



Government of Uganda
Ministry of Water and Environment

Water and Sanitation Sector

**SECTORALSPECIFIC
SCHEDULES/GUIDELINES**

2009/10

Final

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1 Sector Policies and Strategies

1.1 Policy Objectives

The overall policy objectives of the Government for water resources management, (domestic) water supply and sanitation and water for production respectively are as follows:

- (i) *“To manage and develop the water resources of Uganda in an integrated and sustainable manner, so as to secure and provide water of adequate quantity and quality for all social and economic needs of the present and future generations with the full participation of all stakeholders”* (National Water Policy, 1999).
- (ii) To provide *“sustainable provision of safe water within easy reach and hygienic sanitation facilities, based on management responsibility and ownership by the users, to 77% of the population in rural areas and 100% of the urban population by the year 2015 with an 80%-90% effective use and functionality of facilities”* (Medium Term Budget Framework Paper, 2004). This is more ambitious than the Millennium Development Goal (MDG), which aims to halve the percentage of people without access to safe water by 2015 in Uganda.
- (iii) *“Promote development of water supply for agricultural production in order to modernise agriculture and mitigate effects of climatic variations on rain fed agriculture”* (National Water Policy, 1999).

A Sector Wide Approach to Planning (SWAP) for the Water and Sanitation Sector was adopted in September 2002. SWAP is a mechanism whereby Government and development partners support a single policy and expenditure programme, which is under Government leadership and follows a common approach.

1.2 Policy and Regulatory Framework

Government policies and the legal framework that impact on management of the sector are:

- Constitution of the Republic of Uganda (1995)
- The Local Governments Act (1997)
- The Water Act, and accompanying regulations [Water Resources Regulations (1998), Waste Discharge Regulations (1998), the Water Supply Regulations (1999), Sewerage Regulations (1999)],
- The National Water & Sewerage Corporation Act (2000), the Uganda Water Action Plan (1995) and National Water Policy (1999)
- The National Environment Management Policy (1994); The National Environment Act; the Environmental Impact Assessment Regulations (1998); and the National Environment (Standards for Discharge of Effluent into Water or on Land) Regulations (1999), National Environment (Waste Management) Regulations (1999)
- Land Act (1998), and the upcoming Land use policy
- National Health Policy and Health Sector Strategic Plan (1999)
- National Gender Policy (1997).

1.3 Strategic and Operational Documents

The strategic and operational documents for the sector are:

- A. Water Supply and Sanitation Sector Investment Plans and Allocation Principles, known as the SIP (2008-2035) issued in 2009.
- B. Rural Water and Sanitation Operation Plan 2002-2007 (known as the OP5)
- C. Memorandum of Understanding (Dec 2001) between the Ministry of Water and environment (MWE), Ministry of Health (MoH) and the Ministry of Education and Sports (MoES).
- D. National Framework for Operation and Maintenance of Rural Water Supplies (2004)
- E. Rural Growth Centres Strategy (2005)
- F. Strategy for Water and Environmental Sanitation Emergency Response in Uganda (2004)
- G. Steps in Implementation of Water and Sanitation Software Activities (as issued by MWE/DWD in 2005)
- H. Strategy for Mainstreaming HIV/AIDS (2004)
- I. Long Term Strategy for Water Supply and Sanitation Services in Small Towns (MWE/DWD, 2003)
- J. The Improved Sanitation and Hygiene Strategy (ISH), (2006)
- K. Sanitation Mobilisation Steps (MWE/DWD, 2004)
- L. Planning Guidelines for Hygiene Promotion and Education (MoH/EHD, 2005)

District Water and Sanitation manuals are being prepared by DWD to provide further guidance to Districts. These will include relevant sector technical standards. Additional guidelines may be issued from time to time.

1.4 Roles and Responsibilities

Communities are responsible for demanding for, planning, contributing a cash contribution to, operating and maintaining rural WSS facilities. A water user committee (WUC) should be established at each water point.

The Ministry of Finance, Planning and Economic Development (MFPED), mobilises funds, allocates them to sectors and coordinates development partner inputs. MFPED reviews sector plans as a basis for releasing allocated funds, and reports on compliance with sector objectives.

The Ministry of Water and Environment (MWE) has overall responsibility for setting national policies and standards, and priorities for water development and management. It also monitors and evaluates sector development programmes to keep track of their performance, efficiency and effectiveness in service delivery. MWE is responsible for the regarding the planning and provision of sanitation/hygiene facilities in Rural Growth Centres (RGCs) & public places as well as hygiene and sanitation education & promotion in areas around the water facilities constructed. In practice, these activities are undertaken at District Government level.

The Directorate of Water Development (DWD), under MWE is the lead agency responsible for managing water resources, coordinating and regulating all water and sanitation activities and providing support services to local Governments and other service providers. DWD regulates water use and waste discharge, supports districts in implementing decentralised WSS programmes and implements scheme (new construction and rehabilitation) in small towns and rural growth centres. DWD approves local Government work plans and reports.

The National Water and Sewerage Corporation (NWSC) operates and provides water and sewerage services 22 large urban centres.

The Ministry of Health (MoH) is responsible for hygiene and sanitation promotion for households. The Environmental Health Division (EHD) is the main part of the MoH responsible for the development strategies and for the provision of support to the decentralised structures.

The Ministry of Education and Sports (MES) is responsible for hygiene promotion and sanitation in primary schools. It works to ensure that schools have the required sanitation facilities and provide hygiene education to the pupils. It also promotes harvesting of rainwater for hand washing after latrine use.

The Ministry of Gender, Labour and Social Development (MGLSD) is responsible for gender responsiveness and community development/mobilisation. It assists the sector in gender responsive policy development, and supports Districts to build staff capacity to implement sector programmes.

The Ministry of Agriculture, Animal Industry and Fisheries (MAAIF) spearheads agricultural development. This includes the use and management water for production (irrigation, animal production and aquaculture).

Local Governments (Districts, towns, Sub-Counties) are empowered by the Local Governments Act (1997) for the provision of water services. They receive grant funding and may mobilise local resources for implementing rural WSS programmes and to support small town WSS. Local Governments, in consultation with DWD/MWE also appoint and manage private operators for urban schemes outside the jurisdiction of NWSC. District Governments are being encouraged to set up District Water and Sanitation technical Committees (DWSC) to oversee and provide effective coordination of water sector activities in the respective Local Governments.

