters in project towns for transmission to the Engineers.
- Makes Reports to the Manager through the Department Head Technical Services.
- Train scheme care takers and communities for participation in water and sanitation activities.

- Any other duties that may be given to you from time to time.

C.4.15 Stores Assistant

Qualification and specifications

Diploma in purchasing and supplies management or supply chain & Logistics management. A minimum of 2 years' experience in stores management.

Functions and reporting

- To receive and record invoices and supplies
- To check and verify invoices and issue notes
- To ensure proper storage of stores
- Supervise vehicles loading and offloading
- To take stock of stores
- To record damaged, obsolete and expired stores
- To maintain stores records
- To issue store in accordance with the established procedures
- To control and maintain inventory levels
- To use computer to input and retrieve data
- To follow up on orders to ensure that materials are delivered on promised dates
- Reports to the Administrator

C.4.16 Draught Assistant

Qualification and specifications

Diploma in architectural draughtsmanship & drawing; 3 years' experience with architectural designs.

Functions and reporting

- Carry out measurements and take quantities of built structures/facilities to produce " as- built" drawings
- Prepare working drawings and profiles for the scheme to be implemented
- Liaise with the field officers and ensure that all drawings required for works are with the implementing contractor in time, and that all the information is correct as approved by the engineers
- Ensure that drawing office is equipped with all relevant materials and equipment
- Ensure that all selected RGSs are mapped out and supply areas are clearly defined and agreed upon with key stake holders
- Prepare drawings of major components of works to sufficient scale and described in sufficient detail to permit quality take off and preparation of cost estimates.
- Prepare working drawings for submission, tender documentation and construction
- Create bills of materials
- Maintain proper record of scheme lay-out drawings technical plans and as-built drawings
- Maintain site standards
- Review technical plans and drawings (both technical and quality checks)
- Maintain the requisite standards (both technical and quality) of the drawings produced by the engineering department
- Spot check validity of technical (water and sanitation) issues in consultants' reports

- Assist in implementation of projects from design, documentation to construction and completion.
- Liaise as required with sub-contractors and engineers
- Participate in other project activities including attending various sector related meetings, workshops, seminars, reviews and functions.
- Any other duties that may be assigned by the Department Head Technical Services.

C.4.17 Sociologist

Qualification and specifications

Bachelor's degree in social sciences; a minimum of 3 years' experience in community mobilisation

Functions and reporting

- Carry out advocacies, sensitisations, trainings and other community mobilisation aspects
- Supervise social services department staff members, consultants and contractors. Review activity plans, requisitions for funds, reports, accountabilities and advise management accordingly
- Produce quarterly, annual and ad-hoc work plans summarising the physical and financial performance targets of the social services department of the Facility
- Produce quarterly, annual and ad-hoc reports summarising the performance of the social services department of the Facility
- Advise and make appropriate recommendations to management team on identified project implementation strategies and project targets and operational problems through reports, review meetings and site visits
- Monitor the progress of project components within the social services department to ensure adherence to set standards and specifications and agreed implementation time schedules
- Prepare Terms of reference and material specifications for procurements and agreements with suppliers, contractor and consultants
- Liaise with other departments Heads to execute the facility activities in a streamlined approach
- In corroboration with other departments develop O&M manuals for each water supply and sanitation scheme implemented and ensure that O&M structures are established and advised accordingly
- Develop and implement short and long term monitoring plans towards achieving project implementation
- Generate specific outputs (deliverables) as determined from time to time in the respective projected work plans for each quarter
- Assist and train graduate and industrial trainees deployed under your department to realise the training objectives
- Keep a register of all assets allocated to your department and ensure they are operated, maintained and used for their intended purposes and for the achievement of the facility objectives
- Coordinate the preparation for community inception meetings.
- Prepare and carrying out sensitisation programmes to stakeholders at District level on utilisation and maintenance of water schemes and sanitation issues.
- Participate in mobilisation of communities with a view of ensuring their involvement in and ownership of water schemes being developed.
- Participate in preparation of monthly and quarterly work plans and performance reports thereof for the management's consideration.
- Ensure the integration of gender issues during the project implementation and management.

- Collaborate with NGOs and other actors in the region to ensure efficiency and effectiveness in allocation of resources during the project implementation.
- Perform any other duty as may be assigned by the WSDF Branch Manager
- Report to Senior Sociologist.

C.4.18 Administrative Assistant/ Secretary

Qualification and specifications

Diploma in Secretarial Studies. A minimum of 3 years' experience in office management.

Functions and reporting

- Do all typing work for the facility whether initiated by the manager or any other team member
- Organize and maintain office filing system
- Organize and maintain office library and store
- Ensure safety of equipment of facility property entrusted to you including fax, telephones, computers, scanner, photocopying machine and any other project stationary and material in your charge
- Receive and dispatch the mail and keep record of incoming and outgoing mails
- Receive and ensure proper handling of the office petty , submitting timely and proper accountability
- Assist in set up of management meetings through the administrative officer
- Answerable to the Manager through the Administrator's office
- Attending to the reception desk, receiving visitors and advising and directing them accordingly.
- Taking telephone calls and passing them on to their recipients where necessary.
- Set up, maintain proper filing systems (maintain database) and ensure safe custody of programme documents and information;
- Ensure adequate office environment and general welfare of staff
- Planning of office stationery
- Ensure daily supply of newspapers
- Preparation and produce minutes for WSDF monthly staff meetings
- Attend to external and internal communications, official visitors and clients
- Typing memos, office works as need arises and undertake any other activity that contributes to the smooth running and development of the office.
- Any other duties as may be given from time to time.
- Reports to the Administrator.

C.4.19 Environment Assistant

Qualification and specifications

Diploma in environment-related discipline.

Functions and reporting

- Conducting trails and demonstration gardens on the re-use of sainted human excreta in agriculture
- Training people of various cadres in the agricultural aspects of eco san
- Advising in the appropriate tree species for the source land areas, and raising tree nurseries

- Protecting water catchment areas in respect to afforestation of water source areas and sensitization of farmers about agro forestry
- Make reports to the branch manager through the Head of technical services
- Prepare work plans for the implementation of environment related activities through the head of technical services
- Establishing tree nurseries at the office, or anywhere as directed by the Environment assistant to raise agro forestry tree seedlings
- Monitoring trees planted at the water source and farmlands around the source
- Conducting trails and demonstration gardens on the re-use of sanitized human excreta in agriculture
- Supervising the activities of the casual labourers in the tree nurseries, the office compound and the eco san demonstration gardens
- Any other duties given to you from time to time.

C.4.20 Office Attendant

Qualification and Specifications

U.C.E. certificate. A minimum of 2 years' experience in office management

Functions and reporting

- Cleaning the office and putting them into the reputable order every morning.
- Preparing tea to the facility staff.
- In charge of the day -to-day cleanliness of the office ecosan toilet and other sanitation facilities.
- Keeping the facility kitchen and utensils hygienic and under proper sanitation.
- Answerable to the Administrator through the Administrative Assistant.
- Maintain clean and tidy office premises, Kitchen, washrooms, shelves and equipment at all times before staff report for duty
- Provide support to staff (photocopying, run errands as required etc)
- Timely distribution of letters, memos, faxes and other documents
- Participate on tasks requiring added assistance and help the office secretary if needed
- Maintenance of kitchen related items as per inventory (i.e. utensils) and report any defects or shortage immediately to the supervisor in writing.
- Prepare and serve hot and cold beverages to staff and visitors as necessary
- Ensure that toilets are clean and necessary supplies are available such as toilet rolls, soap, clean towels etc.
- Open and close office doors and windows accordingly
- Undertake any other activity that contributes to the smooth running and development of the office.
- Any other duties as may be given from time to time.

C.4.21 Driver

Qualification and Specifications

U.C.E. certificate. In possession of a driving permit and a minimum of 3 years' experience in driving.

Functions and reporting

- Keep vehicle in good running order, ensure the safety of the vehicle and its accessories such as spare tyre, tools (wheel spanners) and ensure vehicle cleanliness and maintenance. The vehicles should be washed and cleaned on daily basis by the driver. This is part of contract.
- Keep logbook record daily/weekly/monthly vehicle mileage, fuel consumed, repairs and servicing performed on the vehicle and the spares/parts fitted on the vehicle stating the date and the cost. Produce a vehicle report at the end of the month. The replaced spares should be returned to the stores.
- Drive the vehicles between different points as directed by the supervisor
- Ensure strict compliance with traffic regulations.
- May assist with or perform loading and offloading.
- Deliver mails.
- Any other related duties assigned to you by the supervisor.
- Provide transport to Officers from out-station.
- Ensure the appropriate maintenance of vehicles in co-operation with the Administrator and other staff.
- Report in writing any mechanical defects on the vehicle to the attention of the Administrator
- Ensure there is timely servicing of vehicles in anticipation of planned activities
- Provide support to staff (run errands as required etc)
- Maintain proper recordings in the log book
- Prepare monthly vehicle reports.

C.5 Staff capacity development plan

The staff capacity development plan is an annex to the annual work plan and budget. It shall be compiled by the Administrator for each thematic area with support from the Ministry's line training officer who ensures consistency with MWE's Capacity Development Strategy.

The staff capacity development plan outlines:

- Identified gap within the particular WSDF section's area of work
- Proposed capacity development measure (e.g. exchange visit, training)
- Number of benefitting staff within WSDF and ideally also other WSDFs
- Estimated cost to be catered for in the annual budget

Submission of the staff capacity development plan: The staff capacity development plan is integrative part of the annual work plan. Parallel to submission of the annual work plan the staff capacity development plan is submitted to the Ministry's training and human resource development unit and approved prior to approval of the entire work plan by the WSSSWG.

Any capacity enhancement activities should allow standardisation of available skills for all WSDF Regional Branches. Execution of the planned activities can be handled by reputable Institutions that can be outsourced for this purpose. However, it is important that detailed and Regional Branch specific needs assessments be conducted to allow the Regional Branch to address capacity gaps that arise from the differences in both capacities of individual staff and environment of operation.

To emphasise manpower performance for a leaner and more value oriented WSDF Regional branch, all capacity building will be geared towards enhancing existing knowledge and skills in managing effective coordination, contracting/procurement, supervision and monitoring/evaluation amongst the core staff. This is basically for the purpose of ensuring that quality project outputs and management of time and other

resources is effectively realised. Table C.1 highlights the key capacity building activities that the WSDF Regional Branch needs to uphold.

In addition, a capacity development (CD) plan needs to be updated annually by the administrator in line with MWE's CD strategy. Committees at facility level should work hand-in-hand with MWE's HR and training unit.

Table C.1 Key Capacity Building Activities

CAPACITY BUILDING ACTIVITY	TARGET BENEFICIARIES	CAPACITY NEEDS TO BE ADDRESSED	KEY OUTPUTS
Consensus building Meeting (A meeting for each ST or RGC after project application is declared successful)	WSDF staff (Branch Manager, Mobilisation Specialist, Engineer Specialist) CAO, DWO, Sub County Chief, Community Development Officer, LC leadership, Local Authorities influential in Water issues.	Timely stakeholder participation and involvement of relevant district local government staff	Agreement on commitments and deadlines for stakeholders' inputs obtained. Clarification on likely penalties for non-compliance on the part of each stakeholder
Short Course on Effective Management of the Coordination Function	Branch Manager	Coordination of multiplicity of stakeholder functions	Knowledge and skills to deal with coordination challenges
Planning and Management of Quality Assurance / Control	Branch Manager, Engineering Specialists	Ensuring value for money	
Output to Purpose Contracts Management	WSDF Staff (Engineering Specialists)	Contract Design and Supervision	Knowledge and Skills on the design of contractual Terms of Reference and effective management/supervision of Contractors <i>It is assumed here that contracts/procurement staff employment will be based on availability of this skill. Additional training for this cadre will not be necessary</i>
Short course on effective monitoring and evaluation	(Engineering Specialists) Monitoring and Evaluation Specialist Environmental Management Specialist	Participatory monitoring and evaluation Effective time management	Knowledge and skills in the development and use of appropriate output and performance indicators. Participatory monitoring
Training of Trainers in Community Resource Mobilisation	WSDF Staff (Community Mobilization Specialists)	Resource identification Community mobilization	Facilitation Skills Knowledge and skills training Local authorities in effective community resource mobilisation (strategies and techniques)
Training in application and use of Navision Software Development of Main Ledger, Asset Module Resource Management module, Inventory Management	Branch Manager, Accountant, Administrator	Timely accounting and management of resources	Knowledge and skills in the application of Navision

D. PLANNING, BUDGETING AND REPORTING

D.1 WSDF Performance Measurement Framework

The following documents / processes of the overall monitoring and reporting framework within the water and sanitation sector are relevant to WSDFs:

- 5 year Joint Water and Environment Sector Support Programme 2013-2018
- Annual joint sector performance review and reporting (Sector Performance Report with 11 Golden Indicators)
- Annual sector budgeting process (Sector Budget Framework Paper “Water & Environment”)
- Joint Partnership Fund III manual
- Specific donor-related regulations as per bilateral agreements (currently ADB, EC/ADA, KfW)

In the cost attributed to internal monitoring and evaluation activities it falls under “planning, reporting and quality assurance”, and is reflected in WSDFs budgets.

D.1.1 WSDF Logical Framework

Table D.1 describes the WSDF logical framework, whereby:

- Specific objectives correspond to the JWESSP UWSS Component Themes;
- As outlined in chapter A.3.1 on WSDF objectives, WSDF is the main implementer of themes 1 and 4 whereas for themes 2 and 3 WSDF is contributing alongside with e.g. Umbrella Organisations and Regulation Unit;
- Achievement of the specific objectives is measured through the achievement of Golden Indicators (GI) in the targeted ST/RGCs.

Table D.1 WSDF logical framework I – overall and specific objectives

Objective No.	Performance area	Performance indicator	Remarks and origin
Overall Objective 1	Contribute to provision of sustainable water and sanitation services to the population and economic activities in the urban areas of Uganda	Achievement of Golden Indicators (GI) in the targeted ST/RGCs as outlined below:	Mission statement for the urban water supply and sewerage department as per Sector Performance Report 2012
Specific Objective 1	Increase water supply service coverage for small towns and rural growth centres in a pro-poor sensitive manner	% of people within 1 km (rural) and 0.2 km (urban) of an improved water source (GI 1)	JWESSP UWSS Component Theme 1 WSDFs are “main implementers” of theme 1
		Average cost per beneficiary of new water and sanitation schemes (US\$) (GI 3)	
		Mean Sub-County deviation from the National average in persons per improved water point (GI 7)	
Specific Objective 2	Improve O&M of urban piped water supply systems	Ratio of the actual hours of water supply to the required hours (small towns) (GI 2)	JWESSP UWSS Component Theme 2, WSDFs contribute to implementation of theme 2
		% of water samples taken at the point of water collection, waste	

Objective No.	Performance area	Performance indicator	Remarks and origin
Specific Objective 3	Establish effective regulation of urban water supply and sanitation services	discharge point that comply with national standards (GI 5)	JWESSP UWSS Component Theme 3, WSDFs contribute to implementation of theme 3
		% of water points with actively functioning Water & Sanitation Boards (GI 9)	
		% of Water User committees/Water Boards with women holding key positions (GI 10)	
		% of water abstraction and discharge permits holders complying with permit conditions (GI 11)	
Specific Objective 4	Improved Urban Sanitation and Hygiene Services	% of people with access to improved sanitation (Households) (GI 4.1)	JWESSP UWSS Component Theme 4, WSDFs are “main implementers” of theme 4
		Pupil to latrine/toilet stance ratio – schools (GI 4.2)	
		% of people with access to (and using) hand-washing facilities (GI 8)	

In Annex D.2, WSDF interventions/activities leading to outcomes contributing to the achievement of the specific objectives are defined. The table defines all the activities performed by the WSDFs, which are the basis for activity/output budgeting. The activities presented are standard WSDF activities, though, different WSDFs may have additional activities in line with specific donor requirements.

D.1.2 WSDF 5 Year Work Plan with Targets

During the inception phase of the JWESSP a results based 5year strategic work plan is being / was developed. The WSDF performance targets should obviously feed into this work plan and targets will therefore be defined for the entire JWESSP duration of 5 years.

The WSDF 5 year work plan with targets is based on the theme areas (equal to specific objectives) and outcomes. For this purpose setting of targets at outcome level is deemed sufficient because the WSDF approach (i.e. how outputs lead to outcomes and the underlying assumptions) is well defined. Outcome targets will be broken down to output targets in the respective annual work plans. Annual reporting outlines the deviations to the five years plan.

The 5 years’ priorities are based on the financial, human and technical resources available.

Furthermore, the 5 year work plan includes an action plan on how crosscutting issues like good governance, capacity development, climate change, gender, equity etc. will be adhered and implemented within WSDFs – feeding into the action plan of the department.

The planned targets beyond the duration of individual funding agreements with JPF donors are tentative. However a 5 years planning horizon is deemed beneficial to negotiate further and future support towards WSDFs.

The below given table outlines the most relevant elements of a WSDF 5 year wok plan with targets. The format will be adopted to feed into the component 5 years work plan.

Table D.2 WSDF 5 year outcome targets

No.	Outcome	Indicator	Baseline		Target JWESSP year 1		Target JWESSP year 2		Target JWESSP year 3		Target JWESSP year 4		Target JWESSP year 5		Total		
			Date year	Source	Planned	Achieved	Planned	Achieved	Planned	Achieved	Planned	Achieved	Planned	Achieved	Planned	Achieved	
X100	UWSS Theme 1: Increase water supply service coverage for small towns and rural growth centres in a pro-poor sensitive manner																
X110	Identification & approval	No. of STs/RGCs identified & approved															
X120	Preparatory mobilisation achieved	No. of communities with completed preparatory activities															
X130	Designs approved by DRC	No. of designs approved by the DRC															
X140	Applications for construction received	No. of complete applications for construction received															
X150	Schemes constructed	No. of Completion Reports															
Justification for deviation from plan:																	
X200	UWSS Theme 2: Improve O&M of urban piped water supply systems UWSS Theme 3: Establish effective regulation of urban water supply and sanitation service																
X210	O&M structures established	No. of supported schemes with O&M structures in place															
X220	Initial technical monitoring and support provided	No. of supported schemes fully operational after 1 year															
Justification for deviation from plan within UWSS Theme 2 and 3:																	
X300	UWSS Theme 4: Improved Urban Sanitation and Hygiene Services																
X310	Awareness raised	No. of supported schemes with satisfying H&S status															

X320	Construction of sanitation facilities	No. of supported schemes with completed sanitation construction															
Justification for deviation from plan within UWSS Theme 3:																	
X400	WSDF management																
X410	Appropriate operational management	Ratio administrative costs / implemented investments															
X420	Planning, reporting and quality assurance	X420															
Justification for deviation from plan within WSDF operation and management:																	

D.1.3 WSDF Annual Work Plan with Targets

Based on the five year plan annual work plans and budgets are prepared. The annual work plan should indicate clearly how the planned activities and their respective output lead to the achievement of the targeted 5-year outcomes. Clear targets for the indicators at output level are the basis for developing the corresponding annual budget. For operational planning and reporting purposes the annual work plan is broken down into quarters. Annual reporting outlines and explains any deviations as compared to the five year plan.

Formats for annual work plans are specified in a separate **WSDF Results Based Monitoring (RBM) Manual**.

D.2 Performance Monitoring

While “monitoring” basically refers to the measurement of indicators, “performance monitoring” in the given context refers more specifically to the comparison of measured indicators to the defined target values as per the 5 year and the annual work plans. This requires regular (quarterly and annual) data collection and analysis to calculate the defined indicators.

For collecting the data required to monitor WSDF performance three complementing ways (“data collection tools”) exist.

Firstly, on the output level data collection is facilitated through the continuous reporting of finalised activities. Since the respective indicators are absolute figures (“No. of ...”) they can be readily produced by summing up the number of finalised activities within the individual projects.

Secondly, some indicators, especially those requested by donors, may not be countable as described above but should be readily available within the developed products. An example is the number of people having gained access to an improved water supply. This figure is not an output as such but is readily available e.g. in the detailed design. This means, such information has to be extracted and presented separately but does not require additional effort for producing it.

And thirdly, “surveys” have to be conducted when knowledge about complex situations which are influenced by many parameters is needed. Generally, this is the case for many of the indicators on the outcome level. An example is the sanitation & hygiene status of a community.

For monitoring the WSDFs’ performance a key survey is the baseline survey, which “sets the scene” for the detailed design or the awareness raising approach. It is thus part of WSDF operations (and hence an output in itself) and at the same time it collects the information which is required to evaluate changes the project triggers. The major source of information about the successful implementation of a WSDF project is the completion survey about the situation on the ground once the WSDF completed its work.

Concerning monitoring the overall performance of the UWSS component with a focus on sustainability and actual access baseline and completion survey together with data from the detailed design and the construction completion report establish the starting point. A meaningful monitoring of the development of the actual situation over time has then to build on the continuous provision of data describing e.g. the operational performance of the water supply schemes (e.g. from Water Authority reporting). In addition, the interpretation of such reporting data depends on identifying both, the overall situation on the ground and respective reasons. This has to happen through regular follow-up surveys which are not part of the WSDFs’ core function.

D.2.1 Data Management

To this end a comprehensive data management plan (see separate WSDF RBM Manual) specifies for each indicator:

- Definition (incl. way of calculating and aggregating)
- Data source (description and indication whether internal / external)
- Data collection (data collection tool, schedule / frequency, person or entity responsible)
- Data analysis (type / frequency, person or entity responsible)

Data management both of individual WSDF Branches and of all on a national level would benefit significantly from a relational database that is capable to convert generic data into information (inputs to reports and graphs). The database should be able to operate offline and online and to import updates from other WSDFs on demand. Information based on data generated and reported by WSDFs can then feed into the Ministry’s MIS. A prototype WSDF MIS Manual is being developed under the WSDF-C, which will be rolled out to all WSDFs to improve data processing and storage at the WSDFs. The Database incorporates both technical and administrative data requirements at the WSDF Regional Branch.

D.2.2 Implementation progress chart at ST/RGC level

The implementation progress chart is a straightforward tool to monitor implementation progress at project level. Based on the outcome and output structure as defined in the WSDF log frame it outlines additional activities on a detailed level (see also section B and Annex B where the detailed tables are presented) and indicates both the plan for the next reporting period as well as the achievements.

The implementation progress chart is updated regularly and forms the basis for the management of transforming the work plan into results. The format for the implementation progress chart is specified in a separate WSDF RBM Manual and is progressively reported upon by the WSDFs.

D.2.3 Reflection and learning

The analysis of reasons for deviations from the 5 years or annual work plan requires a continuous reflection and learning exercise. Its objective is to share challenges and solutions in our operations and to draw lessons from experience to inform future action. This exercise should be done within and across the Facilities

(Sections heads and Management) to review what happened, why it happened, and how it can be done better. Below are some of the leading questions:

- What should you stop doing? - Activities that have a negative effect...
- What should you continue doing?- Activities that have a positive effect...
- What should you start doing? - Activities that should have happened...

The described reflection and learning event replaces internal review exercises. It can further be a platform for sharing innovations to improve the WSDF implementation approach, justifying the need for new approaches and assessing the potential for scaling up.

D.3 WSDF Planning & Budgeting

WSDFs are responsible for submission of Annual Work Plans and Budgets following JPF procedures (JPF III Manual, 2013) for approval by the WSSSWG. All planning and budgeting documents follow the logical framework as outlined in section D.1.1). The Branch Manager has the overall responsibility within a WSDF for developing and submission of work plans and budgets. The Regional Steering Committee (RSC) reviews annual work plans and budgets and makes suggestions on the key annual interventions before approval by the WSSSWG.

The timing of the annual budget cycle of WSDF is synchronised with the GoU budgeting cycle as well as with the overall JPF as shown in Table D.3.

Table D.3 Annual budget cycle (for the forthcoming FY)

Item	Who responsible	Timing
Issue specific (i.e. different from JPF manual, 2103) budget guidelines (ceiling etc.) for UWSS component (both GoU and JPF)	Permanent Secretary	December
Review draft annual work plan and budget (GoU and/or JPF) and make suggestions on key annual interventions	RSC	December
Prepare and submit WSDF work plan budget (GoU and/or JPF)	Branch Manager - WSDF	December
Consolidate all WSDF work plans and budgets (GoU and/or JPF)	WSDF coordinator	January
Consolidate into component budget & submit to Fund Accountant (FA) (GoU and/or JPF)	CM	January
Submit budget proposals to WSSSWG for approval (both GoU and JPF)	FA	January
Circulate to all parties	Permanent Secretary	February

Reviews of the quarterly work plan and budget as long as it stays within the annual work plan and budget are reflected in the quarterly routine report and brought to the attention of the NSC. In the case that need for substantial changes in the annual work plan and budget arises, approval by the WSSSWG needs to be sought.

Contents and layouts of work plans are in accordance with the guidelines issued in the JPF Manual III, 2013 (chapter 4.3). Work plans are submitted to the WSDF coordinator who supports consolidation and thereby assists the CM to produce a component work plan. Additionally to what is specified in the JPF III Manual, 2013 the annex is supplemented by a progress implementation chart and a staff capacity development plan.

Submission of the procurement plan: The procurement plan is an integrative part of the annual work plan. Parallel to submission of the annual work plan the procurement plan is submitted to PDU and approved prior to approval of the entire work plan by the WSSSWG.

To allow easy consolidation of WSDF work plans and budgets they need to be prepared in a consistent way making the same assumptions within the given guidelines and formats. In order to achieve that the WSDFs coordinator arranges for a WSDF planning and budgeting meeting.

D.4 Routine Progress Reporting

WSDFs report to:

- MWE's UWSS Component under the JWESSP financed by the Joint Partnership Fund (quarterly and annually)
- Government of Uganda (quarterly and annually)
- MWE's Department of Urban Water Supply and Sewerage in the frame of quarterly departmental meetings (quarterly)
- Regional Steering Committee (bi-annually)
- Joint GoU-Development Partners Sector Reporting framework (annually)

The core report is the "quarterly WSDF implementation progress report" that is corresponding to the report towards the UWSS component under the JWESSP. "Core" refers to the fact that it is structured and detailed according to the WSDF log frame. In addition, it provides details required by individual (JPF) donors for their internal reporting duties as annexes where necessary. The key principles for reporting are:

- All standard information deemed necessary for documenting the WSDFs' implementation performance should be reflected in an output indicator.
- Output indicators as defined in the log frame are the lowest level of reporting. No additional disaggregation should be required.
- Activities / outputs are also the lowest standard level of cost accounting for financial reporting.
- Information on the outcome level about the successful completion of a WSDF project is presented in a dedicated chapter based on the results of the respective completion survey.
- With respect to reporting on activities, outputs and outcomes the quarterly WSDF implementation progress report serves several purposes:
 - capturing the progress and the status of on-going WSDF projects (implementation progress chart);
 - aggregating output information across projects for describing the actual WSDF implementation status ;
 - structuring the work plan by assigning output targets to a year or a specific quarter;
 - comparing the work plan with the actual implementation status.

This system allows reducing the burden of reporting significantly since the major information can be taken from tables structured according to the WSDF log frame for comparing plans with reality.

The narrative part of reports shall be kept to a minimum and be used especially where deviations from the plan need to be explained.

Details about what exactly happened in a specific project can be collected in "project sheets". These again are structured according to the log frame and are used to collect regularly information on the project status at ST/RGC project level. The same structure can also be used for collecting and presenting expenditures on the project level. These sheets can be provided either as a routine annex, or on demand if only required by individual Development Partner.

Table D.4 summarises all reporting requirements and particular details:

Table D.4 WSDF reporting requirements

Progress report to	Frequency/scope	Contents
Joint Partnership Fund	Quarterly	Formats are specified in a separate WSDF RBM Manual/JPF III Manual
Government of Uganda	Quarterly	
Department of Urban Water Supply and Sewerage	Quarterly	
Regional Steering Committee	Bi-annual	Q1 and 2 JPF progress reports being presented at the RSC meeting in December/January, Q3 and 4 JPF progress reports being presented at the RSC meeting in June/July
Annual progress report	The progress report for Q4 of the financial year shall be combined with reporting on the financial year as well.	Additional content to Q4 progress report specified in a separate WSDF RBM Manual

Timing of delivery of the JPF progress reports is governed by the JPF manual III, 2013, Chapter 4.4. It is essential that submission to the WSDF coordinator for consolidation in assistance to the Component Manager is done in due time, in any case not later than four weeks from end of the reporting period.

E. FINANCIAL, PROCUREMENT AND CONTRACT MANAGEMENT

E.1 Financial procedures

E.1.1 Introduction

The accounting methods, procedures, forms, format of accounting records shall be in compliance with the JPF Manual, itself largely based on the GoU Laws and Regulations. The key principles are therefore in line with the Public Finance and Accountability Act 2003 (“PFA Act”) and the Public Finance, Accountability Regulations 2003 (GoU Regulations) and the Treasury Instructions, 2003 (“Treasury Instructions”) provided in accordance with that Act.

The GoU financial year will be the basis of the accounting periods and the fundamental period of reporting and budgeting is therefore quarterly to enable analysis by GoU fiscal year.

Branches of WSDF use the software package “Navision Attain” as their principle accounting system. The Branches do have an online connection to the Navision server based at DWD.

Coding/reporting in the system is based on the Government Chart of Accounts (Code Level 3) as adopted for JPF activities and as updated from time to time by the FMA and/or Component Accountant.

New activities that require new codes shall be referred to the Fund Accountant (FA) of the JPF for inclusion in the code list.

JPF transfers operational funds to the local bank accounts of the WSDF branches. The signatories to the accounts shall be approved by the Accountant General.

The signatories to the accounts are introduced by the PS MWE. Any change of signatories will be authorised to the bank by written instruction from the Permanent Secretary (PS).

E.1.2 Requisitioning of Funds

Funds may be requisitioned and replenished quarterly following satisfactory submission of the Quarterly Progress Report on utilisation of the previous funds (technical and financial report), and presentation of the financial requirements for the next quarter. In accordance with the JPF III manual, disbursements will be made to the WSDF Branches on accounting for 75% of the previous advances to the Facility.

The requisition shall be accompanied by:

- The next quarter work plan (Annex D.1.1)
- The next quarter procurement plan in the format of Annex D.1.6
- The next quarter contract management plan in the format of Annex D.1.4
- Next quarter budget projections (Annex D.1.5).

E.1.3 Usage of Funds

The use of funds will strictly follow the work plan budgets. The accountant has to cross check on the cumulative balances on each budget line item before any payment is done. Expenditures exceeding budgeted funds shall only be approved by the WSDF Component Manager.

E.1.4 Staff Advances

Staff advances shall be provided only for approved WSDF work plan activities in accordance with GoU regulations and guidelines. Staff advances must be similarly accounted for and retired within 60 days in accordance with GoU regulations. No staff shall be advanced further funds without accounting for previous advances.

E.1.5 Allowances

Allowances are payable to both WSDF staff and non WSDF staff participating in WSDF activities. Before allowances become eligible for payment, a request is prepared and submitted by memo to the Branch Manager for approval; detailing the nature and scope of the activity, activity codes and measurable indicators. Allowances are paid according to the published ruling rates for Government officials at the time of payment.

E.1.6 Accounting officer

The accounting officer is the Permanent Secretary, Ministry of Water and Environment. The Branch Manager may be appointed as a sub-accounting Officer by the PS, specifying the duration of his responsibility and reporting requirements. The appointment of the sub-accounting officer shall stipulate his role and his responsibilities. He/she shall keep records and accounts and ensure that all monies received are properly brought to account, all payments are correctly made and properly authorised and that adequate control is maintained over assets and liabilities.

E.1.7 Accounting Records

The accounting entries shall be made by the accountant in Navision Attain software package. Payment vouchers are automatically generated by the system, which are sequentially numbered and coded according to the nature of transaction and transacting entity.

Paper records of transactions to be kept in the WSDF office are cash books, vote control register/book, and general ledger/subsidiary ledger.

E.1.8 Accounting Principles

Recognition of receipts and expenditure: Receipts represent the total transfers made to the project through the JPF. The cash transfers are recognised in the Project Income Statement when transfers funds are received on the WSDF's bank account.

Expenditure in respect of goods and services rendered are presented in the Branches' expenditure statements at the time of payment.

Bank Statement and Bank Reconciliation: At the end of each month a bank statement shall be obtained from the bank. The statement shall be reconciled to the bank book kept in the Navision system.

E.1.8.1 Payment Process

Bank Reconciliation Statements: A bank reconciliation statement shall be prepared and all reconciling items like bank charges, bank interest and foreign exchange differences must be entered in the cashbook not later than the 5th day after the end of each month, and shall be certified as correct by Accountant.

Fixed Assets Accounting: Fixed assets are to be expensed on acquisition and a Fixed Assets list will be maintained. This listing is to indicate the location and condition of the assets. All assets must be permanently engraved for easy identification.

E.1.9 Payment procedures

All payment procedures shall be in conformity to the GoU guidelines and regulations. The Sub-Accounting Officer(Branch Manager) shall be responsible for ensuring management systems that emphasise value for money, verification and certification of out puts before any payments are made.

E.1.10 Payment Records

A complete set of original payment documents for each transaction shall be kept in lockable fireproof cabinets in the strong room for audit purposes and archiving.

All payment records shall have a unique identification filing reference attached to enable ease of retrieval from the archives. All the payment records shall indicate clearly confirmation that the payment has been posted and the name of person who has posted the transaction.

Documents shall not be removed from the archives unless they are more than 5 years old (and therefore not required thereafter).

E.2 Procurement

Procurement of goods, works and services shall follow the Public Procurement and Disposal of Public Assets (PPDA), Act 2003 as amended and the PPDA Regulations 2014.

Standard PPDA documents and forms are used for every stage of the procurements under the Facility. Donor specific guidelines and regulations may be used as spelt out in the specific funding agreements.

E.2.1 Procurement Authority

The Procuring and Disposing Entity for WSDF funds is the Ministry of Water and Environment. The Ministry of Water and Environment, in consultation with applicable laws and regulations and the Public Procurement and Disposal Authority, created a Delegated Procurement and Disposal Unit at the WSDF regional offices, to handle procurements to a specified threshold. The following procurement methods therefore may be employed in procurement of goods, services and works by the WSDF:

1. Procurement through the MWE PDU.
2. Procurement through the Delegated PDU at the Regional Branches.

The Main Contracts Committee of the MWE approves members of the Delegated Contracts Committee and the thresholds for procurement at the Delegated PDUs (As of December 2013, limited to a threshold of UGX 2.0Billion. The Delegated PDU provides monthly reports to the main PDU on all procurements undertaken and the main PDU retains overall responsibility for procurements undertaken by the Delegated PDUs. The MWE PDU/Contracts committee therefore provides supervisory and oversight support to the Delegated PDUs.

The methods adopted for procurement are in accordance with the PPDA Act and Regulations and Donor specific procedures where specified in the funding Agreements.

E.2.2 Procurement plans

WSDFs shall prepare and update regularly the annual procurement plan. The annual procurement plan will be submitted with the work plans to WSSSWG for approval, and to MWE Contracts Committee/ WSDFs delegated contracts committee to approve method of procurement.

WSDFs shall submit with their quarterly reports, detailed quarterly procurement plans for the next quarter as in Annex D.1.6.

E.2.3 Procurement Documents

Bidding documents / requests for proposals (incl. draft contracts) shall normally be fully prepared by consultants, based on comments received from WSDFs and the district/community during the design phase for each stage. WSDFs only insert the dates, places and persons or other requirement left for the purpose. However, for in-house designs, bidding documents/requests for proposals shall be duly prepared by WSDFs.

Statement of requirements to be prepared for **consultancy services** must have the features described in Table E.1. Instructions to bidders for consulting services shall have a clause quoting budget ceiling for the services.

Table E.1 Statement of requirements to be prepared for consultancy services

Procurement Item	Contract Type	Insertions to be prepared
Project preparation/ranking	Time-based with cost reimbursable expenses.	ToR and complete documentation as in Annex B.8.1
Design/mobilisation	Lump sum for design + Contingency/success fee For development of sources.	Detail ToR to be prepared by consultant based on Outline ToR in Annex B.8.2
Construction supervision	Time-based	Detail ToR/proposal by the consultant, based on outline ToR in Annex 6.3

Statement of requirements to be prepared for **works** must have the features described in Table E.2. Note that minor works are works under 2billion, major works are works in excess of 2billion.

Table E.2 Statement of requirements to be prepared for works

Works	Contract type	Insertions to be prepared
Main civil works	Ad-measurement	Bills of quantities, drawings and specifications by the Design Engineer/WSDFs.
Minor works	Target price	Bills of quantities, drawings and specifications by the consultant/WSDFs.

Statements of requirements for **supplies** (itemised quantities, specifications and delivery terms) and recurring time-based services (e.g. cleaning, maintenance of equipment etc.) shall be prepared by WSDF. Supply contracts may be for one-off supply, or Framework Contracts.

E.2.4 Roles and Responsibilities

In respect of the PPDA issued standard chart of responsibilities in the Procurement and Disposing Entity (PDE), roles and responsibilities will be as indicated in Figure E.1.

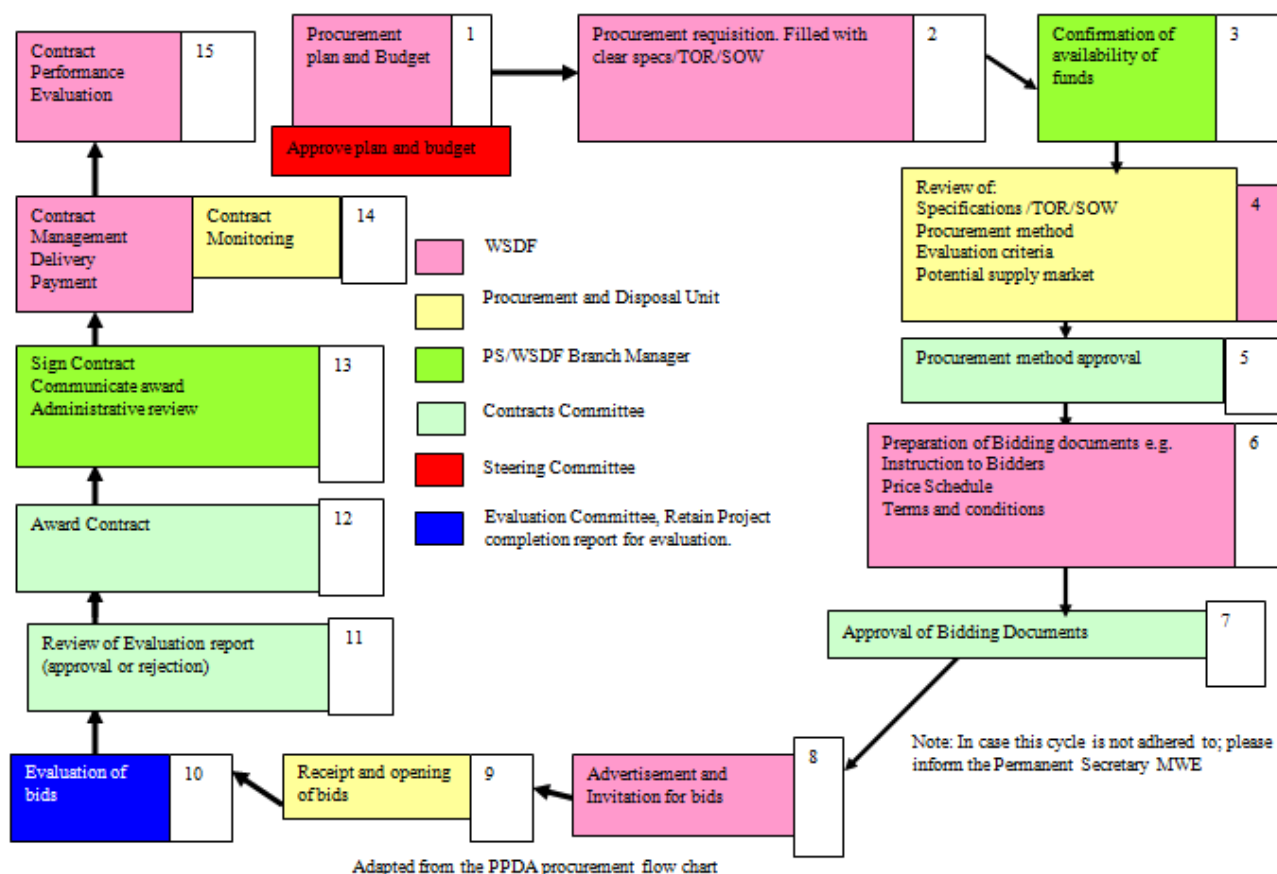


Figure E.1 Roles and Responsibilities in the Project Cycle

E.2.5 Procurement Documents to be kept

In respect of each procurement, WSDFs shall keep a complete set of documentation for each stage of the procurement process as given in Table E.3. Records shall be available for inspection to authorised persons/entities for the purpose of ensuring compliance with procurement regulations.

Table E.3 Procurement records to be kept

Type of record/document	Specified
Bidding Documents or Invitation for Proposals	As issued
Bidders sign-in form for receipt of Documents	As PP Form 30
Records of Pre-bid meeting	As PP form 33
Bids received	As PP form 34
Records of Public Bid opening	As PP form 35
Appointment of members of Evaluation committee	As PP form 40
Tender Evaluation report	In the format of PP form 42/43/44 and PP form 47/48 and PP 50 as necessary
Record of Tender Award	As minutes of Contract Committee meeting
Post Qualification Evaluation report	As PP form 55
Signed Contract	A copy of the signed contract.

E.2.6 Negotiation and Signature of Contracts

Negotiation and / or signing of contracts is the responsibility of the Permanent Secretary but may be delegated to the WSDF Branch Managers. MWE, represented by the WSDFs, is the client to whom the contractor is responsible.

E.3 Management of Contracts

Contract management involves ensuring that works, services or supplies delivered are complete, are of the right quality, quantity and delivered timely. The function shall also extend to management and facilitation of contract completion issues i.e. payment for the works, services or supplies and proper acceptance/hand over of the contracted deliveries received.

Tools for supervision of contracts will have to be spelled out in each of the contracts, and will be based on deliverables. For consultancy contracts these will be reports. For supply contracts, pre-delivery and delivery inspections will apply. For works contracts, construction supervision reports and spot checks apply. Each contract should therefore be handled in accordance with the specific contractual provisions.

E.3.1 Circulation of Contract Copies

Contracts will be signed in quadruplicate and circulated as follows:

- 1 copy to contractor/service provider
- 1 copy to MWE/WSDFs
- 1 copy to the Solicitor General
- 1 copy to the Component Manager
- 1 copy to the Funding Agency, if required.

E.3.2 Contracts Register

A contracts register shall be kept and updated regularly by the accountant detailing contractor's details, scope of contract, start/end dates, and details of payments made to date.

E.3.3 Contract management plan

The Branch Manager shall programme and coordinate all contract management issues. These are contained in the Contract Management Plan, maintained and updated regularly.

The annual Contract Management Plan is submitted for approval to the MWE Contracts Committee/WSDFs Contracts Committee. Thereafter, a next quarter Contract Management Plan shall be submitted to CM with the quarterly reports, as in the format for quarterly plans.

The target milestones to be entered into the Contract Management Plan are as follows:

Consultancy contracts

- Dates for receipt of reports
- Dates for activities scheduled contractually with consultant
- Dates payments are due
- Dates for progress reports.

Works

- Dates for site meetings
- Dates for progress reports
- Dates for scheduled/monitoring visits

- Dates for unscheduled/monitoring visits or spot checks
- Dates payments are due.

Supplies

- Dates for inspection of shipment – if any.
- Dates for receipt of supplies.

E.3.4 Contract Management and Supervision

The WSDF are delegated to manage and supervise performance of the contracts on behalf of the MWE. Contract management involves valuation and payment for services, delivered goods and works; monitoring and supervising running contracts with collaboration of stakeholders including the Local Governments and Development Partners.

E.3.5 Contract Correspondence

All contract matters shall be coordinated by the Branch Managers. They will:

- Receive and keep in custody all contract related correspondence.
- Forward relevant contract matters to the specialists concerned for comment/action (i.e. engineer for engineering matters, sociologist for community/mobilisation matters, accountant for payment issues).
- Undertake interpretation of relevant contract provisions.
- Collate and prepare the client's position on issues raised and take necessary action.

E.3.6 Contract Payments

The Branch Managers must ensure that all claims for payment are checked and verified, based on recommendations or certification from the relevant technical officers. Contract payments shall be made according to the contractual provisions.

E.3.7 Contract Records

Upon conclusion of the contract, a completion report shall be submitted to the awarding Contracts Committee (MWE or WSDFs) including scope of contract, date for completion, total payments, retention (if applicable), certification of completion, comments by relevant technical officers and notable events during the execution of the contract.