Private Sector firms undertake design and construction in the sector under contract to local and central government. Private hand pump mechanics and scheme attendants provide maintenance services to water users in rural and peri-urban areas. Private operators manage piped water services in the majority of small towns with piped water and vendors often bring water from the point of collection to the user.

Non-Government Organisations (NGOs) and Community Based Organisations (CBOs) are active in the provision of water and sanitation services (construction of facilities, community mobilisation, training of communities and local Governments, hygiene promotion as well as advocacy and lobbying.

2 District Annual Work Plans, Budgets and Reports

2.1 Activity Based Annual Work plans

The Annual work plan provides information on activities to be undertaken over the year, to optimize the operation of water supply systems. It should incorporate lessons learnt from the previous financial years' performance against the respective annual work plan in order to ensure that the targets are realistic and achievable.

The work plan for a financial year should be a natural progression from that prepared for the previous financial year, and should take into account the lessons learnt in implementation in

the past. This means that over time, work plans will become increasingly more realistic and easier to implement.

IMPORTANT: If an activity in the current financial year's work plan is delayed and will not be completed during the financial year, then it must be planned for in the following financial year and be catered for in the following financial year's budget. This is especially important in development activities where funds are committed under contract (including payment of retention).

2.2 Linkage between LGBFP and PAF Work plans

The Urban Council Framework Paper (LGBFP) informs the budgeting process, by identifying all funding sources for the town, reviewing sector performance and specifying objectives and outputs to be achieved in the sector over the medium term (3 years) given the resource constraints.

The LGBFP is a tool for integrated planning and budgeting. Once a town through its LGBFP, has identified what it wants to achieve within the sector given all funding sources (including PAF), it is in a situation to prepare its PAF work plan. PAF work plans identify the specific activities to be carried out by an urban authority within the sector, in a financial year. PAF annual work plans are therefore detailed, elaborating on the sectoral plans within the LGBFP

2.3 Letters of Understanding

Ministry of Water, Land and Environment, the district and the urban authority will sign a Letter of Understanding. The annual work plan will be attached as an annex to the Letter of Understanding. The Letter of Understanding will have four main elements:

- The district and/or urban authority will commit to the implementation of the annual work plan.
- The district and/or urban authority will commit to adhering to the relevant sector guidelines and policies.
- Central Government will commit to the funding of the work plan.
- Central Government will commit to the provision of technical support.

- The modalities for altering activities in work plans.

The work plan will then form the basis for release of funds to the district/urban authority

A sample Letter of Understanding is attached as Annex 1 to these guidelines.

2.4 Alterations in Work plans over the Financial Year

On signing the Letter of Understanding the urban authority is committed to implementing its annual work plan. Towns should endeavor to stick to the annual work plan.

The Letter of Understanding will allow the following flexibility:

1. Minor changes in activities within a work plan which result in a shift in resources of less than 10% of the annual budget for an activity, or result from an increase in the activities' annual budget of less than 10%.

- In the event of differing circumstances and priorities, urban authorities can reallocate up to 10% of funds to different activities without seeking the approval of the relevant line ministry.
- In the event of an increase in the available annual budget (outside the Conditional Grant) allocation for a grant of less than 10% towns can change/add new activities **without** seeking approval of the Ministry of Water and Environment (MWE)
- Local governments **must** however formally write to the Ministry of Water, and Environment (copied to the Ministry of Finance, Planning and Economic Development, MoFPED) informing it of **all** changes in work plans
- Once successive changes in activities have resulted in a **cumulative shift in resources of more than 10%** within the annual budget of a Conditional Grant, towns must write to confirm the acceptability of these changes before further changes in the work plans can be enacted. If no response has been received in writing from the Ministry of Water, Lands and Environment within 30 days, further changes will be permitted.
- Any changes in activities within a work plan which require a reallocation of resources greater than 10% within a specific grant **will require authorization** from the Ministry of Water and Environment before they can be implemented. Only major shifts in town priorities due to external factors (e.g. epidemics, drought) will result in alterations being approved.
- Any new activities/ changes in activities resulting from an increase in the activity budget of greater than 10% the annual budget **will require authorization** from the Ministry of Water, Lands and Environment before they can be implemented.
- In such cases local governments must write to Ministry of Water & Environment (copied to MoFPED) requesting authorization to alter activities in the work plan. If no response has been received in writing within 30 days from the Ministry of Water and Environment, towns may commence implementation of the changed activities.
- If the Ministry of Water and Environment find the changes unacceptable, it must give reasons for the same and suggest viable alternatives.

2.5: *The Planning Cycle*

The planning cycle runs from November to June. Annual work plans should be prepared between January and May. This is so because the LGBFP workshops run from November to February, with the following outline timetable:

Early November	-	National Consultative Budget
Early December	-	First Regional LGBFP Workshops
Early January	-	Submission of Preliminary Draft of LGBFP
End January	-	Second Regional LGBFP Workshops
End of February	-	Submission of final LGBFP

Preparation of the LGBFP thus constitutes phase 1 of the cycle, which give direction to phase 2, which is the actual preparation of the annual work plans. The respective processes involved are as follows:

February - May	-	Preparation of Annual Work plans
End May	-	Submission of work plans, after approval by the relevant Secretary of the Urban Local Council Executive Committee, to Ministry of Water, Lands and Environment, together with signed Letter of Understanding.
Mid June	-	If the allocations in the Budget are different from the ceilings the Urban Council should revise the work plans accordingly
End June	-	Final submission by MWE to MoFPED after incorporation of amendments, if any, arising out of the reading of the National Budget.

The following therefore are details that must be included in an annual work plan, which should then enhance activity based planning and reporting, dependent on identifying and analyzing past performance, from which future needs and requirements are determined.

(a) Background:

- Description of Local government, population status, (social - economic background).
- Source of water for the piped scheme, available alternatives e.t.c.
- Sanitation and hygiene status.

(b) Technical Description and Guidelines (for urban water supplies)

(i) Technical Description

- Details of abstraction and other pumps, viz duty (head and discharge), power utilization e.t.c.
- Treatment system including capacities, rates of utilization of chemicals e.t.c.
- Sizes of mains, storage tanks e.t.c.

(ii) Analysis of Supply and Demand

- Identify consumers in various categories and apply standard/design consumption rates to determine demand. Reference must be made to past experiences (bear in mind that others sources also serve part of the population).
- Compare above information with hours of pumping and supply, losses e.t.c. to obtain workable values of demand and available supply.
- Carry out a practical analysis of what actually happens on the ground (local problems, UEB interruption e.t.c.) to arrive at realistic figures.

(c) Financial Analysis

(i) Existing funding sources

- Funding sources supporting the districts directly into the water account
- Other stakeholders funding water activities independently like NGOs,.
- Budget requirement at the current funding level for the district to achieve 100% safe water coverage.

(d) Management

- Current practices.
- constraints and opportunities
- Possible improvements.

2.6 *New work plan and reporting requirements*

At the beginning of each financial year, Districts submit an annual work plan and budget to MWE/DWD (and a copy to MoFPED) for the activities to be carried out under the District Water and Sanitation Conditional Grant (DWSCG). Districts subsequently submit quarterly progress reports to MWE/DWD.

As part of the current implementation of the Fiscal Decentralisation Strategy (FDS), Ministry of Finance, Planning and Economic Development (MoFPED) is introducing a standardised reporting format. One of the aims of FDS is to reduce the reporting burden on Local Governments by harmonising and standardising the reporting formats from different by sector Ministries. The water and sanitation sector acknowledges this, and requests Districts to use the new FDS reporting format for preparation of the annual work plans, budgets and for the quarterly progress reports. The formats are given in Appendix 1.

For the financial year 2007/2008, the FDS software has been up-dated to cater for the activities normally carried out by the District Water Office. All Districts are requested to use the attached formats (Appendix 1) in the preparation of the annual work plans and budgets and for progress reporting. These can be filled using Microsoft Excel, or in the FDS format. The activities pre-specified (called model activities) are most commonly used. However, there is also provision for additional activities.

2.7 Additional reporting requirements

The quarterly progress reports state progress against the annual work plan and budget. However, they do not allow for inclusion of all data required. The water and sanitation sector will therefore request Districts to submit the additional data as an attachment to the quarterly reports. The format and content of the attachment are given in the set of report formats.

In addition, the Districts are required to submit a list comprising *all* water sources (newly constructed and existing) on an annual basis. This is referred to as the “Annual Situation Analysis” and accompanies the progress report for the final Quarter of the Financial Year.

Every year the water and sanitation sector compiles a Sector Performance Report (SPR) to measure the sector’s performance and guide in planning for the subsequent year. The focus of the report is the ten golden indicators specified in section 7. Information from the Districts serves as a basis for the analysis of these indicators. To improve the quality of data in this report as well as to improve district planning and coordination, DWD may request Districts to carry out a number of specific surveys relating to the golden indicators. The Districts may budget for this activity under the category referred to as “Monitoring” in the attached format for the annual work plan. The expenditure has to be clearly justified.

In order to enable monitoring and mentoring of Districts, DWD may require access to additional information. Copies of District internal reports should be made available to DWD, and the technical support units (TSUs) on request.

Following the changes brought about by FDS reporting modalities, All district water offices are required to submit the quarterly reports to the line ministry by **2nd of the Month following the quarter** so that recommendations for release of funds for the subsequent quarter can be made by **5th** of the first Month of the Quarter.

3 Sector Standards, Principles and Procedures

3.1 Rural Water Supplies

All Rural Water and Sanitation Sector activities are to be implemented according to standards given in the Rural Water Supply and Sanitation Strategic Investment Plan 2000-2015 (SIP-15) and the & Rural Water and Sanitation Operation Plan 2002-2007 (OP 5).

3.2 Registered and certified drilling companies

Districts should ensure that all groundwater consultants contracted to carry out groundwater investigations and borehole siting have the required qualifications and experience in that field. The Directorate of Water Resources Management has initiated the process of registering groundwater consultants in line with Water Act, Cap152 and the districts will be informed in due course of the list of certified consultants that should be allowed to undertake these activities. Regular update of this list will be maintained and issued to districts and the general public.

3.3 Sustainability of Rural Water and Sanitation Facilities

The following procedures have been established to improve the sustainability of rural water and sanitation facilities and ensure good hygiene practice:

- Local government is advised to follow the software steps comprising the four phases of (i) general planning and advocacy; (ii) preconstruction mobilization and training; (iii) construction phase; and (iv) post construction support. Details of these activities are set out in the following documents “Steps in Implementation of Water and Sanitation Software Activities”, issued by MWE/DWD in 2005;
- With respect to hygiene and sanitation, Local government is also advised to utilise the “Sanitation Mobilisation Steps” (MWE/DWD, 2004), the “Planning Guidelines” as provided in the Improved Hygiene and Sanitation Strategy (ISH), (2006), “Planning Guidelines for Hygiene Promotion and Education” (MoH/EHD, 2005);
- Users must contribute in cash towards the cost of constructing the facilities. Details for funds collection and utilisation are set out in section 4. Collection of Community Capital Cash Contribution requires a long time, which is often difficult to reconciling with need to have complete construction activities within the financial year. Districts are hereby encouraged to plan for and budget for mobilization activities in advance. Mobilization for facilities to be constructed in the running financial year should be carried out in the previous year.
- Users are fully responsible for all routine operation and maintenance activities and costs. This is in line with the RWSS Strategic Investment Plan 2000-2015 and the National Framework for O&M of Rural Water Facilities.
- Operation and Maintenance (O&M) costs in IDP camps can be financed from the water sector grant because of loss of livelihoods of displaced persons.
- The private sector (including pump mechanics and scheme attendants) will be the provider of all technical services with respect to operation and maintenance in appropriate situations.
- The role of local government is to provide post-construction support, monitor, regulate and facilitate the O&M processes.
- Prior to rehabilitation of boreholes, the LG shall reactivate the Community Based Maintenance System (CBMS).

3.4 Construction and Promotion of Sanitation Facilities and Hygiene

As per the Memorandum of Understanding signed in 2001, MWE/DWD is responsible for the planning and provision of appropriate sanitation and hygiene facilities in Rural Growth Centres (RGCs) and public places. MWE/DWD is also responsible for sanitation & hygiene education and promotion in areas around the water facilities being constructed.

3.5 Domestic Roof water Harvesting

DWSCG funds under the budget line “Promotion of Domestic Roof water Harvesting” can be used for small scale (Parish level) domestic roof water harvesting pilot projects in water stressed areas (ie where other conventional technologies are not feasible).