E.4 Vehicle Operations & Management

All provisions for vehicle use shall comply with the guidelines issued by MWE.

E.4.1 Vehicle Fleet

The WSDF Branch operates only the vehicles given to the Branch by MWE and provided under JPF. All vehicles shall be pool vehicles except the vehicle allocated to the Branch manager. Each vehicle shall be allocated a specific driver.

E.4.2 Usage

Vehicles may be used anywhere within the regional jurisdiction of the WSDF-Branch. Where vehicles have to be used outside the region, permission must be granted by the Branch Manager.

Vehicles may be used from 6.00 a.m. to 6.00 p.m. Thereafter vehicles shall be parked in the WSDF office parking lot, or a location approved by the Branch Manager.

E.4.3Responsibilities

The administrator is responsible for vehicle/drivers operations and control and for scheduling all journeys. He/she shall authorise fuel for vehicles and monitor that mileage achieved per litre is within allowable limits.

E.4.4Vehicle records

Every vehicle shall have a log book. Log books are to be filled by the driver for each trip and countersigned by the officer making the trip.

Details entered into the log book shall include: purpose of journey including destination, mileage record at beginning and end of the trip, and the name and signature of the person requesting transport.

Drivers shall submit monthly vehicle reports giving a summary of start / ending / covered mileage for the month and the technical performance of the car.

E.4.5Repairs and maintenance

Requests for maintenance and repairs shall be prepared and submitted by drivers at the specified intervals and reviewed and approved/rejected by the AO, through the Administrator.

Requests for repairs shall be prepared by drivers and forwarded by the administrator for preliminary inspection/cost estimate to a WSDF approved garage before further action.

E.4.6Accident situations

All accidents shall be reported to Police, and damaged vehicles shall be tested before any work is done on the vehicle. Retrieval of accident/abandoned vehicles shall require approval of Police. The driver shall immediately report any such occurrences to the Administrator for follow-up.

List of reference documents

Any changes and updates in the below mentioned documents are directly applicable to this manual.

Water Sector

Water act

Government of Uganda, Ministry of Water and Environment (2013): Joint Water and Environment Sector Support Programme (JWESSP, 2013-2018), Final Programme Document.

JPF Manual

Public service, finance and accountability

The Republic of Uganda, The Public Finance and Accountability Act, 2003

Public Procurement and Disposal of Public Assets (PPDA) Regulations 2003

Government of Uganda (GoU) Accounting Chart

DWD

E.g.. Guideline for procurement of private operators (2012?)

Technical Design Manual (2013)

Design Guideline (2013)

DWRM

Water Source Protection Guideline (2013)

National Water Quality Strategy (2006)

Environmental Impact Assessment Guidelines for Water Resources Related Projects in Uganda (2011)

WSDF

WSDF manual 2009

E.g. WSDF design study 2011

COWI study in streamlining OBA in WSDFs

Development Partner

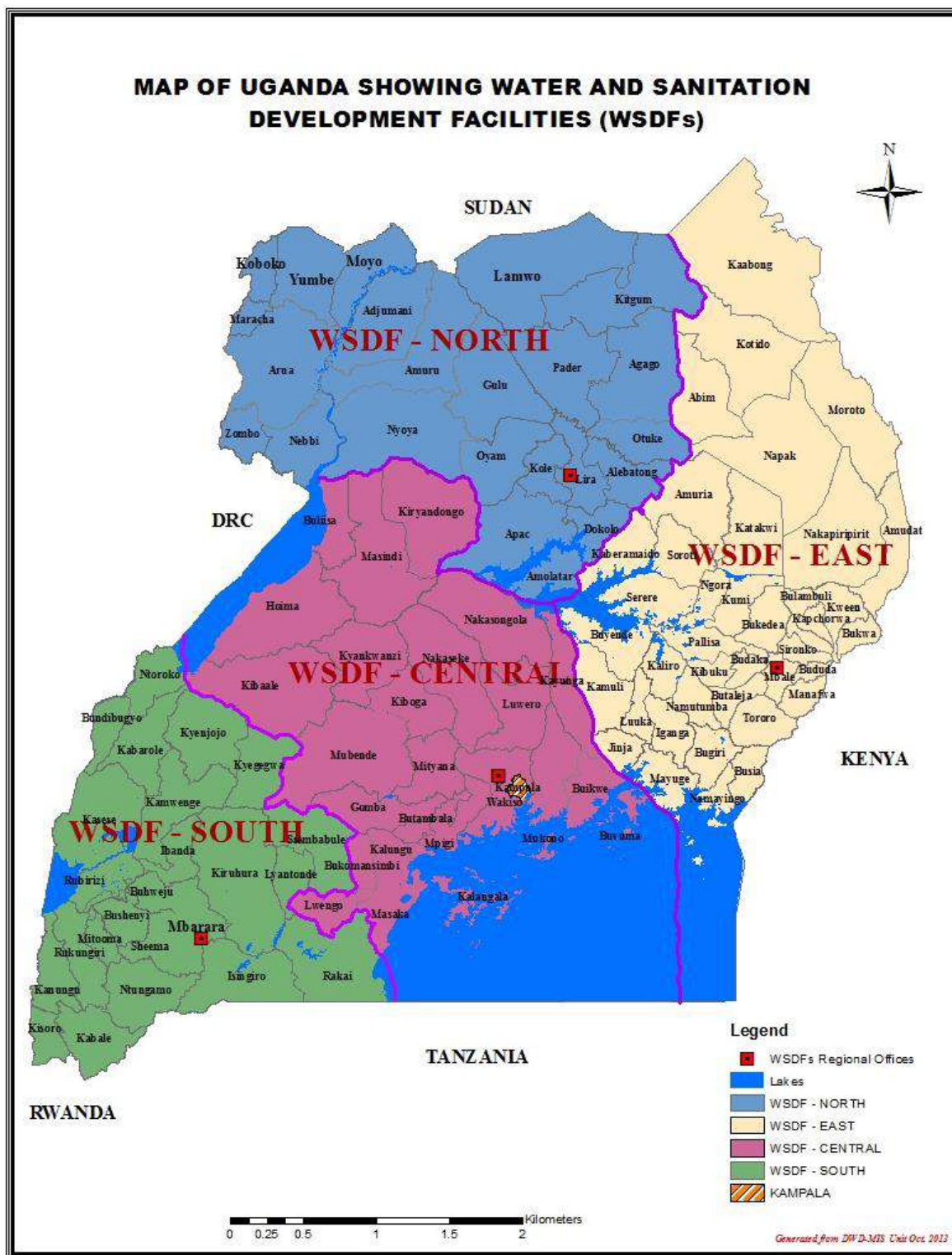
Volvendo Fiduciary Risk Assessment 2011

Annexes

We include only formats that have been developed for WSDFs, other formats and documents are only referred to, details to be captured in list of references.

Annex A. Institutional Framework

Annex A.1. Areas of operation per WSDF incl. head-quarters



Annex A.2. Areas of operation of the Umbrella Organisations incl. head-quarters



Annex A.3. Terms of Reference for the coordination and steering bodies

Annex A.3.1. Objectives of National Coordination

This Annex describes the detailed ToR for the coordination and steering bodies of the WSDF, the background of which is summarised in Section A.1.

The following are the objectives of the National WSDF Coordination:

- To ensure harmony and avoid discrepancies in implementation approaches in the different branches (such as the size of land for water source protection, number of demonstration toilet units, payment of staff remunerations and reports on)
- Provide a platform for revision of outputs resulting from new donor requirements or otherwise such that changes in quarterly / annual reporting formats are effected across the branches
- To share experiences and ensure that best practices are spread throughout the branches and learn from the bad experiences to ensure they are not repeated in other branches
- To provide a one stop centre for all the activities, reports and information of all the WSDF branches
- To implement decisions that affects all the branches such as updating of the WSDF implementation manual
- To provide a platform for sharing knowledge and experiences from the different branches
- To improve the WSDF implementation approach through innovations from the different branched with potential for scaling up.

Annex A.3.2. Terms of Reference for the National Steering Committee (NSC)

Annex A.3.2.1. Specific objective

The specific objective of the National WSDF Steering Committee is to provide strategic orientation and overall guidance on how to continuously consolidate and improve the WSDF model and develop it further towards a semi-autonomous fund.

Annex A.3.2.2. Functions and activities of the National Steering Committee

Planning and budgeting

- Propose an allocation of the available resources to the Branches to ensure balanced and equitable development of the subsector as basis for allocations within JPF following the routine JPF procedure. Allocations within WSDFs are proposed by the Regional Steering Committee
- On behalf of and under the overall direction of the Water and Environment Sector Working Group (WESWG), appraise, and approve as appropriate, branch office annual rolling work plans and budgets
- Provide guidance to branches to reduce fiduciary risk as much as possible
- Ensure that disbursements represent value for money

Policy

- Ensure that WSDF operations are consistent with the applicable laws, policies, strategies, manuals and guidelines of MWE as well as with those of other stakeholder ministries
- Compliance with cross cutting issues – poverty, good governance, gender and environment

Management and Coordination

- Ensure that there is coordination between the WSDF Branches to harmonise implementation approaches
- Provide management feed-back to the WSDF Branches esp. regarding proper and timely presentation of accountability and reports, transparent non-discriminatory procurement procedures and allocation of resources)
- Collection of experiences and lessons learned and development of common design standards, guidelines and procedures.
- Receive and consolidate monitoring and progress reports
- Providing monitoring and quality assurance, including a strategy and methods of knowledge management.

Consolidation and further Development

- Define and initiate steps necessary to consolidate the WSDF model (short-term) and to transform the WSDF into a semi-autonomous fund (medium-term)

Annex A.3.2.3. Membership and criteria for decision making

The National Steering Committee shall be composed of the following:

- Director DWD (chair)
- Commissioner UWSD
- Assistant Commissioner Planning and Development UWSD
- Assistant Commissioner Water Sector Liaison
- WSDF National Coordinator (secretary)
- WSDF Branch Managers
- Representatives from Development Partners contributing to the WSDF program

The Steering Committee shall meet twice a year. Decisions are based on consensus with a quorum of at least 10 members present.

Annex A.3.2.4. Institutional anchorage and budget

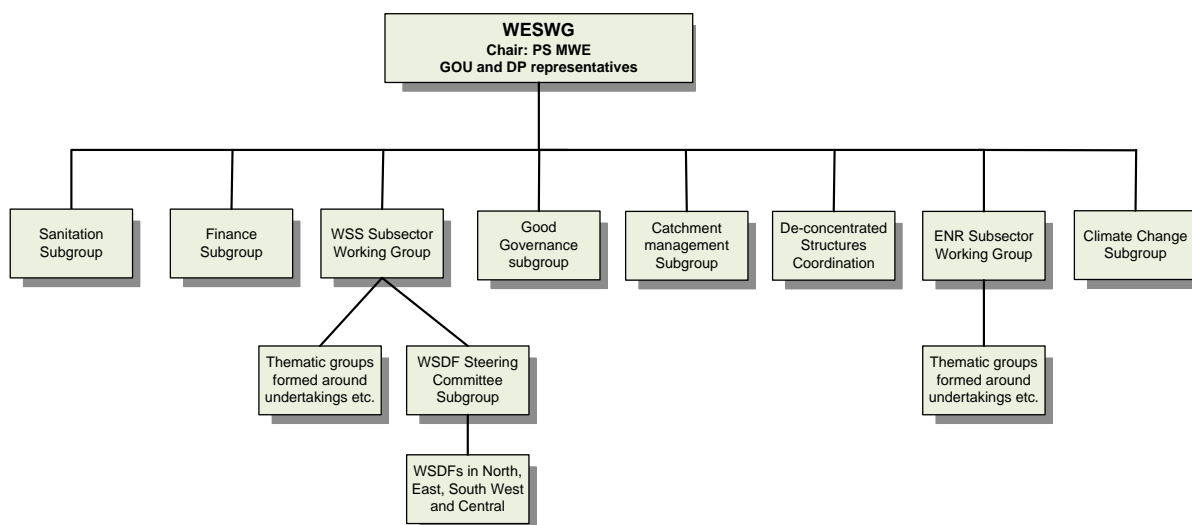
The National Steering Committee (NSC) at DWD is a subgroup of Water Supply and Sanitation Subsector Working Group (see figure XY below). The National Coordination Office is the secretariat to the NSC.

There is no budget implication, meetings are done in-house at DWD.

Annex A.3.2.5. Outputs and modalities of reporting

The NSC reports to the WESWG, of which the institutional set up is provided below. Outputs are:

- Documentation (all inputs and reports provided during the meeting)
- Minutes of meeting are forwarded to WSSSWG
- WSDF National Coordinator (secretary) reports to the NSC



Annex A.3.3. Terms of Reference National Coordination Office (NCO)

Annex A.3.3.1. Specific Objective

The specific objective of the National Coordination Office is to enhance coordination between all WSDFs to avoid discrepancies in implementation approaches and management issues.

Annex A.3.3.2. Functions and activities of the National Steering Committee

The WSDF Coordination Office shall be in charge of the following:

Planning and budgeting

Assist in preparation of harmonised work plans (receive, consolidate, store and disseminate work plans and reports from the Branches).

Policy

Support implementation of decisions that affect all the branches

Management and Coordination

- Provide a one stop centre for all the activities, reports and information of all the WSDF branches
- Provide back up support to WSDF Branch activities such feasibility studies, detailed designs and construction works.
- Organize and provide Secretariat function WSDF coordination meetings
- Provision of the `Secretariat` functions for the National Steering Committee.

Consolidation and further Development

- Coordinate and participate in all undertakings, studies etc. that cut across or affect all branches (sanitation pilots in WSDF-North, asset management project in WSDF-North, development of a data management system in WSDF-Central)
- Foster experience and knowledge exchange, sharing of innovations to continuously improve quality of implementation of hardware (e.g. design quality) and software activities. Actual quality assurance is done by DWD
- Provide a platform for learning from bad experiences to ensure they are not repeated in other branches.

Annex A.3.3.3. Membership and criteria for decision making

An officer within DWD's Planning and Development Unit will be assigned as the WSDF National Coordinator. The National Coordinator will be assisted by 3 other officers:

1. An Engineer: supports the coordinator and all WSDFs in technical aspects
2. An Environmental Health Officer or Social Scientist: supports the coordinator and all WSDFs in all sanitation and software aspects
3. A Monitoring and Reporting officer: supports the coordinator and all WSDFs in fulfilling monitoring and reporting requirements (consolidation of WSDF reports, reaction to comments raised by WSSSWG) to ease overall component reporting processes and thus greatly support the component manager in his/her responsibility to comply with JPF and sector reporting requirements.

Further, a Technical Adviser will be available to all WSDFs and the secretariat to support.

The NCO core team (the Assistant Commissioner, the coordinator and the branch managers) meet whenever the demand arises. Decisions are based on consensus.

Annex A.3.3.4. Institutional anchorage and budget

The National Coordination Office (NCO) is under DWD within the Planning and Development division in the UWSD. The National Coordination Office acts as Secretariat to the National Steering Committee.

Annex A.3.3.5. Outputs and modalities of reporting

The NCO reports to the NSC and in the frame of quarterly Urban Department Meetings. Outputs are:

- Reports to NSC
- Reports to quarterly Urban Department Meeting
- Minutes of meetings.

Annex A.3.4. Terms of Reference Regional Steering Committee (RSC)

Annex A.3.4.1. Specific objective

The specific objective of the Regional WSDF Steering Committee is to provide orientation and overall guidance to the respective WSDF Branch to ensure effective implementation, transparency and equity between districts within the intervention area, in particular to ensure proper implementation of the WSDF principles including:

- Effective internal control of management operations
- Proper and timely presentation of accounts and other reports
- Transparent non-discriminatory procurement procedures and allocation of resources
- Compliance with cross cutting issues – poverty, good governance, gender and environment.

Annex A.3.4.2. Functions and activities of the Regional Steering Committee

- Approve/reject evaluations, rankings and funding decisions of WSDF Branch
- In view of transparency and equity within region:
 - Receive and comment on Audit Reports and Action Plans
 - Monitoring WSDF Branch activities
 - Review annual work plans and budgets and make suggestions how to amend before submission for approval by the Sub-sector working group

- Review financial and physical progress through report submitted by branch manager to RSC (equal to quarterly JPF reports of the previous two quarters).
 - Bring to the attention of the NSC any significant deviations concerning the above analysis.

Annex A.3.4.3. Membership and criteria for decision-making

Representation from the JPF/DWD as well as the participating districts and WSCs/WSSBs, in detail:

- Component Manager (chair)
- Two other DWD staff (one of who must be a member of WSSWG)
- Branch Manager WSDF (secretary)
- 5 Representatives of the participating districts: where office is located (1), RSC venue (1), clustered districts to represent others (3). CAO representatives from each sub-region are elected by the CAOs themselves for a two-year term. Up to three other CAO's are co-opted depending on the level of activities within the district or whether the district is hosting the steering committee meeting.
- Three Representatives of WSC/WSSB
- One representative of the respective Umbrella Organization(s)
- Representatives co – opted from relevant NGOs/CBOs from within the branch
- One representative from each JPF donor supporting the respective branch

Meetings are bi-annually, tentatively in December and June. Decisions are based on consensus with a quorum of at least 7 members present.

Annex A.3.4.4. Institutional anchorage and budget

The Regional Steering Committee is a committee under DWD within the Planning and Development division in the UWSD. It reports to the NSC. WSDF Regional Branch shall take care of meeting expenses.

Annex A.3.4.5. Outputs and modalities of reporting

WSDF Branch Manager, secretary, report to the respective RSC. Minutes of meeting are forwarded to NCO who shares and discusses them in the frame of the next NSC meeting. Outputs are:

- Documentation of all inputs given (presentations from respective WSDF, from all other WSDFs, respective TSU and UO as well as any other inputs)
- Minutes of meeting with recommendations on action to be taken.

Annex B. Project Cycle

Annex B.1. Criteria

Annex B.1.1. Criteria for selection of masons for training in ecological sanitation (Ecosan)

The WSDF promotes ecological sanitation technology through community sensitisation and training programmes in order to build capacity at community level. The programme involves selecting and training **two masons** from each rural growth centre of operation.

The programme is intended to promote a cost effective alternative sanitation system that can address the ever increasing land shortage (for sanitation facilities) especially in Rural Growth Centres, avoid contamination of water resources and provide nutrients for the soil.

The programme carries out trainings for masons from the project implementation area, to advocate for, plan, construct, operate, maintain, promote and sensitise communities on Ecological Sanitation technology. The masons will eventually participate in construction of the demonstration units in the rural growth centres where they come from.

The selected masons should have the following:

1. MUST be residents of your town or the closest town/village.
2. MUST have a certificate in masonry work or craftsmanship and present original copies to the facility before training.
3. May have an idea on Ecological Sanitation and if they have been actively involved in Water and Sanitation activities; it should be an added advantage.
4. Should be persons that are easily accessible by the community for which they are to be trained.
5. Must present original copies of their certificates to the area Sub County chief / Town clerk who must approve and forward them for training.
6. Must be ready to assist the facility in promoting and sensitising of communities in ecological sanitation technology.
7. Ready to sign a memorandum of understanding with the facility to ascertain their commitment to work with the facility in promoting ecological sanitation in the respective rural growth centre.

Annex B.1.2. Criteria for selection of households for Ecosan demonstration toilets

As part of the promotional strategy for Ecosan, the WSDF constructs seven demonstration Ecosan toilets in the towns of operation so as to improve knowledge and later adoption of the technology among residents. Seven units are to be constructed in permanent structures.

The following are the criteria for selecting the eligible persons for the demonstration units:

- The WSC shall select the eligible persons from the communities under their jurisdiction.
- One Ecosan unit should be availed to one member of the WSC.
- One politician, residing in the Rural Growth Centre
- One person deemed the poorest of the poor by the WSC.
- A child headed family should also be given priority.

- A Widow or Disabled person should be considered.
- The selected households should be in immediate need of a toilet at the time of establishing these demonstration units. The toilet in use should be getting or is full, collapsing or in a condition that that would warrant the household to immediately use the facility given to him or her. Areas where it is difficult to construct pit latrines should be considered e.g. the Water logged areas, rocky and sandy areas.

General conditions:

- The household shall be responsible for operation and maintenance of the unit and carry out any repairs that are necessary. The project will only provide technical back up.
- The site for the demonstration unit should not be situated far away from the main house. It should preferably be attached to the main house.
- The selected households should be within the rural growth centre and accessible for people who will want to learn about Ecosan and want to see for themselves.
- The household shall provide water to be used in construction their demonstration units.
- The benefiting household shall comply with the regulation that the old pit latrine will be demolished on completion of the Ecosan unit.
- The selected household should be in position to establish a garden (5m x 10m) in their backyard on which Ecosan manure will be applied for demonstration.
- In allocating the units, the WSC should ensure even distribution within the RGC.

Note: The total number of Eco-sans to be constructed for demonstration in each RGC is **seven**. Two will automatically be given to the trained masons.

Annex B.1.3. Criteria for ranking sub-projects

No.	CRITERIA	Score	Weight	Max. score	New score To fit to 100
1	Justification of intervention				
a)	Eligibility (Population size)		3	12	IS (= Individual Score) / 119
	500 – 2,500 (RGC)	1			
	2,501 – 5,000 (RGC)	2			
	5,001 – 10,000 (ST)	3			
	Above 10,000 (ST)	4			
b)	Location (Water stressing)		2	2 (cum. 14)	IS/119
	Wet belt	0			
	Dry belt	1			
c)	Equity (Administration status)		2	6 (cum. 20)	IS/119
	ST / RGC	1			
	Town Board	2			
	Town Council and above	3			
d)	Use Access (A) to point and piped water systems ⁱ		2	10 (cum. 30)	IS/119
	Access between 0.8 – 1.0	1			
	Access between 0.6 – 0.8	2			
	Access between 0.4 – 0.6	3			
	Access between 0.2 – 0.4	4			
	Access between 0 – 0.2	5			
2	Ability/Willingness to pay for water				
a	Water vending (average cost of 20 l jerry can of water)		3	9 (cum. 39)	IS/119

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No.	CRITERIA	Score	Weight	Max. score	New score To fit to 100
	up to UGX 100	1			
	UGX 100 – 200	2			
	Over UGX 200	3			
b	Markets		1	3 (cum.42)	IS/119
	None	0			
	Monthly	1			
	Weekly	2			
	Daily	3			
c	Institutions				
i	Schools		2	6 (cum.48)	IS/119
	No school	0			
	Pupil equivalent below 400 ⁱⁱ	1			
	PE 400 - 800	2			
	PE over 800	3			
ii	Health centers		2	4 (cum.52)	IS/119
	None	0			
	Out-Patients	1			
	In-Patients	2			
iii	Other institutions e.g. offices, police, army, prisons		1	1 (cum.53)	IS/119
	NIL	0			
	Yes, there is at least one such institution	1			
d	Administration centre		1	2 (cum.55)	IS/119

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No.	CRITERIA	Score	Weight	Max. score	New score To fit to 100
	Sub - county	1			
	District	2			
3	Nature of the Intervention				
a	Extent of the intervention		2	10 (cum.65)	IS/119
	Rehabilitation to restore status but no new unserved people (1))	1			
	Rehabilitation & Extension up to 3 km to unserved 100+	2			
	Extension up to 3 km to unserved 100+ people	3			
	Over haul (complete replacement of infrastructure)	4			
	New construction	5			
b	Average number of households to benefit per km of pipeline ⁱⁱⁱ		3	9 (cum.74)	IS/119
	Scattered (under 20)	1			
	Medium (between 20 - 50)	2			
	Concentrated (over 50)	3			
4	Sanitation Problems				
a	Functional drainage channels for rainwater; Present (0), Absent (1)	1	2	2 (cum.76)	IS/119
b	Functional designated collection site in town: Present (0), Absent (1)	1	2	2 (cum.78)	IS/119
c	Functional designated disposal site: Present (0), Absent (1)	1	2	2 (cum. 80)	IS/119
d	Excreta disposal facilities for households (majority):		1	3 (cum. 83)	IS/119
	Ecosan, water flushed, VIP latrine (including				

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No.	CRITERIA	Score	Weight	Max. score	New score To fit to 100
	lined pit)				
	Pit latrine (not lined)	2			
	No latrine	3			
e	Soil condition for construction of pit latrines in general: poor =1 okay =0	1	2	2 (cum. 85)	IS/119
f	Has there been an outbreak of cholera, hepatitis B, typhoid in last 12 months; Yes (1), no (0) ^{iv}	1	5	5 (cum. 90)	IS/119
5	Co-funding		5	5 (cum. 95)	IS/119
	Sub-county has no budget for co-funding	0			
	Sub-county has budget for co-funding ^v	1			
6	Per capita Investment cost in USD		4	12 (cum. 107)	IS/119
	Above 75	1			
	56- 75	2			
	Below 55	3			
7	Complexity of technology to be used		2	12 (cum.119)	IS/119
a	Surface water, Pumping scheme (SP)	1			
b	Surface water, Gravity flow scheme (SG)	2			
c	Shallow Well (SW)	3			
d	Deep Well (DW)	4			
e	Protected spring source, Pumping scheme (PP)	5			
f	Protected spring source, Gravity flow scheme (PG)	6			
				119	IS/119

Access (A) has been calculated as:

$$A = \frac{\text{Total number of people served by point and piped water supplies}}{\text{Total population}}$$

The number of people served is calculated from the available water points and piped water supplies as follows:

Number of users per water point:

- Protected spring: 200
- Shallow well: 300
- Deep borehole: 300
- Rainwater harvesting tank, < 10,000 litres: 3
- Rainwater harvesting tank, > 10,000 litres: 6

Number of users per piped water supply:

- House connection: 6
- Yard tap for private use: 24
- Yard tap for public use: 150
- Public stand post / kiosk: 150
- Institutional connection: 100

(Source: Uganda Water Supply Atlas, 2010, MWE, p. 7)

Boys (day) are counted as single pupil equivalent. Teachers are considered as 5 pupil equivalents. Girls (day) are counted as two pupil equivalents. Boarding pupils are counted as five pupil equivalents each.

(Source: Operations Manual for the Water and Sanitation Development Facility, January 2009, DWD, MWE, p. 19)

A detailed, scaled map of the proposed project area should be provided

Official evidence of outbreak should be provided, signed and stamped by the TC / relevant authorities, for instance evidence from the clinic, hospital.

Specify the funding and estimated costs, where possible.

Annex B.2. RGC/ST application procedures

Annex B.2.1. Form of advertisement

WSDF (Regional) Branch under the Directorate of Water Development intends to finance construction, extension or rehabilitation of water and Sanitation supply systems in Small Towns and Rural Growth Centres within their area of jurisdiction; which includes the districts of (list of regional target districts).

Eligible Small Towns and Rural Growth centres are defined as trading centres with population between 5,000 and 15,000 and population between 500 and 5,000 respectively.

The scope of funding of these systems shall, on condition that the communities express their demand through application for the service (phases), cover the following:

- Support for the planning, design, documentation and preparation of tender documents.
- Support for construction of water and sanitation facilities
- Establishment of operation and maintenance structures.

Service levels envisaged under the scheme shall comprise house connections, yard taps and public stand posts / water kiosks.

Applications are therefore invited from eligible Small Towns (STs) or Rural Growth Centres (RGCs) for consideration for funding water and sanitation services with a potential for a piped water system. Application forms are available at District water offices and be returned to the same office for submission to WSDF.

STs and RGCs which submitted applications during previous calls need not re- apply. However, they can update relevant Town a data on the provided form.

In particular communities shall comply with the following provisions:

Identify the proposed source(s) of water

- Acquire land for all developments necessary.
- Provide a cash contribution of UGX 50,000/= per water kiosk and yard connection. People with private connections will make their personal contribution of 50,000 shillings as a connection fee while the contribution for the public kiosks will be contributed by the community as a whole.
- Form a functional Water and Sanitation Committee with emphasis on gender balance. This should aim at meeting 100% of the operation and maintenance costs of the systems
- Join a Water and Sanitation Umbrella organisation
- Sign MoU with the funding party and the District

Deadline for applications is.....

Annex B.2.2. Letter of Selection



Government of Uganda
Ministry of Water and Environment
Directorate of Water Development

To:..... ST / RGC

RE: APPROVAL OF REQUEST FOR FUNDING

We refer to your application dated requesting for funding of your scheme..... (name of scheme).

This is to inform you that the steering committee ondiscussed and approved the funding of your scheme starting this calendar year. Our preliminary feasibility studies show that your scheme components on which funding will be based are as follows:.....

Attached here with is a copy of the MoU that will be signed between you and the WSDF. The community will be required to meet their obligations listed in the MoU hence are availed to you for consideration. .

The Water and sanitation development Facility team will contact you soon to discuss further the way forward and gain understanding of the programme.

Signed

WSDF –(region) Branch Manager



Annex B.3. Application forms

Annex B.3.1. Application forms for new schemes only



Government of Uganda

Ministry of Water and Environment

Directorate of Water Development

Application Forms for New Schemes

1. General information

- a. Name of rural growth centre/small town
- b. District.....
- c. Sub-county.....
- d. Parish(es)
- e. Village(s).....

2. Current water sources

Indicate by filling in the space provided below.

No	Name of the current water source	Use the following source types only: protected spring, shallow well, deep borehole, rainwater tank with less than 10,000 liters, rainwater tank with more than 10,000 liters
1		
2		
3		
4		
5		
6		
7		
8		

If there is a piped water system present, fill in the following table.

No	Type of connection	Number
1	House connection	
2	Yard tap for private use	
3	Yard tap for public use	
4	Public stand post / water kiosk	
5	Institutional connection	

If water is sold per jerrycan, what is the cost of ONE jerrycan (of 20 liters)? Answer:

3. Population

a) Household population to be served

No	Name of village within project area	Number of households	Population		
			Men	Women	Total
1					
2					
3					
Total					

b). Boarding Schools.

No.	Name of school / College within project area	No. of pupils / students		No. of teachers /		Total
		Boys	Girls	Men	Women	
1						
2						
Total						

c). Day schools.

No.	Name of school / College within project area	No. of pupils / students		No. of teachers / workers &		Total
		Boys	Girls	Men	Women	
1						
2						
Total						

d). Health centre/Dispensary/Private and government clinic / Hospital (if any)

No	Name of health centre a o	Average no. of patients per day	No. of workers & dependants	Total

	in project area	In patients	Out patients		
1					
2					
	Total				

e). Other institutions, (e.g police, barracks, prisons, markets, etc)

No	Name of village within project area	Population		
		Men	Women	Total
1	Sub-county or town council			
2	Police barracks/station			
3	Army barracks/detach			
4	Prison			
	Total			

f). List down the number of hotels, lodges, restaurants, & indicate number of people who visit these places for a hotel, lodge and or restaurant daily.

No	Name of institution within project area	Type of institution	No. of customers per day
1			
2			
3			
4			

g).Total population in Small Town or Rural Growth Center, so including the areas that are NOT to be served in the project

No	Name of village	Number of households	Population		
			Men	Women	Total

3. Nature of intervention

Give details of the proposed technical intervention in a separate document, like Like kind of proposed water scheme (pumping, gravity flown) kind of water source (surface water, shallow well, deep well, protected spring), what technology used for transport.

Including a detailed, scaled map of the proposed project area.

Extent of the intervention	Yes	No
Rehabilitation to restore status but no new unserved people (1))		
Rehabilitation & Extension up to 3km to unserved 100+		

Extension up to 3km to unserved 100+ people		
Over haul (complete replacement of infrastructure)		
New construction		
Average number of households to benefit per km of pipeline	Yes	No
Scattered (under 20)		
Medium (between 20 -50)		
Concentrated (over 50)		

4. Sanitation problems

Drainage and waste disposal	Present	Absent
Functional drainage channels for rainwater:		
Functional designated collection site for solid waste in town:		
Functional designated disposal site for solid waste:		

Excreta disposal facilities for households	Present	Absent	If present, indicate percentage to total households
Ecosan, water flushed, VIP latrine (including lined pit)			
Pit latrine (not lined)			
No latrine			
Total:			100%

Soil condition	Poor	Okay
Soil condition for construction of pit latrines in general:		

Outbreak of specified diseases	Yes	No
Has there been an outbreak of cholera, hepatitis B, typhoid in last 12 months		

5. Co-funding

Is the project to be co-funded? If so, give details below. Including elaboration on availability of budget
Give details:

Signed by:

Opinion Leaders:

No.	Name	Village	Signature
1			
2			

Officials (Chairpersons of LC I, II, III, Parish Chief, Sub-county Chief, etc.)

No	Name	Village	Signature & stamp
1			
2			

Date:

TO BE FILLED BY THE DISTRICT WATER OFFICER

Comments:

Name & Signature Date.....

Annex B.3.2. Application form for update of ST/RGC information



Government of Uganda
Ministry of Water and Environment
Directorate of Water Development

1. New water sources constructed / identified in the ST/RGC

No	Name of the water source	Source Type (protected or unprotected spring, river, lake, hand dug well, earth dam, borehole, pond, etc)	Distance (km) from the trading centre
1			
2			

2. Population update

No	Name of Village	Number of Households	Population		
			Men	Women	Total
1					
2					
Total					

3. Institutions update

No	Type of institution	Name of institution	Population		
			Men	Women	Total
1					
2					
Total					

Annex B.3.3. Application form for rehabilitation / refurbishment / extension of existing supplies



**Government of Uganda
Ministry of Water and Environment
Directorate of Water Development**

4. Location information / community identification

Name of ST or RGC		District	
Sub-County		Parish and Village	

5. Present situation

Type of Scheme (Gravity flow or pumped using – solar/diesel/grid)			
Year of Commissioning			
Location of source(s) (in UTM)	Proposed additional sources (
Approx dist to demand centres			
Approx output [m3 per day]			
Water quality data:			
Taste: Good / bad (describe:)	Colour No colour / colour (describe:)	Quality tests done Yes / No. If Yes, attach data	Source protection Yes / No
Available land around intake: by metres.		
Fenced and afforested?	Yes / No / details		
Water supply system management (Include information on WSSB, Operator, current tariff, metered or not)			
Average walking distance to collection points			
Any problems using the current points			
Measures to overcome the problems			

Implementing Agency of current supply	
Community contribution	

6. Proposed intervention

Description of intervention required	Population served previously	Population to be served
A Defunct Scheme: We request overhaul		
B Non-functional piped scheme: We request for improvements & extension to serve more people.		
C Functional scheme. We request for rehabilitation & improvement to increase the service level		
D Sanitation facility at public place		
E Training		
F Other (specify)		

7. Current water supply situation (description)

--

8. Population & demand

Institution	No. of facilities in ST/RGC	Population estimate		Total
		Male	Female	
Households				
Day schools				
Boarding school				
Health institutions				
Daily markets				
Weekly or monthly markets				
Others (police, hotels, etc. specify)				

9. Socio-economic situation (ability and willingness to pay)

Service	Availability	Approximate no. of	Cost of service	Average earning of
---------	--------------	--------------------	-----------------	--------------------

Annex B.3.4. Application for construction phase by community



**Government of Uganda
Ministry of Water and Environment
Directorate of Water Development**

In accordance with our signed MoU dated....., We, the community of.....ST/RGC,District,Sub- county, Parish, and.....Village, hereby confirm our acceptance of the designs presented to us by the design engineer and consequently submit our application for funding the construction of the scheme.

Attached herewith is proof our compliance with our obligation in accordance with the MoU :

Item	Yard stick for compliance what should be filled here?	Proof of compliance
Cash contributions – connections		
Cash contributions – initial O&M		
Land Ownership		
Membership of SWUWS		
Bank Account details etc		
Monitoring committee.		

Signed by:

Opinion Leaders:

No	Name	Village	Signature
1			
2			

Officials (Chairpersons of LC I, II, III, Parish chief, sub-county Chief, etc.)

No	Name	Village	Signature & stamp
1			
2			

Date:

TO BE FILLED BY THE DISTRICT WATER OFFICER

COMMENTS:

Name & Signature Date.....

 Austria
Development Cooperation



Annex B.3.5. Application for a private connection

This form will enable the Engineer and the applicant for private connection to technically analyse the feasibility of private connection. It should be noted that not all applicants are eligible. If the applicant does not fulfill all requirement as per this form, then no connection shall be done.

Application forms **must** be filled and submitted within two months, starting with the date the contract agreement for construction works is signed (.....). Payments are to be made to the Water and Sanitation Committee in a month's time from the date of approval of the application.



Government of Uganda

Directorate of Water Development

WATER AND SANITATION DEVELOPMENT FACILITY (WSDF) -

PRIVATE CONNECTION APPLICATION FORM

This form will enable the Engineer and the applicant for private connection to Technically analyse the feasibility of private connection.

It should be noted that not all applicants are eligible. If the applicant does not fulfill all requirement as per this form, then no connection shall be done. Application forms **must** be filled and submitted within two months starting with the date the contract agreement for construction works is signed (.....). Payments to be made to the Water and Sanitation Committee in a months time from the date of approval of the application.

<p>1 Name of Applicant</p> <p>Address</p>			
2 Description of Applicant:			
		Population	Distance from Distribution line (meters)
Private House	<input type="text"/>	<input type="text"/>	<input type="text"/>
Institution	<input type="text"/>	<input type="text"/>	<input type="text"/>
Community	<input type="text"/>	<input type="text"/>	<input type="text"/>

3 Terms and Conditions

		YES	NO
Household Connection:			
(i) In house Connection	Accessible Septic Tank	<input type="checkbox"/>	<input type="checkbox"/>
	Altitude of the house in ref. To R/Tank	<input type="checkbox"/>	<input type="checkbox"/>
	Pit latrine with sanplat / Eco-san toilet	<input type="checkbox"/>	<input type="checkbox"/>
	Compost pit	<input type="checkbox"/>	<input type="checkbox"/>
	Drying rack	<input type="checkbox"/>	<input type="checkbox"/>
	Bathshelter	<input type="checkbox"/>	<input type="checkbox"/>
(ii) Yard Connection	Altitude of the house in ref. To R/Tank	<input type="checkbox"/>	<input type="checkbox"/>
	Pit latrine with sanplat / Eco-san toilet	<input type="checkbox"/>	<input type="checkbox"/>
	Compost pit	<input type="checkbox"/>	<input type="checkbox"/>
	Drying rack	<input type="checkbox"/>	<input type="checkbox"/>
	Bathshelter	<input type="checkbox"/>	<input type="checkbox"/>
	Institution:		
	Pit latrine with sanplat / Eco-san toilet	<input type="checkbox"/>	<input type="checkbox"/>
	Compost pit	<input type="checkbox"/>	<input type="checkbox"/>
	Altitude of the institution in ref. To R/tank	<input type="checkbox"/>	<input type="checkbox"/>
	Distance from the Distribution line	<input type="checkbox"/>	<input type="checkbox"/>
	Water Demand	<input type="checkbox"/>	<input type="checkbox"/>
Community:			
	Altitude of the community area in ref. To R/Tank	<input type="checkbox"/>	<input type="checkbox"/>
	Pit latrine / Eco-san toilet	<input type="checkbox"/>	<input type="checkbox"/>
	Compost pit	<input type="checkbox"/>	<input type="checkbox"/>
	Drying rack	<input type="checkbox"/>	<input type="checkbox"/>
	Bathshelter	<input type="checkbox"/>	<input type="checkbox"/>
	Water Demand	<input type="checkbox"/>	<input type="checkbox"/>

Note:

For all Private connections, the water users **must** agree to the following conditions:

(a) Agree that you will always allow our technical team to inspect your premises whenever it is deemed necessary

(b) Agree to always pay for water and sewerage services offered at a rate established by the Water and Sanitation Board

(c) Agree to pay a connection fee of Ushs.50,000 to the Water and Sanitation Committee
(Payments to be made after the application is approved)
and obtain a receipt as a proof of payment.

(d) The project shall meet full connection costs up to 100 metres from the distribution line only. Applicants located beyond 100 metres from the distribution line shall meet all extra costs.

(e) Applications must be received within a period of two months from the date of agreement signing with the contractor.

I agree with all the conditions set and I will do everything in my capacity to protect, conserve and put to proper use all facilities .

Name of Applicant.....

Signature.....

Date.....

For official use only

REMARKS BY THE WATER AND SANITATION COMMITTEE

.....
.....
.....

Name and Signature:

Date:.....

REMARKS BY THE PROJECT ENGINEER

.....
.....
.....
.....

Name and Signature:

Date:.....

Annex B.4. Handover / commissioning forms

Annex B.4.1. Record of handing over / commissioning to a district



Government of Uganda
Ministry of Water and Environment
Directorate of Water Development

We the undersigned confirm the handing over of water supply facility in good condition, by

Water and Sanitation Development Facility (Regional) Branch, to District Local Government.

At the time of handover, has been appointed as the interim operator pending a decision by the WSC/WSSB.

At the time of handover, the following documentation is handed over to WSSB:

- Test running report
- Operation and Maintenance manual
- As-built drawings
- Training report for the operator
- Others (tools, spares, bicycles etc)

In accordance with the MoU signed with the community, dated....., all parties dissolve all claims arising from that MoU.

Signed by all parties

For the District Local Government:

Chief Administrative Officer			
	Name		Signature

In the presence of:

Name Signature

Name Signature

For the WSDF:

Branch Manager			
		Name	Signature

In the presence of:

Name Signature

Name Signature



Annex B.4.2. Record of handing over / commissioning to a Water Authority

We the undersigned confirm the handing over of Water supply facility in good condition, by Water and Sanitation Development Facility.....(Regional) Branch to WSC/WSSB.

At the time of handover, the WSC/WSSB has appointedas the interim operator.

At the time of handover the following documentation is handed over to WSSB;

- Test running report
- Operation and Maintenance manual
- As –built drawings
- Training report for the operator
- Others (tools, spares, bicycles etc)

In accordance with the MoU signed with the community dated....., all parties dissolve all claims arising from that MoU.

Signed by all parties:

For the WSC/WSSB:

Chairperson of the WSC / WSSB			
	Name		Signature

In the presence of

Representative of the
Umbrella Organization

	Name	Signature
	Name	Signature

For the WSDF/District:

Appointed Representative			
	Name		Signature

In the presence of:

	Name	Signature
	Name	Signature



Annex B.5. Guidelines and Tools

Annex B.5.1. Guidelines for self-evaluations

Objectives	<ul style="list-style-type: none"> To carry out a comprehensive, systematic analysis of WSDF activities and results for the past year. To identify the strengths and weaknesses of WSDF and therefore determine the actions that shall be undertaken to improve or reinforce the improved performance.
Approach	<ul style="list-style-type: none"> Team-building approach to adopted, where the whole management team together analyse and criticize their performance, and together develop solutions.
Methodology	<ul style="list-style-type: none"> Solicit feedback on WSDF performance from stakeholders, through unsigned questionnaires. Prepare position papers by department, analyzing outputs against planned. Each department to identify the gap between the desired performance and actual performance. Also to identify “gap closing” strategies. Arrange meeting for presentation of position papers, develop solutions and recommendations. Prepare self evaluation report.
Activities	<ul style="list-style-type: none"> Identify targets and outcomes for the period under review, broken down by department Circulate the targets/outcomes for critical review by stakeholders. Request for submissions from stakeholders identifying areas where stakeholders would like to see improvements or areas where the performance was impressive. Disseminate stakeholder desires to all staff in WSDF. Each department to sit as a team and prepare position paper on targets/outcomes. Position papers shall address: <ul style="list-style-type: none"> Actual underperformance (and excellent performance where appropriate) recorded in implementation of projects i.e. timing, cost, quality. Reasons for each. Strengths and weaknesses Opportunities and threats, their impact on WSDF and their likelihood of happening. Way forward. A meeting is then held to present position papers. Position papers are presented by department heads, discussed and adopted/rejected by the whole meeting. (An external facilitator is to be appointed to enable all participants to present and interact freely as equals). A panel is elected to prepare the final self evaluation report. Self Evaluation report is to be owned by the WSDF, and therefore signed off by all departments. Present report to Steering Committee for comment/discussion and forward to PMC.
Outputs	<ul style="list-style-type: none"> Self Evaluation report comprising record of implementation for the reporting period, an explanation for the shortcomings/successes and plan for improvement of performance.