Funding can be utilized for community exchange visits to areas that already have experience of domestic roof water harvesting. This is intended to provide water users with exposure to the technology. Training of masons, technicians or community groups in construction of domestic roof water harvesting systems can also be undertaken. In order to demonstrate the technology within the pilot area, DWSCG funds can be used to pay for 4 out of 10 rainwater harvesting systems (or 40% of the total cost) in the pilot areas.(up to 6m³ water tanks)

The Ministry is promoting domestic roof water harvesting as one of the rain water harvesting technology. During the FY the only domestic roof rain water harvesting will be funded under the conditional grant in the category of rain water harvesting technologies.

3.6 Planning and Development of Piped Water Systems

All designs undertaken by Districts for Piped Water Systems for Rural Growth Centres and Gravity Flow Schemes should always be submitted to the Directorate of Water Development for approval before construction works begin.

Districts are equally advised to involve DWD periodically to check work progress of construction and for quality assurance

3.7 Water for Schools and Health Centres

The Water Sector is responsible for the provision of Water to primary schools as part of the community water supply. In providing water to the un-served, it is advised that primary schools and the surrounding community are to be regarded as a priority target.

The cost of provision for water in health centres (HC IV) and all boarding secondary schools are the responsibility of the Health and Education sectors.

3.8 Environmental Mainstreaming

Local Governments are advised to ensure that environmental aspects are mainstreamed in the development of water and sanitation facilities in the district. An environmental impact assessment should be carried out before any water source is developed. Local Governments are also advised to devise environmental monitoring mechanisms on water facilities already constructed.

3.9 Water for Production

Districts which are water stressed and where other water supply options are not feasible can use the Conditional grant to under take design, and construction of water for production facilities which must include facilities for provision of water for human consumption. The Department of Water for Production has developed technical details for abstraction of water for human consumption. The Ministry has noted construction of substandard valley tanks which has been undertaken by some districts.

Therefore designs for any construction of valley tanks/dams should **first be submitted to DWD for approval (Water for Production department)** before any construction can be undertaken. The District water officer should consult the area

technical support unit and DWD during the course of implementation to ensure harmonized implementation. Local Governments are required to mobilize, in partnership with all stakeholders, community and private sector funding for WFP. The Districts Water Officers should also submit an inventory of all the Water for Production facilities in their districts clearly identifying their locations (GPS coordinates), their operational status, type (dam, valley tank, windmill, e.t.c) and their need for rehabilitation/reconstruction if any. District should also consider budgeting for O & M of Water for Production facilities as well putting in place a mechanism for stocking some parts that frequently get worn out at the various WFP facilities.

3.10 District Water and Sanitation Coordination Committees (DWSCC)

The District Government is advised to appoint a District Water and Sanitation Coordination Committee (DWSCC). The DWSCC is a Technical Committee reporting to the Sectoral Committee responsible for Water and Sanitation and shall meet on a quarterly basis. The roles and responsibilities of the DWSCC are to:

- co-ordinate planning and implementation of water and sanitation activities,
- review all district work plans and budgets for water and sanitation and advise Council through the Sectoral Committee,
- oversee the implementation of sector activities,
- carry out sector specific monitoring,
- review progress reports.

The DWSCC shall comprise the following:

- Chief Administrative Officer (CAO) as Chairperson,
- Secretary of District Committee responsible for Water
- Secretary of District Committee responsible for Social Services,
- District Engineer,
- Representatives of District Water Office (DWO), District Planning Unit, Directorate of Health Services (DHS), District Education Office (DEO), Community Development Office (CDO), Town Clerk, Urban Water Officer
- Representatives from NGOs, private sector organizations &
- Representatives of any other organization involved in water and sanitation in the district.

DWD will, from time to time request for reports on the activities of the DWSCC.

3.11 District Water Office Staffing

Districts shall follow the new District staffing structures. However, in addition, all Districts shall establish and budget to meet the operational costs of a fully functional District Water Office (DWO) that integrates technical, planning and hygiene education and social aspects.

The following qualified staffs are required in each DWO (minimum degree holders plus 3 years relevant experience):

- 1 Senior Engineer/Senior Water Officer.
- 1 Hygiene Education/Sanitation Officer/Planner.
- 1 Assistant District Water Officer (ADWO) Mobilization

- 1 Technical Officer (minimum Diploma in civil/water engineering) in each county for planning, supervision, of construction and overseeing maintenance of installed water supplies.
- 1 Borehole maintenance Supervisor

Conditional grant funds should be used to hire above staff on a temporary/project terms at existing GOU salary scales.

3.12 Purchase of New Vehicles

Old Districts that plan to replace the old vehicles using the DWSCG (District water and sanitation conditional grant) should **FIRST** seek approval from the Permanent Secretary Ministry of Water and Environment upon providing sufficient evidence that warrants replacement of the old vehicle. A district Water office will maintain one vehicle for the water office under the **conditional grant**. This is aimed at cutting down operation costs

4 District Water and Sanitation Conditional Grant (DWSCG) Allocation

4.1 District/Lower Local Government Allocations

In accordance with the Decentralization Statute (2000), 65% of all grant funds must be allocated to Sub-County Local Government. This is to enable investment decisions at District level to be driven by investment priorities, including low cost technology options, at Sub-county Local Government level.

4.2 Summary of Allocations

Local Governments are advised that the DWSCG may be allocated as follows:

- | | |
|--|------------|
| a) Rural Water Supply Facilities not less than | 70%. |
| b) Software activities for rural water supply and sanitation | up to 11%. |
| c) Rehabilitation of boreholes and Piped water schemes | up to 8%. |
| d) Construction of sanitation facilities | up to 6% |
| e) Supervision, monitoring and DWO operational costs | up to 5% |

Total percentage	<u>100%</u>
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4.3 Submission and Sharing of Reports

An annual work plan provides quantifiable activities that can be easily tracked to identify progress. Thus while transparency is a must, what will be sought most and used as a measure for effective use of funds will be the quantities of the respective activities; with emphasis on improvements.

Urban Authorities should report activities as a whole, and source of funds only distinguished when calculating balances of funds available and the release request. For purposes of requesting for funds, the quarterly reporting formats, are mandatory and should thus be treated so. In addition to these, for purposes of sector monitoring, urban authorities are required, without fail, to submit to DWD

quarterly reports using the formats given. Please note that these forms have been simplified, to enable you provide the required data, which is very crucial to the planning and reporting process.

In line with this, standard reporting formats for these outputs and general financial reporting have been developed and will be used for uniformity and ease of monitoring. Details are given in section 3.5 above. For purposes of planning and reporting therefore **the schedules attached after 4.2. should be strictly followed, and all required data filled in without fail.**

Quarterly reports should be addressed and delivered on or before the last working day of the first month after the close of the quarter to the Permanent Secretary of the Ministry of Water, Lands and Environment (Thru: DWD) and should be copied to MoFPED. Director, Budget - The reports must also be presented to the following individuals at the District and/or Town.

- The Chairperson
- The Secretary of the Executive Committee,
- The Chairperson of the Public Accounts Committee,
- The Chief Internal Auditor and the
- Resident District Commissioner where applicable.

NB: It must be emphasized that the information collected and given in reports will help the urban authorities to improve implementation over the financial year, and help improve planning in subsequent years. The reports should not just be seen as a requirement by the center and not used by the urban authorities.

4.4 Conditions and Timetable for Release of Funds

Release of funds will be conditional on the receipt of the reports set out in section 3 on or before the last working day of the first month after the close of the quarter:

- Quarterly Progress Report, [See Form 4.1]
- Cumulative Progress Report [See Form 4.2]
- Quarterly Work Plan/Budget Request Form [See Form 4.3]

Ministry of Water, Lands and Environment will analyze the reports and then advise MoFPED on the amount of funds to release. Guidelines for completion of these forms are as detailed in Section 3. An example of the process is illustrated in Annex 2.

When completing Forms 4.1 and 4.2, it is important to note that bank charges are part and parcel of the budget and spending, and balances of funds are an integral part of the reporting forms. Hence the inclusion of 2 rows:

- (i) Un-presented cheques
- (ii) Balance on bank statement

In the past, it has been common practice to omit the tabulations/data required at the foot of Forms 4.1, 4.2 and 4.3 respectively, thus producing unbalanced sums and requests.

These sums have now been incorporated into the main body of the tables, and the respective values must be provided, before any requests can be considered. Calculations of releases are based on these summary values.

NO BUDGET REQUEST WILL BE CONSIDERED IF THIS INFORMATION IS NOT PROVIDED.

Releases will be twice a quarter:

- **Month 1 of Quarter** - 1/12th of the annual budget, to cover implementation in the month in which reports are being compiled.
- **Month 2 of Quarter** - The amount requested in the Budget Request Form will be released **minus** 12th of the budget (which was released in Month 1 of quarter).

The Table below outlines the timing, and amount released, along with the reporting requirements for the release.

QUARTER 1 Amount Released Conditional for Release of Funds

July	1/12 Annual Budget	<ul style="list-style-type: none"> • Signed Letter of Understanding Annual Work Plan
August *	Release Request minus 1/12 Budget	<ul style="list-style-type: none"> • Quarterly Progress Report for Q4 • Cumulative Progress Report for Previous FY • A Quarterly Work Plan and Budget Request for Q1. • Copy of the final bank statement • Cheque returning unspent balances to the

		Treasury (if any)
September *	---	----

QUARTER 2

October	1/12 Annual Budget	-----
November	Release Request Minus 1/12 Budget	Progress Report for Q1 and Budget Request for Q2
December	---	----

QUARTER 3

January	1/12 Annual Budget	-----
February	Release Request Minus 1/12 Budget	Progress Report for Q2 Cumulative Progress Report for Q2 and Budget Request for Q3 of current FY
March	-----	-----

QUARTER 4

April	1/12 Annual Budget	-----
May	Release Request minus 1/12 Budget	Progress Report for Q3 Cumulative Progress Report for Q3 Budget Request for Q4 of current FY

June	-----	-----
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4.5 Late Reports

If reports are submitted late the releases will not be considered and no money will be released. It is therefore very important, for the smooth running of programs that reporting is submitted on time; otherwise the program will be without funds.

4.6 Releases Less than Budget Requested

The MWLE/MoFPED may decide to release less than the budget request for the following reasons:

- A large amount of funds has accumulated on account
- The quarterly work plan and/or the budget request are unrealistic
- There is non-accountability of funds
- Local governments have consistently failed to improve on implementation, despite advice/assistance from the center.
- Monitoring visits have revealed evidence of serious misuse of funds.

Should an urban authority, because of one or a combination of some of the above reasons not receive its full allocation, Ministry of Water, Lands and Environment will accordingly communicate the cause of the divergence between the budget request and actual release.

4.7 Banking of Funds

The following procedures should be followed once grants are received:

- On receipt, all Conditional Grant funds released by the MoFPED must be first deposited in the General Collection Account.
- The funds for each conditional grant then must be transferred from the departmental accounts and votes there of. In this case, the water vote should be separated from the works vote though they share the same account and department. .
- All bank accounts should be managed in accordance with the Local Government Financial and Accounting Regulations (1998)

4.8 Monthly Statements of Accounts and Annual Reports

Local governments must ensure that bank accounts are reconciled every month, and that monthly accountability statements are prepared and submitted to the executive committee and to central government (MoFPED and Ministry of Local Government), in line with section 5 of the Local Government Financial & Accounting Regulations (1998). Timely accountability is very important if the PAF quarterly reports are to be compiled accurately. The balance of funds in the

accountability statements must be consistent with those stated in the PAF quarterly reports. Monitors will explicitly look for this, and if not satisfied, may recommend suspension of disbursements.

All funds transferred from the Central Government in the form of Conditional Grants that remain un-spent after the close of the Financial Year shall be refunded to the Central Government for adjustment to the credit of the Exchequer Account. This applies to all funds, even if funds are committed under contract, unless the accounting officer has an approval from the Permanent Secretary/Secretary to the Treasury, MoFPED. After the close of the financial year, the quarterly and cumulative progress reports for the fourth quarter should be prepared and **submitted by the last working day of July. In addition, the following must be submitted as well:**

- **A copy of the final Bank Statement** This must be reconciled with the cashbook and be consistent with the PAF cumulative progress report.
- **A cheque returning any unspent balances** left on account to the Treasury addressed to the Permanent Secretary/Secretary to the Treasury.

If this is not complied with NO FURTHER RELEASES WILL BE MADE

In order to minimize surplus funds accumulation at the end of the year, it is of particular importance that Urban Local Councils prepare the required reports for the fourth quarter release by the end of April. This enables a timely release of funds in May so that the urban authorities are able to utilize the funds before the end of the financial year.