Annex B.5.2. Guidelines for external evaluations

Objectives	<ul style="list-style-type: none"> • To evaluate and record how WSDF projects/activities are being implemented. • Determine cost effectiveness of the implementation of the projects. • Recommend corrective measures for achieving the long term goals of WSDF.
Approach	<ul style="list-style-type: none"> • The team shall engage all stakeholders in the assessment, • The team shall derive its conclusions only based on the field observations and evidence gathered during interaction with stakeholders. • Recommendations should be kept practical and to follow strictly the DWD/JPF guidelines.
Methodology	<ul style="list-style-type: none"> • The team shall use • Documentary reviews for manuals, guidelines etc. • Review of records: Minutes of meetings, reports, correspondences and vouchers. • Structured interviews with stakeholders. • Questionnaires • Focus group discussions
Activities	<ul style="list-style-type: none"> • The team will • Critically Review the progress of the implementation of projects as planned and as actually recorded, • Internalise the DWD/JPF/GoU provided guidelines/ procedures for WSDF • Physically inspect WSDF implementation processes, including: • Check that procedures are in place, and are being used consistently • Check that all stakeholders - including beneficiaries and districts are consulted. • Check that all payments are properly authorized . • Check that contract management is properly set up and practiced • Sample implemented projects to verify quality of works • Offer specific assistance/technical support to WSDF management on observed shortcomings • Prepare a report on the evaluation detailing • Assessed actual progress against planned • Shortcomings/successes in implementation • Assess capacity of WSDF management to implement projects • Make recommendations to improve performance of WSDF, its management. • Recommend improvements in policy, manuals and guidelines. .
Team composition	<ul style="list-style-type: none"> • One representative each from MWE, MoLG, MoFPED Development partners. • DWO from one district and a participating WSC to be co-opted to the team during visit to WSDF
Skill requirements	<ul style="list-style-type: none"> • Engineering/project management, social scientist, Accounts/Audit experience,
Deliverables	<ul style="list-style-type: none"> • Evaluation Report.

Annex B.5.3. Guidelines for selection of a scheme operator

The Invitation for proposals from the private sector and procedure shall follow the latest DWD issued standard document on “Invitations For Proposals for Management Contract for the Provision of Water Supply System Operations Services.”

The following amendments may be made:

Eligibility	<ul style="list-style-type: none"> • For eligibility criteria, apart from the usual nationality, legal and tax requirements, add the following conditions: • Applicants should have no conflict of interest relationship with the client or with each other. • Membership of the association of Private Water Operators for larger schemes.
Technical responsiveness	<ul style="list-style-type: none"> • The client may consider: • waiving the requirement for proposal security, Powers of attorney (and Joint venture agreement) for smaller schemes, • waiving the requirement for Tax clearance certificates and audited accounts for natural persons and CBOs (micro schemes), • setting a percentage of revenue collections as management fee so that competition is limited to technical proficiency for smaller schemes. • setting experiential/training requirements for applicants who are natural persons and CBOs
Financial responsiveness	<ul style="list-style-type: none"> • Add a clause for applicants to demonstrate access to financing, for larger schemes.
Preparation of Business Plans	<ul style="list-style-type: none"> • The client may retain the responsibility for preparation of business plans for micro schemes.

Annex B.5.4. Guidelines for selection of a Water and sanitation Committee (WSC)

The goal of the Water and Sanitation Development Facility (WSDF) is to provide safe water supply and sanitation facilities based on management responsibility and ownership by users, within easy reach of the population in the selected growing centres in the South Western Region of Uganda. Community involvement is therefore emphasized right from planning, design, implementation, to operation and maintenance.

Gender: Women are directly affected, concerning water and sanitation matters in households. They are largely responsible for all household tasks and are agents of positive behaviour modification in use of improved facilities. Since women are the key influential persons in behaviour change, and main promoters of hygiene practices their active involvement in the interventions is needed to be able to increase the impact.

The facility principle, therefore, is to have women represented for **at least 50% in WSCs, and in leading positions.**

Composition: During implementation, the WSC is charged with planning, implementation and monitoring of water and sanitation activities. They hold the task of ensuring that the community is fully mobilized to meet the community obligations and about the ongoing project activities. This requires a number of persons. of theThe WSC therefore should be comprised of: 1 Chairperson, 1 Vice Chairperson, 1 Treasurer , 1 Secretary and 7 Committee Members. The WSC must be a reflection of the community. All stake-holders must be represented on the committee. The persons should be drawn from within the water area.

Election of WSC: All members of the community that is to benefit water and sanitation facilities elect the WSC. The relevant authority in the area (usually the Sub county leadership) must spearhead the formation of a WSC for the town water supply.

Annex B.5.5. Guidelines for writing a community history

Introduction

In instituting water, sanitation and environmental activities within its town of operation, WSDF branches require that communities document their experiences before project intervention. A community history as pertains to water, sanitation and environment is among the community obligations. It is meant to help community members remain conscious of their situation before project intervention on the various aspects. This is believed to instil into the community the zeal to maintain the facilities constructed under the project, and to take seriously the lessons learnt. This history will be kept at the project town's office for future reference to be availed to visitors of the scheme in the future, as situations may demand.

In writing history of the community, the major areas that should be focused on are water supply, sanitation, environment and gender. More specifically, the following should be looked at:

Water supply:

- The major sources that the community relies on for supply of water. Mention the types of sources e.g. lakes, rivers, springs, boreholes, ponds, streams, dams etc.
- Specify the area in which the source is located e.g. 2 springs found in Katoma and Murole villages. State whether you find them enough for your community.
- If more than one source in an area, talk about which source is preferred. Also mention whether water from all sources is used for the same purpose.
- How do the various institutions in the community access water?
- What is the Hygiene around those sources, or has the community been having diseases related to the use of unsafe water? Specify the diseases.
- Has any organization or Project come into the community to improve on the sources prior SWTWS Project? If yes, give the name of the Project(s), the year, and what exactly did it/they do? Was it a borehole, a protected spring, a gravity flow, etc.
- Contact of other organizations that may have wanted to develop a similar system, actions taken and what happened.
- Did the community contribute anything towards the construction of either of the above? Write stating what the community contributed.
- How then were the schemes maintained? Who carries out the repairs? Are they still existent? If no what led to their failure?

Water Fetching:

- Talk about which group of people (Men, Women, boys, girls) fetch water in the community, and mention purpose of water fetched (domestic use, water vending, business etc). Do they actually play any role in maintaining your water sources?
- Indicate the average walking distance of users to the mentioned source(s)
- Mention whether there are people who fetch water at a fee (water vending). At what cost does one get a jerry-can of water? What type of people in the community gets water from the vendors?
- Describe containers used to fetch water.
- Describe how the community handles water for drinking, and describe the containers used.

Sanitation:

- Sanitation situation within the community.
- Personal hygiene; washing clothes, bathing, trimming hair etc.

- Talk about the sanitation standard in the community. Do households have components of good sanitation, Pit latrines, Sanplat, Composts Pits, Drying Racks, and generally what is the hygiene around the homes?
- Mention the types of latrines / toilets in the community, and talk about Sanplat coverage in the community? Mention from which source the community gets the sanplats.
- Mention the diseases rampant in the community, and possible causes.
- What is the role of the LC's in ensuring good sanitation in the homes?

Environment:

- Agro forestry practice in the community, site the situation prior to project intervention, during construction and present situation.
- Talk about any projects, NGO's that have promoted environmental protection in the area, and talk about their areas of emphasis. Mention community reactions to the programmes.
- Talk about the practice of bush burning in the community.

Gender:

- Describe the roles and responsibilities of men and women in the community.
- Talk about the composition of men and women in leading positions in the Community. Mention community perceptions about it.
- Community responsiveness to meetings / programmes (men and women).
- Brief on gender programmes within the community and people's reactions.

Annex B.5.6. Guidelines for writing a land agreement

1. Put the real address of the Cell and Local Council I where the land is located.
2. It should bear the date on which this agreement was signed.
3. The Title of the Agreement Should be specific bearing exactly the Subject of the Agreement.
4. It Should Bear the Name of the Original Land Owner
5. It should give the clear Descriptions of the land in terms of location, measurements, and neighbours on the left hand side, right hand side, at the top and at the bottom.
6. It should say to whom the land has been given (the new owner) and for what purpose is the land being given.
7. It should specify whether the land has been given for free, or if bought it should talk about the cost, or if exchanged it should talk about the particulars of the exchanged land.
8. It should state that apart from what has been mentioned in Number 6 above the land has no other conditions whatsoever attached.
9. It should have the signature of the Original Land Owner.
10. It should have the signature of the New land Owner.
11. It should have the signatures of the Witnesses.
12. It should have the signature of the area LCI Chairperson
13. It should bear the stamp of the LCI Chairperson.

Annex B.5.7. Guidelines for selection of Water Supply and Sanitation Boards (WSSB)

Definition of a Water Supply and Sanitation Board (WSSB)

The WSSB is a five-member team appointed by the LCIII Council to manage Operation and Maintenance (O&M) of the constructed water and sanitation systems. The Board ensures smooth running of O&M for sustainability of the constructions.

Roles and Responsibilities of WSSB

- Select, pay, and supervise the Scheme/Private Operator
- Approve private connections and expenditure of the scheme
- Supervise sanitation activities
- Represent the community in contacts with government/MWUWS
- Plan for water and sanitation scheme activities
- Ensure effective collection of funds for use in O&M
- Keep accurate financial and technical records on O&M (budgets, cash book, income and expenditure etc)
- Promote hygienic and effective use of facilities
- Hold regular WSSB meetings
- Inform and sensitize community.

Composition of WSSB

The board is composed of five persons:

- Three persons drawn from the water users
- The Sub-County Chief /The Town Clerk (Office)
- The LCIII Councillor responsible for water and Sanitation (Office)

Upon appointment of the three persons from the user community, the WSSB at their first meeting elect a Chairperson, Secretary and Treasurer amongst themselves and set rules for managing the scheme.

Criteria for selecting WSSB:

Gender: Gender considerations are vital in appointing WSSB members. Women are directly affected, concerning water and sanitation matters in households although they are often left behind in leadership positions. Atleast one member of the three appointed from the community shall be female.

Reflection of community: The three persons drawn from the community onto the WSSB must reflect the entire water user community. All stakeholders must be able to have identification with these individuals since they represent the user community. These persons should be drawn from within the water area.

Dedication: The individual selected should be one who is dedicated to community work, honest, trustworthy and one who commands community respect.

Appointment of WSSB

The relevant authority (Sub County Council) appoints the three persons from the community. The Sub County Chief and Councillor in charge of water and sanitation represent their offices.

Term of Office

The term of office for the WSSB is three years. However, the council should always review performance of the Board each year.

Annex B.5.8. As Built Drawing Checklist

The following checklist must be attached to each set of as-built submitted for approval.

	Infrastructure Description	Notes and Explanation
A	WATER SOURCE	Plan and section drawings of spring/ intake work, Location, Elevation, Area of protected source area(m ²)
	Source type (<i>Spring, Borehole, River, Lake, Swamp, etc</i>)	
	Plan and section drawings of spring/ intake work	
	Position X,Y	
	Elevation (m.a.s.l)	
	Layout plan of the protected source catchment(<i>This to include the fenced area</i>)	
	Source yield/Capacity (m ³ /h)	
B	TREATMENT PLANTS	Location; components; elevations; plan layout; drawings
	Position (XY)	
	Elevation (m.a.s.l)	
	Plan Layout (<i>line drawings</i>)	
	Section Drawings of built units (Include all dimensions)	
C	PIPELINE	Profiles and layouts
i	Pipe	Locations; materials; depths or elevations; at 30m maximum intervals and all utility crossings; lengths; and diameters.
	Nominal Diameter	
	Material (GI, Cast Iron, HDPE, PVC, etc)	
	Installation Date (mm/yy)	
	Pressure Class (PN6,PN10,PN16, PN20 etc)	
	Position X,Y	
ii	Valve	Locations; type; and alignment.
	Position X,Y	
	Installation Date	
	Valve Type	
	Activation Pressure	
	Nominal Diameter	
	Special Function	
iii	Function List	
	Motorized	
	Clockwise Close	
	Hydraulic	
iv	Hydrant	Locations; type; and alignment
	Position X,Y	
	Installation Date	
	Orifice Level	
v	Water Meter	
	Position X,Y	
	Installation Date	
	Meter Serial Number	

	Infrastructure Description	Notes and Explanation
	Diameter	
	Meter Type and Make (<i>e.g. Velocity:venturi, orifice,turbine, magnetic, propeller, multi-jet, Positive displacement, compound etc</i>)	
	Meter Brand Name (<i>e.g. Kent</i>)	
vi	End Cap	
	Position X,Y	
	Diameter	
vii	Pipe Material	
	Galvanized iron (GI)	
	Cast Iron	
	High Density Polyethylene (HDPE)	
	Polyvinyl Chloride (PVC)	
	Unplasticised Polyvinyl Chloride (PVC-U)	
	Modified Polyvinyl Chloride (PVC-M)	
viii	Valve Type	
	Air Release	
	Backflow Prevention	
	Butterfly	
	Gate	
	Motorized	
	Non-return	
	Pressure Reducing	
	Pressure Relief	
	Pressure Sustaining	
	Sluice	
ix	Fitting Type	
	Cross	
	Joiner	
	Reducer	
x	Taps(Yard, Public)	Position, Elevation, Name of user for Private Yard and No. for public.
	Position (X,Y)	
	Elevation (m.a.s.l)	
	Name of the user/beneficially	
D	PUMP STATION	Location, Elevation, Layout plan, Main Source of Power
	Position X,Y	
	Station Components (<i>Pump house, Power Source; Grid, Diesel Generator, Solar, Wind</i>), Pumps)	
	Diesel Generator Backup	
	Pump Station Name	
	Pump Function (Booster,	
	Pump Type (<i>Positive displacement, Rotodynamic, etc</i>)	
	Pump Brand Name (<i>Grandfos, KSB, etc</i>)	
	Pump Capacity	

	Infrastructure Description	Notes and Explanation
	Pump Number	
	Installation date	
	Power rating (Kw)	
	Discharge (m ³ /h)	
	Pumping Head Rating (m)	
E	PHOTOVOLTAIC PUMPING SYSTEMS (PVPS)	
	Location (X,Y), Also indicate the Hemisphere (North/South)	
	Altitude (m.a.s.l)	
	Installation Layout plan	
	Azimuth Angle	
	Number of Panels	
	Power rating of panels	
	Inverter Capacity, type and make	
	Section drawings showing installation details.	
	Wiring plan/network(Line diagram)	
F	RESERVOIRS	Locations; Capacity (m ³ , D _{in} , H _{eff} , L), materials; elevation above sea level; Tank Base above ground; Type of support; Wall thickness, inactive volume.
	Position X,Y and extent	
	Installation Date	
	Reservoir Name	
	Reservoir Number	
	Capacity (m ³)	
	Internal Diameter(D _{in}) for cylindrical or circular tanks	
	Length (L)	
	Effective height (H _{eff})	
	Materials Make (RC, Steel, Plastic, Stones or Bricks)	
	Elevation above sea level	
	Tank base above ground	
	Type of support	
	Wall thickness	
	Inactive volume	
	Plan Layout including fence(Fence material, and dimensions)	
G	OFFICE BLOCK (Water Office Block)	Location; Elevations (Front, Rear, side L&R, Top view); Plan with relevant sections; Layout; Materials;
	Position X,Y and extent	
	Front elevation	
	Rear Elevation	
	Side elevations	
	Plan	
	Layout	
	Detailed plan with Internal and external services(Water and sewer lines, wiring)	

	Infrastructure Description	Notes and Explanation
i	Door shutters	
	Size	
	Type of timber	
	Type of door (Flush, match boarded, legged and battened)	
ii	Door and Window casements (Glazed and unglazed)	
	Size	
	Type	
	Number	
iii	Paint	
	Type	
	Color	
iv	Ceiling	
	Type	
	Material	
	Area (m ²)	
v	Roofing	
	Material type	
	Gauge	
	Color	
H	O&M MANUALS /SHOP DRAWINGS	For Mechanical/Electrical installations like pumps, Generators, PVPS, Air release valves, meters etc, O&M manuals from the supplier/manufacturer shall attached. Shop drawings of these installations must also be supplied together with the manuals.

Note: All completed facilities or structures above ground shall also have photographic elevations annexed to the main documents. These photos shall be well labelled and in coloured print. As-built drawings shall have a narrative summary as the introduction. The scheme layout shall be presented on A-0 (841X1189mm) indicating all features of the scheme. The profiles shall be presented on A-1 (841x594mm).

WATER AND SANITATION DEVELOPMENT FACILITY - BRANCH
MINISTRY OF WATER AND ENVIRONMENT

HOUSEHOLD SANITATION AND HYGIENE BASELINE SURVEY QUESTIONNAIRE

Name of Survey Officer

Based on observations and Interviews held with Head of Household or their next of kin fill the following questionnaire /checklist appropriately. Write the response(s) in the column adjacent to the question(s).

101. Zone / Village of residence for Household Head	
102. Name of Household Head	
103. Gender of Household Head 1=Male 2=Female	
104. Age of Household Head 1=Below 15 years 2=Between 16-20 years 3=Between 21-30years 4=Between 31-40 years 5=Between 41-50 years 6=Above 50 years	
105. Marital status of Household Head 1=Single 2=Married / cohabiting 3=Widowed 4=Seperated	
106. Level of education of Household Head 1=Never been to school	

2=Primary level 3=Secondary / O'Level 4=Advanced / A'Level 5=Tertiary	
107. Size of the Household <i>(Total number of household members- both males & females)</i>	
108. Number of Males in the household	
109. Number of Females in the household	
110. TYPE OF THE MAIN HOUSE 1=Permanent 2=Semi permanent 3=Temporary	
111. Structural condition of Main House 1=Looks firm and properly constructed (<i>good state of repair</i>) 2=Looks weak and likely to collapse (<i>bad state of repair</i>)	
112. State of cleanliness of Main House 1=Clean 2=Dirty	
113. KITCHEN 1=Present 2= Absent (<i>If kitchen is absent, go to question 117</i>)	
114. Structural condition of kitchen 1=Looks firm and properly constructed (<i>good state of repair</i>) 2=Looks weak and likely to collapse (<i>bad state of repair</i>)	
115. Provision for smoke escape in the kitchen (Chimney) 1=Present 2=Absent	
116. Raised Fire place 1=Present 2=Not present	

<p>117. Drying rack / Sun-table</p> <p>1=Present</p> <p>2= Absent</p>	
<p>118. ANIMAL HOUSE / SHELTER</p> <p>1=Present</p> <p>2= Absent, Animals stay in kitchen</p> <p>3=Absent, Animals share with people</p> <p>4=Absent, Animals sleep outside</p> <p>5= Shelter not needed, no animals kept</p>	
<p>119. BIRDS' HOUSE / SHELTER</p> <p>1=Present</p> <p>2=Absent, Birds stay in kitchen</p> <p>3=Absent, Birds share with people</p> <p>4=Absent, Birds sleep outside</p> <p>5=Shelter not needed, family doesn't rear any birds</p>	
<p>120. TOILET AVAILABILITY</p> <p>1= Present</p> <p>2=Absent (<i>If absent, go to question 128</i>)</p>	
<p>121. Type of toilet used by Household</p> <p>1=VIP</p> <p>2= Ecosan</p> <p>3= Traditional pitlatrine with sanplat</p> <p>4= Traditional pitlatrine without sanplat</p> <p>5= Flush toilet</p> <p>6=Pour flush toilet</p>	
<p>122. Structural Condition of toilet</p> <p>1=Looks firm and properly constructed (<i>good state of repair</i>)</p> <p>2=Looks weak and likely to collapse (<i>bad state of repair</i>)</p>	
<p>123. Privacy of toilet</p> <p>1=Superstructure present, with a shutter</p> <p>2=Superstructure present, but without a shutter</p>	
<p>124. Anal cleansing materials</p> <p>1=Present</p> <p>2=Absent</p>	

<p>125. Cleanliness of toilet (<i>Inspect the inside part</i>)</p> <p>1=Clean 2=Dirty / soiled</p>	
<p>126. Toilet filled up or not? (<i>Only for VIPs and Traditional Pit-latrines</i>)</p> <p>1= Filled up 2= Not filled up 3= Not applicable (Ecosan, flush, & pour-flush toilets)</p>	
<p>127. Hand washing facility at the toilet</p> <p>1=Present with water and soap 2=Present with water but no soap 3=Present but without both water and soap 4=Absent</p>	
<p>128. COMPOST PIT / DUST BIN AVAILABILITY & USAGE</p> <p>1=Present, and in hygienic use / well maintained 2=Present but not well maintained (<i>e.g. overstayed smelly rubbish, flies all over the Place, etc</i>) 3=Absent</p>	
<p>129. BATH SHELTER</p> <p>1=Present and properly drained 2=Present but not properly drained 3=Absent (<i>If absent, go to qn 131</i>)</p>	
<p>130. Privacy of Bath shelter</p> <p>1=Adequate privacy provided 2=Privacy provided but not adequate 3= Privacy not provided</p>	
<p>131. General cleanliness of compound</p> <p>1=Clean 2=Dirty with rubbish littered around compound 3=Dirty with Faeces around compound 4=Dirty with both rubbish & faeces in the compound</p>	
<p>132. COMMONLY USED WATER SOURCE</p> <p>1= Hand-dug well with a rope (Shadoof) 2= Protected spring 3=Unprotected spring 4=Borehole 5=Tapstand (piped water)</p>	

6=Pond 7=River / stream 8=Protected Shallow Well	
133. Approximate distance to water source commonly used by Household 1= Less than 200 meters 2=Between 200-500 meters 3 =Between 0.5 – 1Km 4=Beyond 1 Km	
134. Type of containers commonly used for fetching water 1=Jerrycans 2=Buckets 3=Pots 4=Soucepans 5=Basins	

135. Cleanliness of containers for fetching water(Inspect both inside & outside) 1=Clean 2=Dirty	
136. Type of container for keeping drinking water 1=Jerrycan with a cover 2=Jerrycan without a cover 3=Bucket with a cover 4=Bucket without cover 5=Pot with a cover 6=Pot without a cover 7=Kettle	
137. Cleanliness of containers for drinking water (Inspect both inside & outside) 1=Clean 2= Dirty	
138. Drainage around the home 1=Drainage channels present & functioning 2=Drainage channels present & blocked / stagnant water around the home 3=Drainage channels absent, although necessary 4=No need for drainage channels, the area does not experience ponding of rainwater	

<p>139. Key / critical observations that call for urgent / immediate action</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>	
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Thank the respondent for their time and contribution to the survey.

END.

HOUSEHOLD WATER AND SANITATION BASELINE SURVEY FORM

DISTRICT	NAME OF RGC	SUB COUNTY/TC	VILLAGE / LC

NAME OF DATA COLLECTOR	TITLE	DATE

No.	Name of household head	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	
A	Socio-Economic																					
1	Number of people																					
	Males																					
	Females																					
	PWDs																					
	Elderly																					
2	Type of house: Permanent(1) Semi-permanent(2), Temporary (3)																					
3	Monthly Earnings: Less than 50,000(1), 50000-100000(2), 100001-200000(3), more than 200000(4)																					
B	Sanitation																					
4	Kitchen: Present(1), Absent (2)																					
5	Drying rack: Present(1), Absent(2)																					
6	Animal Shelter: Present(1), Absent(2), N/A(3)																					
7	Toilet/Latrine Presence: Present(1), Absent (2)																					

8	Type of Toilet/Latrine: VIP(1) Ecosan(2), Trad.Pit Latrine (3), Flush toilet(4)																			
9	Toilet/Latrine Status: Clean(1), Dirty (2)																			
10	Toilet/Latrine cover: Present(1), Absent(2)																			
11	Toilet/Latrine Slab: Present(1), Absent(2)																			
12	Faeces Around Compound: Yes(1), No(2)																			
13	Refuse around compound: Yes(1), No(2)																			
14	Compost pit: Present(1), Absent(2)																			
15	Household drainage: Drainage channel(1), Stagnation seen(2)																			
16	Preferred Toilet Technology: Ecosan(1), Bio- toilet(2), lined pit latrine(3)																			
C	Hygiene																			
17	Hand Washing Facility (HWF): Present(1), Absent(2)																			
18	HWF Usage: Water in it(1), No water(2)																			
19	HWF Usage: Soap Available(3), No soap(4)																			
20	Water collection containers: Clean(1), Dirty(2)																			
	Bath Shelter: Present(1), Absent(2)																			
21	Drinking water containers: Present(1), Absent(2)																			
22	Drinking water containers Status: Clean(1), Dirty(2)																			
23	Drinking water safety: Covered(1), Not covered(2)																			

24	Drinking water treatment: Boiling(1), Filtering(2), Chemical(3), Pre-packed(4), No treatment(5)																			
D	Water																			
25	Household source of water: Borehole(1), Rain(2), Pond(3), River(4), Lake(5), Protected Spring(6), Unprotected spring(7), Tap(8), Shallow well(9), Dam(10), Vally Tank(11)																			
26	Distance of water source from home: Less than 0.5 Km(1), 0.5 Km(2), 1 Km(3), 1.5 Km(4), More than 1.5 Km(5)																			
27	Availability of water vending: Yes(1), No(2)																			
28	Means of vending: Foot(1), Bicycle(2), Motorcycle(3), Vehicle(4)																			
29	Cost of water per Jerican: 0-25(1), 26-50(2), 51-100(3), 101-150(4), 151-200(5), 201-500(6), 501-1000(7), above 1000(8)																			
30	Any preferred option of water source? Why?																			
	Age of respondent																			
	Sex of respondent																			

Annex B.5.11. Household sanitation and hygiene follow up survey tool

WATER AND SANITATION DEVELOPMENT FACILITY - BRANCH
MINISTRY OF WATER AND ENVIRONMENT

HOUSEHOLD HOUSE SANITATION FOLLOW UP SURVEY FORM																						
DISTRICT	NAME OF RGC					SUB COUNTY					VILLAGE / LC											
NAME OF DATA COLLECTOR					TITLE							DATE										
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21
No	Name of household head																					
1	Number of people																					
	Males																					
	Females																					
2	Type of house: Permanent(1) Semi-permanent(2), Temporary(3)																					
3	Kitchen:																					

	Present(1), Absent (2)																			
4	Drying rack: Present(1), Absent(2)																			
5	Animal Shelter: Present(1), Absent(2), N/A(3)																			
6	Toilet/Latrine: Present(1), Absent (2)																			
7	Type Toilet/Latrine: VIP(1) Ecosan(2), Traditional (3), Flush toilet(4)																			
8	Toilet/Latrine Status: Clean(1), Dirty (2)																			
9	Toilet/Latrine cover: Present(1), Absent(2)																			
10	Hand Washing Facility (HWF): Present(1), Absent(2)																			
11	HWF Usage: Water in it(1), No water(2)																			
12	HWF Usage: Soap																			

	Available(3) , No soap(4)																			
13	Compost pit: Present(1), Absent(2)																			
14	Household cleanliness: Swept(1), Not swept(2)																			
15	Household ventilation Status: Ventilated(1), Poorly ventilated(2), Not ventilated(3)																			
16	Feaces around compound: Yes(1), No(2)																			
17	Refuse around compound: Yes(1), No(2)																			
18	Bath Shelter: Present(1), Absent(2)																			
19	Water collection containers: Clean(1), Dirty(2)																			
20	Drinking water containers: Present(1), Absent(2)																			

21	Drinking water containers Status: Clean(1), Dirty(2)																			
22	Drinking water treatment: Boiling(1), Filtering(2), Chemical(3), Pre-packed(4), No treatment(5)																			
23	Household drainage: Drainage channel(1), Stagnation seen(2)																			
24	Age of respondent																			
25	Sex of respondent																			

Annex B.5.12. Institutional survey form (No of people only)

**WATER AND SANITATION DEVELOPMENT FACILITY -
 BRANCH
 INSTITUTIONAL WATER AND SANITATION SURVEY FORM**

COMMUNITY INVOLVEMENT

No.	Name	Title
		Chairperson WSC
		Women Member
		Health Inspector
		LC 1 Chairperson
		Other

	No. of People				Water Source	Type of toilet	Drinking water	Compost pit
A	SCHOOL							
		Boarders	Day scholars	Staff				
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
B	HEALTH INSTITUTION							
		OUT patients	In-Patients	Staff				
1								
2								
3								
5								
C	GOVERNMENT INSTITUTION			Staff				
1								
2								
3								
4								
5								
D	HOTELS /		No. of Beds	Staff				

	RESTAURANTS /LODGES							
1								
2								
3								
4								
5								
E	CHURCHES AND MOSQUES		Population	Staff				
1								
2								
3								
4								
F	OTHER INSTITUTIONS			Staff				
1								
2								
3								
4								
5								

Compiled by:

Title:

Signature:

Date:

Annex B.5.13. Institutional baseline survey form

INSTITUTIONS WATER AND SANITATION BASELINE SURVEY FORM

DISTRICT	NAME OF RGC	SUB COUNTY/TC	VILLAGE / LC

NAME OF DATA COLLECTOR	TITLE	DATE

Health Institutions	
Name:	
Number of Beds	
Water borne related diseases common in the area	
Frequency of Occurance	
Number of people Usually affected	
Number of Death usually reported	
Season of year most affected	
Age usually affected	
Infant Mortality rate	
Local Governments	
Availability of potential area for sludge disposal	
Any NGO/CBO working on sanitation and hygiene in the area	
Drainage Status of the Town	
Level of income of the community	
Economic activities of the Town	
Population growth rate of the RGC/ST	
Availability of public toilet	
Availability of market (weekly, monthly)	

Annex B.6. Training Manuals

Annex B.6.1. Piped scheme Operation and Maintenance manual

MINISTRY OF WATER AND ENVIRONMENT

DIRECTORATE OF WATER DEVELOPMENT

WATER AND SANITATION DEVELOPMENT FACILITY –
..... BRANCH

TRAINING FOR OPERATION AND MAINTENANCE
O & M TRAINING MANUAL

ABBREVIATIONS

..UWS Umbrella of Water and Sanitation
WSSB	Water Supply and Sanitation Board
WSC	Water and Sanitation Committee
WSS	Water Supply and Sanitation
MWE	Ministry of Water and Environment
CC	Community Contribution
S/C	Sub County
T/C	Town Council
O & M	Operation and Maintenance
WA	Water Authority
SO	Scheme Operator
TA	Tap Attendant

TABLE OF CONTENTS

.....

i) **Preamble**

The Water and Sanitation Development Facility (WSDF) is a funding mechanism under the Directorate of Water Development of the Ministry of Water and Environment, established to support implementation of water supply and sanitation systems for Rural Growth Centres, Small Towns, and large gravity flow systems

Sustainability of water and sanitation systems through proper and effective Operation and Maintenance has been recognized by government as a priority activity in order to safeguard infrastructural investments. The crucial role of good O&M practices in both rural and urban water supply systems has been recognized for many years. It is widely acknowledged that most projects fail due to inappropriate O & M of schemes. The root cause of this state of affairs varies from political to social, technical and economic considerations, among which problems of inadequate management have been identified as a constraint.

The training will target leaders within the community; the Sub county leaders, Executive members of LC III council, the Sub Accountant, heads of institutions within the water area, Opinion leaders, Representatives of persons with private connections, Extension staff and WSC members, WSSB members and SO applicants.

O & M training will be conducted in four days and techniques applied include;

- Brain storming
- Participatory lecture
- Group discussions

Evaluation of the training will be done at the end of each day and interviews for SO conducted at end of the training.

Goal

Equip essential actors in O & M with knowledge to manage the constructed systems sustainably.

ii) **Objectives**

By the end of the training participants should be able to;

- i) Understand the management of water and sanitation systems.
- ii) Get an overview of O & M
- iii) Identify actors in O & M and their respective roles and responsibilities in scheme management.
- iv) Gain knowledge on daily operations of the scheme.
- v) Get an overview of the SWUWS.
- vi) Know the basics of taking meter readings and making proper records.
- vii) Describe the layout of the scheme with all hydraulic constructions, their use and maintenance schedule.
- viii) Recognize the importance of keeping proper records and be able to keep proper records for water and sanitation scheme.
- ix) Grasp basics in checking money records
- x) Know the importance of budgeting, and the budgeting process.

– **TRAINING CONTENT**

– **SESSION: REVIEW OF PROJECT PHASES**

– ***Background:***

The project undergoes different phases in the target towns. The different phases have got major actors with different roles and responsibilities. Initial phases involve the community in planning and implementation, although the project has got a lot of input. However, the O & M phase is solely a responsibility of the benefiting community and there's need to reaffirm this stature to avoid the community over depending on the project in O & M.

Time: 30 minutes

– ***Session Objectives:***

- To emphasize the role of the user community in O & M of the constructed system.
- To assess participants knowledge of community obligation under O & M.

– **Session Content:**

- Planning phase WSDF and Community
- Design phase: WSDF
- Construction phase WSDF and community
- O & M: Community, support of SWUWS and District

The WSC is required to hand over to the WSSB. The WSC is expected to hand over the following:

1. Hand over report
2. Financial report
3. Cheque book if any
4. Minute book / Minutes
5. Document file (Agreements, Community history, private connection applications, etc)
6. Scheme documents (UO Certificate etc)
7. Stamp

– **Conclusion:**

It is important for the future water user community to note that they are fully responsible for O & M of the system. Sustainability of the system depends on the management of the scheme by the community. If they manage the system poorly, it will lead to the collapse of the scheme.

– **SESSION: OPERATION AND MAINTENANCE**

– **Background:**

Sustainability of water and sanitation systems through proper and effective Operation and Maintenance has been recognized by government as a priority activity in order to safeguard infrastructure investments. The crucial role of good O&M practices in sustainability of water supplies and improved sanitation has been acknowledged. Most projects fail due to inappropriate O & M of schemes. This session aims at strengthening future user community's knowledge about good O & M practices to safeguard the sustainability of the constructions.

Time: 1 Hour 30 Minutes

– ***Session Objectives:***

- Understand the meaning of O & M.
- Identify common problems in O & M and means to guard against them.
- Know the importance of pooling funds for O & M.

– ***Session Content:***

What is Operation?

Operation is the actual or smooth running of a service or system. For example provision of fuel, starting the pump, control of water collection points, general mechanics, water treatment and hygienic handling.

What is Maintenance?

Maintenance deals with the activities that keep the system in proper working condition.

It includes maintenance of all activities necessary to keep scheme in good condition as at the time of handover. It includes;

❖ **Preventive maintenance:**

Management, cost recovery and maintenance activities undertaken in response to pre-scheduled systematic inspection, repair, replacement, leading to continuity in service level, O & M spread overtime, extension of life span of equipment, users' satisfaction and willingness to pay.

❖ **Crisis maintenance:**

Maintenance undertaken only in response to breakdowns and incase of public complaints, leading to poor service level, high O & M costs, faster wear and tear of equipments, and users' dissatisfaction.

Problems associated with O & M

- ▶ Lack of skilled personnel to operate the scheme effectively
- ▶ Leakage along the pipeline, at the tanks, valves, etc
- ▶ Un-serviced meters and non-functional taps
- ▶ Poor willingness to contribute user fees for O & M.
- ▶ Accessibility of spare parts.
- ▶ Vandalism of assets
- ▶ Sustainability of good sanitation levels and water contamination.

- ▶ Lack of coordination between water users and water committees / Boards
- ▶ Lack of political will
- ▶ No distinction regarding different tasks and actors involved.
- ▶ Poor knowledge of financial principles and no bookkeeping.
- ▶ Identification of O&M activities
- ▶ Poor awareness of future needs
- ▶ No links between cost estimation and cost recovery
- ▶ Poor system of collection, unrealistic / inappropriate tariff structure

Improving performance requires;

- Proper management of water supply facilities
- Adequate data on O&M
- Sufficient and efficient use of funds
- Appropriate system design
- High profile of O&M
- Adequate policies, legal framework and overlapping responsibilities
- Political support
- Identification of O&M responsibility bearers
- Emphasis on cost recovery

Importance of cost recovery

- ◆ Available public funds are inadequate to meet O & M thus community contribution in form of users fees.
- ◆ State intervention and control may be ineffective and inefficient.
- ◆ Communities are not given chance to choose say appropriate technology due to subsidized services.
- ◆ Payments increase sense of ownership
- ◆ User payments increase quality and standards of service.

Scheme Operations

The entire scheme is metered. Water users will contribute money for Operation and Maintenance according to units of water consumed.

The scheme has three levels of service;

1. Public Kiosks
2. Institutional connections

3. Private connections

Public Kiosks:

Public kiosks are public places where the users can collect water. At public Kiosks, users will collect water in 20 to 25 litre jerrycans. Service fees at the public kiosk will be paid per jerrycan fetched. No debts are permitted at kiosks hence, pay as you fetch.

Users can deposit money and the kiosk attendant notifies them when the number of jerrycans paid for have been taken.

Institutions and Private connections:

It is expected that institutions and households with private connections take care of their tap stands.

The scheme is not be in charge of those tap stands thus it is the responsibility of the management committees and household heads in institutions and households respectively to determine operation arrangements of the tap stands.

Operation and Maintenance costs from the source to the meter will be covered under the scheme. However, all maintenance beyond the meter is done by the individual or institution.

Users will be billed at the end of the month for the water consumed. Failure to pay within the stated time will lead to disconnection. Note that user's re-connection will involve a reconnection fee as set by the WSSB.

Process of getting a private connection

- Apply for the private connection on a pre-designed form.
- Scheme Operator presents application to WSSB for approval.
- WSSB presents the applications to Umbrella organization or DWO for technical approval and guidance.
- Successful applicants pay connection fee as set by WSSB.
- Applicants get connected following the technical guidance specified by the Engineers.

Note: *The applicant meets all connection costs including materials and labour. Failure to go through the above process means one has an illegal connection.*

– Conclusion:

In order to have sustainable and functional schemes, emphasis has to be put on the important aspects that are deemed necessary in O & M. Efficiency and effectiveness of O&M lead to sustainability of Water supply and sanitation services. The type of mode

applied for water and sanitation schemes management determines the efficiency and effectiveness of Operation and Maintenance.

– **SESSION: MANAGEMENT OF THE SCHEME**

– ***Background:***

Community management aims at empowering and equipping communities with skills to own and control their own systems. As owners they have the responsibilities and decision-making power and hold the future sustainability of the scheme. Sustainability of the constructed system depends on the quality of O & M. Failure of most constructed systems has been attributed to inappropriate O & M of schemes. The root of this state of affairs varies from political to social, technical and economic considerations, among which problems of inadequate management have been identified as a constraint. This session is meant to enlighten community about the management system of the scheme to be handed over.

Time: 1 Hour 30 Minutes

– ***Session Objectives:***

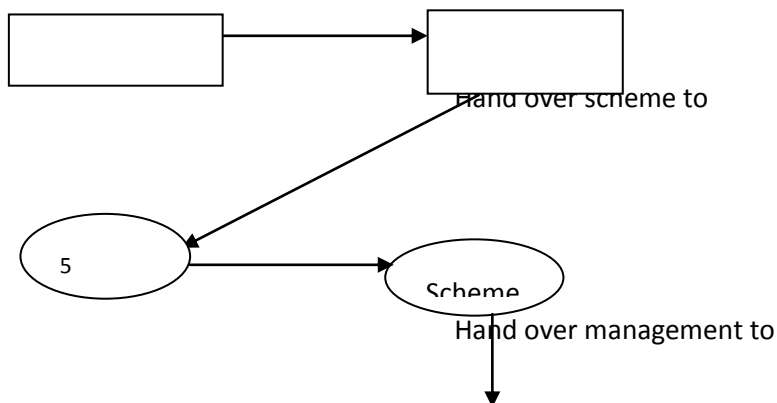
By the end of the session participants will be able to;

- Know the management model, actors and reporting structure of the scheme.
- Gain knowledge about the selection of WSSB and SO.

– ***Session Content:***

– ***Hand Over and Management of System***

- ⇒ The completed Scheme is handed over to the Sub County council or Town Council as the relevant authority.
- ⇒ The Sub County council is required to hand over the management of the scheme to a five-member committee (the Water Supply and Sanitation Board).
- ⇒ The WSSB contracts out the day-to-day running of the scheme to a private person; the Scheme Operator.
- ⇒ The SO will need to employ people to assist in the delivery of services (e.g. tap attendants at the tap stands) but these persons are solely under him and not under the WSSB.



Contract out a scheme /
private operator for daily
running.

Kiosk Attendants
Caretakers
All scheme Attendants

– ***Set up of the water and sanitation scheme structures***

– ***Water Authority***

- The minister of Water and Environment appoints a water authority.
- Authority is responsible for management of assets, water and sanitation services.
- Authority does not own assets.

– ***Water Supply and Sanitation Board (WSSB)***

The board is composed of five persons;

- i) Three persons drawn from the water users
- ii) The Sub County Chief / Town Clerk
- iii) LC III Councilor responsible for water and sanitation

Formation of the WSSB:

- The term of office of the WSSB is 3 years.
- The Sub County Chief / Town Clerk and the councilor on the WSSB represent their positions, and not individuals.
- The LC III council appoints the three persons on the WSSB, with the following observations;
 1. The selected person must be a holder of an O level Certificate of Education.
 2. Ability to read and write English.
 3. The selected person must be a person from within the water area (water user).
 4. The WSSB must have at least 1 woman among the 3 persons selected from users.
 5. The selected person must be hardworking, honest and trust worthy.
 6. Person should not be an active holder of a political office.
 7. Should be person who can spare some time for the scheme; not very busy to attend to the scheme.

– Scheme Operator (SO)

Selecting the Scheme Operator:

- The WSSB holds the responsibility of selecting a Scheme Operator.
- The term of office is 1 year, with performance reviews quarterly.
- The selection process must be transparent and should accommodate competition.
- The following should be considered while selecting a SO;
 1. Above 18 years.
 2. Holder of an O level certificate.
 3. Ability to read and write English.
 4. Knowledge about the management system of the scheme (Attended this training).
 5. Ability to grasp basics of keeping proper records.
 6. Preferably from the water area.
 7. Innovative, hardworking and presentable.
 8. Above 18 years.

– Conclusion:

It is vital to select and appoint competent persons in the management of the scheme if sustainability is to be achieved.

– **SESSION: RESPONSIBILITIES OF ACTORS IN SCHEME MANAGEMENT.**

– ***Background:***

Role differentiation is an essential factor for successful O & M of systems. The actors identified in the previous session need to understand clearly their contribution towards management of the constructed system thus contributing to the sustainability of the systems.

Time: 2 Hours

– ***Session Objectives:***

- To create awareness on actors roles and responsibilities.

– ***Session Content:***

– **Responsibilities of the Council / Sub County**

- Maintain assets of the scheme
- Appoint a Water Supply and Sanitation Board
- Supervise the WSSB in the management of the scheme.
- Carry out internal audits of the scheme.
- Assist the WSSB to deal with persons that vandalize the scheme and to resolve any conflicts pertaining to the scheme.
- Ensure smooth running of the scheme.
- Ensure sanitation standards are maintained in the community.
- Mobilise extension staff for continued sensitization of the community on water and sanitation.

– **Responsibilities of the WSSB**

- Plan for water and sanitation scheme activities.
- Selecting, supervising and paying the Scheme Operator.
- Approve private connection applications before they are submitted to SWUWS for technical approval.
- Approve budgets and all expenditure of the scheme.
- Supervise sanitation activities.
- Sensitizing water users on water and sanitation.

– **Chairperson**

- The Chairperson is supposed to authorize payments of the scheme.
- The chairperson approves the Requisition, and its resulting payment voucher then after approval, the scheme operator is given mandate to spend the scheme's funds accordingly.
- The chairperson should organize for board meetings and notify members in time.
- The chairperson should emphasize that all scheme documents are kept at office

Secretary

- Assist the Chairperson in inviting members for the meeting and drawing the agenda.
- The secretary is to record proper minutes of every board meeting and always leaves a copy in office.

Treasurer

- The treasure is to carry out withdrawals and deposits of cash in the scheme's banking institution(s).
- A cheque or a withdrawal form/slip shall be signed by the scheme signatories and then handed over to the treasurer for cash withdrawal.
- The treasurer then hands over cash withdrawn to the scheme operator to cater for the intended purpose as per the requisition.
- The treasurer is to certify payments.
- The treasurer is responsible for collection of bank statements monthly depending on the schemes' volume of transactions for reference and accountability purposes.
- The treasurer is to reconcile the books of accounts (records) with the scheme operator periodically.

Councilor in Charge of Water and Sanitation

- The councilor is to disseminate information about the scheme to the council

Town Clerk

- The Town Clerk is to offer technical advice to the scheme.
- In case of changes in signatories, the Town-clerk shall write to the bank introducing the new office bearers as new scheme signatories on the scheme account in different banks where the scheme has an account.

– **Responsibilities of the Scheme Operator**

1. Ensure smooth running of the scheme and constant supply of water to user community.
2. Maintain all assets of the scheme and keep inventory.
3. Maintain proper records of the scheme.