4.9 Monitoring

Monitoring of performance will be carried out at various levels, viz:

- (a) The Local Councils, to ensure that the staff and other agencies involved in operation of the system are performing satisfactorily.
- (b) The MWLE through the Directorate of Water Development to ensure compliance with the Work plans and Letters of Understanding, in addition to quality control and promotion of good practices.
- (c) Various authorized state organizations, such as the Auditor General, Inspectorate of Government, Inspectorate of MoFPED, "to promote and foster adherence to the rule of law and principals of natural justice and good governance, foster the elimination of corruption and abuse of office" in accordance with section 99 of the Local Governments Act 1997.

4.10 Rural Water Supply Facilities

Local governments should aim at allocating not less than 70% of the DWSCG for the construction of improved water supplies (ie spring protection, shallow well and deep borehole construction, piped water supply construction) and the promotion of domestic roof water harvesting.

In the case of borehole provision, these funds cover the cost of siting and supervision by the private sector, as well as construction costs.

4.11 Software Activities for Rural Water Supplies and Sanitation

Local Governments may use up to 12 % of the total budget for software activities including hygiene education. The steps comprise four phases: general planning and Advocacy; preconstruction mobilization and training; construction phase; and post construction support. Details of these activities are set out in the document “Steps in Implementation of Water and Sanitation Software Activities”, issued by MWE/DWD in 2005.

4.12 Rehabilitation of boreholes

Local Governments may use up to 8% of the development budget for major rehabilitation of Borehole and piped water supply systems that are beyond the community capacity to fully finance. Rehabilitation works above this percentage should be carried with **APPROVAL** of MWE/DWD. The District should provide a summary of assessment done to justify the need for rehabilitation and the required inputs to be replaced. This should be checked together with the MWE personnel to verify the need for rehabilitation before implementation is carried out.

4.13 Construction of Sanitation Facilities

Districts are advised to budget for up to 6% of the DWSCG for the planning and provision of sanitation and hygiene facilities in Rural Growth Centres (R.G.Cs) and public places.

4.14 Water Quality surveillance

Activities related to measuring water quality of newly constructed and existing water sources. Guidance in terms of parameters to be tested, national standards etc can be sought from the National Water Quality Strategy.

4.15 Construction Supervision, Monitoring and District Water Office Operational Costs

Construction supervision refers to the supervision undertaken by the District Water Office. The cost of siting and supervision of boreholes by the private sector are to be included under the cost of borehole construction.

Up to 4% of the conditional grant (**this should not be confused with the 5 %** available for overall PAF monitoring) may be budgeted and allocated by the DWO to:

- Effectively monitor water and sanitation activities in the district in an integrated manner;
- Effectively supervise NGO and private sector implementation,
- Report and account for resources in a timely manner
- Maintain and operate office vehicles and motor cycles.
- Cover District Water Office operational costs

Local Governments shall, as far as reasonably practicable, cooperate and interact with the Technical Support Units (TSUs) established by MWE in order to maximize improvements in District capacity.

The details, which will be in the annual work plan for the respective Local Government, will be cleared by MWE (DWD) as part of the approval for the annual work plan.

The District Water Office (DWO) will maintain one vehicle from the grant to be used for DWO activities.

5 Co-financing by Communities

5.1 Community Contribution towards Capital Cost

Community Cash Contribution towards Capital Cost should be part of the Investment Projection and one of the funding mechanisms of the SIP 15. Communities express indicate their ability to maintain for the facilities through their cash contribution. Without it there will be a funding gap in the sector, and the sustainability of the facilities will be jeopardized.

The amount of funds to be contributed depends on the technology type as follows:

Type of Technology	Community Cash contribution per Source (UShs)
Springs.	
Small.	45,000
Medium.	45,000
Ex- Large	100,000
Deep borehole	200,000
Shallow well (motor drilled/ hand augured/ hand dug	100,000
Borehole rehabilitation	90,000
Gravity Flow Scheme	45,000 per tap.
Valley Tanks and Dams	Not specified - Determined According to Situation.

The Water User Committee in association with the Local Leaders (LC 1, 11 and LC111) should collect the funds from the community members. Any in-kind contributions collected by the Water User Committee should be converted into cash e.g. sale of chicken, matooke, millet, or ghee. Communities are responsible for ensuring that the items sold raise the required funds. The Water User Committee submits the full community contribution to the District Water Office (DWO). All contributions given to the District should be in cash. The DWO will issue a receipt for the funds received.

Once received by the DWO, the contribution funds should be banked on the general account under the "others" vote line. The funds should be clearly specified Capital Community Contributions¹.

The Water Office requires a vote book indicating the incoming funds and expenditures. This is in line with the FDS guidelines, which require that districts keep a number of specified accounts.

¹ Under "others" FDS allows for specifying the revenue items.

Any expenditure out of these Community Contribution funds should be strictly for construction of new facilities. All districts are advised to ensure that Community Capital Cash Contribution money is not misused/misappropriated and should be kept secure like all other District funds. Expenditures and outputs should be reflected in progress reports. DWD will monitor the adherence to collecting the Community Cash Contribution towards Capital Cost and the utilization of these funds.

6 Operation and Maintenance of Urban Water Supply and Sewerage Systems

Funds allocated for the operation and maintenance of urban water supply and sewerage systems are required to be based on work plans, which identify the following factors:

- nature of the water supply tasks, including description of the town, population status, source of water (and alternatives), sanitation and hygiene status;
- technical description of the machinery in place, including abstraction and other pumps (head, discharge and power utilization), treatment systems and capacities, inc rates of chemical utilization, main and storage sizes;
- regime of operation, with analysis of operation costs based on operation periods, based on historical and forecast supply and demand and practical considerations such as full operation and maintenance costs; and
- Tariff structure based on developed costs, covering existing arrangements as to methods of supply, current tariff structures, historical revenue collection, recurrent costs in full and an analysis of these inputs leading to the tariff structure. The function of the tariff structure must be to ready the system for non-use of conditional grant funds within a structured and reasonable time. This will require the identification of intended future operating methods and current process to achieve that state.

All work plans will identify and fully cost intended activities to –

- improve revenue collection and minimize expenditure,
- sustain functionality and improve operation of the system, and
- Extend the distribution network to un served areas and/or make connections to new consumers in order to increase coverage.
- The grant is channelled to the Municipality e.g. Arua and Soroti, through the Town clerk as accounting officer. While for the Town councils and other centers, the grant is channelled through the district Chief Administrative officer (CAO), who should immediately notify the town clerk /the Water Authorities and the money, is banked in the grant account.
- A Letter of Understanding is signed between the MWLE and the Urban Councils specifying the responsibilities and should be adhered to.
- The objective of the grant was originally to improve operation, management and financial performance by providing funds to bridge the gap between operation costs and revenue collection.
- The funds now should be used for the expansion of the revenue base and encouraging better planning, fulfilment and adherence to business plans, thus targeted at achieving self-sustainability and maximizing the service coverage. The ultimate objective of this grant is to improve the quality of service delivery and increasing coverage through extensions and/or new connections.