4. Smooth collection of funds for O & M of the scheme.
5. Supervision of sanitation activities and safe water chain sensitization.
6. Keep and maintain office for the scheme.
7. Responsible for procurements of scheme.
8. Make scheme projections about income and expenditure.

xi) **Scheme Operator Tasks**

1. Regularly monitor scheme constructions to detect faults.
2. Carry out repairs timely.
3. Select scheme attendants and supervise them.
4. Update inventory of scheme.
5. Make entries in books of accounts regularly.
6. Prepare accounts documents for the scheme.
7. Take meter readings of the scheme regularly and collect money from Attendants.
8. Collect revenue from water sales (public tap stands & private connections).
9. Sensitize Tap Attendants about safe water chain.
10. Wash tanks, clean office, and sanitation facilities.
11. Procure spares, tools, and equipment of scheme.
12. Attend to impromptu visitors of the scheme.
13. Receive, complaints, suggestions from the users and forward them to WSSB for decision-making.
14. Proper use of Eco-san and shower facilities.
15. Carry out preventive maintenance of scheme.
16. Source fenced, grass trimmed, tap stands fenced.
17. Prepare business plan and budgets of the scheme.

– ***Responsibilities of a tap attendant***

- Collect money from the water users at the taps and hand it over to the SO.
- Ensure tap environment is clean and water collection containers are clean.
- Record meter readings at the beginning and end of each day.
- Sensitize users about proper water handling.

– ***Conclusion:***

All scheme actors in O & M must carry out their obligations diligently to ensure sustainability of the constructed systems.

– **SESSION: OVERVIEW OF SWUWS/MWUWS**
– **(Whichever is applicable)**

– **Background:**

After schemes have been handed over for O & M, communities are vested with the responsibility of ensuring sustainability by proper management. The chairperson and any other person on the WSSB must represent the entire scheme in the general assembly. This session aims at exposing scheme members to UO operations.

Time: 1 Hour

– **Session Objectives:**

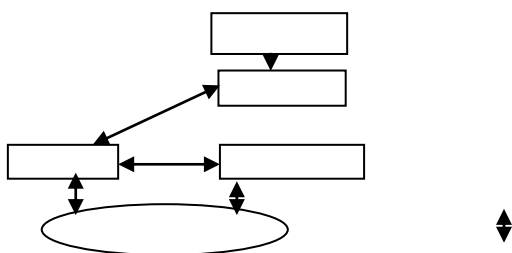
- To create awareness about the SWUWS among all scheme stakeholders.

– **Session Content:**

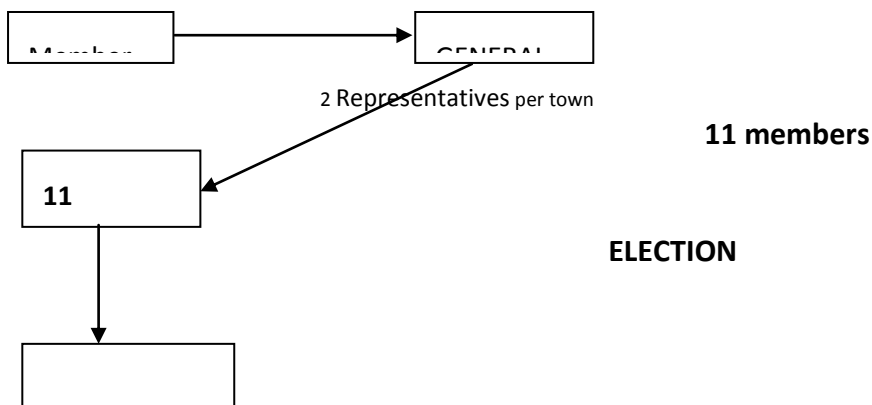
UMBRELLA ORGANIZATION

- ❖ This is an association of water and sanitation schemes in the South western region of Uganda.
- ❖ It basically aims at improving Operation and Maintenance of constructed schemes for sustainability, hence the name **SOUTH WESTERN UMBRELLA OF WATER AND SANITATION (SWUWS) / MID WESTERN UMBRELLA OF WATER AND SANITATION (MWUWS.)**

– **CONTEXTUAL FRAMEWORK**



– **ORGANIZATIONAL STRUCTURE.**



RECRUITMENT

General Assembly

This is a composition of two representatives (male and female) from each member scheme. It sits once a year, and is chaired by the executive chairperson. The term of office is two years.

Executive committee

It comprises of the Chairperson, Treasurer, Secretary, and four members (.Three of these must be women). These meet four times a year, and term of office is two years. District representation is vital.

Secretariat

The secretariat is composed of the Manager, Technical Officer water supply, Water Quality Analyst, Accountant, Secretary Technical Officer sanitation, Mobilisation Officer, Store Keeper, and a watchman. The team sits in the head office along Mbarara road in Kabale.

Possible funding of the Umbrella Organization is as follows;

- Schemes' membership and annual subscription fees

- Service fees
- Fines
- Grants from government
- Contribution from NGOs/Donors

– ***HOW TO JOIN SWUWS***

1. The scheme has to express willingness by formally applying to the SWUWS.
2. The Executive committee will approve this application.
3. The approved scheme pays the membership fee of fifty thousand shillings (50,000),
4. Scheme pays monthly subscription fee according to level of income.
5. The scheme then receives a certificate of registration.
6. Two representatives submitted to the GA of SWUWS. These must be gender balanced. Chairperson and a member of WSSB elected by Board members.

– ***FUNCTIONS TO BE PERFORMED BY THE UMBRELLA.***

- i. To help member WSSB/WSC build a strong working team with one voice, pool ideas and resources together for sustainability of their scheme.
- ii. Offer services like finding out leakages, water quality testing, and other services beyond easy reach of individual schemes.
- iii. Support, organize, and encourage training opportunities in managerial, financial, and technical fields.
- iv. Procure spare parts and equipment not available on the local market for members.
- v. Offer advice and monitor water and sanitation activities.
- vi. To have member WSSB/WSC interests clearly and fairly represented.
- vii. Act as an information desk for WSB/WSC, meeting regularly to review performance and make new plans.
- viii. Bridge the gap between water users and the central government through the DWD.
- ix. Act as trustees of documents of member schemes and ensure fulfillment and performance of contracts and obligations of any kind.

– ***Conclusion:***

It is important for a scheme to update subscription fees within SWUWS to ensure sustainability of system.

NAME OF SCHEME

CUSTOMER COMPLAINT RECORDS

Date of Complaint: **Time of complaint:**

Name of Complainant:

Details of complaint:

<p>Complaint received by: Signature:</p>
--

Date of response: **Time:**

Name of Action taker:

Details of action taken

Name: Signature:

– **SESSION: METER READING**

– ***Background:***

Meters assist water and sanitation scheme managers to know the volume of water that has gone through the system. Analysis of the different meter readings enables the WSSB, SO and in any other persons to make just conclusions about the scheme and maintain scheme data. This session is aimed at throwing light about the different meters that exist within the schemes and how to take readings of various meters.

Time: 45 Minutes

– ***Session Objectives:***

- To expose participants to types of meters installed in the system.
- Guide participants on how to take meter readings and keep proper records.

– ***Session Content:***

The following should carry out meter readings;

1. ***WSSB:*** Take meter readings before handing over daily operations to the SO and before they hold the monthly meeting in which they determine the SO percentage. The WSSB may take readings of the bulk meters only.

2. SO: Reads meters at start of his contract and before collecting money from attendants to compare with previous readings. He also takes meter readings of all private connections and institutions on monthly basis.

3. Kiosk attendant: Take readings twice a day; morning before supplying out water and in the evening before leaving the Kiosk.

NOTE:

- Collection of money from the kiosk attendants by the scheme operator should not exceed three days.
- The SO should not keep money beyond Five hundred thousand (500,000) shillings in office.
- The Scheme Operator is required to bank the money on to the scheme account and reconcile with the treasurer.
- Treasurer WSSB should reconcile with SO every week.

A sample meter reading form and the way it should be filled is illustrated below;

xii) _____ **WATER SUPPLY SCHEME REVENUE COLLECTION**

Tap stand No.....

Attendant:

DATE	TIME	METER READING	CONSUMPTION (LITRES)	AMOUNT DUE (SHS)	AMOUNT COLLECTED (SHS)	SURPLUS	DEFICIT
TOTALS							

– **Conclusion:**

Records of meter reading are essential in assessing scheme performance. Meter reading should be taken regularly and records kept safely.

– **SESSION: SCHEME COMPONENTS; THEIR USE AND
– MAINTENANCE**

– **Background:**

Water users need to understand the scheme make up. All components of the scheme have been placed for just reasons. This session aims at revealing to participants scheme components and their importance.

Time: 1 Hour 30 Minutes

– **Session Objectives:**

- To enlighten participants about the scheme lay out.
- Create awareness on the necessary maintenance works.

– **Session Content:**

– **MAJOR COMPONENT STRUCTURES OF THE SCHEME**

1. Source Area.
2. Transmission line
3. Reservoir tank.
4. Distribution line
5. Service lines
6. Tap stands/Kiosks
7. Office block

– **1. SOURCE AREA.**

The source area is enclosed in a 50 x 100 m area with most of the land planted with trees and shrubs, which include species of Grevillea, Sesbania, Calliandra, Measopsis, Prunas Africana (Omumba), Dodonia (emishambya), Markhamia (Emisavu) Wait-a- bit thorny

(Bwaara) and a fence of Euphorbia with Erythrina abyssinica (Ebiiko) at 2m spacing and the structures listed below;

- Spring Eyes
- Sedimentation tank

1.1 Spring eyes

There are a number of eyes tapped at the source. The location of the eyes is marked with a mark plant "Omugorora". All water collected from the different eyes is tapped and channeled to the sedimentation tank.

O & M Activities

- Water should be permitted to flow out freely at all times, to prevent it finding another way out of the aquifer.
- Clean the spring surroundings regularly.
- Check on storm water drainage and improve on spring protection.

1.2 Sedimentation tank

The tank is meant to permit sediments to settle before the water is channeled into the transmission line.

O & M Activities

- Open the drain outlet / wash out when cleaning
- Check masonry once a month
- Check roof slab once a month
- Check turbidity of flow after each flood, if there is an increase, then surface run-off has percolated protection box. To curb this improve on storm water drainage and prevent surface runoffs by ensuring proper soil erosion measures.
- Measure the yield at the end of a heavy dry season every year to compare with yield records. This can give a picture of whether the season has affected the water source in accordance with the findings. The yield can be on the sedimentation tank overflow by closing both the outlet and wash out pipes or on the inlets wherever found most appropriate.

– 2. TRANSMISSION LINE.

The transmission line permits water to get to the reservoir tanks. Along the transmission line,

- A washout is installed in the valley along and a valve box constructed.
- Mark posts were fixed at every 200m along the pipeline, at road crossings, at every valve box and at every reducing joint indicating the feature at that particular position.
- For hanging GI pipes along the pipeline, reinforced concrete pipe anchors were cast for pipe support purposes.
- A bulk meter is installed on the outlet of the Reservoir tank.

O & M Activities

- The Scheme Operator has to inspect the valves periodically.
- Washout valves need to be opened and flashed at least once a year.
- The whole pipeline should be inspected occasionally to check for any leakages.

– **3. RESERVOIR TANK.**

The twin reservoir tanks are of capacity (.....Insert what is applicable e.g 40m³) each. They are fitted with inlet, overflow, outlet and washout pipe work. They are painted with bituminous black paint meant to curb leakage if any. In addition to the fittings, the following are on/in the reservoir tanks:

- 1- Water Level indicator
- 2- Internal ladders
- 3- Roof level access manholes; two on each.
- 4- Ball valves
- 5- Mobile ladders

O & M Activities

- Take records of water level indicator readings
- Wash and flash the drain regularly
- Keep the compound clean
- Open and close valves to avoid getting stuck
- The bituminous paint should be checked regularly to check if it has started peeling off the walls.
- A ball valve should be checked regularly to check if it is still functioning.
- Yield should be measured to check for any leakages and air locks.
- Wash and clean the tanks alternately quarterly

Tank valve house

The valve house is fitted with the following;

- GI inlet pipes
- GI outlet pipes
- GI overflow pipes
- GI wash out pipes

Each of the above pipes is fitted with gate valves, a meter on the outlet pipe and ball valves on the inlet pipes. The over flow and the wash out pipes are connected together before the gate valve connection.

– **4 DISTRIBUTION SYSTEM**

The distribution system is a network of pipeline that enables water to get to the service lines. At every road junction and at every culvert the pipe was encased in a GI pipe.

O & M Activities

- Open and close the control valves along the line thrice a year.
- Check on valve chambers regularly.

– 5. **SERVICE LINES**

Service lines supply water to the public kiosks, to institution tap stands and to private houses for those with private connections. Along the service lines are gate valves, water meters and other fittings as will be shown under public kiosks. For every road junction a GI section of length slightly greater than the width was used for road crossing.

O & M Activities

- Check that the meters are functioning normally
- Always close and open the gate valves along the service lines

– 6. **PUBLIC TAP STANDS / PUBLIC KIOSKS**

At a public stand post people from various households can get water from taps. The tap stand includes a supporting column; a floor base and a soak pit. At a public kiosk all the fittings as listed below are found inside the kiosk. The following are pipe fittings at a public tap stand in the public kiosk;

- Unions
- Gate valves
- Nipples
- Elbows
- Gate valve
- Water meter
- Reducing socket
- Tap

O & M Activities

- Replace leaking taps with new ones
- Don't bathe or wash clothes at the tap stand
- Clean and inspect drains
- Check tap flow often
- Ensure the drainage channel to the soak pit is not blocked at any time
- Check that the meter functions very well.

– 7. **OFFICE BLOCK**

The office block has one store, 2 shower rooms, 2 stance Eco-San toilets, urinal and a hand wash basin. The showers have a solar water heating system. Technical advice as regards its operation and maintenance can be sought from SWUWS.

O & M Activities

- Keep the compound clean
- Check and wash showers daily
- Check on soak pit once a month
- Check on hot water heaters once a month
- Check Eco-san usage daily
- Contact project personnel for technical advice as regards the solar heating system.

– **8. TOOLS / MACHINES REQUIRED FOR O & M**

The following are some of the tools required for O & M of Water Supply Scheme;

- Adjustable wrench 10"
- Chain wrench 36"
- Vice ½"-3"
- Die
- Usual tools like hoes, pangas, slashers, brooms, Scrubbing brush e.t.c.

– **9. INSTALLATION OF PIPES**

GI pipes and fittings

The largest size of G I pipes and fittings laid are 3". If any extension of the G I pipe line is to be done, the installation procedure should be strictly followed. Care should be taken in handling G I pipes not to destroy the threads.

HDPE Pipes and fittings

HDPE pipes and fittings are laid. The fittings are compression type and are easy to install. The fittings are to be installed as per the enclosed assembly instructions of SIMBA HDPE WATER PIPES.

11.3 Installation procedures

The following procedures are generally followed in dismantling and installation of pipes and fittings.

- Follow the procedure of the manufacturer
- Refer to O & M manual for the instructions
- Use the right tools, spares and fittings
- Keep records of all maintenance and repair works done

– **TROUBLE SHOOTING**

It is anticipated that a number of difficulties may be encountered after the scheme is handed over to the community. This serves to enlighten you on some of the difficulties and how they can be gone about.

1. When water is not reaching the sedimentation tank

- Check if there is an overflow at the source
- Call a specialist from the UMBRELLA organization for technical advice

2. When there is an overflow at the Sedimentation tank

- Check the outlet valve if it is closed
- Check other control valves along the transmission line
- Check whether the tank is full and ball valve in the tank has closed
- Check for air lock along the transmission line. Use the profile to locate the suspected high points

3. When water is not reaching the reservoir tank

Make an approximate number of hours for water to cover the length of the pipeline distance from the sedimentation tank to the Reservoir tank. If water does not reach the tank within the estimated period then check on the following;

- Check whether the tank inlet valve is open.
- Check whether all control valves along the pipeline are open
- Check whether water is entering the sedimentation tank from the source.
- Check for any leakages along the pipeline
- Check whether washouts in the Sedimentation tank and reservoir tank are closed
- Check for any air locks by opening gate valves along the pipeline and inspecting where water could be stuck.

4. When water is not reaching the Kiosk and Yard taps

- Check whether there is water in the tank if not refer to 1 above
- Check that the tank outlet gate valve is open
- Check whether tank wash outs are closed
- Check whether gate valves in kiosks and at yard taps are open
- Walk along the distribution line to check for any leakages
- Check whether all control valves along the pipe line are open
- Check for any air locks by opening gate valves on wash outs to check where water could be stuck
- Check the meters for any blockages. Meter problems should be reported to the UMBRELLA Organization.

5. When water is not in the showers, hand wash basin and in the urinal but is in other tap stands and kiosks

- Check whether the gate valve to the office block is open
- Check whether the gate valve of direct cold water supply pipe and that on the pipe that supplies the solar heating system are open

Note: If all are okay and there is still no water, call the UMBRELLA organization for technical advice.

6. When the hot water tap is not supplying hot/warm water but the cold one does

- The heating system uses solar power (power of the sun). If it is a heavy rainy season, or when it has been drizzling all day (with no moment of sunlight), it is most probable that the system may fail to store enough energy to enable it work.

But if it has been a sunny day and still no hot / warm water is availed;

- Check that the gate valve to the system is open
- Check for any disconnection of the system or for any loose connection

– ***Conclusion:***

Preventive maintenance is an important aspect in ensuring sustainability of the system. If ignored or belittled by the managers of the scheme, it may eventually lead to collapse of entire scheme.

– **SESSION: BOOK KEEPING**

– ***Background:***

Financial management of a water supply involves the collection and keeping of money. To avoid mismanagement of funds collected under O & M an effective system of handling funds should be put in place together with proper book keeping. This session aims at sensitizing community leaders about bookkeeping to build confidence, impart knowledge and skills for maintaining proper records of the scheme.

Time: 3 hours

– ***Session Objectives:***

- To expose participants to the kind of financial management system left in place.

- Equip participants with basic knowledge to promote and facilitate a water and sanitation project.
- Understand the need for bookkeeping.
- Be familiar with different books of accounts and how they are recorded.

– ***Session Content:***

Definition of bookkeeping:

Book keeping is defined as a method of recording business and financial transactions in a permanent and convenient situation that will make it easy and possible at any time, to ascertain the business' financial position.

Or

Bookkeeping is the elementary state of financial recording, keeping and using process. It's the first and foremost function of recording financial information about business operation. This information is collected, classified, recorded for stakeholders to know.

Purpose of bookkeeping

- Accountability. Records assist committees when accounting for money used.
- Money records will be needed for future budgets.
- Records guide the Auditor to produce right reports.
- For purposes of comparison.
- Tool for planning. Provide information as a basis for decision taking and control and thus to assist in planning to meet project objectives.
- Project evaluation. Key actors are interested in the schemes accounts to enable them assess the likely project risks and potential profitability.

– ***SOURCE DOCUMENTS***

What is a budget?

A budget (Financial forecast) depicts what you expect to spend (expenses) and earn (revenue) over a time period. Budgets are useful for projecting how much money you'll need for a major plan, and help to plan whether you are on plan or not.

EXPECTED INCOME:

Code.	Description	Expected Income
A.	Water	
1	Public Kiosks / Taps	
2	Institutions	
3	Private connections	
B.	Sanitation	
1	Showers	
2	Eco-san toilets	
3	Urinals	
C.	Others	

EXPECTED EXPENDITURE:

Code	Description	Costs	Percent of Budget
1	SWUWS		
A.	Subscription fees to SWUWS		
2	Personnel Contract payments (staff wages)		
A.	Scheme Operator with tap attendants inclusive		Not to exceed 45%
B.	Pump Attendant		
C.	Guard / Watchman		
D.	Source attendant		
3	Scheme Office Expenses		
A.	WSSB Allowances		Not to exceed 3%
B.	Consumables (dry cells, torches etc.)		
C.	Photocopying and Stationery		
D.	Water		
E.	Office maintenance (painting, repairs)		
F.	Entertainment		
G.	Communication		
H.	Transport		
4	Sanitation facilities		
A.	Showers		
B.	Eco-san toilet		
C.	Urinals		
5	Operation and Maintenance costs		
A.	Fittings and Major Repairs		
B.	Routine maintenance (painting tanks)		
C.	Tools		
D.	Energy (Fuel, Electricity)		
6	Consultancies, professional services		
A.	Professional fees (Legal services)		
7	Miscellaneous		

Budget performance analysis:

Budget performance analysis compares what you expected or planned to earn and spend with what you actually earned and spent. It helps greatly when detecting how well you're tracking your plans, how much to actually budget in the future, where there may be upcoming problems in spending etc. A report is prepared.

Copy of a budget performance analysis report

Code	Description	Budgeted (shs)	Spent (shs)	Under spent	Over spent
TOTALS					

RECEIPTS

A receipt is the first document on which money received is recorded.

Information on receipts.

- Title indicating it is a receipt.
- Address of the Organization receiving money.
- Signature of the person who received money.
- Receipt number
- Name of person from whom money is received
- Purpose for paying.
- Amount of money received in words and figures.
- Date money is received.

NOTE:

- A receipt should have a duplicate (It may be a carbon copy or a photocopy). The original is given to the person paying the money and the duplicate remains with the person receiving.

- Under the scheme, receipts are given to institutions and private connections that pay their bills monthly.
- The SO also issues receipts to kiosk attendants when collecting total money received at the kiosk but NOT for every water fetcher.

Copy of a receipt

<p>..... WATER AND SANITATION SCHEME (SOUTH WESTERN UMBRELLA OF WATER AND SANITATION)</p>	
P.O.BOX, (Insert No. & District)	Tel/Fax: 04864 23246
RECEIPT	
No. 001	Date
Received from	
The sum of shillings	
Being payment of	
Cash / cheque No.	
SHS <input style="width: 50px; height: 15px;" type="text"/>	
Signature	
For:- SWUWS	

VOUCHER

A voucher is the first document written before money is paid out. It allows money to be spent, and should be having the following Information.

xiii) **Information on a voucher:**

- Address of the paying Organization.
- Voucher number.
- Date when it is prepared.
- Purpose as to why money should be paid out.
- Amount to be paid in words and figures.
- Signature of the person receiving money.
- Signature of person who prepared the voucher
- Signature of the person who authorized payment.
- Signature of the person who certifies.

xiv) Copy of a voucher

SOUTH WESTERN UMBRELLA OF WATER AND SANITATION	
..... SCHEME	
P.O.BOX 752, Kabale	Tel/Fax: 04864 23245
<u>PAYMENT VOUCHER</u>	
No. 001	Date
Paid to A/C	
PARTICULARS	SHS
TOTAL	
Amount in words	
Prepared byChecked by	
Authorised byReceived by	

NOTE:

- A voucher is prepared by the Scheme Operator, Checked by the Treasurer, authorized by the Chairperson, and received by the person claiming money.
- A receipt and a voucher should have duplicates (These may be carbon copies or photocopies). In case of a receipt, originals are given to the person paying the money and duplicates remain with the person receiving.
- After receiving or paying out money, entries are made first in the cashbook and then to the Income and Expenditure book.

Invoice book

An invoice is a document that shows the amount due for payment for goods and services supplied. An invoice can also be used as a bill to describe works / services done or goods supplied.

Copy of an invoice

..... WATER SUPPLY & SANITATION SCHEME (SOUTH WESTERN UMBRELLA OF WATER AND SANITATION) P.O.BOX, (District), Tel/Fax: 04864 23246 TIN NO. B98-1007-0940-W VAT No. 23395-E INVOICE				INVOICE DATE
No. 001				TAP STAND NO.
TO				
IN RESPECT OF SERVICES AT				
BASIS OF CHARGES				
METERED DETAILS WHERE METERED METER SERIAL No.				
READING				
DATE	PREVIOUS	DATE	CURRENT	CONSUMPTION
CHARGING DETAILS				AMOUNT USHS
PLEASE PAY YOUR BILL TO AVOID DISCONNECTION Payments since Prev. Invoice Adjustments Since Prev. Invoice Balance B/F as at CURRENT CHARGES WaterLtrs at Shs. V.A.T Charged Service Charge Total Current Charges				
TOTAL AMOUNT DUE				

CASH ANALYSIS BOOK

It is used to record cash transactions only. These transactions involve immediate exchange of goods and services for cash. It is not used to record credit transactions except when: -

1. Cash is received for previous credit sales
2. Cash is paid for previous credit purchase.

It records both cash received and cash paid out by the business. Cash includes both money at bank and money in the safe.

A Cash book is important for it reflects the amount of cash the SO has. It is important for tracing cash used thus the WSSB should always ensure that records are entered into the cashbook correctly.

Copy of a cash analysis book

Dr

Cr

Date	Particulars	Cash	Bank					Date	Particulars	Cash	Bank				

Date column: Shows when the money was received or paid out.

Particulars column: Purpose of the transaction.

Debit:

- Cash:** Amount received in cash
- Bank:** Cheques received
- Extras:** Ledger accounts

Credit:

- Cash:** Amount spent
- Bank:** Cheques paid
- Extras:** Ledger accounts

At the end of each month, the cashbook must be balanced and balance figures reconciled with the balance indicated on the passbook, or otherwise the bank statement.

– ***SUBSIDIARY BOOKS.***

– **Petty cash book**

This acts in the same manner as of a cashbook.

The WSSB has to agree in one of the meetings on the amount of money to advance the Scheme Operator to settle small payments that need not be reflected in the cashbook like toilet paper, a pen, a cake of soap etc.

This amount must not exceed Fifty thousand (50,000) shillings per month.

In case this money is spent before end of month, accountability is given to the WSSB and more money is advanced.

Copy of a petty cash book

Date	Description	Debit	Credit	Balance

– **Income and Expenditure book**

This refers to books where we record the income and expenditure on each item / vote. The money received or spent on each item / vote as compared to the money plan should be reflected in income and expenditure books.

The income / expenditure book has records of money collections and money expenses for a particular account e.g. an individual tap. This means the number of these books will depend on the number of accounts within the scheme.

Copy of an Income / Expenditure book

KIOSK 1 A/C

INCOME

Date	Amount	Total

Features:

- Date:- This gives the specific day the said amount was received.
- Amount: - Entry of the amount of money received on the day above.

- Total: Record of the total amount received on that source of income or account.

Where to find the information for the income book

Information for the income books is found in the Debit side of the cash analysis book. However not all entries in these columns indicate an income. The following cannot be recorded in the income books;

- Cash balance of previous month.

EXPENDITURE

Date	Description	Amount	Total

Features:

- Date:- This gives the specific day the said amount was spent.
- Description: - Reason as to why the money is spent.
- Amount: - Entry of the amount of money spent on the day above.
- Total: Record of the total amount spent on that account so far in the month.

Where to find the information for the expenditure book

Information for the expenditure book is found in the Credit side of the cash analysis book.

Note: After the income on each item has been transferred to the income book and expenses on each item to the expenditure book. It is easier to determine how much money was collected or spent on each account.

xv) **DETERMINING SCHEME PERFORMANCE**

After compiling how much money is spent and how much is earned, then you proceed to find out whether there was surplus, deficit or the scheme is breaking even.

What is an income and Expenditure statement?

This is a statement that measures the success of the water and sanitation scheme for a specific accounting period.

The accounting period for the water and sanitation scheme should be in line with Government of Uganda.

PROCEDURE

- Total amounts from all income accounts to get total money received in the scheme during the period.
- Add up all the expenditure accounts to get total money spent during the period.
- Deduct total expenditure from total income.

Analysis:

- When total income exceeds total expenditure, the result is a surplus or profit
- When total expenditure exceeds total income, the result is a deficit or loss
- When total expenditure is equal to total income, the scheme is breaking even.

xvi) **COPY OF AN INCOME AND EXPENDITURE STATEMENT FOR MONTH STARTING 1ST SEPTEMBER TO 30TH SEPTEMBER 2008**

INCOME

Water supply:

Kiosk 1-----15,000
 Kiosk 3 -----20,000

Institutions:

*** Senior Secondary School -----30,000
 **** Hospital -----50,000
 **** Church -----20,000

Private connections:

Ariyo Mary -----20,000
 Tumwine Peter -----25,000

Sanitation:

Showers ----- 2,000
 Toilets ----- 4,000

Total Income **186,000**

xvii) **EXPENDITURE**

Spare parts ----- 20,000
 Scheme Operator’s percentage ----- 70,000

Total Expenditure **90,000**

xviii) **PROFIT**

(Income - Expenditure) i.e. 186,000 - 90,000 = 96,000

– ***Conclusion:***

It is important to have proper bookkeeping in a scheme to enable analysis of scheme performance. Data recorded should be analyzed and used to make proper decisions for scheme progress and success.

– **SESSION: CHECKING MONEY RECORDS**

– ***Background:***

There is need for an independent examination of scheme records to ascertain the accuracy of the records. Records must be checked to identify loopholes and seek specialized advice for them. This session aims at throwing light to stakeholders about elementary process of checking records.

Time: 1 hour

Session Objectives:

- To equip stakeholders with basic understanding of elementary principles of checking records for irregularities.

– ***Session Content:***

Importance of checking money records

Money records should be checked in order to;

- Assess the progress of the water and sanitation scheme.
- Errors and omissions are discovered quite easily.
- To correct errors and weaknesses.
- Build confidence in the Scheme Operator.
- To assess management's performance.

When selecting a person to check water and sanitation scheme records, the following **qualities** should be taken into consideration.

- Neutral and independent to both parties.
- Respected and trustworthy.
- Knowledgeable on book keeping.
- Preferably any other member of the committee not the Chairperson, Treasurer and Secretary.

Money records should be checked regularly, but records must be checked;

- Before holding a general meeting.
- In case of conflict.
- When there is a change in leadership.
- After the accounting period.

Records that should be checked

These are the sources of evidence;

- (i) Receipts: - Check whether it was entered into the cash book.
 - Check whether the amount entered into the cash book is the actual amount on the receipt.
 - Check if the amount is entered in the right accounts.
- (ii) Vouchers: -Funds issued should be used for the right activity.
 - Fixed assets purchased should be visible.
- (iii) Cash book
- (iv) Bank statement; reconcile with Bank-in-slips, cheque books
- (v) Budget.
- (vi) Debtors and creditors
- (vii) Minute books
- (viii) Income and expenditure books
- (ix) Attitude of Scheme Operator towards the auditor.

Techniques used in auditing

Inspection; Review records, assets etc.

Observation; Look at operation and maintenance.

Inquiry; Seek relevant information from outside people.

Computation; Check accuracy of records.

Mistakes commonly made when recording accounts

- Wrong additions and subtractions.
- Missing records.
- Recording money in as money out.
- Posting errors i.e. from vouchers and receipts to cash book; from cash book to expenditure and income books; from expenditure and income books to expenditure and income statements.

PRESENTING A REPORT AFTER CHECKING MONEY RECORDS (AUDIT REPORT)

Characteristics of a good report

- Looks at past reports and comments on actions taken.
- Mentions the procedure used to audit.
- Report should be neutral. It should look at achievements and failures.
- Limited to facts, brief and to the point.
- It should contain recommendations.

- Reported during a specified time.

The report should be presented to:

- Water Supply and Sanitation Board.
- Local Councils
- Presented to the user community.
- Presented to SWTWS Project.
- South Western Umbrella of Water and Sanitation

– **Conclusion:**

It is important for the Water Authority and the WSSB to ensure books of accounts are checked so as to remove irregularities and enhance the level of bookkeeping in the schemes. Recommendations given in report should be implemented.

– **SESSION: DETERMINATION OF STARTING TARIFF
AND BUDGET**

– **Background:**

It is important to guide the community to establish initial O & M arrangements. Together with stakeholders, the project team identifies the projected O & M activities together with the cost implications attached to them. Sources of income likewise should be estimated. Analysis should produce a budget upon which the Board shall make scheme expenditures, and water tariff for the scheme and sanitation facilities.

Time: 2 hours

Session Objectives:

- Set tariff for O & M of the scheme.
- Produce budget for scheme.

Session Content:

- | | | |
|--------|--------|--|
| xix) | Step 1 | Identify activities and cost them |
| xx) | Step 2 | Rank activities in order of preference |
| xxi) | Step 3 | Identify sources of income |
| xxii) | Step 4 | Estimate expected income |
| xxiii) | Step 5 | Prepare budgeted profit and loss |

Note: The estimated income and projected expenditure of the scheme shall be used to determine water tariff.

Conclusion:

It is important to have community involvement in setting up O & M aspects to strengthen ownership and have sustainability of constructions.

Annex B.6.2. Sanitation training manual

MINISTRY OF WATER AND ENVIRONMENT

DIRECTORATE OF WATER DEVELOPMENT

Social Services Department

SANITATION TRAINING MANUAL



September 2010

ABBREVIATIONS

WSDF	Water and Sanitation Development Facility
UO	Umbrella Organization
SWUWS	South Western Umbrella of Water and Sanitation.
MWUWS	Mid Western Umbrella of Water and Sanitation
WSSB	Water Supply and Sanitation Board.
WSC	Water and Sanitation Committee.
WSS	Water Supply and Sanitation
MoWE	Ministry of Water and Environment
CC	Community Contribution

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.....

THE PROCEEDINGS OF THE SANITATION TRAINING

- **TARGET GROUP**

The target group consists the Sub County leadership, WSC, Extension workers, Heads of Institutions, Opinion leaders, household heads, that have been selected for Eco-san demonstration and the masons trained to construct toilets, Community Based Organization representatives, Civil Society representatives.

- **DURATION:** Four (4) days

- **INTRODUCTION**

Sanitation programmes concentrate on the promotion of the ecological sanitation toilet, and emphasis on 100% basic sanitation where every household in the Rural Growth Centre should have at least a pit latrine with a cover. However, adequate and safe water is a very important part of protecting health. Studies have shown that the amount of water is equally important. Frequent washing (of body, clothes, plates and cutlery) with sufficient water can offer protection against many diseases.

Water and sanitation related diseases account for a significant proportion of morbidity and mortality rates worldwide. Research on the impact of water and sanitation improvements on health have shown that sanitation and hygiene promotion are more significant than the provision of safe water in the reduction of waterborne diseases; intestinal worm infections, skin diseases, eye infections, diarrhea, typhoid, and many others.

In light of the above, therefore, the WSS actors need to be given hygiene education messages; on personal hygiene, household hygiene and community hygiene. These would assist the WSDF to educate the communities about the same.

- **OBJECTIVES**

- To assist participants understand the linkage between water, sanitation and environment concerns of the WSDF.
- To broaden participants understanding of sanitation in general and assess progress in the RGC.
- To orient the beneficiaries on sanitary and hygienic habits and practices during the implementation of a water supply and sanitation system.
- To discuss the various methods of handling human excreta and highlight challenges of each in undermining the principle of safe disposal.
- To increase awareness on the sanitary latrine and refuse disposal pit coverage in the community and have the beneficiaries use them.
- To promote the sanitation and hygiene related activities in the communities and have the beneficiaries follow the sanitation and hygiene practices.

- To brainstorm on garbage disposal and come up with safe disposal of garbage at household level.
- To help participants understand Ecological Sanitation as an alternative to deal with excreta disposal safely.

- **TRAINING CONTENT**

The following topics will be covered: -

- (i) Concept of Health.
- (ii) Safe Water Chain.
- (iii) House Hold Wastes and their Disposal.
- (iv) Human Wastes and Use of Latrines.
- (v) Personal Hygiene.
- (vi) Waterborne Related Diseases.
- (vii) Environmental Health.

- **TRAINING METHODOLOGY**

The following methods will be used during the training:-

- Group discussions and presentation in plenary
- Brain storming, Role plays and stories

- **EVALUATION**

Workshop participants will be evaluated at the end of each session.

SESSION: HIGHLIGHTS OF THE WSDF

Background

Introduction of WSDF is usually carried out in advocacy meetings, First level training, Second level training and subsequent community drama shows. However, continued sensitization of participants on Facility principles, objectives, the WSDF in Ministry structure, activities etc. is deemed vital to enable RGC residents acquire the relevant knowledge. This session is to give brief highlights on salient information about the WSDF in a participatory manner that enables facilitator to gauge community understanding of the implementer and project implementing process.

TIME: 1 Hour

SESSION OBJECTIVE.

By the end of the session, participants will be able to;-

- Gain clear understanding of WSDF.

- Have their queries and doubts cleared.

SESSION FLOW

Find out whether the participants are aware of the WSDF as the implementing agency through questions like;

1. Which organization is assisting your community to implement water and sanitation scheme?

Let the discussion be participatory trying to solicit views from different categories of participants lest you assess views of leaders who are already in the know. It is common to give names like SWTWS project, WSDF, Amaizi Marungi and other responses that may deviate in one way or another. As a facilitator conclude by giving explanation of the actual Facility name and present a discussion of how the Facility is integrated into the ministry structure.

Proceed by evaluating community perception of Facility by establishing whether they are aware that it's a government agency with donor contribution, and which partners contribute to the budget through questions like;

- **Is the WSDF – SWB (SWTWS Project) a government organization / agency, an NGO, a CBO, a private company or a corporation? Who are the funders?**
- **Inquire about the districts of operation, the Facility office base and the WSDF target.**
- Facility Offices are based indistrict.

2. What are Facility Principles and approaches?

1. Demand driven
2. Community participatory
3. Sustainability
4. Affordability
5. Adaptability
6. Manageable
7. Expandable

3. What are Facility activities in the RGC / ST?

✓ **Water Supply**

- Metered piped Water Supply system
- Supply through public kiosks, institutional connections and private connections

✓ **Environmental protection**

- Protection of source area to conserve our water sources and avoid contamination
- Campaigns against bush burning

- Afforestation of source protection area with water friendly species
- Discourage use of pesticides within the catchment area
- Promote Ecological Sanitation to avoid contamination of water resources

- ✓ **Sanitation**
- Promotion of household sanitation with emphasis on excreta disposal facility coverage of 100% within the water area.
- Promotion of Ecological Sanitation (Eco-san) toilet
- Water sanitation (Safe water chain)

Conclusion.

- It is important for benefitting community to understand the WSDF that is assisting to provide water and sanitation facilities.

SESSION: THE CONCEPT OF HEALTH

Background

Most people think of health in terms of medical care and medical services. As a result, majority tend to neglect social services. There is need therefore, to create awareness on the basic components of health.

TIME: 1 Hour

SESSION OBJECTIVES

By the end of the session, participants will be able to;-

- Describe what they understand by the term health.
- Know what conditions are likely to bring health or ill health.
- Be convinced that medical services on their own will not bring health.

SESSION FLOW

STARTER: Story

The facilitator may commence the SESSION with a story related to the one below;

- I am married with six children,
- I am 35 years old and I have job with local government
- 6 acres of land

- My children have heard constant diarrhea but we normally visit the clinic.
- I have a drying rack, compost pit at home.
- I have land dispute with my neighbours.
- Two of my children look after my cows.
- I have a swamp near the house where we get water.
- My wife although she stopped school in P2, is very happy.

Discussion of the story

The facilitator discusses the story with the participants. Participants should point out whether you are healthy or not.

What is Health?

It is a state of complete physical, economic, social and psychological well being of the body; not merely absence of disease or infirmity or abnormality of the person/body. (WHO)

1. What are the components of health?

The components of health are:

- Safe water
- Education; formal and informal
- **Improved sanitation and hygiene**
- Good Environment
- Food and Nutrition
- Shelter
- Protection of the environment
- Freedom / Peace
- Good leadership
- Good communication (roads, radios, telephone, post office)
- Social services like churches, schools, electricity, Health units, market etc.
- Living happily with neighbours
- Clothing
- Family
- Having some developmental work to do
- Free from disease

2. Looking closely at our communities; what situations are likely to bring ill health?

Situations and conditions which are likely to bring ill health are:-

- **Poor sanitation like lack of latrines, drying racks etc.**
- Unsafe water sources and poor handling of water.
- Sharing houses with animals / birds
- Overgrown compounds
- Poor food and poor feeding habits
- Lack of medical services (curative services)
- Poor nutrition
- Lack of peace and security
- Lack of informal and formal education
- Lack of cooperation towards development of our communities
- Poor leadership
- Poverty
- Lack of planning; not immunizing children, drunkenness

Conclusion.

- To be healthy we need to look at preventive social, economic, political, spiritual and cultural factors rather than curative medical facilities solely.

In our work as leaders we must deal with preventive socio-cultural aspects of life so as to improve health in our community.

SESSION: GROUNDWATER MOVEMENT

Aims and Learning Objectives

To facilitate discussion and sharing of knowledge about ground water.

Focusing on

- Occurrence of water
- The hydrological cycle
- Ground water movement
- Ground water contamination.

Step 1: Brainstorming session (10 Min)

Question: the larger part of the world is covered by water masses and rivers but water remains a scarce commodity and a major environmental concern.

What is your position on this?

Reasons for Scarcity

- Bush burning
- Deforestation
- Planting water draining tree species
- Wetland reclamation
- Overgrazing
- Salinity of water masses e.g. Oceans, seas, and inland lakes
- Costly and undeveloped means of purification
- Inaccessible due to international boundaries and treaties
- High cost of supply
- Unsafe water due to pollution from industries and other land uses.
- Contamination due to human waste (Urine and faeces)
- Unevenly distributed rainfall.

Water as an environmental concern

What happens when there is no water in the environment?

- Diseases increase
- Desertification
- Industries are affected
- Agriculture is affected (Famine / hunger)
- Unemployment
- Businesses are affected

Step II: Lecture on the Hydrologic cycle, occurrence and movement of ground water, and ground water contamination.

The Hydrologic Cycle:

Reminder:

Water exists in three states i.e. Water (Liquid), Ice (Solid) and Water vapor or moisture.

27% of Uganda's land surface is occupied by water as follows:

- 15% open water

- 3% Permanent wetlands
- 9.4% Seasonal wetlands
- Moisture is constantly moving in a cycle known as hydrologic cycle.
- Water that participates in the hydrologic cycle exists in greatest amounts in oceans, lakes which are the primary reservoirs.
- Water in the hydrologic cycle undergoes changes in geographical location as well as the physical state.
- During evaporation, water drops near a water surface get enough energy from the sun to become vapor.
- Vapor rises to form clouds which condense to form rain.

Occurrence of ground water and movement:

When it rains, some part of it is received by vegetation and buildings. This water does not reach the ground during low-intensity storms. It is re-evaporated.

During heavy rains, water reaches the ground and will follow several pathways.

- 1) Some of the precipitation evaporates from the soil surface and returns to the atmosphere, almost immediately.
- 2) If precipitation exceeds the infiltration and evaporation rates, water will collect on the surface (Depression storage).
- 3) If rainfall continues, water in low-lying areas will begin to run together. This is overland flow.
- 4) The overland flow that enters streams is called surface run-off.
- 5) Water that enters the ground may temporarily remain in the soil zone. It may flow laterally above the ground water table until it reaches a stream or other low-lying water body or it may continue to infiltrate down ward until it reaches the water table. Ground water that moves laterally above the water table forms Base flow.
- 6) Water that remains in the soil zone may be used by plants or evaporate directly.

Ground water constitutes the most important source of fresh water. It is often considered to be unpolluted although this is true when there are no pollutants in the catchments.

Why does groundwater move?

- Water will move from high energy to low energy locations (to attain stable conditions or stability).
- Ground water moves through aquifers as a result of differences in pressure.

Water will flow only through connected pore spaces. This fact is important because there are pores that terminate in dead ends. These will fill up with water but will not contribute towards flow. The width of the pore spaces (passages) also has an effect on the movement of ground water.

Permeability

Refers to ease with which water can move through a porous medium and depends on the size of the open pore passages and how well the pores are connected to one another.

Ground water contamination

Contamination is the degradation of natural water quality as a result of man's activities. The degree of permissible contamination depends upon the intended end use, or uses, of the water.

Sources of contamination:

- Industrial wastes
- Human excreta
- Grave yards
- Agricultural inputs (pesticides, acaricides)

Shallow groundwater is more prone to contamination (pollution) than deep ground water. This occurs as pollutants are washed down (infiltration/percolation) into the ground water unnoticeably!!!

The contaminated ground water may move on (base flow) to form a spring at the ground surface or it may be tapped during shallow or deep well drilling.

References:

- Fletcher G. Driscoll. Ground water and well; 2nd Edition; Johnson Filtration systems Inc.
- Lecture and other notes taken at various workshops and conferences.

SESSION: SAFE WATER CHAIN (Water use and water contamination.)

Background

The major activities of the project are to supply safe and adequate water and have improved sanitation to target communities. This aims at having a healthy improved sanitation to target communities. This aims at having a healthy community hence increased productivity that reduces poverty within communities. Provision of safe water alone cannot guarantee health, but communities need intensive sensitization on water handling to ensure that water is not contaminated in the process of putting it to use.

TIME: 1 Hour

SESSION OBJECTIVES

By the end of the session participants should be able to;

- Describe sources of safe water and the ways of handling water in the homes to keep it safe.

- Value the use of clean water and willingness to encourage community in its use.
- Co-operate with project in its effort to avail the community safe water.

SUGGESTED STARTER: Picture depicting water contamination.

Discuss the starter using SHOWED questions. Divide participants into groups of discussion.

POINTS TO DISCUSS

(a) Identify the available sources of water in your area;

- Springs.
- Wells.
- Boreholes.
- Rainwater.
- Rivers.
- Standing water.

(b) Identify the ways to get safe water.

- Boreholes.
- Protected springs.
- Protected shallow wells.
- Boiled water - bring water to boil for 10 minutes.
- Store water to keep it clean.
- Use clean utensils to draw water.

(c) Causes of Contamination

- Dirty collection containers
- Uncovered containers
- Unsuitable cover
- No or unsafe excreta disposal facility
- Children defecating anywhere in compound
- Poor management of house wastes

(d) Describe a protected water source

- At least (50 x 100)m if protection area for a spring and (60 x 60)m for a borehole.
- Protection area fenced off from any activities that could lead to contamination e.g. grazing animals.

- Afforestation of the protection area with the water catchment area.
- Promote agro-forestry practices, and discourage the practice of bush burning.
- Proper maintenance of the protection area e.g clearing bushes around.
- Keep the tap environment clean.

(e) Water handling from tap till it's used

- Draw water with clean, covered containers.
- Boil all drinking water for about 10 minutes and store it in clean and covered containers.
- Ensure all water containers are kept clean.

CONCLUSION

- To have a healthy community, we must sensitize all future water users on safe water handling.
- Community leaders should strive to enlighten the community on safe water handling if we are to minimize the poverty levels within the community.

SESSION: OVERVIEW OF HYGIENE AND SANITATION

Background

The United Nations Millennium Development Goals (MDGs) include a target to reduce by half the proportion of people without access to basic sanitation by 2015. Promotion of sanitation and hygiene is vital in the development of water systems if the overall objective to attain a healthy community is to be achieved. There is need to emphasize the importance of sanitation that is currently underrated in comparison to water supply. This can be achieved through highlighting the poverty reduction, health and economic benefits that result from better household sanitation, personal hygiene, safe water handling and environmental sanitation.

TIME: 1 Hour

SESSION OBJECTIVES

By the end of the session, participants will be able to;-

- Brainstorm on what sanitation entails.
- Identify sanitation problems that are being faced within the community.
- Understand the WSDF intervention on sanitation in the community.

SESSION FLOW

STARTER: Pictures

What is Sanitation?

According to WHO sanitation generally refers to the provision of facilities and services for the safe disposal of human urine and faeces. The word 'sanitation' also refers to the maintenance of hygienic conditions, through services such as garbage collection and wastewater disposal.

Oxford Advanced Learners dictionary defines sanitation as the equipment and systems that keep places clean, especially by removing human waste.

Sanitation is the hygienic means of promoting health through prevention of human contact with the hazards of wastes. Hazards can be either physical, microbiological, biological or chemical agents of disease. Wastes that can cause health problems.

Sanitation is the hygienic means of promoting health through prevention of human contact with the hazards of wastes. Hazards can be either physical, microbiological, biological or chemical agents of disease.

The term "**sanitation**" can be applied to a specific aspect, concept, location, or strategy, such as:

- **Basic sanitation** - refers to the management of human faeces at the household level. This terminology is the indicator used to describe the target of the Millennium Development Goal on sanitation.
- **On-site sanitation** - the collection and treatment of waste is done where it is deposited. Examples are the use of pit latrines, septic tanks.
- **Food sanitation** - refers to the hygienic measures for ensuring food safety.
- **Environmental sanitation** - the control of environmental factors that form links in disease transmission.
- **Ecological sanitation** - a concept and an approach of recycling to nature the nutrients from human and animal wastes.

What is hygiene?

The practice of keeping yourself and your living and working areas in order to prevent illness and disease. It entails personal hygiene and food hygiene.

TEN FACTS ON SANITATION (WHO)

1. Around 2.6 billion people lack access to adequate sanitation globally. The regions with the lowest coverage are sub-Saharan Africa (37%). Underlying issues that add to the challenge in many countries include weak infrastructure and scarce resources to improve the situation.
2. Lack of sanitation facilities forces people to defecate in the open, in rivers or near areas where children play or food is prepared. This increases the risk of transmitting disease.
3. Examples of diseases transmitted through water contaminated by human waste include diarrhoea, cholera, dysentery, typhoid, and hepatitis A. In Africa, 115 people die every hour from diseases linked to poor sanitation, poor hygiene and contaminated water.
4. Health-care facilities need proper sanitation and must practice good hygiene to control infection.
5. Each year more than 200 million people are affected by droughts, floods, tropical storms, earthquakes, forest fires, and other hazards. Sanitation is an essential component in emergency

response and rehabilitation efforts to stem the spread of diseases, rebuild basic services in communities and help people return to normal daily activities.

6. Studies show that improved sanitation reduces diarrhoea death rates by a third. Diarrhoea is a major killer and largely preventable: it is responsible for 1.5 million deaths every year, mostly among under-five children living in developing countries.

7. Adequate sanitation encourages children to be at school, particularly girls. Access to latrines raises school attendance rates for children: an increase in girls' enrolment can be attributed to the provision of separate, sanitary facilities.

8. Hygiene education and promotion of hand washing are simple, cost-effective measures that can reduce diarrhoea cases by up to 45%. Even when ideal sanitation is not available, instituting good hygiene practices in communities will lead to better health. Proper hygiene goes hand-in-hand with the use of improved facilities to prevent disease.

9. The economic benefits of sanitation are persuasive. For every US\$ 1 invested in improved sanitation, it shows an average of US\$ 9 return in value. Those benefits are experienced specifically by poor children, and in the disadvantaged communities that need them most.

10. The Millennium Development Goals target 75% global sanitation coverage by 2015. Among other health gains, sanitation is estimated to reduce diarrhoea cases by 391 million worldwide each year.

What sanitation problems do communities face? Are there solutions?

- Lack of excreta disposal facilities (falling pits, rocky or sandy areas, high water table etc)
- Lack of / inadequate safe water
- Household waste disposal
- No or poor drainage system

Conclusion

Inadequate sanitation is a major cause of disease world-wide and improving sanitation is known to have a significant beneficial impact on health both in households and across communities. As leaders we must strive to improve sanitation in our community.

SESSION: HOUSEHOLD WASTES AND THEIR DISPOSAL.

SESSION OBJECTIVES

By the end of the session participants should be able to:

- Explain the problems caused by poor waste disposal.
- Want to have a clean, healthy home.
- Accept that it is their responsibility to encourage their community to improve their home compounds and surrounding area.
- Explain how inadequate disposal of human waste causes disease and name these diseases.
- Have and use a clean latrine in his home and encourage others to also have a clean latrine.

TIME 1 HOUR

Suggested starter: Picture

POINTS TO DISCUSS

1 What are the common types of waste from a home?

- Tins
- Old matooke.
- Corn husks.
- fruit skins.
- banana peelings.
- sweepings.
- bean and pea shells.
- potato peelings.

2. How can common waste from a home cause disease or accidents?

- cuts from tins.
- mosquitoes breeding in water from old tins.
- waste attracts flies.

3. How can the waste be disposed of to stop the spread of diseases ?

- rubbish pit.
- composting.
- sweeping.

HUMAN WASTE AND ITS HANDLING.

1. The dangers of faeces.

- Human faeces contain very harmful materials.
- Just a tiny amount of excreta entering into the stomach can cause diseases such as diarrhoea and worms.

2. How disease is spread from human faeces.

- 4 F's
- During the rainy season human faeces can be washed into rivers and streams which are used by people for drinking water.

3 How can this contamination be stopped ?

- Build an excreta disposal facility to remove human faeces from the living environment.

- Keep excreta disposal facility clean and covered to prevent flies from spreading diseases.
- Put children's feaces into latrine immediately.
- Wash hands after using latrine and before touching food.
- Keep foods covered.
- Only drink safe water.
- Dig shallow pit latrines for children to use.

4. Problems the community faces in relation to excreta disposal.

What is a toilet?

What sanitation problems do communities face with regard to excreta disposal?

Do such problems have solutions?

What differences are between several sanitation facilities?

EXCRETA DISPOSAL FACILITIES.

- ✓ Drop and store (Pit latrine, Ventilated Improved Pit latrine (VIP etc).
- ✓ Flush and discharge (Flush toilet)
- ✓ Recycling (Eco-san toilet)

Drop and Store:

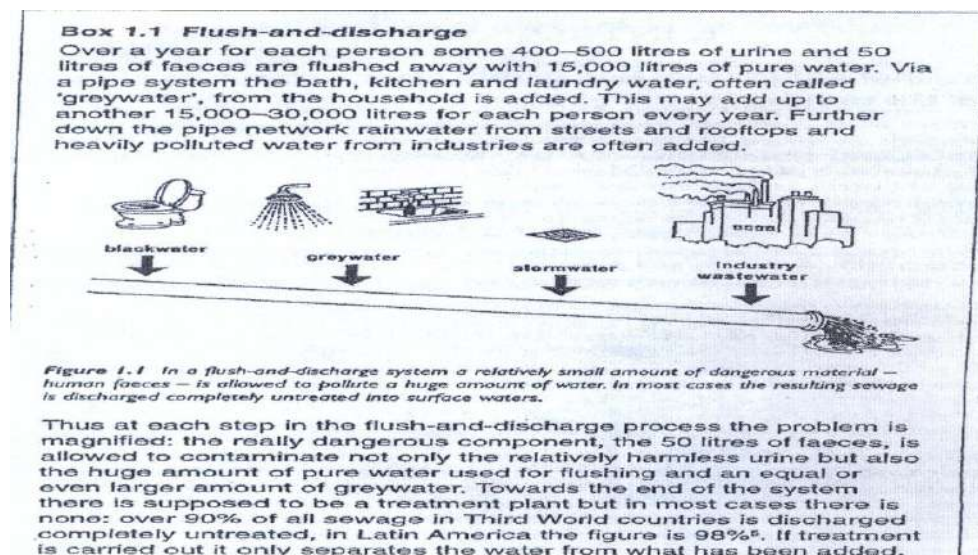
- ⇒ The most common in developing countries.
- ⇒ There is need for access to the ground (digging pits).
- ⇒ This system usually contaminates ground water resources.
- ⇒ A large area for latrine building and shifting when full is required.
- ⇒ In difficult areas such as overpopulated, flooded and soft soil strata areas, the above system might not work. A solution for these areas therefore, must be sought with a different perspective.

How to build a latrine:

- 30 ft away from house and any water source.
- 15 feet deep.
- roof, walls, and door to keep it dark inside and discourage flies.
- smooth floor.
- Acquire a slab with its cover as added advantage to discourage flies and enable easy cleaning.
- Could use a ventilation pipe if it can be afforded.

Flush and discharge / Flush Toilet:

- Requires large volumes of water to dispose excreta.
- One serious disadvantage with these systems is the difficulty of disposing of the large volume of wastes resulting from the addition of water.
- Requires complex treatment plants to treat waste before disposal into the environment.
- In cities the liquid wastes are usually carried away by means of sewers, but in most rural areas of the world sewerage systems do not exist, and liquid wastes are conveniently discharged into the ground.
- The high investment cost of conventional wastewater collection systems are difficult to afford for many [developing countries](#).
- In rural areas ground water is often tapped as a source of domestic water-supply, thus there is an obvious need for proper planning and construction of the excreta disposal system, with a full understanding health hazard and benefits involved.



Extract from
"Ecological
sanitation"
by Uno Winblad,
etal

SESSION: ECOLOGICAL SANITATION AS A HUMAN WASTE MANAGEMENT ALTERNATIVE.

Ecological Sanitation; Simple Terms

Objective:

To introduce Ecological Sanitation to the trainees as a solution to some of the problems identified above.

To discuss and involve the trainees identify the advantages and disadvantages of different sanitation systems in relation to the eco-system comparing them with Ecological approaches.

To advance understanding of the trainees in the advantages of using Ecological sanitation systems and hence prepare them for a deeper discussion.

Time: 1 Hour

Verification:

All levels of training qualify for this discussion.

Teaching aids:

Pictorials

Drawings

Methods:

Explore the knowledge of the trainees on the advantages and disadvantages of different systems by asking questions. Allow trainees air thoughts on the subject. Fill gaps on their knowledge, keeping pace; substantiate the subject and lead the discussion. Explain to the trainees Ecological sanitation as simply as possible, using the Ecological sanitation drawing relating to their local situations.

Expected Result:

By the end of the session trainees should be able to identify with the Ecological sanitation. The end of this session should arouse trainees' curiosity into details of this system and should be able to shed light on the available answer to the sanitation problem.

Discussion:

1. Different sanitation systems associate with different disadvantages.
2. Ecological sanitation as a new way of thinking
3. Selection and Application of Ecological Sanitation
4. The "Don't Mix" concept

Content:

We have three alternatives to deal with human excreta presently:

Drop

Flush and discharge

Recycling

What is Ecological Sanitation?

Ecological is connected with the relation of plants and living creatures to each other and to their environment.

Ecological sanitation as a system recycles excreta through treatment on site; takes away the smell, reduces quantity and is easy to handle or operate; it makes human excreta harmless to be reused as fertilizer.

Both drop and store and Flush and discharge pollute water resources and the nutrient in human excreta is wasted while ecological sanitation conserves both.

Eco-san has three characteristics:

- 1) Prevents rather than controls after pollution. **Zero pollution**
- 2) Sanitizes human excreta through treatment on site **Zero infection**
- 3) Recycles human excreta in agriculture **Zero waste.**

Zero pollution

- A human being produces about 50kgs of faeces annually.
- This volume is flushed with 15, 000 litres of water (drinking water quality) that could be put to other useful purposes.
- Even so, we have 50kgs of potentially dangerous material, which we use to pollute thousands of litres of safe water.
- It is easier to handle faeces alone without mixing it with the water and urine hence **“Don’t Mix”**
- It is kept dry and hence no foul smell hence no air pollution.

Zero infection

- Faeces are sanitized through dehydration or composting and if necessary the material from the toilet is taken for secondary treatment, with high composting temperatures under controlled conditions.
- This applies especially when excreta is collected from a large area or many households.

Zero waste

- Human urine is in most cases sterile and contains most of the fertilizer value. It is also important to recover the nutrient in urine and use it in our gardens.
- Three ways can be used to recover it;

Separation; Both urine and faeces are mixed together then separated.

Diversion; Urine is diverted away from the faeces, so both go different directions and are treated differently.

Combined processing; Both go the same way, are processed together, and their resource captured together.

Advantages of Ecological sanitation

- ❖ Quick destruction of bacteria
- ❖ Does not smell
- ❖ No fly nuisance
- ❖ It is affordable; it prevents pollution, returns nutrients to the soil, and conserves valuable water sources.
- ❖ It is a suitable technology for densely populated areas and/ or areas that have land problems or are water logged.
- ❖ Since it does not smell it can be situated near or inside the house.
- ❖ Enables the re-use of human excreta as fertilizer for agriculture.

TYPES OF ECOLOGICAL SANITATION TOILETS

Double Vault Solar Heated Dehydrating: This comprises two vaults for containment of faecal matter. There are two defecation holes, one into each vault. A shallow depression and drain guides the urine out through the cubicle wall to be collected into a tank or is soaked away into the ground. Users add ash after every visit to assist in drying the faeces and assisting in sanitizing the contents.

Double Vault Solar Heated Compost: This comprises two vaults for containment of faecal matter. There are two defecation holes, one into each vault. Both urine and faeces can be deposited into the same vault or urine can be diverted to a container or a soak away pit. Users add ash, domestic peelings and dry grass to keep the vault dry.

- ❖ Structures should be watertight and urine discharge pipe shouldn't be small as to cause blockage due to uric acid build up, if blockage occurs, use water to unblock it.
- ❖ Vent pipe is required for aeration and should be cleaned (especially of cobwebs) occasionally.
- ❖ Solar heating is added to hasten pathogenic die off and quick drying of the faecal matter.

SESSION: CONSTRUCTION OF THE ECO-SAN TOILET

Choice of materials

The toilet is constructed from naturally existing or manufactured materials depending on the economic status of the owner, thus, the technology caters for both the poor and the rich.

1. for low – income earners one can construct an Eco-san toilet entirely from locally available natural materials like stones; mud, clay, water, tree poles & logs, reeds, ropes and grass for thatching (mud and wattle structure).
2. For middle-income earners, one can construct the structure in using bricks, sand, timber, corrugated iron sheets and paint.
3. For the rich, the structure could be roofed with tiles and polished with tiles, terrazzo etc.

Basic design data:

1. Volume of solid excreta per person per year = 50l
2. Volume of urine per person per year = 500l
3. Volume of the dry materials (ash) added per person per year = 50l
4. Retention time = 6

We are assuming that the ash added is equal to faeces added and that 1 kg is equivalent to 1 litre.

Other Considerations

1. Double vault or single vault.
2. Urine diversion or mix and drain or mix and evaporate.
3. Solar heating or not.

Site considerations

1. Site the structures as close to the house as possible preferably in-house.
2. Use any slope to your advantage so that you avoid the steps

Sizing of the Vaults

$V = N (F+A+U)/ 1000$ where

$V =$ Volume of the Vault in m^3

$N =$ Number of users

$F =$ Volume of faeces (in litres) produced per person within the retention time.

$A =$ Volume of ash (in litres) added per person per year

$U =$ Volume of urine (in litres) added per person per year.

Examples 1 Normal household (6 users) unit, Urine diverting unit and retention time of 6 months using a double vault system.

Design and working of the Eco-san facility

$$V = 6 (50+50 + 0)/ 1000 = 0.6m^3$$

A Vault say 0.8 x 0.8 1 m would be enough.

Construction details for special consideration

- Minimize contact with fresh un-sanitized faeces
- Proper plumbing to avoid urine leaking into the chambers
- Avoid steps if you can so that the disabled and the elderly can easily use the facility.

Heating:

The principal of heating the chamber depends on solar radiation. Cover the emptying chambers which also double as solar collectors. The covers are painted black for maximum absorption of heat. Heating is done for these reasons:

- Increasing evaporation from the receptacle
- Destruction of pathogens
- Control of flies.

Urine diversion:

Urine is basically sterile, while faeces are potentially dangerous.

Urine and faeces are diverted to keep the solid excreta dry, to conserve the urine's fertilizer values, and to reduce in volume the potentially dangerous material (not making the problem bigger).

Ventilation:

The purpose of ventilation is to:

Control the odour

Vapor removal

- ❖ Users add ash, lime or dry soil for dehydration and sanitation purposes
- ❖ Dehydration operates at humidity of 60%
- ❖ A well functioning toilet has:
- ❖ Cone builds up – not flat and wet.

No smell, no flies

- ❖ Most dehydrating toilets have retention of 8-12 months Toilets can either be single or double Vault and are above ground.

Add dehydrating material like ash, lime, sawdust etc. in the toilet to:

Absorb moisture from the faeces, increase the pH of the contents for quick pathogen destruction and provide a non attractive atmosphere for fly breeding.

SESSION: USE AND MANAGEMENT OF ECOLOGICAL SANITATION SYSTEMS

Objective:

- To promote proper use and management of the systems to identify the Do's and don'ts in using eco-san and ensure that users follow these instructions.
- To clarify health questions related to handling of human excreta.
- To emphasize safety of the toilet content when required for agricultural purposes

- To promote use of the sanitized faeces for agriculture.
- To enlighten trainee on the benefit of using human excreta for agriculture.

Time: 1 hour

Verification: All levels of trainees.

Teaching aids:

Charts and posters, miniature unit, Photographs

Methods:

Introduce the management strategies of eco-san, through lecture session

Using action charts and posters, ask trainees to identify activities on each poster and chart.

Fill in their missing gaps, allowing questions on each activity identified.

Wrap up the session, summarizing the entire use and management set up discussed.

Expected results:

- ❖ Awareness on the importance to sensitively use and manage eco-san.
- ❖ Trainees are able to identify what can go wrong with the system if not well managed.
- ❖ At the end of this session, trainees should be able to realize the safety of using and handling Ecological sanitation material without bias and fear. This session is basically intended to show to the trainees their duty in participating to ensure that the toilet content is sanitized and harmless.

Content:

SANITIZATION OF TOILET CONTENT

Destruction of pathogenic organisms:

Living organisms in human excreta that are potentially dangerous (pathogenic organisms) can survive a long time under specific conditions and can also be destroyed under specific conditions. Their destruction depends on;

- a) Time
- b) High temperature (humidity)
- c) Dryness

- d) Variation of Ph
- e) Biological antagonism
- f) Radiation.

Time alone requires patience; ascaris eggs can survive for years, and reliance on time factor alone takes years to destroy them.

- Temperature of 60% destroys all pathogenic organisms,
- Humidity of 20% - 30%,
- pH of approximately 9.5 kills even very persistent pathogenic organisms; to reach this pH add lime or ash.

Pathogenic die off rates depend on conditions both in nature and in man; as these conditions change, the die off rates also change; either to faster rates or slower rates. Systematic controlled conditions under dehydration or composting will fully destroy pathogens.

To reach safety of toilet content, also consider the following:

- Keep volumes small through diverting urine and not adding water. (DON'T MIX)
- Contain potentially dangerous material (faeces)
- Reduce the volume and weight by composting or dehydrating.
- Store the faeces for about 6 months under the above conditions.

Agricultural Benefit of using Ecological Sanitation system

Introduction:

Plants/crops need and get nutrients from the soil. As more and more nutrients are extracted from the soil by plants or any other way without replacement, soils get depleted and infertile. Our soils are getting depleted of nutrients through:

- Removal of vegetation e.g. deforestation
- Harvesting crops
- Soil erosion

As we harvest crops and eat them, the nutrients which were extracted from the soil by crops are absorbed in our bodies and some are passed out in the excreta (urine and faeces).

For sustainable use of our soils without compromising the future generations, there is need to replenish the soils with nutrients. This can be done through:-

- Use of chemical fertilizers
- Use of eco-san products (faecal manure and urine) and animal manure to re-cycle the nutrients that were extracted from the soil.

1.0 Composition of eco-san products and their application

Eco-san products contain various nutrients including Nitrogen (N), Phosphorous (P) and Potassium (K), which are the major nutrients for plant growth.

Urine

On average a person can give out 400 litres of urine in a year which contains:-

4.0kgs N

0.4kgs P

0.9kgs K

Urine besides being a fertilizer, it can also be used as an insect repellent in crops. Some farmers are using it as a control against banana weevils (*cosmopolites sordidus*) in banana plantations.

How to apply Urine



Direct use

Soak pit

Storage & re-use

Evaporation

- Urine is first stored in an airtight container for at least a week to allow it cool down and avoid the scorching effect on crops.
- Dilute the urine: 1 part of urine to 2-5 parts of water (1:2-5 urine: water respectively) depending on the level of soil fertility. For insect pest repulsion, a higher concentration is required.
- Sprinkle the urine solution around the plants/crops in the root zone for plant uptake. In case of bananas, sprinkle around the banana stool. Apply once every week with the appropriate dilution.

Faeces

On average a person can pass out 25-50kgs of faeces in a year, which will contain:

0.55kgs N

0.18kgs P

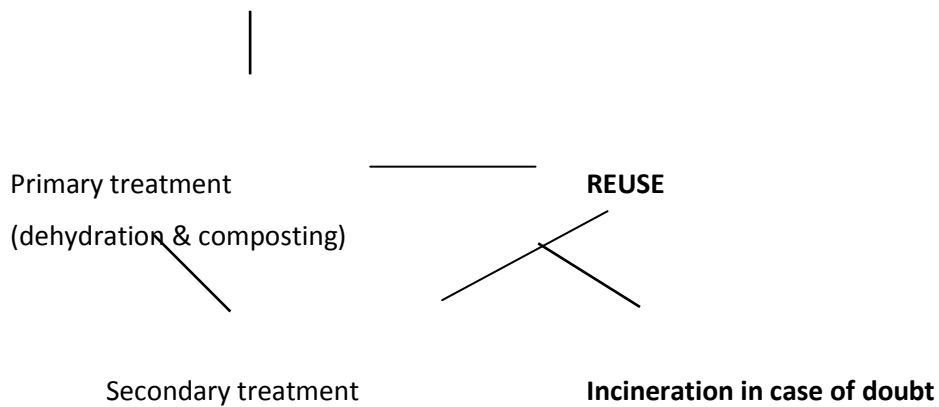
0.37kgs K

Source: Esrey S. et.al, 1998)

90% of the fertilizer value in human excreta is in urine. Faeces mainly contain undigested carbon materials like fibre. The little nutrients contained are released very slowly hence cannot be optimally utilized by the annual crops. Faecal manure can only act as a solid conditioner.

How to apply faecal manure

Faeces



(Further composting under controlled conditions)

- Faecal manure should be under storage in the toilet chamber for atleast 6 months. This is to give it time for micro-organisms to die, which may cause diseases.
- Remove the faecal manure from the chamber, and put it in a shallow pit and cover atleast 2 weeks. This is to allow it for further decomposition into humus.
- Remove the decomposed material from the pit and apply in the garden by incorporating it in the soil during land preparation or at planting.

Faecal manure as a soil conditioner

Through addition of humus to the soil, faecal manure increases organic matter content of the soil thus:

1. Improves soil water holding capacity and aeration.
- Regulates soil temperature
- Increase the availability of nutrients to plants.

Another notable observation:-

At harvesting time (97 days after planting) most of the bean plants in the faecal manure test plot were still with green foliage. This confirms the conditioning effect of faecal manure on the soil, which was sandy, by improving its water holding capacity.

These cases show that eco-san products are useful for agricultural productivity.

People's Perception/attitude about the use of eco-san products.

Faecal phobic attitudes in communities are fading. People eating food, which they know has been grown using eco-san products, evidence this. Examples include:

- Maize in eco-san demo garden in Rukungiri was stolen and eaten before we came in for harvesting.
- Farmers shared cabbages grown with eco-san fertilizer in Kisoro and they appreciated the use of this fertilizer in crop production.

However, farmers are still reluctant in adopting this technology. We are now using both public and contact farmer demonstration gardens so that farmers can easily adopt this technology of the use of eco-san products.

Conclusion:

Since eco-san products are useful in crop production, "they should be taken as resources rather than wastes".

SESSION: PERSONAL HYGIENE.

SESSION OBJECTIVES

By the end of the session participants should;

- Know the importance of personal hygiene.
- Be willing to take responsibility to encourage others to maintain personal hygiene.
- Practice personal hygiene back at home.

TIME: 1 HOUR

Suggested Starter: Story.

POINTS TO DISCUSS

a). Hand care.

- What are the present beliefs and practices ?
- Hand washing should occur;
 - Before preparing food and eating.

- After going to the toilet.
 - As often as possible at other times.
 - Using soap if possible.
 - Washing hands of children is especially important.
- Nail cutting to avoid germs.

b). Head care.

- What are the present beliefs and practices?
- Face washing (particularly eyes) with soap should occur:
 - every morning.
 - before bed.
 - as often as possible at other times.
- Tooth brushing should occur :
 - every morning.
 - before bed.
 - mouth washing after every meal.
- Hair and beard should be :
 - washed daily.
 - cut regularly.

c). Body care.

- What are the present beliefs and practices ?
- Body bathing should occur at least daily with soap.
- Washing and ironing (ironing kills lice and pests) should be done at least weekly.

Note: These actions can prevent :

- | | |
|------------------------|--------------------|
| 1. Scabies | 6. eye infections. |
| 2. body and head lice | 7. worms. |
| 3. other skin diseases | diarrhoea. |
| 4. mango flies | tooth decay. |
| 5. bad smell | |

SESSION: WATER BORNE RELATED DISEASES

SESSION OBJECTIVES

By the end of the session participants should be able to;

- Know water related diseases.
- Prevent the spread of water related diseases
- Educate the community about the prevention of these diseases.

TIME: 1 Hour

POINTS TO DISCUSS

1. What diseases can we get from drinking dirty water?

- Bilharzia: It causes blood in the urine and abdominal pain. We get bilharzia when we bathe or swim where people have been urinating.
- Diarrhoea: Many loose watery stools. we get diarrhoea from many types of diseases
- Cholera: A lot of watery diarrhoea, Dehydration, Weakness and collapse.
- Guinea Worm: The worms come out of the skin and cause burning, itching and infection.
- Polio: Polio causes permanent lameness in the arms or legs.
- Worms: Sometimes drinking Dirty water gives us, Whipworm or Round worm.
- Typhoid: A Fever with Headache, Abdominal Pain, Weakness, Confusion and Diarrhoea.
- Hepatitis: A long time sickness with pain in the abdomen, Yellow Eyes, Loss of Appetite and dark urine.

2. What diseases can we get if we do not use enough water to keep clean ?

- Conjunctivitis: Red, sore, watering eyes.
- Eczema: An itching, red, scaly rash of the body which can get worse if we do not keep clean.
- Lice: Small insects which live on the body or in the hair and cause itching.
- Scabies: A skin itch infection made by small insects. The itching is worse at night.
- Diarrhoea: Many loose watery stools. we get diarrhoea from many types of diseases.
- Impetigo: Wet, sore spots on the face, nose, ears, head and buttocks.
- Ring worm: Ring worm is not a "worm" but a fungus on the skin. It causes dry itching places on the body and head.
- Trachoma: Soreness of the eyes which gets worse and can make you blind.

3. What diseases can we get from bathing in dirty water?

- Bilharzia: It causes blood in the urine and abdominal pain. We get bilharzia when we bathe or swim where people have been urinating.
- Ear, Eye and Nose infections: We can get sore ears (Pain and puss coming out), Sore eyes (Pain, Redness and Watering)' and Sore Noses (Pain, and stuffiness when we swim or bathe in dirty water.
- Swimmers itch: We can get itching skin all over our bodies if we swim or bathe in dirty water.

4. What diseases can we get from things that live in or near water?

- Bilharzia: Blood in urine and abdominal pain caused by water snails.
- Sleeping sickness: Headache, sleepiness and confusion caused by Tsetse flies.
- River blindness: Sore eyes and total blindness spread by tiny black flies.

Mosquitoes which lay eggs and grow in water may spread;

- Malaria: Headache, Fever and chills.
- Yellow Fever: Headache, Fever, and bleeding.

SESSION : ENVIRONMENTAL HEALTH

SESSION OBJECTIVES

By the end of the session participants should be able to;

- Describe the components of a good home.
- Know the use of each component in the home and effects when missing.
- Be willing to have all the required components in their homes.
- Encourage the community members to have all the components of a good home.

TIME: 1 HOUR

SUGGESTED STARTER: Role-play.

POINTS TO DISCUSS

1. What are the components of a good home?

1. Pit latrine.
2. Compost pit
3. Kitchen.
4. Animal house.

5. Water collection container
6. Drinking water container.
7. Drying rack.
8. Clean compound.
9. Household cleanliness.

MINISTRY OF WATER AND ENVIRONMENT
DIRECTORATE OF WATER DEVELOPMENT
WATER AND SANITATION DEVELOPMENT FACILITY



AWARENESS CREATION TRAINING MANUAL
LEVEL I

April 2013

- ABBREVIATIONS

GOU	Government of Uganda
GOA	Government of Austria
EU	European Union
MoWE	Ministry of Water and Environment
DWD	Directorate of Water Development
WSDF	Water and Sanitation Development Facility.
WSDF	Water and Sanitation Development Facility
SWSSD	Support to the Water Supply and Sanitation Development in Small Towns and Rural Growth Centres
RGC	Rural Growth Centre
ST	Small Town
WSSB	Water Supply and Sanitation Board.
WSC	Water and Sanitation Committee.
WSS	Water Supply and Sanitation
CC	Community Contribution
MOU	Memorandum of Understanding
O&M	Operation and Maintenance
UO	Umbrella Organization
SWUWS	South Western Umbrella of Water and Sanitation
MWUWS	Mid Western Umbrella of Water and Sanitation
CUWS	Central Umbrella of Water and Sanitation
JWESSP	Joint Water and Environment Sector Support Programme
ISH	Improved Sanitation and Hygiene

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THE PROCEEDINGS OF LEVEL I TRAINING

TARGET GROUP

The Social Services department will hold training sessions with the selected RGCs/STs to create awareness about facility intentions for the RGCs/ST. The target group will be;

1. Members of the Water and Sanitation Committee
2. LC III Executive members.
3. District Councilor
4. Sub County Chief
5. Chairpersons LC I, II, III
6. Extension workers like Health Assistant, Parish Chiefs, CDA, CWO etc.
7. Heads of Institutions in the RGC.
8. Chairpersons of CBOs in RGC.
9. Chairpersons of women groups in the RGC.
10. Opinion leaders.

DURATION

Level 1 will last two days in training. However the days may be adjusted according to the situation in the particular town to be trained.

● TRAINING OBJECTIVES

Overall Objectives

- Create awareness about WSDF within the RGC to enable a harmonious working relationship.

Specific Objectives

1. To create awareness about Facility objectives, activities and approaches.
2. To sensitize the RGC about the facility implementation process.
3. Sensitize the RGC about community obligations towards development of water and sanitation system.
4. To sensitize the community about the Improved Sanitation and Hygiene (ISH) Strategy for sanitation improvement.
5. To discuss MOU to be signed between the RGC/ST and the WSDF.
6. To identify actors in implementation and define their roles and responsibilities towards successful implementation.
7. Discuss way forward with the community in relation to;
 - ☐ Defining the water area
 - ☐ Developing town Work plan

● TRAINING CONTENT

- (i) Overview of WSDF.
- (ii) Concept of Health.
- (iii) Safe Water Chain
- (iv) Mobilisation and leadership skills
- (v) Roles and responsibilities of actors.
- (vi) Roles of the WSC
- (vii) Gender roles analysis in water and sanitation activities.
- (viii) HIV/AIDS, Water, Sanitation and Hygiene
- (viii) Environmental Health

- (ix) Planning
- (x) Making a Survey
- (xi) Town Workplan

Additional topics could be added according to a particular RGC's/STs training needs.

TRAINING METHODOLOGY

The following methods will be used during the training's:-

- Group discussions and presentation in plenary
- Brain storming
- Role plays and stories

EVALUATION

Workshop participants will be evaluated at the end of each session.

OVERALL OBJECTIVE

To equip the RGCs/STs with relevant knowledge and skills to support the construction of the town / RGC water, sanitation system.

OVERVIEW OF WSDF

Background

The RGC should be conversant and fully aware of the activities, approaches, strategies and objectives of the WSDF right from the start. This sets good foundation for community participation, involvement and ownership of the system to be constructed. This session thus seeks to raise awareness and clear any doubts about the intended programme for the RGC.

TIME: 1 Hour

SESSION OBJECTIVES:

By the end of the session participants should be able to;

- Define WSDF
- Describe activities of the facility.
- Understand working principles of WSDF.

SESSION FLOW

What is WSDF, SWSSD?

- ☐ Charged with development of piped safe, adequate water and sanitation services in RGCs, STs and LGS.
- ☐ WSDF is facilitating implementation of RGCs/STs in Districts in Uganda)
- ☐ GOU initiative with funding from and GOU.
- ☐ To run from-.....

What are the Facility objectives?

- 1- To improve the socio-economic situation and the opportunities for people living in the Rural Growth Centres (RGC's) targeted by the project through
- the provision of safe, adequate, reliable and accessible water supply

- the promotion of sanitation facilities
- 2- To improve general health conditions through the reduction of water borne diseases in the targeted RGCs
- 3- Empower communities in the targeted Rural Growth Centres through:
 - Encouraging high degree of community organization as prerequisite for funding
 - Establishment of management structures for implementation and later O&M
- 4- To contribute to environmental protection through the use of appropriate technologies in water and sanitation interventions, such as renewable solar energy and ecological sanitation.
- 5- To ensure that the gender issue is addressed in such a way that women are empowered and both sexes are involved as decision makers.

What are WSDF principles?

- ☐ Economic efficiency
- ☐ Affordable
- ☐ Manageable
- ☐ Sustainable

What are its approaches?

- ☐ Demand driven approach.
- ☐ To ensure sustainability, community participatory approach is used.
- ☐ Community Based Management system used in O&M

Where does it operate?

RGCs in the South Western Districts of Kisoro, Kabale, Ntungamo, Kanungu, Rukungiri, Mbarara, Bushenyi, Sheema, Mitooma, Rubirizi, Buhweju, Isingiro, Ibanda, Kiruhura, Lyantonde, Kamwenge, Sembabule, Rakai, Kyenjojo, Kabarole, Ntoroko, Bundibugyo, Kyegegwa and Kasese.

What are Facility activities within an RGC?

Water Supply:

- Supply of piped water through public stand posts, institutional connections, and yard connections utilizing appropriate technologies.

Sanitation and Hygiene:

1. **Hygiene Education;** This will be carried out through Classroom Trainings, Drama, Radio Talk Shows, Posters, Demonstration Kits, and House to House Visits.
2. **Household Sanitation Improvement;**
 - a) Sensitization on Latrine Coverage up to 100%, complete with Hand washing Facilities,
 - b) promoting the improvement of sanitation facilities through an incentive scheme (Target: 3 HHs; For the Disabled, for the Child Headed Family, For the Poorest of the Poor). These households will provide locally available items like water or sand, or stones or manual labour as their contribution towards construction of the facilities.
 - c) Promoting improvement of sanitation facilities through construction of Demonstration Toilets (Target; at least 3). These will be applied for; but applicants will be willing to pay 30% (cash or materials) of the total cost of the facility pay upfront, willing to demolish the existing facility once the new one gets completed, willing to sign a sanitation and

hygiene sustainability agreement and abide by it.

d) Sanitation Agreements;

- One of these agreements will be signed with Households whose sanitation requirements are wanting and they are committing themselves to improve them.
- The second one will be signed with households benefitting from the “smart” incentives and demonstration toilets.
- The terms of the agreements will be;
 - (i) To use the Constructed Facility
 - (ii) Demolish the old facility
 - (iii) Follow the given correct use and management guidelines
 - (iv) In case of an Ecosan Toilet, put up a demonstration garden for re-use of ecosan manure
 - (v) Facility should be constructed on Owner’s land
 - vi) Owner to allow for inspection
 - vii) Shall pay upfront the 30% contribution
 - (viii) Shall provide the affordable items up to completion.
 - Applicants will be considered on a 1st come 1st served basis. Selection of successful applicants will be done by the Water and sanitation Committee, and WSDF will verify and confirm.

3. Household Toilets to be Provided; (i) Ecosan Toilets (ii) VIP (iii) Lined Pit Latrine (iv) Waterborne Toilets (v) Aqua Privy’s. The type of toilet technology provided will depend on the appropriateness of the technology in that particular area.

4. Public Waterborne Toilet; A public Waterborne Toilet will be constructed for every RGC/ST. Community members will acquire and provide land in a public place; whether a market or car park on which to build this facility.

5. Sludge Treatment Facilities;

Four Sludge Treatment Facilities will be constructed in the WSDF area of operation; and allocation will be considering the geographical area and demand. Groups of Districts will be clustered together to benefit from one sludge disposal facility. The Facility together with community members during the baseline survey will gather information on whether the towns have potential sludge disposal areas, and there shall also be sludge treatment area identification outside the RGCs/STs and from this information the 4 areas will be identified.

The Facility will design sludge collection and disposal systems suitable for the identified areas, procure contractors to construct them, and purchase sludge collection equipment. Private Sector Partners to be involved in the stages in the sanitation chain will also be identified. The Facility shall buy land wherever a sludge treatment area will have been identified.

6. Operation, Maintenance & Sustainability of Sanitation Achievements; Boards shall facilitate Health Assistants to provide easy access to sanitation and hygiene related information and advice, and shall in addition be charged with;

- (i) Liaising with Umbrellas to follow up on Household Hygiene and Sanitation
- (ii) Ensuring the Source is taken care of

- (iii) Ensuring Functionality of the constructed demonstration Toilets and “smart” toilets
- (iv) Ensuring existence of Demonstration Gardens
- (v) Facilitating Replication by connecting community members to masons, and the private sector for spares and equipment, make designs available,
- (vi) Make annual, quarterly, and monthly work plans and budgets regarding environment, hygiene, and sanitation,
- (vii) Follow up stakeholders to fulfill their sanitation obligations.

Environment:

- Campaigns on bad practices like bush burning.
- Source protection (at least 50X100m) to reduce water contamination.
- Afforestation with water friendly species.
- Fencing to avoid animal activity and minimize human activity.
- Extraction of 70% water leaving 30% for environment.

Special Considerations

Gender:

- Women are the most affected by water and sanitation related problems.
- Women are main promoters of hygiene and sanitation, and agents of behaviour change.
- Emphasis on women participation (Women as agents of behaviour change)
- Empowerment (by increasing access to resources) thru election on leading positions

O & M:

Management systems:

- Metered connection and payment of user fees.
- 100 % community management.
- WSSB contracts to private operator.

UO: Membership to the umbrella organization for sustainability

What is the implementation process?

- Call for Applications
- Receiving, Verification, and Evaluation of Applications
- Approval of RGCs by the Steering Committee
- Procurement of Contractors to carry out mobilization, identification, surveys, and design
- Designs Submitted and Approved
- Communities fulfill their obligations
 - ☑ Land Acquisition
 - ☑ Opening Bank Account
 - ☑ Selecting the Water and Sanitation Committee
 - ☑ Registering as Members of the Umbrella Organization
- Application for Construction
- Procurement of Contractors and consultants for construction supervision
- Establishment of Operation and Maintenance Structures
- Test running of facilities for effective performance

- Commissioning

● THE CONCEPT OF HEALTH

Background

Most people think of health in terms of medical care and medical services. As a result, majority tend to neglect social services. There is need therefore, to create awareness on the basic components of health.

TIME: 1 hour

SESSION OBJECTIVE.

By the end of the session, participants will be able to:-

- Describe what they understand by the term health.
- Know what conditions are likely to bring health or ill health.
- Be convinced that medical services on their own will not bring health.

SESSION FLOW

STARTER: Story

The facilitator may commence the SESSION with a story related to the one below;

- I am married with six children,
- I am 35 years old and I have job with local government
- 6 acres of land
- My children have had constant diarrhea but we normally visit the clinic.
- I have a drying rack, compost pit at home.
- I have land dispute with my neighbors.
- Two of my children look after my cows.
- I have a swamp near the house where we get water.
- My wife although she stopped school in P2, is very happy.

Discussion of the story

The facilitator discusses the story with the participants. Participants should point out whether you are healthy or not.

1. What are the components of health?

- Safe water
- Education; formal and informal
- Improved sanitation and hygiene
- Good Environment
- Food and Nutrition
- Shelter
- Protection of the environment
- Freedom / Freedom
- Good leadership
- Good communication (roads, radios, telephone, post office)
- Social services like churches, schools, electricity, Health units, market etc.

- Living happily with neighbours
- Clothing
- Family
- Free from disease
- Having some developmental work to do

2. Looking closely at our communities; what situations are likely to bring ill health?

Situations and conditions which are likely to bring ill health are:-

- Poor sanitation like lack of latrines, drying racks etc.
- Unsafe water sources and poor handling of water.
- Sharing houses with animals
- Overgrown compounds
- Poor food and poor feeding habits
- Lack of medical services (curative services)
- Poor nutrition
- Lack of peace and security
- Lack of informal and formal education
- Lack of cooperation towards development of our communities
- Poor leadership
- Poverty
- Lack of planning; not immunizing children, drunkenness

CONCLUSION.

- To be healthy we need to look at preventive social, economic, political, spiritual and cultural factors rather than curative medical facilities solely.
- In our work as leaders we must deal with preventive socio-cultural aspects of life so as to improve health in our community.

SAFE WATER CHAIN

(Water use and water contamination.)

Background:

The major activities of the project are to supply safe and adequate water and have improved sanitation to target communities. This aims at having a healthy community hence increased productivity that reduces poverty within communities. Provision of safe water alone cannot guarantee health, but communities need intensive sensitization on water handling to ensure that water is not contaminated in the process of putting it to use.

SESSION OBJECTIVES

By the end of the session participants should be able to;

- Describe sources of safe water and the ways of handling water in the homes to keep it safe.
- Value the use of clean water and willingness to encourage community in its use.
- Co-operate with project in its effort to avail the community safe water.

TIME 1 HOUR

SUGGESTED STARTER: Picture depicting water contamination.

Discuss the starter using SHOWED questions. Divide participants into groups of discussion.

POINTS TO DISCUSS

Causes of contamination

- Dirty collection containers
- Uncovered containers
- Unsuitable cover
- No or unsafe excreta disposal facility
- Children defecating anywhere in the compound
- Poor management of house wastes

Describe a protected water source.

- ☒ At least (50x100) m of protection area
- ☒ Protection area fenced off from any activities that could lead to contamination e.g. grazing animals.
- ☒ Afforestation of the protection area with water friendly tree species.
- ☒ Discourage the use of pesticides within the water catchment area
- ☒ Promote agro-forestry practices, and discourage the practice of bush burning
- ☒ Proper maintenance of the protection area e.g. clearing bushes around.
- ☒ Keep the tap environment clean.