More emphasis should be put on the business plans which will also reflect an appropriate tariff.

- In towns where Private Operators have been hired to manage service provision, Conditional Grant funds should be spent as additional resources and should be wholly availed to the Operator to enable him improve on the quality of service, such as to make extensions and new connections.

7. PERFORMANCE INDICATORS

In order to ensure that the performance of the Water and Sanitation Sector measured, ten golden indicators, as follows are utilised:

- 1) Percentage of people within 1.5km (rural) and 0.2km (urban) of an improved water point (Districts are requested to submit % coverage for rural and urban water according to the formula given in Appendix 2)
- 2) Percentage of improved water sources that are functional at time of spot check
- 3) Average investment cost per beneficiary of new rural water and sanitation schemes
- 4) Percentage of people with access to improved and basic latrines/toilets
- 5) Percentage of water samples taken at the point of collection or discharge that comply with national standards
- 6) Percentage increase on cumulative storage capacity of water for production
- 7) Mean sub-county deviation from the District average in persons per improved water point
- 8) Percentage of households with access to hand washing facilities
- 9) Percentage of water and sanitation committees in which at least one woman holds a key position (chairperson, vice chair person, treasurer or secretary)
- 10) Percentage of water points with active community management

Appendix 2 provides details on how these indicators are calculated.

Appendix 1 – Format for Annual Workplan and Budget

Budget line – Recurrent						
Sub-budget line	Categories	Definition of categories	Code	Model activities (drop-down menu)	Definition of activities	Unit for targets
District rural water supply - recurrent non-wage	Stakeholder coordination	Activities enabling coordinating of water and sanitation sector stakeholders	wrk/wat 1.1	District Water Supply and Sanitation Coordination Committee meetings	Water and sanitation coordination committee oversees and provides coordination of sector activities.	No of DWSSCC meetings held
			wrk/wat 1.2	Mandatory public notices	Notices to be published for information dissemination to the public	No of notices published
			wrk/wat 1.3-1.XX	Other (specify)	Other activities planned under this category	To be defined by Districts
	Office equipment for DWO	Procurement and refurbishing of office equipment for the District Water Office	wrk/wat 2.1	Procurement of computers and printers	N/A	No of computers/printers procured
			wrk/wat 2.2	Procurement photocopier	N/A	No of photocopiers procured
			wrk/wat 2.3	Procurement of vehicles	N/A	No of vehicles procured
			wrk/wat 2.4	Procurement of motorbikes	N/A	No of motorbikes procured
			wrk/wat 2.5	Procurement of furniture	N/A	No of furniture sets procured
			wrk/wat 2.6-2.XX	Other (specify)	Other activities planned under this category	To be defined by Districts
	General operational costs for DWO	Operations of the District Water Office	wrk/wat 3.1	Vehicle maintenance	N/A	N/A
			wrk/wat 3.2	Fuel and lubricants	N/A	N/A
			wrk/wat 3.3	Water quality testing kits	N/A	N/A
			wrk/wat 3.4-3.XX	Other (specify)	Other activities planned under this category	To be defined by Districts
District Rural	Wages and	District Water	wrk/wat 4.1	Salaries and wages	N/A	N/A

Budget line – Recurrent						
Sub-budget line	Categories	Definition of categories	Code	Model activities (drop-down menu)	Definition of activities	Unit for targets
Water supply - Recurrent Wage	Salaries for DWO staff	Office salaries and wages	wrk/wat 4.2-4.XX	Other (specify)	Other activities planned under this category	To be defined by Districts
Urban water supply - Recurrent non-wage	O&M for urban water facilities	Operation and maintenance of urban water supply systems, channeled through the district government	wrk/wat 5.1	No of new connections to existing schemes	Extension of distribution network to unserved areas and/or provision of connections to new consumers in order to increase coverage. This is a temporary measure in order to make the new water supply schemes viable and should not be there for more than 2 years after scheme construction.	No of new connections provided
			wrk/wat 5.2	O&M for water facilities in IDP camps	O&M (eg, fuel, minor repair) of water facilities in IDP camps can be financed from the DWSSCG to improve the humanitarian situation for displaced persons.	No of water facilities benefiting from the support
			wrk/wat 5.3-5.XX	Other (specify)	Other activities planned under this category	To be defined by Districts

Budget line - Development						
Sub-budget line	Categories	Definition of categories	Code	Model activities (drop-down menu)	Definition of activities	Unit for targets
District rural water supply	Software	Activities related to the software steps plus other software activities including promotion of hygiene and sanitation. Up to 16 % of the DWSSCG can be allocated to this category	wrk/wat 6.1	Planning and advocacy meetings at district and sub-county (Part of software steps)	Meetings to discuss the water and sanitation situation and agree priorities. The meetings will in addition initiate requests for community water supply applications (see software steps 1-2).	No of district and sub-county level meetings held
			wrk/wat 6.2	Sensitise communities to fulfil critical requirements	Communities who's applications are shortlisted mobilised to fulfill critical requirements as defined in software steps (software steps 2-6).	No of mobilisation meetings held with short list of commities
			wrk/wat 6.3	Establishing Water User Committees (Part of software steps)	Community assisted to select WUC members and trainings on roles and responsibilities (see software step 7)	No of WUCs formed
			wrk/wat 6.4	Training WUC, communities and primary schools (where applicable) on O&M, Gender, Participatory Planning and Participatory Monitoring (Part of software steps)	Software toolkit used to provide trainings to WUC, community and primary schools (where applicable) on SWAG, Gender Task Analysis, Gender Resources, Community Mapping, Participatory Monitoring (see software steps 7 - 10)	No of WUCs / communities trained
			wrk/wat 6.5	Training WUC, communities and primary schools (where applicable) on hygiene and sanitation (Part of software steps)	Software toolkit used to provide trainings to WUC, community and primary schools on Hygiene Practice Selection, Sanitation Ladder, Faecal-Oral Routes and Safe Water Chain (see software steps 7 - 10)	No of WUCs / communities trained