Analyze water handling from tap until put to use

- ☒ Draw water with clean, covered containers
- ☒ Boil all drinking water for about 10 minutes and store it in clean and covered containers
- ☒ Ensure all water containers are kept clean

Other preventive measures of water contamination

- ☒ Household to have a safe excreta disposal facility (properly constructed and clean)
- ☒ Children to have shallow pits for defecation, and to gradually educate them on latrine use.
- ☒ Management of house wastes to get rid of fly nuisance

CONCLUSION:

- To have a healthy community, we must sensitize all future water users on safe water handling.
- Community leaders should strive to enlighten the community on safe water handling if we are to minimize the poverty levels within the community.

• MOBILIZATION & LEADERSHIP SKILLS

Background

During implementation the Water and Sanitation Committee, extension staff, heads of Institutions, opinion leaders and Local Councils will be expected to work hand in hand with Facility staff to mobilise the community. It is therefore necessary to enlighten them on how to mobilise so as to achieve the set objectives.

TIME 1 HOUR

SESSION OBJECTIVES

By the end of the session participants will be able to: -

- Know the meaning of mobilisation
- Know project activities clearly, and the importance of each activity to enable them mobilise other community members
- Identify appropriate mobilisation skills.
- Know the problems of mobilisation.
- Discuss the advantages and disadvantages of the different approaches in mobilisation, and clearly agree on the approach to be utilized.

SESSION FLOW

(i) What is mobilization?

STARTER; PICTURE

(a) Using a picture, the facilitator uses SHOWED questions to discuss with the participants what is meant by mobilization.

1. What is mobilization?

Sharing of: -Information
 -Education
 -Awareness creation

Involvement, participation and promotion of self-reliance.

2. The main elements for mobilization are:

- To bring people together.
- To enable the community to plan and evaluate water and sanitation activities.

To encourage people to work together towards the development of their water scheme.

3. Issues that require attention in mobilization of the community are:

Water and Environment

- Safe water chain – water handling
- Source protection – why protect source area and how
- Environmental health – components of a good home
- Improved Sanitation and Hygiene – basic principles

Operation and Maintenance

- Management model
- Highlights of O & M for sustainability
- Umbrella Organisation

Community Contribution

- Necessity of cash contribution
- 100% basic sanitation (pit latrine and san plat) coverage and why.
- Necessity of acquiring source, and tank land.

4. Approaches in mobilisation

STARTER ROLE PLAY

The facilitator should organise a role-play similar to this one;

- Mobiliser introduces himself to the community.
- He introduces the idea of boiling water in the community.
- He does not give the advantage of drinking boiled water and he does not make it clear to the people.
- People fail to respond to his idea of boiling water.

Discuss the role-play using the SHOWED questions. Identify the possible reasons for failure and suggest possible solutions. In plenary discussion, discuss the advantages and disadvantages of;

- Persuasive approach.
- Coercive approach.
- Combined approach.

Together with participants resolve the approach to be applied in the particular community that will ensure successful implementation.

4. The problem of mobilization

How to get over BUT. Some of these roadblocks to change are:

We could boil drinking water BUT we do not have firewood.

STARTER STORY: A man who wants to cross a river.

He has - a goat

- a leopard

- potato leaves,

He can only carry one item at a time.

How does he cross the river?

1 man, goat.

2. man,

3. man, leopard.

4. man, goat

5. man, potato leaves

6. man

7. man, goat

The man makes 7 trips across the river.

The trips made represent.

MOBILIZATION EFFORTS

Goat/leopard/leaves represent the

COMMUNITY

The river represents health/development problems.

Discuss the story with the participants trying to show that mobilization is:

slow and time consuming.
requires patience
requires skills
requires careful planning
requires imagination

This thus requires the WSC and the leaders mobilizing the community members to be Good leaders, they need to have a Positive Attitude towards the people they are leading and wait to make Improvements to the Lives of the people.

As leaders especially at the beginning we will find many people who are unaware of what we are trying to do for water and sanitation. We can get quickly annoyed and frustrated at their slowness to participate in the activities. The Leader therefore has to create positive attitude. This positive attitude will be shown if leaders;

- Try to explain everything carefully to make people aware.
- Build up trust with the community.
- Are sensitive to the feelings of those they are leading.
- Give the people they are leading continuous attention.
- Always try to find the easiest way to carry out any tasks.
- Committee members begin by gaining the trust of the people.

The qualities of a good leader can quite be remembered by each letter representing a word.

L	ively
E	nergetic
A	lert
D	evoted
E	xemplary
R	ealistic
S	incire
H	onest
I	ntelligent
P	unctual.

CONCLUSION

When we are mobilizing, we cannot force people to respond to programmes planned when we have not carefully explained to them about the need to implement these programmes. Failure to sensitize the community threatens the sustainability of the constructed systems and the overall goal is not achieved.

Mobilization is to motivate people by convincing them of the usefulness of the work they are asked to do. To convince people takes a long time of discussion. In that time water and sanitation actors must encourage people to ask questions freely and express their doubts. This open climate will assist in getting a suitable approach of winning the community.

Whilst trying to raise awareness, not all members will be convinced at the same time. As leaders we have to continue convincing the community until majority are supportive.

• RESPONSIBILITIES OF WATER & SANITATION KEY ACTORS

Community Responsibilities

1. Apply for Water and Sanitation services
2. Form (elect) an implementation water and sanitation committee, before the scheme is started. The committee must represent and reflect the future users.
3. Assist the Project staff and extension staff with the execution of the base line survey and technical survey of the water scheme.
4. Select 2 Masons for training on new toilet technologies construction and use.
5. Select 3 HHs; For the Disabled, for the Child Headed Family, For the Poorest of the Poor to benefit from the “smart” incentives.
6. Apply for Demonstration Toilets and pay 30% (cash or materials) of the total cost of the facility upfront and demolish the existing facility once the new one gets completed.
7. Acquire land for development of all infrastructures and apply for processing of lease offer.
8. Contribute Ug Shs 50,000/= for every water connection.
9. Resolve all land disputes pertaining to Land acquisition.
10. Organize regular water and sanitation meetings with the population.
11. Describe the water and sanitation situation prior to the intervention of the project and keep records of the changes there after following instructions from WSDF.
12. Open up a bank account for implementation and later for use in operation and maintenance.
13. Undertake to shoulder 100% O&M responsibilities using the collections made from the scheme.
14. Register and subscribe to SWUWS / MWUWS/CUWS

Sub County / Local Council’s responsibilities

1. Undertake to give political support to the Project
2. Assist communities to identify projects and formulate applications.
3. Assist the community in identifying suitable members of the water and sanitation committee that will run the programme on behalf of the water users
4. Assist the community with the execution of the sanitation baseline survey and the concurrent surveys.
5. Assist the community in making a sanitation work plan and its implementation.
6. Assist the community in running their sanitation programme by mobilizing health staff and community development staff in the Project area.
7. To enact byelaws necessary to implement the water and sanitation Project.

8. Pass a resolution empowering WSC to operate autonomously.
9. Undertake to appoint a Water and Sanitation Board that will represent the community to manage the water and sanitation scheme on behalf of the Sub County/Town Council.
10. Support community management of water supply and sanitation facilities.

District's Responsibilities

1. Give political support to the Project.
2. Sign a MoU with the WSDF which defines the respective roles and responsibilities (funding criteria and procedures, procurement, modalities of joint supervision of consultants and contractors).
3. Encourage water stressed Rural Growth Centres to apply for water and sanitation services. In doing so the District shall within a timely manner receive, verify data, endorse and forward these applications at no salary or fringe benefit cost to the Facility.
4. Provide technical personnel who shall together with the Facility engage in planning for, supervise and monitor implementation of the water and sanitation activities under the Facility.
5. Assist, facilitate and mobilize Rural Growth Centres to fulfill their obligations in a realistically anticipated time period (6-9 months) for successful implementation of the program.
6. Ensure that the Implemented Rural Growth Centres in their designated District Local Government are members to the Regional Umbrella of Water and Sanitation to ensure sustainability of constructed systems.
7. Fully own projects in their Districts, but without compromising the operational autonomy of WSC/WSSB.
8. Provide support to established Water Authorities in following up and ensuring proper Operation and maintenance of constructed water supply systems.
9. Avail her established structures to ensure the sanitation improvements achieved during implementation are sustained.

Responsibilities of WSDF

- 1 Meet the agreed upon costs of designing and implementing water and sanitation activities in the selected RGCs within the District.
- 2 Procure Works, Supplies and Services required in the Implementation of water and sanitation activities in the District using the delegated Facility Contracts Committee.
- 3 Develop the terms of references for Contractors and Consultants.
- 4 Provide the required trainings for Consultants and Contractors.
- 5 Provide technical know- how to check the feasibility and accuracy of the technical designs.
- 6 Provide technical staff to jointly plan, supervise, and monitor implementation progress with the District staff.
- 7 Carry out Research in relation to water and sanitation activities to improve implementation standards.
- 8 Provide technical backstopping throughout the implementation of the programs.

e) Local leaders

- Assist WSC to mobilise WSS actors.

- Assist to enforce bye laws to successfully implement project.
- Assist in instituting the sanitation programme.

f) **Extension Staff.**

- Assist the project staff to institute Water, Sanitation and Environment programmes.
- Assist in interpreting relevant policies in implementation of the project.
- Enforce bye laws.

g) **Community members.**

- To select WSC
- To participate in WSS activities (To fulfill CC to project)
- To identify community problems.
- To mobilize available materials.
- To clean water containers.
- To strive to meet the required sanitation and Hygiene standards

CONCLUSION

The main points for water, sanitation and hygiene committees to remember; -

- Longer before any construction takes place discuss with the WSS actors about their roles in construction and maintenance of the system.
- The WSC needs to organize the community (i.e. those people who will benefit from the project) and hold meetings to discuss the role of the community in construction and later operation and maintenance.
- Expect the community to meet their obligations and take part in the implementation. Do not start work until their part is complete.
- The project goes at the speed of the community it cannot be tempted to complete it alone.
- Throughout the construction time, hold meetings with the user community to discuss the sanitation and hygiene improvements and maintenance.
- Make frequent follow up visits and meet to discuss WSS activities.

ROLES AND RESPONSIBILITIES OF THE WSC

Definition of a Water and Sanitation Committee (WSC):

This is a committee selected by the entire target community that is to be assisted to construct water system and carry out improved sanitation within the community. The committee mobilizes the community into fulfilling community obligations towards the development effort.

- Bridge the gap between the community and stakeholders.
- Select individuals to assist the facility in carrying out activities
- Organise meetings
- Spearhead the community in fulfilling their obligations
- Mobilise for contributions
- Drawing implementation plans
- Mobilise the community to cooperate with the WSDf in construction

- Reporting to the stakeholders
- Manage funds collected form the community
- Open up a bank account
- Collect basic information
- Solicit for applications for connections
- Select Masons
- Select households for benefiting sanitation incentives
- Receive applications for demonstration toilets
- Spearhead the writing of community history and submit to WSDF
- Sign sanitation agreements with sanitation defaulters
- Issue out applications for private connection
- Assist WSDF Staff in collecting data from the community
- Any other duties as may be guided by the WSDF from time to time.

Roles of Committee members:

- Represent the interests of the area they represent.
- Attend meetings to plan and discuss resource mobilization.
- Assist mobilise resources
- Sensitise / pss on information about water
- Mobilise the people they represent to participate /contribute towards development of their water supply and sanitation system.
- Report back to actors
- Participate in drawing community plans
- Participate in budgeting
- Receive funds and report them to the treasurer.

Roles of the Chairperson of WSC.

- Co – sign on all the M.O.U.s on behalf of the community
- Lead the WSC members to carry out implementation
- Signatory to the Bank account
- Call meetings
- Signatory to the land purchase / give away agreements
- Chair WSC meetings
- Approve expenditures of the scheme.
- Report to other stakeholders the activities of the committee
- Receive visitors
- Lead thecommittee in compiling their performance reports
- Lead the committee in handing over to the WSSB for O & M.
- Any other duties as required by stakeholders.

Roles of the Secretary- WSC

- Keep scheme records.
- Keep minutes of all committee meetings
- Signatory to the account
- Present to the committee the previous minutes
- Any other duties as maybe required.

Roles of the Treasurer

- Responsible for all scheme finances
- Signatory to the account.
- Ensure that the scheme has tools for financial records eg receipt books, voucher books and cash books.
- Keep clear financial records
- Receive all the incomes of the scheme
- Confirm that the scheme has funds before any expenditure is made.
- Ensure that all expenditure is as budgeted
- Ensure all funds collected are banked
- Give monthly reports
- Allow inspection of the scheme financial stakeholders
- Any other duties as need may arise

GENDER ROLES ANALYSIS IN WATER AND SANITATION.

TIME: 1 HOUR

Background

Women play an important part in water and sanitation activities. However, society has a tendency of excluding women in decision-making. Since women are water managers in the community, it is vital to involve them in water and sanitation activities.

SESSION OBJECTIVES

To facilitate participants to appreciate the important roles of both women and men in water and sanitation activities.

SESSION FLOW

STARTER: Role-play depicting attitudes of men towards women leadership. Organise a community meeting for the election of a committee. In this meeting, a member should nominate a lady for Chairperson's positions. This stirs the community into an uproar accompanied by negative comments on being led by a woman.

DISCUSSION

Facilitator leads the participants into a discussion using the SHOWED questions. It is important to note the women's workload in water and sanitation and why they should not be excluded.

- Mothers and children constitute 2 out of 3 of the population.
- Water and Sanitation = Women are primary users of water and primary influence of sanitary habits.
- Treatment of communicable diseases.
- Mothers carry out informal education in families.

Note: Participants should be asked to share personal experiences that they went through because of gender differences.

WHY DONT WOMEN PARTICIPATE?

- Ignorant of the programme.
- Heavy workload.
- Men do not allow them.
- Left behind in education
- Cultural barriers - not allowed to air their views in public.
- Not aware of their roles.
- Inferiority complex.

WHAT CAN BE DONE TO INVOLVE THEM?

- Mobilise and educate them.
- Mobilise and educate men on the importance of involving their wives.
- Should be encouraged to come forward for training as resource persons.
- Convince men to assist their wives where possible in order to relieve women the heavy workload.

FACILITATORS INPUT

Gender” describes the social differences between Men and Women learnt over time (and different from culture to culture) and therefore subject to change contrary to sex which describes biological differences.

Observations

- Culture influences gender roles to own property, thus most of the resources in the home are owned by man.
- Negatives of children are blamed on the mother.
- Some roles over burden women.
- Some men shy away from responsibility.
- Man enjoys comfort at home.
- Man has all the powers in the home.

CONCLUSION.

- If man and woman had equal access and control over resources there would be development in our communities.
- If men were helping women to carry out water and sanitation activities family health would also improve.

- Women should be involved in decision making for water and sanitation activities if the Project is to succeed.

HIV/AIDS, WATER, SANITATION, & HYGIENE

AIDS (Acquired Immune Deficiency Syndrome) is caused by the Human Immunodeficiency Virus (HIV) that damages a person's immune system. People become infected by HIV in three possible ways:

1. Through heterosexual or homosexual intercourse. Most infections in the developing world are transmitted heterosexually.
2. Directly into the bloodstream through use of contaminated blood or blood products, or sharing of intravenous drug-injecting equipment.
3. From mother to child. This may occur prior to birth across the placenta, during birth, or via breast milk.

The impact of HIV/AIDS is unique because it kills adults in the prime of their lives, depriving families, communities and nations of their young and most productive people. At the same time, the slow wearing away caused by the chronic illnesses associated with AIDS saps the resources of families and caregivers, weakening civic participation in development efforts and threatening the sustainability of those efforts.

How has HIV/AIDS affected Water, Sanitation and Hygiene Development

1. It threatens the achieving of the Millennium Development Goal to halve the proportion of people who are unable to reach or afford safe drinking water
2. It also threatens the goal set in the World Summit on Sustainable Development in Johannesburg in 2002 to halve the number of people without access to improved sanitation.
3. It has a negative impact on the quantity and quality of services provided by the Water Sanitation and Hygiene sector because not only will funding be reduced because of a decreased tax base and reduced government budget, but sector staff performance will also decline as a result of diminishing productivity and capacity, through staff illness and death, the lack of skills of new staff and lack of training capacity.
4. It has a negative impact on overall social and economic development, reducing economic viability and, potentially, the political stability of countries with high prevalence rates. In some African countries, HIV/AIDS is reported to have set back development by a decade or more.
5. The impact of HIV/AIDS is systemic and affects development at all levels: household, community, institutional and national.

Linkages between HIV/AIDS and water, sanitation and hygiene

1. Majority of AIDS patients are being cared for within their local communities. Water is needed for bathing patients and washing soiled clothing and linen.
2. Safe drinking water is necessary for taking medicines
3. nearby latrines make life more tolerable for weak patients
4. water is needed to keep the house environment and latrine clean in order to reduce the risk of opportunistic infections
5. Water and sanitation provision increases the sense of dignity of both patients and caregivers

The Role of the Water, Sanitation, & Hygiene sector in prevention and mitigation of the effects of the epidemic.

1. Give Hygiene education to Communities where there are leaders, caregivers and volunteers in home-based care.
2. Ensure that water supply points and latrines are easily accessible and close to where they are needed.(This not only reduces the burden of long-distance water collection, for example, fetching water on care-givers or those who are weak. Critically too, it cuts the risk of girls and women being raped while fetching water or relieving themselves in remote places, and thus reduces vulnerability to infection with HIV).

● ENVIRONMENTAL HEALTH

SESSION OBJECTIVES

By the end of the session participants should be able to;

- Describe the components of a good home.
- Know the use of each component in the home and effects when missing.
- Be willing to have all the required components in their homes.
- Encourage the community members to have all the components of a good home.

TIME: 1 HOUR

SUGGESTED STARTER: Role-play.

POINTS TO DISCUSS

1. What are the components of a good home?

1. Pit latrine/Toilet Facility.
2. Compost pit
3. Kitchen.
4. Animal house.
5. Water collection container
6. Drinking water container.
7. Drying rack.
8. Clean compound.
9. Household cleanliness.

PLANNING

Background

Planning is a systematic way of knowing what tasks are to be performed. It is important for the committee to plan for their activities if the project is to succeed. It is essential to prioritize activities to enable the committee identify what to commence with. This ensures organisation and progress of Project activities.

TIME: 1 HOUR

SESSION OBJECTIVES

By the end of the session, participants should be able to;

- Explain / discuss the importance of planning in relation to their water and sanitation project activities.
- Be able to plan out their project activities, (WAY FOWARD)

SESSION FLOW

STARTER: THE STORY OF FOUR MEN.

There was an important job to be done.

Every Body thought **Some Body** would do it.

Any Body could have done it, but **Nobody** did it.

So it ended that, **Every Body** blamed **Some Body** because **Nobody** did what **Every Body** could have done.

GROUP DISCUSSION

- Group 1.* What is planning?
 What is the importance of planning?
- Group 2.* When do we plan?
 Who plans?

FACILITATOR'S INPUT

Importance of planning.

- It helps in budgeting
- Organizing resources
- Prioritizing needs
- Monitoring and evaluation
- Easy communication.

When do we plan?

- When there is a task to perform
- When there is a problem

Who plans?

- Water and Sanitation staff.
- Local councils
- Women groups
- Water and sanitation committee.
- Church Leaders
- Community members.

When we are planning remember the **5 W's** (five fingers of our hands)

Describe the five-finger questions used in planning and explain how they can be used.

WHAT? (ACTIVITY/TASK)
WHY? (OBJECTIVE)
WHEN? (TIME/DURATION)

LOCATION (WHERE/VENUE)
WHO? (RESPONSIBILITY)
HOW? (STRATEGIES)

Planning objectives.

In planning our objectives must be; -

Smart.

Specific
Measurable
Achievable
Realistic
Time bound

Conclusion.

As a committee: - if we don't plan carefully, our projects in the community will fail and everyone will be disappointed. With the disappointment people lose motivation to be involved in other activities.

Any development project will fail if the planning does not include all aspects and possible effects of the project.

MAKING A SURVEY

SESSION OBJECTIVES

By the end of the session participants should be able to;

- Explain the importance of carrying out a survey.
- Carry out a sanitation baseline survey in their community.

Time: 1 Hour.

SUGGESTED STARTER: Role play depicting a health workers visit to the community.

Community is unable to give statistical data although they report an improvement in pit latrine coverage.

POINTS TO DISCUSS

a). Importance of a survey.

- collect information so that guidelines and objectives can be drawn for action.
- Give detail as to what the community looks like.
- find out what resources available in the community.
- Identify and prioritize problems.
- Get data to assist in drawing a plan of action.
- Serve as baseline information.
- Helps to assess the needs of a community.
- Measure progress in the community.
- Attitudes of people.

b). Methods

- 1. listening.
- 2. Questions.
- 3. Home visiting
- 4. Discussion with target group.
- 5. Observing.
- 6. Interviews.
- 7. Using records.

c). When to carry out a survey.

- Before the project starts.
- Mid life of the project.
- End of the Project.
- Other times as necessary.

d). What should be collected ?

- Depends on the aims and objectives of survey.

• TOWN WORKPLAN

Background:

A town / RGC work plan should be drawn together with the community. This session will be aimed at identifying the activities necessary for the development of the water and sanitation system. A time frame for each activity should be fixed.

Time: 1 Hour

Session Objectives:

- Identify activities and the responsible actor.
- Identify challenges faced and seek possible solutions.
- Draw town work plan of all activities.

Content:

• TOWN WORKPLAN ACTIVITIES		
No.	Activity	• Time Frame
1.	Awareness creation in RGC	
2.	Town work plan	
3.	Mobilization drama show	
4.	Water Sanitation Committee formation	
5.	MOU (Agreement) signing	
6.	Pre-feasibility study (Mapping WA, B. Survey, Source Ident, WQ)	
7.	Design and documentation (Topo survey,)	
8.	Presentation of designs and Sanitation Survey Results	
9.	Fulfillment of community obligations (Land, UO, History, Cash contrib., 2 masons)	
10.	Application for construction	

11.	Procurement of Contractors and consultants	
12.	2 nd Level Training	
13.	Application for private connection	
14.	Sanitation Training	
15.	Sanitation drama	
16.	Execution of household sanitation programme	
17.	Construction	
18.	O&M structures	
19.	O&M Training	
20.	O&M Drama	
21.	Commissioning	

Annex B.6.4. Awareness creation level 2 training manual

MINISTRY OF WATER AND ENVIRONMENT

DIRECTORATE OF WATER DEVELOPMENT

**TRAINING FOR IMPLEMENTATION
SECOND LEVEL TRAINING MANUAL**

Edited October 2013

ABBREVIATIONS

WSDF-.....	Water and Sanitation Development Facility.....Branch
SWUWS	South Western Umbrella of Water and Sanitation
WSSB	Water Supply and Sanitation Board
WSC	Water and Sanitation Committee
WSS	Water Supply and Sanitation
MWE	Ministry of Water and Environment
CC	Community Contribution
O&M	Operation and Maintenance
S/C	Sub County

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1.	Abbreviations
2.	Preamble
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4.	Safe Water Chain (Proper utilization of water)
5.	Community Contribution / participation / Development
4.	Communication
5.	Report writing
6.	Operation and Maintenance
7.	Monitoring and Evaluation
8.	Capacity Needs Assessment
9.	Gender
10.	Budgeting
11.	Review of Town Work plan
12.	Appendix 1

Preamble

The Water and Sanitation Development Facility in supporting Implementation of South Western Towns Water and Sanitation Project III has a major goal of building healthy communities through the supply of safe and adequate water and improved sanitation. It is the project principle therefore to construct affordable, manageable, adaptable and above all sustainable systems that will ensure a healthy community.

To achieve the desired sustainability, community involvement should begin as early as possible in project development. If communities are directly involved in planning new schemes and deciding how they are to be run, chances are much better that the development will meet their own felt needs, inspiring them to have a sense of ownership.

Management responsibilities are to be passed on to the community under the SWTWSIII arrangement and therefore communities have to be involved in the implementation process fully. Community mobilization and sensitization is crucial at this stage to prepare communities to manage their systems. Training communities to gain the necessary skills to maintain sustainably the constructed facilities is a tool applied by the SWTWSIII project.

The Social Services department section will utilize this manual to conduct second level training with opinion and community leaders of the towns to be implemented under South Western Towns Water and Sanitation Project III. The target group will be the Sub County leadership, WSC, Extension workers, Heads of Institutions, Heads of CBOs and Opinion leaders.

Second level training lasts four days and the methods used during the training may include;

- Group discussions and presentation in plenary
- Brain storming
- Role plays and stories

Additional topics could be added according to a particular town's training needs. Workshop participants will be evaluated at the end of each session.

Goal

The major goal of this training is to broaden water and sanitation actors' understanding of project working principles and activities to enhance community perception of Project.

Objectives

1. To review performance of Water and Sanitation actors, and help them to identify their capacity needs.
2. To enable participants gain knowledge on proper water handling for better health.
3. To facilitate participants to have better understanding of community contribution, participation and development.
4. To widen knowledge of participants about future O&M of their schemes.
5. To aid participants gain skills on Monitoring and Evaluation of programmes.
6. Review the experiences of water and sanitation sector in project towns.
7. To assist participants value the importance of report writing and gain report writing skills.
8. Enable participants gain skills and knowledge on budgeting.
9. To improve communication among water and sanitation actors.
10. To emphasize the need for gender considerations in WSS activities.
11. To review town work plan and make action plan of pending activities.

OVERVIEW OF WSDF

Background

The RGC should be conversant and fully aware of the activities, approaches, strategies and objectives of the WSDF right from the start. This sets good foundation for community participation, involvement and ownership of the system to be constructed. This session thus seeks to raise awareness and clear any doubts about the intended programme for the RGC.

TIME: 1 Hour

SESSION OBJECTIVES:

By the end of the session participants should be able to;

- Define WSDF
- Describe activities of the facility.
- Understand working principles of WSDF.

SESSION FLOW

What is WSDF, SWSSD?

- Charged with development of piped safe, adequate water and sanitation services in RGCs, STs and LGS.
- WSDF is facilitating implementation of RGCs/STs inDistricts in Uganda)
- GOU initiative with funding from and GOU.
- To run from

What are WSDF principles?

- Economic efficiency
- Affordable
- Manageable
- Sustainable

What are its approaches?

- Demand driven approach.
- To ensure sustainability, community participatory approach is used.
- Community Based Management system used in O&M

Where does it operate?

RGCs in the Districts of

What are Facility activities within an RGC?

Water Supply:

- Supply of piped water through public stand posts, institutional connections, and yard connections utilizing appropriate technologies.

Sanitation and Hygiene:

1. **Hygiene Education;** This will be carried out through Classroom Trainings, Drama, Radio Talk Shows, Posters, Demonstration Kits, and House to House Visits.
2. **Household Sanitation Improvement;** Sensitization on Latrine Coverage up to 100%, complete with Hand washing Facilities, promoting the improvement of sanitation facilities through an incentive scheme (Target: 3 HHs; For the Disabled, for the Child Headed Family, For the Poorest of the Poor). These households will provide locally available items like water or sand, or stones or manual labour as their contribution towards construction of the facilities. Promoting improvement of sanitation facilities through construction of

Demonstration Toilets (Target; at least 3). These will be applied for; but applicants will be willing to pay 30% (cash or materials) of the total cost of the facility upfront, willing to demolish the existing facility once the new one gets completed, willing to sign a sanitation and hygiene sustainability agreement and abide by it. **Sanitation Agreements;** One of these agreements will be signed with Households whose sanitation requirements are wanting and they are committing themselves to improve them. The second one will be signed with households benefitting from the “smart” incentives and demonstration toilets. The terms of the agreements will be; (i) To use the Constructed Facility (ii) Demolish the old facility (iii) Follow the given correct use and management guidelines (iv) In case of an Ecosan Toilet, put up a demonstration garden for re-use of ecosan manure (v) Facility should be constructed on Owner’s land (vi) Owner to allow for inspection (vii) Shall pay upfront the 30% contribution (viii) Shall provide the affordable items up to completion. Applicants will be considered on a 1st come 1st served basis. Selection of successful applicants will be done by the Water and sanitation Committee, and WSDF will verify and confirm.

3. **Household Toilets to be Provided;** (i) Ecosan Toilets (ii) VIP (iii) Lined Pit Latrine (iv) Waterborne Toilets (v) Aqua Privy’s. The type of toilet technology provided will depend on the appropriateness of the technology in that particular area.
4. **Public Waterborne Toilet;** A public Waterborne Toilet will be constructed for every RGC/ST. Community members will acquire and provide land in a public place; whether a market or car park on which to build this facility.
5. **Sludge Treatment Facilities;** Four Sludge Treatment Facilities will be constructed in the WSDF area of operation; and allocation will be considering the geographical area and demand. Groups of Districts will be clustered together to benefit from one sludge disposal facility. The Facility together with community members during the baseline survey will gather information on whether the towns have potential sludge disposal areas, and there shall also be sludge treatment area identification outside the RGCs/STs and from this information the 4 areas will be identified. The Facility will design sludge collection and disposal systems suitable for the identified areas, procure contractors to construct them, and purchase sludge collection equipment. Private Sector Partners to be involved in the stages in the sanitation chain will also be identified. The Facility shall by land wherever a sludge treatment area will have been identified.
6. **Operation, Maintenance & Sustainability of Sanitation Achievements;** Boards shall facilitate Health Assistants to provide easy access to sanitation and hygiene related information and advice, and shall in addition be charged with; (i) Liaising with Umbrellas to follow up on Household Hygiene and Sanitation (ii) Ensuring the Source is taken care of (iii) Ensuring Functionality of the constructed demonstration Toilets and “smart” toilets (iv) Ensuring existence of Demonstration Gardens (v) Facilitating Replication by connecting community members to masons, and the private sector for spares and equipment, make designs available, (vi) make annual, quarterly, and monthly work plans and budgets regarding environment, hygiene, and sanitation, (vii) Follow up stakeholders to fulfill their sanitation obligations.

Environment:

- Campaigns on bad practices like bush burning.
- Source protection (at least 50X100m) to reduce water contamination.
- Afforestation with water friendly species.
- Fencing to avoid animal activity and minimize human activity.
- Extraction of 70% water leaving 30% for environment.

Special Considerations

Gender:

- Women are the most affected by water and sanitation related problems.
- Women are main promoters of hygiene and sanitation, and agents of behaviour change.
- Emphasis on women participation (Women as agents of behaviour change)
- Empowerment (by increasing access to resources) thru election on leading positions

O & M:

Management systems:

- Metered connection and payment of user fees.
- 100 % community management.
- WSSB contracts to private operator.

UO:

Membership to the umbrella organization for sustainability

What is the implementation process?

- Call for Applications
- Receiving, Verification, and Evaluation of Applications
- Approval of RGCs by the Steering Committee
- Procurement of Contractors to carry out mobilization, identification, surveys, and design
- Designs Submitted and Approved
- Communities fulfill their obligations
 - Land Acquisition
 - Opening Bank Account
 - Selecting the Water and Sanitation Committee
 - Registering as Members of the Umbrella Organization
- Application for Construction
- Procurement of Contractors and consultants for construction supervision
- Establishment of Operation and Maintenance Structures
- Test running of facilities for effective performance
- Commissioning

TRAINING CONTENT

SESSION: SAFE WATER CHAIN

Background:

The major activities of the project are to supply safe and adequate water and have improved sanitation to target communities. This aims at having a healthy community hence increased productivity that reduces poverty within communities. Provision of safe water alone cannot guarantee health, but communities need intensive sensitization on water handling to ensure that water is not contaminated in the process of putting it to use.

Time: 1 Hour

Session Objectives:

- To enable the community leaders to value the importance of maintaining the source area
- To equip community leaders with knowledge about safe water handling.
- Describe safe water sources and proper water handling to avoid contamination
- Emphasize need for community leaders to carry out intensive sensitization of community about safe water and proper handling of water.

Starter: Picture, or Story like Water is tested at tap stand and found safe, but water drawn from same tap but tested at the household level is found contaminated. Why does this situation happen?

Content:

Using SHOWED questions, discuss why such a situation happens and possible solutions.

iv) Causes of contamination

- Dirty collection containers
- Uncovered containers
- Unsuitable cover
- No or unsafe excreta disposal facility
- Children defecating anywhere in the compound
- Poor management of house wastes

v) Describe a protected water source.

- .1 At least (50x100) m of protection area
- .2 Protection area fenced off from any activities that could lead to contamination e.g. grazing animals.
- .3 Afforestation of the protection area with water friendly tree species.
- .4 Discourage the use of pesticides within the water catchment area
- .5 Promote agro-forestry practices, and discourage the practice of bush burning
- .6 Proper maintenance of the protection area e.g. clearing bushes around.
- .7 Keep the tap environment clean.

vi) Analyze water handling from tap until put to use

- .1 Draw water with clean, covered containers
- .2 Boil all drinking water for about 10 minutes and store it in clean and covered containers
- .3 Ensure all water containers are kept clean

vii) Other preventive measures of water contamination

- .1 Household to have a safe excreta disposal facility (properly constructed and clean)
- .2 Children to have shallow pits for defecation, and to gradually educate them on latrine use.
- .3 Management of house wastes to get rid of fly nuisance

CONCLUSION:

- To have a healthy community, we must sensitize all future water users on safe water handling.
- Community leaders should strive to enlighten the community on safe water handling if we are to minimize the poverty levels within the community.

SESSION: CAPACITY NEEDS ASSESSMENT

Background

Sustainability of constructed systems is one of the principles under which the SWTWS project III operates. Within the WSS sector, inefficient and ineffective O&M has been identified as the biggest obstacle of constructed systems. SWTWS in its approach hands over systems to communities for management, hence there is need to empower the community with capacity for effective implementation and management of the WSS systems.

In the execution of WSS programmes, SWTWS project through WSC's, Opinion leaders and local leaders involves communities to instill a sense of ownership into the community right from the beginning and to build sound Operation and Maintenance for sustainability of the constructed systems in the future.

This session is aimed at conducting a self-assessment of the community and opinion leaders to identify areas in which more effort should be placed to improve their ability to manage the implementation and O&M phases of project cycle.

Time: 1 Hour

Session Objectives:

- To help participants (Opinion / Community leaders) identify their strength and weaknesses in carrying out tasks that are set before them.
- To identify challenges faced by the community in meeting their obligations towards the project, and means to overcome the challenges.
- To equip participants with relevant knowledge and skills to carry out their implementation obligations

Starter: Imagine you have an occasion you are planning for over a long time. You take care to think about the kind of clothes you would wish to put on. As you explain to the tailor the kind of fashion you wish to have for your cloth, the tailor assures you he/she knows it all, and has been making such kind. You leave your piece with him/her, but on the eve of your occasion he gives you a very distorted garment. Your day is spoilt.

Content:

Discuss reasons why human beings are reluctant to admit their weak points or tend to assume that they have understood issues while in actual sense, they have not understood. Focus on encouraging leaders to relax and feel free in filling the self-assessment questionnaire and reporting on progress of community obligations. (For details of questionnaire see appendix)

Why is it not easy for people to admit their weak points?

1. They fear being ridiculed
2. They fear they might lose out to the others
3. They fear their weaknesses can be magnified to overshadow their strength
4. Some people are just unmoved.

Attitudes like these should be discouraged because they deter development within our communities.

What does one gain in pointing out personal / community weaknesses? (Solicit for contributions)

- Enrich one’s capability
- Weakness can easily be overcome.
- Acquire advice or training
- Development of the community

Assist participants to carry out a self-assessment.

SN	ACTOR	RESPONSIBILITIES	CAPACITY GAP	HOW TO ADDRESS IT	
1.	Sub County				
2.	WSC:				
	Chairperson				
	Secretary				
	Treasurer				
	C. Members				
3.					

Guide on Agenda for the meeting

1. Prayer

2. Communication from the Chairperson (Report of progress since last meeting)
3. Reactions
4. Reviewing previous minutes
5. Reactions
6. Treasurers
7. Reactions
8. Way forward on actions, persons responsible and timelines.
9. Closure

Guide on Chairperson's Report Components

1. Report on Actions since previous meeting (Activities carried out)
2. Resources used
3. Challenges met
4. Recommendations
5. Any other information

CONCLUSION:

It is important to be open and free in submitting our capacity needs. The exercise seeks to enhance community leaders capacity in order to ascertain successful implementation and ensure sustainability of WSS systems.

SESSION: COMMUNITY CONTRIBUTION / PARTICIPATION / DEVELOPMENT

Background:

During the first level training, the leaders are sensitized on community obligations. As leaders mobilize the community to meet their obligations during the implementation process, interaction with the future users raises questions and doubts that hinder level of participation and contribution. During this session, participants should share their experiences and seek for clarity to ease sensitization process towards development of the community.

Time: 1 Hour

Session Objectives:

- To enable leaders gain more knowledge to ease the mobilisation of community towards meeting their obligations.
- To boost community participation in implementation of project.
- Have an understanding of each contribution the community is required to put towards implementing the project.

Starter: Story of a burial ceremony. Family A has lost relative. Neighbour X gives 5000/- towards funeral expenses. Family Y assists in provision of necessary labour to bereaved family. Person Z gives 3000 to bereaved family and provides necessary labour.

Content:

Using the above starter, discuss with participants the meaning of contribution and participation, clearly bringing out the differences.

What is community participation?

Participation is defined as the active involvement of the local population in the decision-making processes concerning the implementation of their development programmes. It includes decision making about what should be done and how, community contributions towards the development effort and the collective sharing of benefits.

What is Contribution?

Contribution refers to an action or a service that helps to cause or increase something.

Why should communities participate? (Solicit answers)

Possible Answers:

1. With participation, more may be accomplished
2. Participation has an essential value for the participants
3. Participation is a means for further development.
4. Participation encourages a sense of responsibility.
5. Participation guarantees that a felt need is involved.
6. Participation ensures things are done in the right way.
7. Participation uses valuable indigenous knowledge.
8. It frees people from dependence on others.
9. Participation makes people more conscious of the causes of their community problems.
10. Communities own the project and it reduces dependency on charity or aid.
11. Communities get rid of the "I don't care" attitude towards the project
12. Communities become interested in the progress of activities
13. It leads to self reliance and sustainability

Cite ways in which the community can participate in project activities.

Possible Answers:

- Planning especially during meetings
- Monitoring construction works
- Monitoring and follow up on sanitation programme progress at household level
- Sensitizing neighbours on WSS programmes within the community
- Mobilisation for community contribution

What happens when communities do not make any contribution nor participate?

Possible Answers:

1. Very few individuals are interested in the progress of work.
2. Communities do not own the project and thus promoting the "I don't care" attitude towards the whole project.

3. Sustainability of the project is threatened.
4. This could also promote tension between the stake holders, especially the community and the implementers.

Name the kinds of contributions obligatory for communities to make towards WSS programme.

Possible Answers:

- i. Formation of WSC
- ii. Opening a bank account
- iii. Source Land
- iv. 50,000/= cash contribution per connection
- v. Land for the Water Office and the Public sanitation facilities
- vi. Land for the tanks
- vii. Land where the pipeline passes
- viii. Writing community history
- ix. Subscribe to the SWUWS/MWUWS
- x. 100% excreta disposal facility coverage

Community Development

What is development?

Development is a change of people's attitude to a change of habits. It is a change process of knowledge, attitudes and practices.

Key messages on development

Development has to come from within the people themselves and then to the country in general.

1. Dependence retards development.
2. Involvement of communities right from the beginning minimizes dependency.
3. Provision of services is not necessarily development unless the people utilize and maintain services provided. There should be seen positive impact.

Conclusion:

Community contribution and participation are essential aspects for O&M and overall sustainability of WSS systems. There is need for communities to actively participate in project activities if the desired goal is to be attained.

SESSION: COMMUNICATION

Background:

Changes are needed in the attitudes and behaviour, both of decision makers and of the entire community to deal with WSS problems. This calls for a communication culture. This session is to equip community leaders with capacity to create effective communication within the community for smooth project implementation of water and sanitation activities.

Time: 2 hours

Session Objectives:

- Assist participants gain communication skills.
- Help participants identify the different channels of communication
- Assist the participants list the advantages of smooth and open communication and consequences of poor communication

Starter: Story about communication with a gap

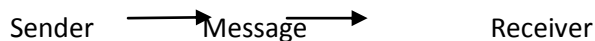
Content:

What do you understand by the term communication?

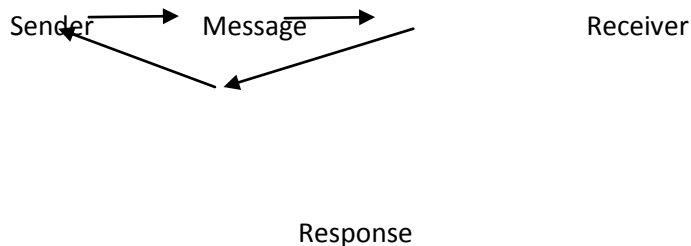
Communication is a means of receiving and passing on messages or information or the process of passing on and receiving information.

For a message to be part of communication there has to be a sender and also a person who receives the message – who actually hears and responds to it. If it is noise that is ignored, then it has not been received.

Incomplete communication



Complete communication



Note: Many channels of communication should be used to impart ideas and information.

Identify the different channels of communication and give examples of how communication can flow between the different channels. Highlight advantages and disadvantages of each and identify what is appropriate for the community.

Channels of communication:

- 1- Official letter writing
- 2- Conversation or physical talk to the persons responsible (Individual visits)
- 3- Holding meetings

- 4- (Electronic media *like e-mail, internet*)
- 5- (Drama)
- 6- (Mass media) *like newspapers, magazines, radios, television, brochure etc.*
- 7- (Demonstrations)

And could be between the following categories of stakeholders.

- 1- Community to the local leaders
- 2- Community to the project team
- 3- Local leaders to the project team
- 4- Project team to the community
- 5- Project team to the local leaders
- 6- Extension staff to the community etc.

The information passed on should not be biased, should be intended to bring about development, and not to cause harm or deter development.

Communication can be verbal or non verbal. Non-verbal communication is a very important part of our communications with other people. It entails encouraging body language and discouraging body language.

Call upon participants to identify encouraging and discouraging body language characteristics.

Encouraging body language

- Smile
- Relaxed eyes
- Eye contact
- Relaxed mouth
- Relaxed movements
- Attentive expression
- Warm handshake

Discouraging body language

- Frown
- Half closed eyes
- Look away most of the time
- Stiff, showing boredom
- Tap fingers showing impatience
- Turn body away from person
- Total silence, giving no encouragement

Advantages of smooth and effective communication

- Promotes transparency in the implementation process
- Improves harmony and unity among the stake holders
- It encourages the level of community participation
- The implementation steering committee finds it easy to mobilise the community meet its obligation
- Speeds up implementation process
- Creates sense of responsibility since roles of all actors are described

Effects of poor communication

- Work is loaded on the shoulders of very few individuals.
- Promotes disunity among the stake holders
- Many community people are kept in the dark and their participation is kept low or not there at all
- There is a likely hood of the project failing or taking long to be completed.
- People do not own the project.

Barriers to communication

1. Lack of awareness. *Person may not listen because basic needs are not being satisfied e.g. hunger, thirst, family issues etc.*
2. No interest. *The idea in question may not be compatible with other interests or attitudes or socially unacceptable e.g. could fail to use Eco-san manure in agriculture due to attitude of most communities towards handling of human excreta.*
3. Incorrect messages. *Any communication should be correct and undertaken. If information is given incorrectly, there is danger that nothing in future from the same source will be believed.*
4. Too much information. *It is necessary to work out how much information is necessary. Too much information leads to confusion and boredom.*
5. Insufficient feedback. *In a talk between two people the responses both verbal and non-verbal, enable each person constantly to monitor and modify what they say.*
6. Language. *Inability or ability to understand the language in which the information is being delivered.*
7. Choice of channel of communication. *Careful study must be made to ensure that an appropriate channel of communication is utilized.*
8. Dress Code. *The sender must dress appropriately to suit the recipients else the recipients are diverted from the message.*
9. Poor communication skills.
10. Timing. *Select time that is appropriate to the recipient*
11. Venue and target group.
12. Bias.

What is normally the right time to inquire about the implementation progress, and express community fears and wishes? (Let participants give in their answers and support them).

Conclusion

All leaders need to be conversant with the different channels of communication in the implementation of water and sanitation scheme. The channels of communication should be utilized depending on circumstances for smooth and effective communication.

SESSION: REPORT WRITING

Background:

It is one of the responsibilities of the WSC, and S/C to submit reports to relevant people. Leaders require to gain skills on report writing and to understand the importance of writing.

Time: 1 Hour

Session objectives:

- Understand the importance of writing reports.
- Be able to write good reports.

Content:

What is a report?

A report is a narrative account of anything that has taken place within a specified period of time. It can be verbal or written. Reports should focus on particular subjects of which one is reporting.

Why should we write reports?

Possible Answers:

- To disseminate (Give) information
- Educate others
- To assess progress of activities.
- For record purposes (future reference).
- For accountability.
- Useful in monitoring and evaluation of activities / programmes.

Structure of a report

- Heading
- To whom the report is being submitted
- The person submitting the report
- Subject / reference
- Reporting period
- Introduction

This brief gives a general idea of what the report is all about.

- Main body

This gives a detailed description of the report.

- Challenges / Recommendations
Describe hindrances to achieving targets and solutions.
- Conclusion
This is an ending statement that analyses what has been discussed within the report.

Guide on Chairperson’s Report Components

1. Report on Actions since previous meeting
2. Resources used
3. Challenges met
4. Recommendations
5. Any other information

Guide on Treasurer’s Monthly Report

Date	Reporting Period	Description	AMOUNT
dd/mm/yyyy	1 st ----- 30 th mm yyyy	Income	
		Brought forward	
		Private Connections	
		Public Kiosks	
		Fines	
		Contributions	
		Other (Specify)	
		Expenditure:	
		Stationery	
		Bank charges	
		Travel expenses	
		Any other (Specify)	
		Total	

Conclusion:

Reports should always be written to relevant people to make known the progress of water and sanitation activities.

SESSION: OPERATION AND MAINTENANCE

Background:

Effective Operation and Maintenance is essential for sustainability of constructed facilities. In order to have communities maintain systems sustainably, aspects like technology choice, organisation of O & M, coordination of activities, sensitization and mobilisation MUST be put under consideration. This session therefore aims at sensitizing community leaders to prepare them for effective O & M of the constructed schemes.

Time: 1 Hour

Session Objectives:

- Get an overview of Operation and Maintenance.
- Identify different actors in O & M and clearly understand their roles and responsibilities.
- Analyze various methods of revenue collection and identify suitable system for the towns O&M.
- Identify essential components of O & M.

Starter: Purchase, handling and maintenance of bicycle

Content:

What is Operation and Maintenance?

Operation can be defined as “the process of making something work” while Maintenance can be defined as “the act of keeping something in good condition by checking or repairing it regularly”

Maintenance includes:

Preventive maintenance: All maintenance activities undertaken in response to pre-scheduled inspection.

Crisis maintenance: Maintenance undertaken only in response to breakdowns and in case of public complaints, leading to poor service level, high O&M costs, faster wear and tear of equipments and users dissatisfaction.

Identify factors that lead to an effective O&M

- Good management in place (*Trained / skilled WSSB, SO, enforcement of bye-laws, transparent etc*)
- Proper method of raising funds for O&M (*Who pays, how, accountability and reporting*)
- Choice of technology and design
- Favourable culture and attitude of user community (*vandalism, sabotage etc*)
- Continuous Mobilisation and Sensitisation of user community
- Support (*from politicians the Sub County officials, SWUWS to audit, monitor and Evaluate*)

A suitable management model is reached at with the following guide:

- Involving communities in project decisions is essential for O & M.
- The choice of technology.
- Training in management

- Spare parts supply
- Extension workers a critical communication link between project and community.
- Strong national and local leadership.

What are possible hindrances to good O&M?

1. Lack of commitment by major actors
2. Poor system of collecting funds
3. Political interference
4. Culture / attitude
5. Poor system of accountability and reporting

Guide discussion of how the hindrances above can be avoided.

ANALYSING METHODS OF COLLECTING O & M FUNDS

1. FLAT RATE / FIXED CHARGES SYSTEM

With this system, each household pays the same rate over a period of time and consumption is not metered.

Advantages

1. Convenient for the water user.
2. Does not demand sophisticated management

Disadvantages

- This system does not encourage care in the use of water since the users pay the same rate whatever the amount of water used.
- All pay the same rate irrespective of income levels
- Associated with many defaulters
- Faults take long to be rectified since funds are not readily available.

CHARGES FOR METERED USE

The use of water metering enables charges to be based on the volume of water actually used.

Advantages

- Increase in revenue and efficient method
- There is fairness in charging user rates.
- There is reduction in misuse and wastage.
- Less or no defaulters associated and institutional/private connection defaulters can easily be dealt with.
- Eases accountability of funds.

- Funds readily available thus repairs done timely.
- Community is fully involved in decision-making.

Disadvantages

- Requires efficient management of system.
- Willingness to pay for metered systems in rural growth centres still low.

Identify essential actors in O & M

1. District / Sub County leadership
2. WSSB
3. Scheme Operator
4. Tap attendant / Kiosk attendant
5. Community
6. Heads of Institutions
7. Opinion leaders

Water Supply and Sanitation Board (WSSB)

The board is composed of five persons;

- i) Three persons drawn from the water users
- ii) The Sub county chief
- iii) LC III Councilor responsible for water and sanitation

Formation of the WSSB:

The Sub county Chief and the councilor on the WSSB represent their positions, and not individuals. The LC III council appoints the three persons on the WSSB, with the following observations;

- The selected person must be a person who is within the water area (water user)
- The WSSB must have at least 1 woman
- The selected person must be hardworking, honest and trust worthy

Scheme Operator (SO)

Selecting the Scheme Operator:

The WSSB holds the responsibility of selecting a Scheme Operator. The selection process must be transparent and should accommodate competition. The following should be considered while selecting a SO;

- Ability to speak, read and write English
- Trust worthy person
- Knowledge about the management system of the scheme
- Ability to keep proper records
- Preferably from the water area.
- Contract not to exceed 2yrs.

Discuss Responsibilities of O&M actors in O&M

Responsibilities of Sub County / LC III Council

- Mobilize relevant extension staff
- Maintain assets of the scheme
- Supervise the WSSB on the management of the scheme.
- Appoint a Water Supply and Sanitation Board
- Assist the WSSB to deal with persons that vandalize the scheme and to resolve any conflicts pertaining to the scheme.
- Carry out internal audits of the scheme.
- Ensure smooth running of the scheme.
- Ensure sanitation standards are maintained in the community.
- Continued sensitization of the community on water and sanitation.

Responsibilities of WSSB

- Select, pay, and supervise the Scheme Operator.
- Approve private connections and expenditure of the scheme.
- Supervise sanitation activities.
- Represent the community in contacts with government / SWUWS/MWUWS.
- Plan for water and sanitation scheme activities.
- Ensure effective collection of funds for use in O & M.
- Keep accurate financial and technical records on O&M (budgets, cash book, income and expenditure etc.)
- Promote hygienic and effective use of facilities.
- Hold regular WSSB meetings.
- Inform and sensitize community.

Tasks of Scheme Operator

- Select tap attendants, toilet attendants, source care takers etc. and supervise them.
- Collect revenue from tap Attendants and other sources (public tap stands & private connections).
- Ensure proper books of accounts and keep records.
- Ensure overall Operation and maintenance of the scheme.
- Supervision of sanitation activities.
- Receive, complaints, suggestions from the users and forward them to WSSB.
- Attend to impromptu visitors of the scheme.

Tasks of a tap attendant

- Collect money from the water users at the taps and hand it over to the SO.
- Record meter readings at the beginning and end of each day.
- Ensure tap environment is clean and water collection containers are clean.
- Sensitize users about proper water handling.

Responsibilities of Community

- Watch over entire O & M of scheme and report irregularities.
- Cooperate to raise revenue for maintaining scheme.
- Strive to improve / maintain the sanitation standards within households.
- Maintain the safe water chain to improve community health.
- Avoid practices like bush burning that may affect community water resources.

Responsibilities of Heads of Institutions

- Ensure proper management of their tap stand.
- Pay bills promptly.
- Sensitize population within their means.

Responsibilities of Opinion leaders

- Assist in disseminating relevant information within the community.
- Carry out sensitization of the community.
- Guide community in decision-making.

Conclusion:

The primary goal of WSS projects is to improve and safeguard the health and well being of targeted beneficiaries. This will only be achieved if the beneficiary community strives to put in place a management model whose O & M aspects yield long-term benefits. This can be achieved if the community cooperates to raise funding for O&M and guard facilities jealously.

SESSION: MONITORING AND EVALUATION

Background:

In the implementation of Water and Sanitation programmes under SWTWS ProjectIII, community participatory method is promoted. WSS actors (e.g. WSC, LC's, Opinion leaders etc.) are involved in planning and implementation of the schemes and are required to mobilise the entire community towards meeting their obligations. Often time, interaction with community leaders reveals that the process of meeting community contribution would greatly improve if the leaders follow up and monitor the progress of fulfilling community obligations.

Time: 2 hours

Session Objectives:

- Enable WSS actors value the importance of monitoring and evaluating activities for successful implementation.
- Assist WSS actors monitor and evaluate the implementation process within their towns.
- Understand the importance of monitoring and evaluating activities for smooth implementation.

Starter: Role-play of lady preparing herself to attend a party. She ascertains that she is presentable for the party by use of a mirror.

Content:

Using the role-play above, introduce monitoring and evaluation session

What is monitoring?

Monitoring refers to the continuous gathering of information on programme activities. Data collected provides information on what is happening and serves as a basis for subsequent evaluation work.

What is evaluation?

Evaluation is a study conducted during or after a programmes lifetime to show how well objectives are or have been achieved with the intention to feed back the findings into future decision making and planning.

Uses of Monitoring

- For short-term decision making to increase project effectiveness.
- To determine accountability at all levels and aspects especially financial matters.
- To assess performance, identify challenges and seek solutions that ensure attainment of set objectives.

What should be monitored?

- Indicators that reflect the effect of the project.

(Together with participants identify community-monitoring indicators)

Monitoring and Evaluation Tool

1	Collecting connection fees	List of approved connections	
2	Following up on connections	List of approved and paid up connections	
3.	Sanitation programme	List of defaulting households	
		Checklist of the required sanitation items	
		Sanitation agreements	

		earlier made	

Uses of Evaluation

- To improve strategies and skills to ensure set objectives.
- To improve effectiveness in the implementation of planned programmes.

Types of evaluation

- Formative (on going) evaluation
- Summative (End of project) evaluation

Formative evaluation focuses on results or outputs generated during the lifetime of the project. This relates to the achievement of the purposes of planned activities.

(Together with participants identify the expected short-term results of activities and the expected final situation or impact).

Note: After the evaluation exercise, a report should be prepared indicating the findings and recommendations. All stakeholders must be communicated to, to disseminate findings.

Conclusion:

Monitoring and Evaluation are important aspects during project implementation. Basic purpose of Monitoring and Evaluation should not be to prove success of failure of a programme but improve strategies and techniques to ensure set objectives are met.

SESSION: GENDER

Background:

Gender session though part of the first level training requires boosting during this training to further sensitize the community leaders and carry out an assessment impact of the first level training. Since women are the key influential persons in behaviour change, and main promoters of hygiene practices their involvement in the interventions creates significant impact.

Time: 1 Hour

Session Objectives:

- To have community leaders share experiences about gender aspects within the community since the first level training.

- To further understand gender concerns in water and sanitation activities.
- Emphasize role of women in decision making of water and sanitation programmes within the community.

Content:

Definition of Gender:

Gender refers to the socially determined division of roles and responsibilities and power between women and men. Socially constructed gender identities and relationships are dynamic. They vary over time, from culture to culture and with economic classes, ages and marital status.

With reference to the first level training on gender, solicit for experiences of gender within the community in relation to;

- Experience of leaders in sensitizing the community on gender issues.
- Participation of women in water and sanitation activities both at household and community levels.
- Sharing responsibilities.
- Participation of women in decision making of community development projects.

Group work:

Individual / personal experiences as man or woman.

Why do you think there is need to involve women in the decision making of water and sanitation programmes?

- Women are primary users of water and thus have realistic demands in water and sanitation.
- Being key actors in water and sanitation, women's participation in decision making promote sustainability of the constructed systems.

Conclusion:

Women's participation in water and sanitation activities has great contribution in ensuring sustainability of constructed facilities. Effort must be made to ensure that women are involved in the implementation of the town water systems.

SESSION: BUDGETING

Background:

During O & M stage, communities are solely responsible for management of facilities handed over to them. Communities are expected to handle all financial matters pertaining to the scheme through the WSSB. This session aims at equipping leaders with elementary knowledge on budgeting to enable them prepare budgets for the schemes.

Session Objectives:

- Have community leaders understand the importance of budgeting for WSS activities.
- To equip participants with elementary budgeting skills

Time: 1 hour

Starter: Call upon participants to share experiences about management of household activities

Content:**What is a budget?**

A budget is a plan of expenditure year by year, based on the experience acquired during previous periods and judgements as to the levels of expenditure required in subsequent ones to meet the objectives set.

What is the importance of budgeting?

1. It helps to control expenditure
2. It helps in estimating the amount of money required to accomplish a planned task
3. It helps in prioritizing resources and avoid impulsive spending
4. Assists in prioritizing needs
5. It prevents running out of resources before the completion of programme activities

What causes poor budgeting?

- Poor planning
- Lack of budgetary skills
- Lack of involvement of all stakeholders
- Unbudgeted expenses
- Frequent price changes of items in the local business arena

What are the consequences of poor budgeting?

1. Failure of programmes
2. Over-expenditure and mismanagement of funds
3. Mistrust between the community and the leaders

Process of budgeting

Step 1 Identify activities and cost them

Step 2 Rank activities in order of preference

Step 3 Identify sources of income

Step 4 Estimate expected income

Step 5 Prepare budgeted profit and loss

Step 6 State the profit.

NO	ACTIVITY	PERSON RESPONSIBLE	TIME PERIOD	BUDGET INVOLVED
1	Collecting connection fees: - Kiosks - Institutions - Private connections			
2.	Following up on connections			
3	Sanitation programme			

Conclusion:

For communities to manage systems handed over to them sustainably, there is need to make WSS budgets regularly.

SESSION: REVIEW OF TOWN WORKPLAN

Background:

At the end of the first level training, a town work plan is drawn together with the community. This session will be aimed at reviewing the town work plan.

Time: 1 Hour

Session Objectives:

- Assess the progress of activities in relation to the time frame.
- Identify challenges faced and seek possible solutions.
- Draw town work plan of remaining activities.

Content:

TOWN WORKPLAN ACTIVITIES		
No.	Activity	1.1.A.1.1.1.1 Time Frame
1.	Sub County Advocacy	

2.	Community Advocacy	
3.	Water Sanitation Committee formation	
4.	Application for Water and Sanitation project	
5.	Open Account	
6.	First level training (Awareness creation)	
7.	Mapping water area	
8.	Town work plan	
9.	Baseline survey	
10.	Source Identification	
11.	Water Quality Analysis	
12.	50,000/= Cash Contribution	
13.	Community History and Membership to swuws	
14.	Sanitation training (General Sanitation)	
15.	Two persons for Eco-san construction training	
16.	Topographic survey	
17.	Land acquisition	
18.	Masons training	
19.	Eco-san training	
20.	Design and Documentation	
21.	Presentation of design	
22.	Second level training (For Implementation)	
23.	Procurement of Contractor	
24.	Source Protection	
25.	Application for private connection	
26.	Execution of household sanitation programme	
27.	Construction	
28.	O&M structures	
29.	Commissioning	

With reference to the town work plan drawn at the end of the first level training;

- Identify activities that have not been implemented according to schedule.

- Identify activities that are overdue.
- Look into the challenges and search for solutions for each activity.
- Draw work plan of remaining activities.

Conclusion:

To complete our water and sanitation system, we need to put effort in carrying out water and sanitation activities. We should strive to implement activities according to schedule.

Annex B.7. Memoranda of Understanding

Annex B.7.1. MoU with District Local Government



Government of Uganda
Ministry of Water and Environment
Directorate of Water Development

This Memorandum of understanding is made this ----- day of -----20----- between Water and Sanitation Development Facility- ----- (region) Branch of the Directorate of Water Development, Ministry of Water and Environment;

And ----- District Local Government.

INTRODUCTION

WHEREAS the Water and Sanitation Development Facility is established to finance water and sanitation implementation in Rural Growth Centres and Small Towns in Uganda with funding from the Government of Uganda and its Development partners and

WHEREAS the Facility is to benefit RGCs' and Small Towns in the Districts of (list of target districts), and

WHEREAS District Local Governments are responsible for planning and maintaining water and sanitation facilities through Water and Sanitation Committees (WSC) or Water Supply and Sanitation Boards (WSSB); and

WHEREAS District Local Governments have the mandate for provision and sustainability of water and sanitation services and

WHEREAS District Local Governments may source for funding for Water and Sanitation services for their communities and assist communities to plan and optimally utilise, manage and sustain the facilities availed;

NOW THEREFORE, this MoU establishes a general framework for cooperation and participation between the Water and Sanitation Development Facility and the District Local Governments (herein after referred to as the parties to this agreement). It guides the parties in defining modalities for offering Technical expertise, guidance and financial support to water and sanitation facilities in the district as follows:.

PART I PARTICIPANTS AND REPRESENTATIVES

This MoU is between the WSDF (region) branch represented by the Branch Manager and the District Local Government represented by the Chief Administrative Officer (CAO).

PART II COLLABORATIVE ACTIVITIES

For the purpose of the present MoU, the parties have agreed to collaborate in:

- Contributing towards the attainment of the Millennium Development Goals (MDGs) by:
- Improving access to water of improved quality through implementation of water and sanitation facilities;
- Creating public awareness and encouraging community participation in the activities and mobilising resources, aimed at developing and improving livelihoods;
- Provision of technical assistance and management support to communities living in Small Towns and RGCs, for the effective planning, implementation and management of their water and sanitation facilities, and
- Exchange of information and documentary outputs and reports on the activities undertaken before, during and/or after implementation.
- Implementation of projects in accordance with the provisions of the Operational Manual.
- Jointly Planning, supervising, and monitoring implementation progress of sub-projects funded
- Conducting Value for Money audits for all activities funded under WSDF (region) branch funding in the district.

And both parties have agreed to appoint to represent their interest in any activities carried out in partnership under this MoU.

PART III RESPONSIBILITIES

In agreement and proper understanding of all the laid down clauses of this MoU, District Local Government agrees to:

- Encourage water stressed Rural Growth Centres to apply for water and sanitation services. In doing so the District shall within a timely manner receive, verify data, endorse and forward these applications at no salary or fringe benefit cost to the Facility.
- Avail her established structures, time and resources to procure goods and services required in the Implementation of water and sanitation activities in the District.
- Co-operate with the Water and Sanitation Development Facility in the evaluation and award of tenders.
- Provide technical personnel who shall together with the Facility engage in planning for, supervise and monitor implementation of the water and sanitation activities under the Facility.
- Assist, facilitate and mobilize Rural Growth Centres to fulfill their obligations in a realistically anticipated time period for successful implementation of the program.
- Ensure that the Implemented Rural Growth Centres in the District are members to the Umbrella of Water and Sanitation to ensure sustainability of constructed systems.

- Own projects in the District while supporting the operational autonomy of the WSC/WSSB.
- Provide data and information to consultants employed by the facility.
- Assist the community in acquisition of land titles for the acquired land.

The Water and Sanitation Development Facility agrees to:

- Meet the agreed costs for designing and implementing approved water and sanitation activities in the selected RGCs within the District.
- Employ as necessary consultants and contractors.
- Provide the required induction for Consultants and Contractors.
- Provide technical backstopping throughout the implementation of the projects.
- Pay directly to service providers and suppliers and contractors required for all activities and works carried out under this MoU.

PART VII DURATION OF THE AGREEMENT

The parties to this MoU shall remain in partnership as stated in the present MoU for the period ofyears. This agreement may be renewed by the mutual consent of both parties in writing.

PART VIII SETTLEMENT OF DISPUTES

Any dispute among the parties to the present MoU concerning the interpretation or application of this MoU shall be settled by arbitration within the laws of Uganda.

PART IX EFFECTIVITY

This Memorandum of Understanding (MoU) shall takes effect upon the signing by all parties.

IN WITNESS WHEREOF, the parties have hereunto affixed their signatures as follows:

For the Facility:

WSDF regional Branch Manager			
		Name	Signature

.....

In the presence of

_____ Name Signature

Name

Signature

For the District:

Chief Administrative Officer			
		Name	Signature

In Presence Of:

Title			
		Name	Signature



Annex B.7.2. MoU between WSDF regional branch and Small Towns/gazetted water supply areas



**Government of Uganda
Ministry of Water and Environment
Directorate of Water Development**

This Memorandum of understanding is made this ----- day of -----20----- between Water and Sanitation Development Facility-South Western Branch of the Directorate of Water Development, Ministry of Water and Environment, and----- (LOCAL AUTHORITY).

INTRODUCTION

WHEREAS the Water and Sanitation Development Facility is established to finance water and sanitation implementation in Rural Growth Centres and Small Towns n Uganda with funding from the Government of Uganda and its Development partners and

WHEREAS the Facility is to benefit RGCs' and Small Towns in the Districts of (list of target districts), and

WHEREAS (Type of Local authority) is responsible for planning and maintaining water and sanitation facilities in, (RGC/ST) (hereinafter called the town), and

WHEREAS (Type of Local authority) has the mandate for provision and sustainability of water and sanitation services in the town,

WHEREAS (Type of Local authority) may source for funding for Water and Sanitation services for their communities and assist communities to plan and optimally utilise, manage and sustain the facilities availed;

NOW THEREFORE, this MoU establishes a general framework for cooperation and participation between the Water and Sanitation Development Facility and the (Type of Local authority) (herein after referred to as the parties to this agreement). It guides the parties in defining modalities for offering Technical expertise, guidance and financial support to water and sanitation facilities in the district as follows:.

PART I PARTICIPANTS AND REPRESENTATIVES

This MoU is between the WSDF (region) branch represented by the Branch Manager and the(Local Authority) represented by the (Chief Executive Officer).

PART II COLLABORATIVE ACTIVITIES

For the purpose of the present MoU, the parties have agreed to collaborate in:

- Contributing towards the attainment of the Millennium Development Goals (MDGs) by improving access to water of improved quality through implementation of water and sanitation facilities;
- Creating public awareness and encouraging community participation in the activities and mobilising resources, aimed at developing and improving livelihoods;
- The provision of technical assistance and management support to communities living in Small Towns and RGCs, for the effective planning, implementation and management of their water and sanitation facilities, and
- The exchange of information and documentary outputs and reports on the activities undertaken before, during and/or after implementation.
- Implementation of projects in accordance with the provisions of the Operational Manual.
- Jointly planning, supervising, and monitoring implementation progress of sub-projects funded
- Conducting Value for Money audits for all activities funded under WSDF (region) branch funding in the district.

PART III RESPONSIBILITIES

In agreement and proper understanding of all the laid down clauses of this MoU,
..... (Local authority) agrees to:

- Avail her established structures, time and resources to procure goods and services required in the Implementation of water and sanitation activities in the local Authority.
- Co-operate with the Water and Sanitation Development Facility in the evaluation and award of tenders.
- Provide technical personnel who shall together with the Facility engage in planning for, supervise and monitor implementation of the water and sanitation activities under the Facility.
- Ensure that WSCWSSB registers as a member to the Umbrella of Water and Sanitation to ensure sustainability of constructed systems.
- Own the project while supporting the operational autonomy of the WSC/WSSB.
- Provide data and information to consultants employed by the facility.
- Assist WSSB/WSC in acquisition of land titles for the acquired land.

The Water and Sanitation Development Facility agrees to;

- Meet the agreed costs for designing and implementing approved water and sanitation activities in the Local Authority.
- Employ as necessary consultants and contractors.
- Provide the required induction for Consultants and Contractors.
- Provide technical backstopping throughout the implementation of the project.
- Pay directly to service providers and suppliers and contractors required for all activities and works carried out under this MoU

PART VII DURATION OF THE AGREEMENT

The parties to this MoU shall remain in partnership as stated in the present MoU for the period ofyears. This agreement may be renewed by the mutual consent of both parties in writing.

PART VIII SETTLEMENT OF DISPUTES

Any dispute among the parties to the present MoU concerning the interpretation or application of this MoU shall be settled by arbitration within the laws of Uganda.

PART IX EFFECTIVITY

This Memorandum of Understanding (MoU) shall takes effect upon the signing by all parties.

IN WITNESS WHEREOF, the parties have hereunto affixed their signatures as follows:

For the Facility:

WSDF regional Branch Manager			
		Name	Signature

In the presence of

_____	Name	Signature
_____	Name	Signature

For the Town Board/Water Authority/other:

Chief Executive Officer			
		Name	Signature

In the presence of:

Title			
		Name	Signature

_____	Name	Signature
-------	------	-----------



Annex B.7.3. MoU between WSDF/District and beneficiary community



**Government of Uganda
Ministry of Water and Environment
Directorate of Water Development**

This Memorandum of understanding is made this ----- day of -----20----- between Water and Sanitation Development Facility (region) Branch of the Directorate of Water Development, Ministry of Water and Environment in partnership with District Local Government, and WSC/WSSB on behalf of the community.

INTRODUCTION

WHEREAS the Water and Sanitation Development Facility is established to finance water and sanitation implementation in Rural Growth Centres and Small Towns in Uganda with funding from the Government of Uganda and its Development partners and

WHEREAS the Facility is to benefit RGCs' and Small Towns in the Districts of (list of target districts), and

WHEREAS District Local Governments have the mandate for provision and sustainability of water and sanitation services and

WHEREAS District Local Governments may source for funding for Water and Sanitation services for their communities and assist communities to plan and optimally utilise, manage and sustain the facilities availed; and

WHEREAS Thecommunity has applied to the facility for the assistance to implement water and sanitation project and the Facility has agreed to finance the implementation of the water and sanitation project for the community,

NOW THEREFORE, this MoU establishes a general framework for cooperation and participation between the Water and Sanitation Development Facility in partnership with the District Local Government and the community (herein after referred to as the parties) as follows:

PART I PARTICIPANTS AND REPRESENTATIVES

This MoU is between the WSDF(regional) branch in partnership withDistrict Local Government represented by (representative selected between the district and WSDF) and the the community represented by (name of) the Chairman of the WSC/WSSB.

PART II COLLABORATIVE ACTIVITIES

For the purpose of the present MoU, the partners have agreed to collaborate in constructing Water and Sanitation Facilities foras follows: (include the scope of work as WSDF specifies or as provided by the design report).

PART III RESPONSIBILITIES

The community agrees to;

A. Community Responsibilities

- Apply for Water and Sanitation services
- Form (elect) an implementation water and sanitation committee, before the scheme is started. The committee must represent and reflect the future users.
- Assist the Project staff, consultants and extension staff with the execution of the base line survey and technical survey of the water scheme.
- Contribute Ug Shs 50,000/= for every water connection.
- Provide all land for infrastructural development including lease offers and resolve all disputes pertaining to Land acquisition.
- Organize regular water and sanitation meetings with the population.
- Describe the water and sanitation situation prior to the intervention of the project and keep records of the changes there after following instructions from WSDF.
- Open up a bank account for implementation and later for use in operation and maintenance.
- Undertake to shoulder 100% responsibilities using the collections made from the scheme.
- Register and subscribe to an Umbrella Organisation for better Operation & Maintenance of the constructed systems.
- Fulfil community obligations within six months from the time the required lands are identified.

The Sub County/Local Council agrees to:

B Sub County / Local Council's responsibilities

10. Undertake to give political support to the Project
11. Assist communities to identify projects and formulate applications.
12. Assist the community in identifying suitable members of the water and sanitation committee that will run the programme on behalf of the water users

13. Assist the community with the execution of the sanitation baseline survey and the concurrent surveys.
14. Assist the community in making a sanitation work plan and its implementation.
15. Assist the community in running their sanitation programme by mobilizing health staff and community development staff in the Project area.
16. To enact byelaws necessary to implement the water and sanitation Project.
17. Pass a resolution empowering WSC to operate autonomously.
18. Undertake to appoint a Water and Sanitation Board that will represent the community to manage the water and sanitation scheme on behalf of the Sub County.
19. Support community management of water supply and sanitation facilities

The WSDF-..... branch agrees to:

D Responsibilities of WSDF

- Conduct advocacy and promotional campaigns to advertise on the availability of the facility, funding conditions and eligibility criteria.
- Define and control funding regulations and conditions.
- Prepare, evaluate and manage call for proposals according to the guidelines of the WSDF.
- Supervise and monitor mobilisation and advocacy activities.
- Provide the community with a project proposal and give an explanation of the proposal.
- Enter into contract with the private sector to execute the construction activities and procure materials.
- Assist the Districts with tendering processes.
- Follow up feasibility studies.
- Check the appropriateness, correctness and financial viability of technical designs.
- Monitor and supervise the quality of construction works and vetting of payments.
- Ensure the financial management of WSDF office.
- Reporting to the Steering Committee.
- Support the community in running the sanitation programmes.
- Prepare an overview of expected maintenance costs as well as assist the community in preparing an Operation and Maintenance manual.
- Assist the community to acquire land titles for the acquired land at the intake and assist in afforestating it.
- Promote agro-forestry in the catchment area of the water sources.
- Promote ecological sanitation toilet technology in the project communities

PART IV DURATION OF THE AGREEMENT

The parties to this MoU shall remain in partnership as stated in the present MoU until completion and handover of the constructed water and sanitation facilities is done, except if any party fails to honor their obligations.

PART VIII DURATION OF THE AGREEMENT

The parties to this MoU shall remain in partnership as stated in the present MoU until completion and hand over of the constructed water and sanitation facilities is done.

PART IV EFFECTIVITY

This Memorandum of Understanding (MoU) shall take effect upon the signing by all parties.

IN WITNESS WHEREOF, the parties have hereunto affixed their signatures

For the WSC/WSSB:

Chairperson of the WSC/WSSB			
		Name	Signature

.....

In the presence of

_____	Name	_____	Signature
_____	Name	_____	Signature

For the WSDF/District:

Appointed Representative			
		Name	Signature

In the presence of:

Title			
		Name	Signature

_____	Name	_____	Signature
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Annex B.8. Terms of Reference for Consultancy Services

Annex B.8.1. ToR for technical appraisal and communications consultant

Objectives	Sub-Project preparation
Scope of the services	<p>Sub-project ranking</p> <p>Preparation of advocacy and communication materials</p> <p>Pre-feasibility study of proposed sub projects</p> <p>Preparation of RFPs for consultants and and MoUs for community</p>
Activities	<p>Prepare & display publicity/promotion materials</p> <p>Hold advocacy/promotion workshops with District Local</p> <p>Prepare a shortlist of eligible STs & RGCs.</p> <p>Screening of applicants/verification of RGC data at district level</p> <p>Rank RGCs in order of priorities based on the SC approved evaluation criteria</p> <p>Identify probable scheme elements & combinations</p> <p>Prepare preliminary cost estimates for each of the eligible schemes.</p> <p>Package contracts in a practicable manner</p> <p>Prepare ToRs, draft contracts for the design & mobilisation consultant(s) for all the identified RGCs.</p> <p>Prepare implementation plan.</p>
Consultant skills	Proven experience in community mobilisation, feasibility studies and engineering designs in water
Personnel, qualifications	Social Scientist, water engineer technical and data collection assistants
Deliverables/	Inception report/screening detailing preliminary list of eligible RGCS, proposed work plan and criteria (1 week)
By when required	Ranking/evaluation reports (after commencement)
Facilities to be provided by the Client	Draft Final Report (Feasibility analysis for each scheme, Preliminary costs & scheme options, draft implementation plan for all schemes, draft ToRs for design and mobilisation)
	Final Report (including consultancy contracts for design/mobilisation, implementation plan and MoUs).
Facilities, Services & resources to be provided by the consultant	Transport for mobilisers, data collectors
	Presentation materials,
	GPS & mapping software

Annex B.8.2. ToR for Design/Mobilisation Consultant

Objectives	<ul style="list-style-type: none"> • Prepare detailed engineering designs and tendering documentation for works • Creation of capacity for management and utilisation of the services by the community.
Scope of work	<ul style="list-style-type: none"> • Soft ware - WSC/WSSB formation and training. • Hardware: <ul style="list-style-type: none"> • Source identification and proving. • Selection, sizing and location of facilities • Cost estimation. • Production of tendering and contract documentation
Activities	<ul style="list-style-type: none"> • Software: • Facilitate election of WSCs. • Training of WSCs • Facilitate WSCs to Mobilise for community contributions and obligations, applications for services (connections). • Facilitate selection of beneficiary HHs for ECOSAN toilets and selection of 2 masons for training on ECOSAN toilet construction. • Technical: <ul style="list-style-type: none"> • Source identification & proving • Groundwater sources: <ul style="list-style-type: none"> • Carry out studies to establish Groundwater potential, including VESs. • Identify probable GW locations. • Prepare & procure drilling contractors (or assist WSDF to procure drilling contractor) • Supervise drilling contracts for all • Water quality testing • Surface water: <ul style="list-style-type: none"> • Carry out flow measurement, estimate lowest flow • Test water quality and assess suitability and treatment requirements. • Design catchment protection area, • And for both surface water and groundwater: <ul style="list-style-type: none"> • Determine the conditions necessary for success of the schemes. • Demand projections • Selection of final elements and combinations for the scheme • Detail designs and Final sizing and location of the components of the schemes. • Prepare tendering documents, Engineer's estimate • Prepare EIR or EIA as appropriate. • Prepare ToRs or Proposal for Construction supervision. • Represent WSDF during bid opening and evaluation.

Consultant's skills	<ul style="list-style-type: none"> • Design of small Water and sanitation systems, Community mobilisation and communication.
Personnel	<ul style="list-style-type: none"> • Water/sanitation Engineer, Social scientist, Data collection assistants (Social & Technical); Hydro geologist, Hydrologist.
Reporting	<ul style="list-style-type: none"> • Inception • Management set up report (committee formations, trainings undertaken, records of bank accounts, management manual for the communities) • Draft Final design Report • Final design report & tender documents • ToRs or Proposal for Construction supervision.
Facilities of the Consultant	<ul style="list-style-type: none"> • Transport for data collection assistants or/and mobilisers • Flow measurement weirs, sampling bottles etc
Facilities to be provided by the Client	<ul style="list-style-type: none"> • Feasibility report from the Technical Appraisal consultant for each scheme. • Money for facilitation of district personnel during mobilisation of communities.

Annex B.8.3. ToR for construction supervision consultant

Objectives	<ul style="list-style-type: none"> • To ensure value for money of constructed facilities.
Scope of the services	<ul style="list-style-type: none"> ○ To ensure timely and technically sound construction of the facilities. ○ Testing of the facilities ○ Valuation and certification of payments.
Activities	<ul style="list-style-type: none"> • Pre-construction: Review the contract to identify any necessary additions or alterations • During construction: <ul style="list-style-type: none"> ○ Supervision of works incl. measurements, redesigns, issuing site instructions, conducting site meetings etc ○ Certification of payments ○ Training of mason on Ecosan ○ Community trainings on Ecosan ○ Post construction ○ Commissioning/hand over ○ Training of the operator ○ Ensure contractor's compliance with Defects liabilities obligations.
Consultant skills	<ul style="list-style-type: none"> • Design, construction supervision and contract management skills
Personnel, roles & qualifications	<ul style="list-style-type: none"> • 1 Engineer
Deliverables / By when required	<ul style="list-style-type: none"> • Inception report • Monthly progress reports. End of construction report, penultimate certificate • Final certificate.
Facilities, Services & resources to be provided by the consultant	<ul style="list-style-type: none"> • Transport and accommodation for personnel.

MINISTRY OF WATER AND ENVIRONMENT

DIRECTORATE OF WATER DEVELOPMENT

WATER AND SANITATION DEVELOPMENT FACILITY

Branch:

PROJECT AREA

SITUATION ANALYSIS and FEASIBILITY STUDY

for

„Name of the project“

Date

Table of Contents

Abbreviations and Acronyms

1) BACKGROUND

*This document describes the results of a **situation analysis** and a **feasibility assessment** and must be available before developing the Draft Design Report. The provided information comprises facts which are directly influencing the technical design of the water supply scheme (e.g. average water demand, peak demand, supply areas, water sources etc.) but describes also the current living conditions, especially with respect to hygiene and sanitation.*

The latter has two purposes. Firstly, it helps identifying needs and appropriate options for future activities aiming at improving the situation. Secondly, it will form the baseline for evaluating the actual outcome the project has achieved once it has been implemented.

The required data and information can be directly collected in a single exercise, either by the WSDF or by a consultant. More often it will probably be aggregated from various sources which then must be clearly referenced.

In any case it must be checked and approved by the WSDF before being used as a basis for the technical design and for developing the sanitation and hygiene concept.

The background chapter shall clarify the motivation for the exercise, the activities envisaged so far and also the steps taken already. It shall also explain how the information has been collected and who was responsible.

2) GENERAL INFORMATION

Name of rural growth centre/small town

District

Sub-county

Parish(es)

Village(s)

Wards/Cells

All objects on all levels should be identified with a hierarchical numeric key to be used throughout the document and the project implementation for avoiding difficulties with respect to spelling of names!

Total population

Settlement pattern

Income structure (employment, agriculture, subsistence)

No. of additional people moving in during day time (e.g. markets)

Expected future developments

3) SOCIO-ECONOMY

a. Households

For each part of the project area as identified above the following information shall be collected as a basis for demand calculation and network design (see also 4.3). Indicate the source of information!

- No. households
- No. poor households (estimation; approach?)
- No. residents
- No. poor residents

b. Schools

No.	Type	Description	Size indicator
S_01			No. pupils, teacher

Types: 1 day school, 2 boarding school

c. Markets

No.	Type	Goods	Size indicator
M_01			No. merchants, customers

Types: 1 daily, 2 weekly

d. Public buildings

No.	Type	Institution	Size indicator
P_01			No. staff, residents, visitors

Types: 1 LG, 2 Health centre, 3 Hospital, 4 Church, 5 Army barrack, 6 Prison, ...

e. Hotels & Restaurants

No.	Type	Description	Size indicator
H_01			No. rooms, guests, staff

Types: 1 hotel, 2 lodge, 3 restaurant

f. Business

No.	Type	Description	Size indicator
B_01			Product quantities, no. staff

Types: 1 dairy centre, 2 brewery, 3 butchery, 4 tannery, ...

4) SANITATION & HYGIENE

a. Health & Diseases

If available, a short narrative description of the overall health status in the project area shall be provided. A focus is put on issues related to drinking water & sanitation (diarrhea). The sources of information (clinic, district etc.) must be indicated.

In case of experienced disease outbreaks the following information shall be provided:

- Date
- Disease
- Suspected cause
- Reaction

b. Hygiene Situation

General statistical description of the following themes:

- Housing
- Kitchens
- Animals
- Hand Washing Facilities
- Drainage
- Cleanliness / Maintenance

The information shall be disaggregated on an appropriate geographic level where useful.

c. Sanitation Situation

5) Open defecation

Description whether OD is an issue and which areas are especially affected by it. Also information on the respective perception of the population shall be provided (gender aspect!).

6) Households

General statistical overview of the following themes:

- Excreta Disposal Facilities
- EDF technical condition
- EDF maintenance status

The information shall be disaggregated on an appropriate geographic level where useful.

7) Schools

Detailed description of the situation in the cases as identified in chapter 1.

- Awareness / attitude of management
- Number of pupils
- Number of latrines
- Number of stances
- Gender aspect

Latrines technical condition
Latrines maintenance status
Hand Washing Facilities

8) Public toilets

Detailed description of existing public toilets.

No. of stances
Gender aspect
Provided services (toilet, drinking water, shower etc.)
Management approach (public, private etc.)
Tariffs
Technical condition
Maintenance status
Hand Washing Facility

9) Public buildings

Detailed description of the situation in the cases as identified in chapter 1.

Awareness / attitude of management
Toilet y/n
Technical condition
Maintenance status
Hand Washing Facility

10) Hotels & Restaurants

Detailed description of the situation in the cases as identified in chapter 1.

Awareness / attitude of management
Number of guests
Number of latrines
Number of stances
Gender aspect
Latrine technical condition
Latrine maintenance status
Hand Washing Facility

11) Business

Detailed description of the situation in the cases as identified in chapter 1.

Awareness / attitude of management
Number of users per day
Number of latrines
Number of stances
Gender aspect
Latrine technical condition
Latrine maintenance status
Hand Washing Facility

12) Ecological Sanitation

Description of existing experiences with dry toilets.

Analysis of experiences and the potential for the use of respective products (compost, urine) in the community.

a. Fecal Sludge Management

Description of the currently existing methods for pit emptying and sludge disposal, including the mapping of sites which might have an influence on a future water source.

Awareness / attitude of responsible Local Government

If relevant:

Service providers

Tariffs

b. Solid Waste

Description of the situation, including the mapping of sites which might have an influence on a future water source.

13) WATER SUPPLY

a. Used sources

For all existing sources of drinking water the following information shall be collected:

- Identification No.
- Type of available sources
- Coordinates
- Maintenance conditions
- Water quality (measurement and / or “expert judgement”)
- Intensity of usage
- Means of water transport
- Costs per litre

b. Water vendors

If water vendors are active in the project area the following information shall be provided:

- No. of water vendors
- Methods of distribution
- Average daily income of a vendor
- Water costs per 20 liter jerry-can

c. Water Supply Situation

14) Households

For each part of the project area as identified in chapter 1 (ward, cell, village) the following information and the respective sources of information shall be provided.

Typical values for:

- Used sources
- Spent time
- Consumption per day
- Costs per litre
- Household handling
- Household treatment

15) Schools

For each school:

- Used sources
- Consumption per day
- Costs per litre
- Technical condition of local distribution means

16) Markets

For each market:

- Used sources
- Consumption per day
- Costs per litre
- Technical condition of local distribution means

17) Public buildings

For each public or institutional point of use:

- Used sources
- Consumption per day
- Costs per litre
- Technical condition of local distribution means

18) Hotels

For each hotel, lodge, restaurant etc.:

- Type of business
- Daily guests
- Future perspective
- Used sources
- Consumption per day
- Costs per litre
- Technical condition of local distribution means

19) Business

For each relevant private business:

- Type of business
- Typical size indicator (tons, litres etc. per day)
- Future perspective
- Used sources
- Consumption per day
- Costs per litre
- Technical condition of local distribution means

20) PERSPECTIVE

In this section information on realistic perspectives for future developments shall be provided, both concerning water supply and sanitation issues. While no decisions on the final design are taken, options and threats as identified during the feasibility study shall support the development of a realistic scenario and of useful support measures.

a. Sanitation

21) Local Government

Interest
Capacities of specialized staff (e.g. DHO)

22) Households

Percentage of households already interested in improving the situation in hygiene and sanitation
Affordability of latrine solutions
Affordability of services (e.g. pit emptying)
Interest in dry toilets and the usage of products

23) Public institutions & private sector

Awareness / interest
Financial capacities
Resources for operation & maintenance

a. Water Supply

24) Local Government

Interest
Human resources
Preparedness for taking over responsibility

25) Households

Percentage of households realistically interested in a house connection
Affordable connection fee
Accepted / expected costs per litre from house connections
Accepted / expected costs per jerry can

26) Public institutions & private sector

Awareness / interest
Financial capacities

27) SAFE WATER SOURCES

For identified potential sources:

- Quantity information
- Quality information
- Current technical situation
- Existing and future source protection aspects
- Land ownership

28) ENVIRONMENTAL IMPACT ASSESSMENT

According to the “Environmental Impact Assessment Guidelines for Water Resources Related Projects in Uganda”, issued by the Ministry of Water and Environment in September 2011, and based on the Third Schedule of the National Environment Act Cap 153 projects that may have an impact on the water resources must be considered for an Environmental Impact Assessment (EIA).

More specifically and in order to avoid excessive abstraction or pollution of the available ground water resources, an EIA shall be carried out for respective water use projects. These include rural and small towns’ water supply projects through (i) Borehole drilling and hand augured shallow wells; (ii) Springs and shallow wells; (iii) Shallow wells and valley dams; (iv) Earth reservoirs and gravity flow schemes.

For deciding whether a project requires a full EIA, a partial EIA or no EIA a screening is undertaken during project identification and pre-feasibility studies. The purpose of this screening is to categorize a project according to four categories. While categories 1-3 allow for simplified approaches, category 4 projects require a normal EIA. Projects in this category could include for instance water projects requiring more than 400 m³ in any period of twenty four hours or projects requiring to use motorized pumps.

Hence, WSDF projects can fall under this category.

This chapter should present the result of the screening and the findings of the appropriate EIA approach.

29) RELATED ACTIVITIES

Description of institutions (donors, NGOs, ...) which are already active or expected to become active either directly in the project area or in neighbouring areas.

30) PROJECT DESIGN MAP

All baseline information which can be assigned to a specific place or area shall be indicated on this map. Furthermore also relevant infrastructure such as roads shall be shown.

Consequently also the preferred water supply area shall be indicated.

Annex C. Staffing

Annex C.1. WSDF Approved Salary Structure - August 2013

Salary revision 2013 (All Staff)

Additional increment for Scientists

Automatic annual increment (starting FY2014 /15)

30%
15%
10%

Administrative Levels	SUPPORT STAFF	ASSISTANT OFFICERS		OFFICERS		SENIOR OFFICERS		BRANCH MANAGER
Grade	GRADE V	GRADE IV		GRADE III		GRADE II		GRADE I
Staff Positions	<i>Non-Science</i>	<i>Science</i>	<i>Non-Science</i>	<i>Science</i>	<i>Non-Science</i>	<i>Science</i>	<i>Non-Science</i>	<i>Science</i>
	Drivers, Office Attendants, Cleaners and Security guards	Eng. Asst, Draughters Asst, Environment & Sanitation Asst	Accts. Asst, Proc. Asst, Admin Asst, Stores Asst.	Engineers, Surveyors, Environment & Sanitation Officers	Sociologist, Accountant/ Procurement officer	Senior Engineers, Senior Environment & Sanitation Officers	Senior Sociologists, Monitoring & Evaluation Officer, Snr. Accountant, Administrator, Snr Procurement Officer	BRANCH MANAGER
Curent FY 2012/13 average gross salary in the 4 WSDFs	281,702	692,457	677,038	1,391,615	1,185,519	1,577,192	1,986,461	1,635,837
Rationalized gross salary (See note 1)	281,702	692,457	692,457	1,391,615	1,391,615	1,986,461	1,986,461	2,215,385
30% General Salary Increment 2013	84,511	207,737	207,737	417,485	417,485	595,938	595,938	664,616
15% Additional increment for Scientists		103,869		208,742		297,969		332,308
Revised Gross Salary- 2013 (see note 2)	366,213	1,004,063	900,194	2,017,842	1,809,100	2,880,368	2,582,399	3,212,308

Notes:

20. Rationalised salary scale based on “equal pay for equal work” principle. Average salary per category from all 4 WSDFs considered and equalised for the entire category. Highest current salary considered for Branch Manager.
21. Salary revision 2013 according to the agreed percentages for science and non-science based positions. All officers currently employed to begin on this level in FY 2013/14. This shall be starting level for all entry staff.

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22. Proposed automatic annual increment commencing FY2014/15.
23. Gross salaries inclusive of all consolidated allowances (transport, lunch, health, insurance, gratuity, etc.)
24. Staff whose revised salary is lower than current earned to remain at same rate as current contract.

Annex D. Planning, budgeting and reporting

Annex D.1. Tools for planning & progress report formats (as in the JPF manual)

Annex D.1.1. Format for presentation of work plan

Note: Outputs are the key mile stones in the project cycle. Activities are the day to day inputs required to achieve outputs as further elaborated overleaf.

Annex D.1.1.1. Performance targets

CODE	OUTPUTS & ACTIVITIES	CODE	PERFORMANCE TARGETS				
			Q1	Q2	Q3	Q4	Total
511	RGCs identified	No. of RGCs identified	12		4		16
5111	Awareness creation	No of advocacy meetings held	13	3	-	-	16

Annex D.1.1.2. Activity Budget

CODE	OUTPUTS & ACTIVITIES	ACTIVITY BUDGET (MILLION UGANDA SHILLINGS)														
		DONOR FINANCED					GOU FINANCED					TOTAL				
		Q1	Q2	Q3	Q4	Total	Q1	Q2	Q3	Q4	Total	Q1	Q2	Q3	Q4	Total
511	RGCs/STs identified															
05111	Awareness creation															

Annex D.1.1.3. Expenditure Budget

CODE	EXPENDITURE TYPE	EXPENDITURE BUDGET (MILLION UGANDA SHILLINGS)														
		DONOR					GOU					TOTAL				
		Q1	Q2	Q3	Q4	Total	Q1	Q2	Q3	Q4	Total	Q1	Q2	Q3	Q4	Total
211101	Employee costs															
211102	Contract staff salaries															
211103	Allowances															

Annex D.1.2. Typical list of outputs and activities to be included in the work plan

OUTPUTS	ACTIVITIES
Approved annual work plans	Receive planning guide from Component Manager Prepare 1 st draft of annual work plan (AWP) Hold planning workshop with districts Prepare AWP Present to SC Finalise and submit to PMC
Signed MoUs with district local governments	Prepare MoUs & circulate Districts sign MoUs
Projects selected for implementation	Advocacy meetings Call for applications Receive applications (RFP, receive, evaluate and award contract if consultant is required). Prepare project selection report, and proposed packaging Present to SC Publish
Scheme designed, WSC constituted and functional	District to submit request for procurement of consultant Issue RFP, receive, evaluate and award contract for design/mobilisation Allow period for Consultant to design & mobilise (If WSDF elects to design, break down to include site visits, engineering surveys, sensitisation meetings, engineering design and community consultative meetings) Draft design, review Final designs Sign MoU with community
Scheme constructed (per scheme)	Allow period for community to meet their obligations Advertise for works (and supervision as necessary) Receive, evaluate, award and sign contract Construction commences Insert interim, supervision and other certificate payments as milestones Insert completion as milestone
Operator selection and training	Advertise for PSO Evaluate, negotiate, award of operator contract Training of selected operator (period) Commencement of PSO contract
Handing over and commissioning	Running in Handing over
Self evaluations	Preparation of position papers Workshop Final self-evaluation report

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Annex D.1.3. Format for presentation of procurement plan

Component Outputs and Activities		Procurement No	Bill of Quantity				Expect'd Payment (mill UGX)	Finance Source	Procedure			Dates			
Code	Title		Category	Item	Qty	Unit			Method	Agency	Begin	Con firm	End	Rationale for Method and Agency	
05111	Awareness creation														
	Consultant for advocacy	WSDF/1	services	short term consultancy	4	Nos	100.00	Donor	NOP	DCC	Aug -06	Sep -06	Oct-06		
05112	Launch of the call for applications														
	workshop materials	WSDF/4	Goods	banners	2	Nos	200.00	Donor	NOP	DCC	Aug -06	Sep -06	Oct-06		
	Procurement No:		Current number of procurements per Activity												
	Subject Category		Works, Services, Supplies												
	Item :		Specify in text, e.g. vehicle												
	Quantity :		Number												
	Unit :		I.e. Pieces or Hours												
	Finance Source :		Donor, GoU												
	Method :		NOP	(National open procurement, no pre-qualification)											
			NOPPPQ	(National open procurement with pre-qualification)											
			NRB	(National restricted bidding)											
			NDP	(National Direct procurement)											
			IOP	(International open procurement without pre-qualification)											
			IOPPPQ	(International open procurement with pre-qualification)											
			IRB	(International restricted bidding)											
	Agency :		CC	Central MWE Contracts Committee											
			DCC	District contracts committee											
	Begin Date :		MM/DD/YY	(Date of tender issuing)											
	Confirmation Date:		MM/DD/YY	(Date of order confirmation)											
	End Date :		MM/DD/YY	(Date of contract completion, supplies received, works/services completed)											
	Rationale for Method and Agency :		Not needed for National Open Procurement Method or Contracts Committee Agency												
			For all other explain reason for the chosen procurement method and agency												

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Item descriptions/activities: To comply with the activities listed under the methods of procurement under section E.2.1 of the manual (including: submissions plans for approval of CC, solicitation of bids, bid opening, evaluation/award of contract, signature, supply/works/service delivery, payment etc.)

Attachments:

- For Supplies: Attach item descriptions, estimated cost/budget
- For Services: Attach Statement of requirements (ToRs).
- For works: Attach estimated principal quantities.

Annex D.1.4. Format for presenting contract management plan

Contract ref	Contract Title	Period Tenable	2 0 0 8										2 0 0 9						Payable UGX			
			Q4			Q1			Q2				Q3			Q4				Q1		
			A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J		A	S	
	Contracts carried over																					
	Contract name																					
	Milestone/activity 1																					
	Milestone/activity 2																					
	Milestone/activity 3																					
	New Contracts																					
	Contract name																					
	Advance payment																					
	Milestone/activity 1																					
	Milestone/activity 2																					
	Milestone/activity 3																					

Milestones/activity: The milestones/deliverables specified in the contract and in the tools for supervision of contracts listed under section E.3.4.

Annex D.1.5. Format of Expenditure/Cash Flow Budgets

Code	Cost Centre	2013							2014						Totals
		Q1				Q2			Q3			Q4			
		J	J	A	S	O	N	D	J	F	M	A	M	J	
	Employee costs														
	Salaries														
	Allowances														
	Recurrent costs														
	Water, lighting etc														
	Fuels, garage etc.														
	S&OE services														
	Contract payments														
	Contract 1														
	Contract 2 etc														
	MONTHLY TOTALS														
	QUARTERLY TOTALS														
	STARTING BALANCES														
	CLOSING BALANCES														

Attachments:

- Employee costs: Names of all employees, salaries and emoluments for the year incl. gratuities.
- Recurrent costs: Last year costs plus percentage mark up or derive from resources listed in activity chart
- Contract payments: From contract management plan

Operations Manual Water and Sanitation Development Facility

Annex D.1.6. Format of Quarterly Procurement Plan

Proc Ref	Procurement Name / title	Method of procurement	TENDERING					CONTRACT		
			Advertise	Pre bid meeting	Bid opening	Evaluate	Contract Award	Sign contract	Advance payment	Comm. date
	Carried over from previous quarter									
	Item 1									
	Item 2									
	Item 3									
	Starting this quarter									
	Item 1									
	Item 2									
	Item									

Annex D.1.7. Format of Quarterly Contract Management Plan

Nr	Contract name name/title	Contract Value	Milestone	date	Resp.	Milestone	date	Resp.	Milestone	date	Resp.
	Consultancy Contracts										
	Name of contract										
	Reports										
	Issue Comments										
	payments due										
	Works contracts										
	Name of contract										
	Site meetings										
	spot checks										
	Progress reports due										
	Payments (interim,										
	Supply contracts										
	Pre-delivery inspections										
	Delivery										
	payment due										

Annex D.1.8. Format of Quarterly Report

MINISTRY OF WATER AND ENVIRONMENT

DIRECTORATE OF WATER DEVELOPMENT

WATER AND SANITATION DEVELOPMENT FACILITY

Branch:

REPORT

Quarter x
Financial Year 2013/2014

Table of Contents

Abbreviations and Acronyms

31) INTRODUCTION

General background information

Highlights of the reporting period (if any)

Specific facts influencing the overall performance during the reporting period, e.g.

- *Human resources*
- *Financial disbursements*

Table providing an overview on the active projects for the respective Financial Year

ST / RGC Name	Size	Type	Water Supply							Sanitation			Target
			No. of target population	new / rehabilitation	Design supply [m3]	Source (spring, well surface)	Storage [m3]	House connections	Water kiosks	Schools	Institutions	Public	
Town / RGC No. 1	15.000	n	1.000	sp	1.500	500	20	2	3	1	2	3	s
Town / RGC No. 2	5.000	n	150	we	400								c
Town / RGC No. 3	3.500	r	350	su	900								a
Town / RGC No. 4													
Town / RGC No. 5													
Town / RGC No. 6													
Town / RGC No. 7													
Town / RGC No. 8													
Town / RGC No. 9													
Town / RGC No. 10													
Town / RGC No. 11													
...													

32) PHYSICAL ACHIEVEMENTS

a. Status Overview

This section provides a brief comparison of the planned targets for the Financial Year and the current status based on agreed key indicators. Suggestions for respective formats are provided below. The idea is to focus on the outcomes and add outputs where necessary/useful.

Town / RGC No. 1	Town / RGC No. 2	EC No. 3	EC No. 4	EC No. 5	EC No. 6	EC No. 7	EC No. 8	EC No. 9	EC No. 10	EC No. 11	EC No. 12	EC No. 13	EC No. 14	EC No. 15	FY 2013/2014 Quarter 3				Number of active projects: X														
															Theme	Outcome	Output	Activities	Ongoing	Completed	Ongoing	Completed	Ongoing	Completed	Ongoing	Completed							
Target 30.6.2014																																	
Completed preparatory activities																																	
Design approved by the DRC																																	
Design consultant contract																																	
Feasibility studie																																	
Detailed design																																	
Application for construction																																	
Completion Report (WS)																																	
Supervision consultant contract																																	
Contractor contract																																	
Construction water supply																																	
O&M structures in place																																	
Fully operational after 1 yr.																																	
Test running																																	
Satisfying H&S status																																	
Project-completion survey																																	
Sanitation construction																																	
Sludge treatment / disposal																																	
Status 31.12.2013																																	
Completed preparatory activities																																	
Design approved by the DRC																																	
Design consultant contract																																	
Feasibility studie																																	
Detailed design																																	
Application for construction																																	
Completion Report (WS)																																	
Supervision consultant contract																																	
Contractor contract																																	
Construction water supply																																	
O&M structures in place																																	
Fully operational after 1 yr.																																	
Test running																																	
Satisfying H&S status																																	
Project-completion survey																																	
Sanitation construction																																	
Sludge treatment / disposal																																	
<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th colspan="2">Status:</th> </tr> <tr> <td style="width:10px;">1</td> <td>Planned for this Financial Year</td> </tr> <tr> <td style="width:10px;">2</td> <td>Started / ongoing</td> </tr> <tr> <td style="width:10px;">3</td> <td>Completed</td> </tr> <tr> <td style="width:10px;">4</td> <td>Not applicable</td> </tr> </table>																Status:		1	Planned for this Financial Year	2	Started / ongoing	3	Completed	4	Not applicable								
Status:																																	
1	Planned for this Financial Year																																
2	Started / ongoing																																
3	Completed																																
4	Not applicable																																

b. On-going Project Activities

Based on the illustration above key messages about the implementation process are presented. The focus shall be put on the question whether the processes are on track for achieving the planned targets or not.

Where difficulties are foreseen clear explanations shall be given, respective details are presented in the following chapter on project details.

c. Project Details

This chapter provides information for projects necessary to explain why plans could not be fulfilled or where they need to be revised. Also difficulties with service providers or contractors shall be indicated.

It is not necessary to describe in detail what happened in each project as long as it is in accordance with planning. However, for projects in which new contracts have been concluded these shall be explained (see also next chapter).

Further information on the implementation progress for each project is provided in “project sheets” presented as an annex.

33) Town No. 3

.....

34) Town No. 9

.....

a. Contracts

Since work and service contracts are a key instrument for the achievement of outputs and also a major expenditure an overview on concluded contracts and their status shall be provided.

In the table those contracts which have been concluded in the reporting period are marked.

ST / RGC Name	Type	Scope	Start Date	Contractor	Contract Price	End Date	Status
Date: 30-9-13	S...Service; W...Work; F...Framework			Company name	Thousand UGX	Intended date for completion	Actual progress (%)
Town / RGC No. 1	S	De, FS	01.06.2013	XXX Services Ltd	900.000.000	31.12.2013	30%
Town / RGC No. 1	W	Dr	15.08.2013	XXX Drilling Ltd.	900.000.000	30.09.2013	100%
Town / RGC No. 1							
Town / RGC No. 4							
Town / RGC No. 5							
Town / RGC No. 5							
Town / RGC No. 7							
Town / RGC No. 8							
Town / RGC No. 9							
Town / RGC No. 10							
WSDF Branch	F	SP	01.01.2013	XY & Co Ltd	900.000.000	31.12.2015	15%
...							

De	Design
FS	Feasibility Study
Dr	Drilling
Su	Construction Supervision
SP	Source Protection
C	Construction Supervision
CS	Completion Survey

Further details on the individual contracts are presented in annex no. x!

b. WSDF Management (X400)**35) Operational management (X410)**

	Administrative costs	Implemented investments	Ratio
Planned			
Actual			

X411	Staffing	<i>Planned total staff no. Current staff no. New staff in the reporting period Planned hiring</i>
X412	Office space and operations	<i>Changes in the reporting period Planned changes</i>
X413	Fleet acquisition and management	<i>No. of cars Total mileage in the reporting period / the FY No. of Motorcycles Total mileage in the reporting period / the FY Planned acquisition</i>
X414	Communications	<i>Status of communication concept Activities in the reporting period Planned activities</i>
X415	Human resource development	<i>Status of HRD concept Activities in the reporting period (e.g. trainings) Planned activities</i>
X416	Acquisition of land	<i>Acquisitions in the reporting period Planned land acquisitions</i>
X417	Specialised equipment	<i>Status equipment concept & registry New equipment Planned procurement</i>

36) Planning, reporting, quality assurance (X420)

		Q1	Q2	Q3	Q4	Remarks
X421	Quarterly planning meetings					
X422	Timely JPF reports (qu., ann.)					
X423	Internal monitoring reports					
	Internal reflection exercise					
X424	Supervision / field reports					
X425	SC meetings					
X426	Audit reports (int., ext.)					
X427	External evaluation					
X428	Study reports					

a. Experiences and Conclusions

This section can inform about experiences which are relevant beyond a specific project and which might hence lead to revised processes, changed approaches etc..

37) FINANCIAL STATUS

This chapter should find the balance between reflecting the dimensions of time (actual quarter, FY so far, FY total) types (budgets, payments) sources (JPF, GoU, individual donors)

and length / readability.

While an overview on key aspects of the financial situation shall be provided, detailed information might be presented as an annex.

General remarks on the financial situation (e.g. actual disbursements, major deviations from planning) shall be made in the beginning of the chapter.

a. Receipts

Active accounts

No.	Bank	Branch	Account number
1	Barcleys Bank	Mbale	xxxxxxxxxxxx
2	Stanbic Bank	Mbale	yyyyyyyyyyyy

List of Receipts in Q X

No.	Date	Account	From	Amount [UGX]
1	15.07.2013	1	GoU	2.000.000.000,00
2	02.08.2013	2	JPF	2.000.000.000,00
3	25.08.2013	2	JPF	3.000.000.000,00
4	24.09.2013	2	JPF	1.000.000.000,00
...				
			Total	8.000.000.000,00

Q3	JPF	GoU	Total
Budget	[Million UGX]		
FY previous	15.000,00	6.000,00	21.000,00
This quarter	5.000,00	1.000,00	6.000,00
Next quarters	5.000,00	1.000,00	6.000,00
FY total	25.000,00	8.000,00	33.000,00

Receipts	[Million UGX]		
FY previous	15.000,00	4.000,00	19.000,00
This quarter	5.000,00	2.000,00	7.000,00
FY total	20.000,00	6.000,00	26.000,00

Release	[%]		
FY previous	100%	67%	90%
This quarter	100%	200%	117%
FY total	100%	86%	96%

b. Expenditures

The following provides an overview on the expenditures for the respective quarter and accumulated for the Financial Year.

		Budget		Release		Uptake	
		Total	Total	Total		Total	
		UGX	UGX	%	UGX	%	
Financial Year							
X120	Preparatory mobilisation	7.689	7.680	99%	7.680	99%	
X130	Design	7.689	7.680	99%	7.680	99%	
X140	Application for construction	7.689	7.680	99%	7.680	99%	
X150	Construction (WS)	7.689	7.680	99%	7.680	99%	
X210	O&M structures	7.689	7.680	99%	7.680	99%	
X220	Initial monitoring and support	7.689	7.680	99%	7.680	99%	
X310	Awareness raising	7.689	7.680	99%	7.680	99%	
X320	Sanitation construction	7.689	7.680	99%	7.680	99%	
X410	Operational management	7.689	7.680	99%	7.680	99%	
X420	Planning, reporting, QA	7.689	7.680	99%	7.680	99%	
Grand Total		7.689	7.680	99%	7.680	99%	
Quarter X							
X120	Preparatory mobilisation	7.689	7.680	99%	7.680	99%	
X130	Design	7.689	7.680	99%	7.680	99%	
X140	Application for construction	7.689	7.680	99%	7.680	99%	
X150	Construction (WS)	7.689	7.680	99%	7.680	99%	
X210	O&M structures	7.689	7.680	99%	7.680	99%	
X220	Initial monitoring and support	7.689	7.680	99%	7.680	99%	
X310	Awareness raising	7.689	7.680	99%	7.680	99%	
X320	Sanitation construction	7.689	7.680	99%	7.680	99%	
X410	Operational management	7.689	7.680	99%	7.680	99%	
X420	Planning, reporting, QA	7.689	7.680	99%	7.680	99%	
Grand Total		7.689	7.680	99%	7.680	99%	

		Quarter X		FY (total)		Budget FY	
		UGX	%	UGX	%	UGX	%
219999	EMPLOYEE COSTS total						
229999	USE OF GOODS & SERVICE total						
239999	CONSUMPTION FIXED ASSETS total						
	<i>OTHER EXPENSES</i>						
281503	Engineering & Design Studies						
282001	Studies and research						
289999	OTHER EXPENSES total						
	<i>NON-FINANCIAL ASSETS</i>						
312103	Other Structures						
319999	NON-FINANCIAL ASSETS total						
Grand Total							

A more detailed analysis can be found in the annex.

38) OUTLOOK**a. Activities**

For each town information on upcoming activities shall be provided structured along the logframe codes.

39) Town No. 1

Code	Output / Outcome	Activity / Result
X131	Procurement of design consultant	Procurement started and completed
X132	Feasibility study	Study started

40) Town No. 2

Code	Output / Outcome	Activity / Result
X131	Procurement of design consultant	Procurement started and completed
X132	Feasibility study	Study started

41) Town No. 3

Code	Output / Outcome	Activity / Result
X131	Procurement of design consultant	Procurement started and completed
X132	Feasibility study	Study started

42) Town No. 4

Code	Output / Outcome	Activity / Result
X131	Procurement of design consultant	Procurement started and completed
X132	Feasibility study	Study started

43) ...

a. Budget

This chapter shows which expenses are estimated for the next quarter. The information is disaggregated into “contracts” concluded for project implementation and the other WSDF budget lines.

It is also shown from which sources the required funds shall come.

44) Contracts

ST / RGC Name	Contractor	Planned Work	Expected payments
Town / RGC No. 1	XXX Services Ltd		
Town / RGC No. 1	XXX Drilling Ltd.		
Town / RGC No. 1			
Town / RGC No. 4			
Town / RGC No. 5			
Town / RGC No. 5			
Town / RGC No. 7			
Town / RGC No. 8			
Town / RGC No. 9			
Town / RGC No. 10	NEW!		
WSDF Branch	XY & Co Ltd		
...		Total	

45) Others & Total

		Quarter X
		UGX
219999	EMPLOYEE COSTS total	
229999	USE OF GOODS & SERVICE total	
239999	CONSUMPTION FIXED ASSETS total	
	<i>OTHER EXPENSES</i>	
281503	Engineering & Design Studies	
282001	Studies and research	
289999	OTHER EXPENSES total	
	<i>NON-FINANCIAL ASSETS</i>	
312103	Other Structures	
319999	NON-FINANCIAL ASSETS total	
	Total	

a. Sources

	Budget FY	Disbursed		Requested		Total	
	UGX	UGX	%	Date	UGX	UGX	%
JPF							
GoU							
Total							

46) ANNEXES

a. WSDF Logical Framework

b. Project Sheets

The Project sheets on the following pages provide an overview on the implementation progress for each town or rural center, based on the output indicators according to the log frame.

The following information is provided:

Type	Two types of indicators are used: Y/N ... The final target is “achieved” No. ... The final target is a specified number of outputs
Old status	Status of the indicator at the end of the last financial year
New target	Target for the indicator for the end of the respective FY
	Status and Target can be entered with values between 0 and 1, where 1 means “fully achieved”. Numbers <1 indicate the achieved percentage.
Achieved (% of planned output)	For each quarter the percentage of the planned total annual workload achieved in the respective quarter is indicated.
Achieved	Indicates the total progress made in the FY so far.
Status	New status based on “old status” plus “achievement”.
Remaining	Difference between “status” and “target”.

47) Town 1

Town 1		FY 2013/2014 Quarter 3		Old status: Advanced preparation					Target: Advanced construction						
Theme	Outcome	Code	Output indicator	Type	Old status	New target	Achieved (% of planned output)					Achieved	Status	Remaining	Remarks
							Q1	Q2	Q3	Q4	Total				
X100	Water Supply Coverage														
	X110		No. of STs/RGCs identified & approved												
		X111	No. of STs/RGCs approved by the Steering Committee												
	X120		Completed preparatory activities	Y/N	1										
		X121	Signature of MoU	Y/N	1										
		X122	Active Water & Sanitation Committees	Y/N	1										
	X130		Design approved by the DRC	Y/N	0	1		100		100	1	1	0		
		X131	Design consultant contract	Y/N	1										
		X132	Completed feasibility study	Y/N	0	1	70	30		100	1	1	0		
		X133	Water sources developed	Y/N	0	1	10	90		100	1	1	0		
		X134	Completed detailed design	Y/N	0	1	25	75		100	1	1	0		
		X135	Approved detailed design	Y/N	0	1		100		100	1	1	0		
	X140		Complete application for construction received	Y/N	0	1		100		100	1	1	0		
		X141	New UO memberships	Y/N	0	1		100		100	1	1	0		
		X142	Complete application for construction received	Y/N	0	1	80	20		100	1	1	0		
	X150		Construction completion report	Y/N	0	0					0	0	0		
		X151	Supervision consultant contract	Y/N	0	1	100			100	1	1	0		
		X152	Framework contract for catchment & source protection												
		X153	Contractor contract	Y/N	0	1	50	40	10	100	1	1	0		
		X154	Construction moderation meetings	No.	0	2		50		50	1	1	1		
		X155	Schemes under construction	Y/N	0	0,4		10		10	0,0	0,0	0,4		
		X156	Signed site meetings minutes	No.	0	2				0	0	0	2		
		X157	Catchment & source protection completed	Y/N	0	1		90		90	1	1	0		
		X158	Project completion report	Y/N	0	0									

X200 WS Operation & Maintenance; Regulation											
	X210	O&M structures in place	Y/N	0	0						
	X211	Performance Contract signed	Y/N	0	0						
	X212	1st Water Board with women holding key positions installed	Y/N	0	0						
	X213	Management contract signed	Y/N	0	0						
	X214	Approved tariff scheme	Y/N	0	0						
	X215	No. of O&M trainings held	No.	0	0						
	X220	Scheme fully operational after 1 yr.	Y/N	0	0						
	X221	Scheme provisionally handed-over	Y/N	0	0						
	X222	Report on the WS test running (incl. initial WA reports) qualifying for political hand-over	Y/N	0	0						
	X223	Scheme finally handed-over	Y/N	0	0						
	X224	No. of study reports completed and disseminated	No.	0	0						
X300 Improved Hygiene & Sanitation											
	X310	Scheme with satisfying H&S status	Y/N	0	0						
	X311	No. of community trainings (50% women)	No.	0	3	50	50	100	3	3	0
	X312	Community Led Total Sanitation campaign conducted	Y/N	0	1	10	30	40	0	0	1
	X313	No. of applications for improved sanitation	No.	0	10	30	30	60	6	6	4
	X314	Project-completion survey	Y/N	0	0						
	X320	Completed sanitation construction	Y/N	0	0						
	X321	No. of masons trained	No.	0	3	1	0	1	0	0	3
	X322	No. of private EcoSan demonstration toilets	No.	0	5	0	0	1	0	0	5
	X323	No. of public toilet facilities	No.	0	1	1	0	1	0	0	1
	X324	No. of institutional toilet facilities (non-schools)	No.	0	3			0	0	0	3
		No. of school toilet facilities							0	0	0
	X325	Sludge treatment / disposal facility	Y/N	0	1		0	0	0	0	1
	X326	Sewerage scheme	Y/N	0	0						
	X327	Report on the Sanitation test running, incl. initial WA reports, qualifying for political hand-over	Y/N	0	0						

a. Contracts

ST / RGC Name	Type	Scope	Start Date	Contractor	Contract Price	End Date	Status	Installments	Planned progress				Accumulated Costs				
									Q+1	Q+2	Q+3	Q+4	Q+1	Q+2	Q+3	Q+4	
Date: 30-9-13	S...Service; W...Work; F...Framework			Company name	Thousand UGX	Intended date for completion	Actual progress (%)	Total payments in thousands UGX									
Town / RGC No. 1	S	De, FS	01.07.2013	XXX Services Ltd	900.000.000	31.12.2013	30%	300.000.000	50%	70%	100%		500.000.000	700.000.000	900.000.000		
Town / RGC No. 1	W	Dr	15.08.2013	XXX Drilling Ltd.	900.000.000	30.09.2013	100%										
Town / RGC No. 1																	
Town / RGC No. 4																	
Town / RGC No. 5																	
Town / RGC No. 5																	
Town / RGC No. 7																	
Town / RGC No. 8																	
Town / RGC No. 9																	
Town / RGC No. 10																	
WSDF Branch	F	SP	01.01.2013	XY & Co Ltd	900.000.000	31.12.2015	15%										
...																	

- De Design
- FS Feasibility Study
- Dr Drilling
- Su Construction Supervision
- SP Source Protection
- C Construction Supervision
- CS Completion Survey

b. Finance

		Budget			Release						Uptake					
		GoU		Total	GoU		DP		Total		GoU		DP		Total	
		UGX	UGX	UGX	UGX	%	UGX	%	UGX	%	UGX	%	UGX	%	UGX	%
	Financial Year															
X120	Preparatory mobilisation	1.275	6.414	7.689	1.267	99%	6.413	99%	7.680	99%	1.267	99%	6.413	99%	7.680	99%
X130	Design	1.275	6.414	7.689	1.267	99%	6.413	99%	7.680	99%	1.267	99%	6.413	99%	7.680	99%
X140	Application for construction	1.275	6.414	7.689	1.267	99%	6.413	99%	7.680	99%	1.267	99%	6.413	99%	7.680	99%
X150	Construction (WS)	1.275	6.414	7.689	1.267	99%	6.413	99%	7.680	99%	1.267	99%	6.413	99%	7.680	99%
X210	O&M structures	1.275	6.414	7.689	1.267	99%	6.413	99%	7.680	99%	1.267	99%	6.413	99%	7.680	99%
X220	Initial monitoring and support	1.275	6.414	7.689	1.267	99%	6.413	99%	7.680	99%	1.267	99%	6.413	99%	7.680	99%
X310	Awareness raising	1.275	6.414	7.689	1.267	99%	6.413	99%	7.680	99%	1.267	99%	6.413	99%	7.680	99%
X320	Sanitation construction	1.275	6.414	7.689	1.267	99%	6.413	99%	7.680	99%	1.267	99%	6.413	99%	7.680	99%
X410	Operational management	1.275	6.414	7.689	1.267	99%	6.413	99%	7.680	99%	1.267	99%	6.413	99%	7.680	99%
X420	Planning, reporting, QA	1.275	6.414	7.689	1.267	99%	6.413	99%	7.680	99%	1.267	99%	6.413	99%	7.680	99%
	Grand Total	1.275	6.414	7.689	1.267	99%	6.413	99%	7.680	99%	1.267	99%	6.413	99%	7.680	99%
	Quarter X															
X120	Preparatory mobilisation	1.275	6.414	7.689	1.267	99%	6.413	99%	7.680	99%	1.267	99%	6.413	99%	7.680	99%
X130	Design	1.275	6.414	7.689	1.267	99%	6.413	99%	7.680	99%	1.267	99%	6.413	99%	7.680	99%
X140	Application for construction	1.275	6.414	7.689	1.267	99%	6.413	99%	7.680	99%	1.267	99%	6.413	99%	7.680	99%
X150	Construction (WS)	1.275	6.414	7.689	1.267	99%	6.413	99%	7.680	99%	1.267	99%	6.413	99%	7.680	99%
X210	O&M structures	1.275	6.414	7.689	1.267	99%	6.413	99%	7.680	99%	1.267	99%	6.413	99%	7.680	99%
X220	Initial monitoring and support	1.275	6.414	7.689	1.267	99%	6.413	99%	7.680	99%	1.267	99%	6.413	99%	7.680	99%
X310	Awareness raising	1.275	6.414	7.689	1.267	99%	6.413	99%	7.680	99%	1.267	99%	6.413	99%	7.680	99%
X320	Sanitation construction	1.275	6.414	7.689	1.267	99%	6.413	99%	7.680	99%	1.267	99%	6.413	99%	7.680	99%
X410	Operational management	1.275	6.414	7.689	1.267	99%	6.413	99%	7.680	99%	1.267	99%	6.413	99%	7.680	99%
X420	Planning, reporting, QA	1.275	6.414	7.689	1.267	99%	6.413	99%	7.680	99%	1.267	99%	6.413	99%	7.680	99%
	Grand Total	1.275	6.414	7.689	1.267	99%	6.413	99%	7.680	99%	1.267	99%	6.413	99%	7.680	99%

GL accounts		Budget					Expenditures				FY to Date		
Code	Title	Q1	Q2	Q3	Q4	Total	Q1	Q2	Q3	Q4	Budget	Actual	(%)
210000	EMPLOYEE COSTS												
211102	Contract staff salaries	55,000,000	55,000,000	55,000,000	55,000,000	220,000,000		72,088,293	37,911,707				
211103	Allowances	14,000,000	14,000,000	14,000,000	13,000,000	55,000,000			28,000,000				
212101	Social Security Contributions	4,000,000	5,000,000	4,000,000	5,000,000	18,000,000		17,541,212					
219999	TOTAL EMPLOYEE COSTS	73,000,000	74,000,000	73,000,000	73,000,000	293,000,000		89,629,505	65,911,707				
220000	USE OF GOODS AND SERVICES												
221001	Advertising and Public relatio	9,000,000	10,000,000			19,000,000							
221002	Workshop and seminars	60,000,000	60,000,000	60,000,000	60,000,000	240,000,000		19,538,128	63,709,800				
221003	Staff training	10,000,000	10,000,000	10,000,000	10,000,000	40,000,000		1,536,000					
221004	Recruitment Expenses												
221007	Books, News papers & Period.												
221008	Computer supplies and IT serv.	53,000,000	3,000,000	3,000,000	3,000,000	62,000,000		47,153,315	1,998,800				
221009	Welfare and Entertainment							1,323,250					
221010	Special meals and Drinks												
221011	Stationery, Photocopy Binding	5,000,000	5,000,000	5,000,000	5,000,000	20,000,000		5,678,500	9,435,620				
221012	Small office equipment												
221014	Bank charges, related costs							225,503					
222001	Telecommunications	3,000,000	3,000,000	3,000,000	3,000,000	12,000,000			9,000,000				
223004	Security services	3,000,000	3,000,000	3,000,000	3,000,000	12,000,000							
223005	Electricity	1,000,000	1,000,000	1,000,000	1,000,000	4,000,000							
223006	Water	1,000,000		1,000,000		2,000,000		235,590					
224002	Gen. Supply of Goods & Service												
225001	Consultancy services(short term)												
225002	Consultancy services(Long term)												
227001	Travel Inland	30,000,000	30,000,000	30,000,000	30,000,000	120,000,000		4,296,000	53,616,900				
227002	Travel abroad												
227004	Fuel, Lubricants and oils	10,000,000	10,000,000	10,000,000	10,000,000	40,000,000			4,799,735				
228002	Maintenance- Vehicle												
228003	Maint- Machinery and Equip.												
229999	TOTAL, USE OF GOODS & SERVICE	185,000,000	135,000,000	126,000,000	125,000,000	571,000,000		79,986,286	142,560,855				
230000	CONSUMPTION OF FIXED ASSETS												
231001	Non-Residential Buildings				50,000,000	50,000,000							
231002	Machinery and Equipment(Proc.of Vehicle)	120,000,000				120,000,000		41,256,441					
231004	Office furniture	40,000,000				40,000,000		31,179,800					
239999	TOTAL, CONSUMPTION FIXED ASSET	160,000,000			50,000,000	210,000,000		72,436,241					
260000	GRANTS (Out Wards)												
264101	Contributions to Institutions												
	Contributions to Institutions Cap												
269999	TOTAL GRANTS												
280000	OTHER EXPENSES												
281503	Engineering & Design Studies	194,000,000	192,000,000	192,000,000	192,000,000	770,000,000		14,925,600	15,291,696				
282001	Studies and research												
289999	TOTAL, OTHER EXPENSES	194,000,000	192,000,000	192,000,000	192,000,000	770,000,000		14,925,600	15,291,696				
310000	NON-FINANCIAL ASSETS												
312103	Other Structures	1,282,190,000	1,296,000,000	1,369,000,000	1,463,000,000	5,410,190,000		1,699,820,880	1,481,976,325				
312201	Transport Equipment												
312202	Machinery & Equip												
312203	Furniture & Fitting												
312204	Taxes on Machinery, Furniture & Vehicles												
319999	TOTAL, NON-FINANCIAL ASSETS	1,282,190,000	1,296,000,000	1,369,000,000	1,463,000,000	5,410,190,000		1,699,820,880	1,481,976,325				
321501	Staff advances												
321504	Other advances												
321603	Sundry Debtors												
TOTAL		1,894,190,000	1,697,000,000	1,760,000,000	1,903,000,000	7,254,190,000		1,884,362,271	1,705,740,583				

Annex D.2. WSDF Performance Monitoring

Theme area / specific objective	Outcome	Output	Title	Indicator
X100	UWSS Theme 1: Increase water supply service coverage for small towns and rural growth centres in a pro-poor sensitive manner			
	X110	Identification & approval		No. of STs/RGCs identified & approved
		X112	Identification and ranking process	No. of STs/RGCs approved by the Steering Committee
	X120	Preparatory mobilisation achieved		No. of communities with completed preparatory activities
		X121	Awareness creation	Signature of MoU
		X122	Creation & training of Water & Sanitation Committee	No of active Water & Sanitation Committees
	X130	Designs approved by DRC, DWRM, and NEMA		No. of designs approved by the DRC
		X131	Procurement of Consultants for Designs	No. of design consultant contracts
		X132	Feasibility study (incl. baseline on soc.ec. & gender sanitation aspects)	No. of completed feasibility studies
		X133	Development of water source	No. of projects with water sources developed
		X134	Detailed design	No. of completed detailed designs
		X135	Approval by Design Review Committee	No. of approved detailed designs
	X140	Applications for construction received		No. of complete applications for construction received
		X141	Facilitate UO membership	No. of new UO memberships
		X142	Support communities to fulfil their obligations for application for construction	No. of complete applications for construction received
	X150	Schemes constructed		No. of Completion Reports
			Surveying acquired land	No. of topographic map with survey reports
			Securing a title deed / land title	No. of land titles
		X151	Procurement of consultant for construction supervision	No. of supervision consultant contracts
		X152	Procurement of EIA and WSPP consultants	No. of framework contracts for EIA and WSP
		X153	Procurement of contractor	No. of contractor contracts
		X154	Community information & moderation during construction	No. of meetings
		X155	Construction of water facilities	No. of schemes under construction
		X156	Construction supervision including site visits	No. of signed site meetings minutes
		X157	Protection of catchment and water sources	Design following the DWRM guideline and completion report
		X158	Construction completion, incl. O&M manual, as-built	No. of project completion reports

Theme area / specific objective	Outcome	Output	Title	Indicator
			drawings, asset registry	No. of rehabilitated schemes No. of new connections Number of people having gained access to safe piped water supply through the intervention Number of poor people having gained access to safe piped water supply through the intervention Percentage of inhabitants having access to functional piped water within 0.2 km and within 1 km
X200	UWSS Theme 2: Improve O&M of urban piped water supply systems UWSS Theme 3: Establish effective regulation of urban water supply and sanitation services			
	X210	O&M structures established		No. of supported schemes with O&M structures in place
		X211	Support future Water Authority in concluding the Performance Contract, incl. gazetting of Water Supply Area	No. of Performance Contracts signed
		X212	Support establishing a Water Board with women in key positions	No. of 1st Water Boards with at least 2 women holding key positions
		X213	Support WSSB concluding a Management Contract for scheme operation	No. of Management contracts with skilled scheme attendant / PO signed
		X214	Support tariff setting	No. of approved tariff schemes
		X215	Training of WA, WSSB and PO / Scheme attendants	No. of O&M trainings held
	X220	Initial technical monitoring and support provided		No. of supported schemes fully operational after 1 year
		X221	Provisional hand-over	No. of schemes provisionally handed-over
		X222	Technical and operational test running of WS facilities, incl. on-the-job training, jointly with UO	No. of reports on the results of the test running phase, incl. initial WA reports, qualifying for political hand-over Ratio revenues / running O&M costs Billing efficiency; collection efficiency; non-revenue-water Percentage of water samples taken at the point of water collection that comply with national water quality standards Percentage of water samples taken at the point of water collection that comply with national water quality standards
		X223	Political hand over	No. of schemes finally handed-over
		X224	Studies and research	No. of reports complete and disseminated
X300	UWSS Theme 4: Improved Urban Sanitation and Hygiene Services			
	X310	Awareness raised		No. of supported schemes with satisfying H&S status
		X311	Training on hygiene promotion	No. of community trainings (50% women)

Theme area / specific objective	Outcome	Output	Title	Indicator
		X312	Community Led Total Sanitation campaign	No. of Community Led Total Sanitation campaigns conducted No. of mothers and caregivers attended hygiene promotion and hand-washing campaign
		X313	Implementation of smart incentives framework for improved sanitation	No. of applications complying with the agreed conditions
		X314	Project-completion survey; gender sensitive outcome survey for Water Supply & Sanitation	No. of project-completion surveys Functionality: Ratio of the actual hours of water supply to the required hours Percent of the population within the targeted towns and RGCs effectively using the safe piped water scheme No. of functioning and well-maintained public toilets with hand washing facilities Percent basic latrine coverage % of the target households effectively using a toilet/latrine that complies with the MDG and national standards for improved sanitation No. of people benefitting from improved sanitation No. of people benefitting from save sanitation are poor according to national standards Percentage of households using hand washing facilities with water and soap
	X320	Construction of sanitation facilities		No. of supported schemes with completed sanitation construction
		X321	Training masons on construction of various technology options for improved sanitation	No. of masons trained (include also No of female)
		X322	Construction of private EcoSan demonstration toilets	No. of private EcoSan demonstration toilets
		X323	Construction of public toilets (gender-segregated, disabled-friendly)	No. of toilet facilities; No. of stances
		X324	Construction of institutional toilets (gender-segregated, disabled-friendly); incl. schools	No. of toilet facilities; No. of stances in schools
		X325	Construction of regional sludge treatment / disposal facilities	No. of sludge treatment / disposal facilities
		X326	Construction of sewerage schemes	No. of sewerage schemes
		X327	Technical and operational test running of sanitation facilities, incl. on-the-job training, jointly with UO	No. of reports on the results of the test running phase, incl. initial WA reports, qualifying for political hand-over
X400	WSDF management			
	X410	Appropriate operational management		Ratio administrative costs / implemented investments
		X411	Staffing	Staffing concept & report
		X412	Office space and operations	Office concept & report

Theme area / specific objective	Outcome	Output	Title	Indicator
		X413	Fleet acquisition and management	Fleet concept & registry
		X414	Communications	Communications concept & report
		X415	Human resource development	HRD concept & report
		X416	Acquisition of land (not community obligation)	No. of land acquisition contracts
		X417	Specialised equipment	Equipment concept & registry
	X420	Planning, reporting and quality assurance		
		X421	Planning	No. of quarterly planning meetings held at WSDF level
		X422	Reporting	No. of timely JPF reports (quarterly, annual)
		X423	Internal monitoring and evaluation	No. of internal monitoring reports in place
				No. of annual internal evaluation / reflection exercise documented
		X424	Supervision and center support activities	No. of supervision / field reports in place
		X425	Steering Committees	No. of SC meetings held and minuted
		X426	Auditing	No. of audit reports (internal and external) in place
		X427	External evaluation	No. of external evaluation reports in place and disseminated
		X428	Studies and research (not O&M and sanitation specific)	No. of reports in place

Access (A) has been calculated as:

$$A = \frac{\text{Total number of people served by point and piped water supplies}}{\text{Total population}}$$

The number of people served is calculated from the available water points and piped water supplies as follows:

Number of users per water point:

- Protected spring: 200
- Shallow well: 300
- Deep borehole: 300
- Rainwater harvesting tank, < 10,000 litres: 3
- Rainwater harvesting tank, > 10,000 litres: 6

Number of users per piped water supply:

- House connection: 6
- Yard tap for private use: 24
- Yard tap for public use: 150
- Public stand post / kiosk: 150
- Institutional connection: 100

(Source: Uganda Water Supply Atlas, 2010, MWE, p. 7)

- ii Boys (day) are counted as single pupil equivalent. Teachers are considered as 5 pupil equivalents. Girls (day) are counted as two pupil equivalents. Boarding pupils are counted as five pupil equivalents each.
(Source: Operations Manual for the Water and Sanitation Development Facility, January 2009, DWD, MWE, p. 19)
- iii A detailed, scaled map of the proposed project area should be provided
- iv Official evidence of outbreak should be provided, signed and stamped by the TC / relevant authorities, for instance evidence from the clinic, hospital.
- v Specify the funding and estimated costs, where possible.