Budget line - Development						
Sub-budget line	Categories	Definition of categories	Code	Model activities (drop-down menu)	Definition of activities	Unit for targets
			wrk/wat 6.6	Training private sector (hand pump mechanics, caretakers and scheme attendants) in preventative maintenance (Part of Software Steps)	Hand pump mechanics, scheme attendants (for piped systems), water source caretakers trained with basic skills in preventive maintenance and record keeping including greasing, tightening bolts etc (handpumps), Clearing the drainage channel and protecting the catchment area (springs and gravity schemes), Detecting leakages of pipes (gravity flow scheme). (see software steps 15-16)	No of people trained
			wrk/wat 6.7	Post-construction support to WUCs (Part of software steps)	Continuous follow up to WUC on roles, responsibilities, gender, participatory monitoring, hygiene and sanitation.(see software steps 17-19)	No of committees supported
			wrk/wat 6.8	Baseline survey for sanitation (Part of software steps)	Content of the baseline should include sanitation (latrines, refuse disposal, drying racks) and hygiene (hand washing facilities and safe water chain evidence (see software steps 8)	No of sanitation baselines surveys
			wrk/wat 6.9	Sanitation Week promotion activities	Sanitation promotion activities during week preceding world water day (in March) including mass clean up, sanitation rallies, school sanitation (poster, slogans) competitions.	No of sanitation week activities

Budget line - Development						
Sub-budget line	Categories	Definition of categories	Code	Model activities (drop-down menu)	Definition of activities	Unit for targets
			wrk/wat 6.10	Training private sector on hygiene/sanitation promotion	Private sector (masons, suppliers of eco-san toilets etc) should be encourage/trained to promote hygiene and sanitation as part of their marketing strategy (e.g. mason marketing latrines they are able to provide).	No of private sector trainings
			wrk/wat 6.11	Drama shows promoting water, sanitation and good hygiene practices	Drama shows promoting water, sanitation and hygiene practice, eco-san	No of drama shows conducted
			wrk/wat 6.12	Radio for promoting water, sanitation and good hygiene practices	Radio spot promoting watersanitation and hygiene practice, eco-san	No of radio spots
			wrk/wat 6.13	National handwashing campaign activities	A national handwashing campaign has begun promoting hand washing with soap using social marketing methods, activities supporting this initiative include local level mass rallies, school competitions etc	No of hand washing promotion activities
			wrk/wat 6.14-6.XX	Other (specify)	Other activities planned under this category	To be defined by Districts
District rural water supply	Sanitation (hardware)	Construction of sanitation facilities in RGCs and other public places. Up to 6% of the DWSSCG can be allocated to this category.	wrk/wat 7.1	Construction of public latrines in RGCs	Construction of public latrines in RGCs and other public places	No of latrine stances constructed in RGCs/public places
			wrk/wat 7.2-7.XX	Other (specify)	Other activities planned under this category	To be defined by Districts

Budget line - Development						
Sub-budget line	Categories	Definition of categories	Code	Model activities (drop-down menu)	Definition of activities	Unit for targets
District rural water supply	Water supply facilities (hardware)	Design and construction of new water supply facilities. This does not include construction supervision and community mobilisation.	wrk/wat 8.1	Small Spring Protection	Construction of collection box with one spout delivery (1 - 2l/s)	No. of small springs protected
			wrk/wat 8.2	Medium Spring Protection	Construction of collection box with two spouts delivery (2 - 4l/s)	No. of medium springs protected
			wrk/wat 8.3	Extra large Spring Protection	Construction of collection box with three spouts delivery (> 4l/s)	No. of large springs protected
			wrk/wat 8.4	Shallow Well construction - Hand dug	Construction of max 15m depth at 1 - 2m diameter using hand tools in high water table area, installed with hand pump.	No. of hand dug shallow wells constructed
			wrk/wat 8.5	Shallow Well construction - Hand augured	Construction of max 15m depth at 200mm diameter using a tripod and winch with drill bits and rods in high water table area, installed with hand pump.	No. of hand augured shallow wells constructed
			wrk/wat 8.6	Shallow Well Construction - Motorised drilled	Construction of max 30m depth at 200mm diameter using drilling rig in high water table area, installed with hand pump.	No. of motorised drilled shallow wells constructed
			wrk/wat 8.7	Deep Boreholes Drilling (Hand pump)	Drilling more than 30m depth, abstraction is by a hand pump.	No. of deep boreholes (hand pump) drilled
			wrk/wat 8.8	Deep Borehole drilling (Motorised pump)	Drilling more than 30m depth, abstraction is by powered motorisation (usually a submersible pump).	No. of deep boreholes (motorised pump) drilled
			wrk/wat 8.9	Design of Piped Water System (GFS, Borehole, Surface)	Production of design report and tender documents (usually by a consultant). Designs to be submitted to DWD for approval before construction work begins.	No. of Piped WSS designed

Budget line - Development						
Sub-budget line	Categories	Definition of categories	Code	Model activities (drop-down menu)	Definition of activities	Unit for targets
			wrk/wat 8.10	Construction of Piped Water Supply System (Gravity Flow Scheme)	Protection of the spring, construction of treatment plant, laying of pipes and construction of taps	No. of WSS (GFS) constructed
			wrk/wat 8.11	Construction of Piped Water Supply System (Borehole Pumped)	Siting and drilling of borehole, laying of pipes and construction of taps	No of WSS (borehole pumped) constructed
			wrk/wat 8.12	Construction of Piped Water Supply System (Surface Water)	Construction of treatment plant, laying of pipes and construction of taps	No. of WSS (surface water) constructed
			wrk/wat 8.13	Promoting domestic roofwater harvesting	Includes exchange visits, training and demonstration.	No of promotion activities carried out
			wrk/wat 8.14	Construction of Valley Tanks	Construction of tank with a volume of up to maximum of 3,000 m3	No. of Valley Tanks constructed
			wrk/wat 8.15	Construction of Dams	Construction (consultants/contractors normally procured by DWD)	No. of Dams constructed
			wrk/wat 8.16 - XX	Other (specify)	Other activities planned under this category	To be defined by Districts
District rural water supply	Rehabilitation of water facilities	Rrehabilitation/repair of existing water facilities in cases where the costs are beyond the communities capacity to fully finance.	wrk/wat 9.1	Borehole rehabilitation	Rehabilitation/repair of non-functioning boreholes where costs are beyond the communities capacity to finance.	No of boreholes rehabilitated
			wrk/wat 9.2-9.XX	Other (specify)	Other activities planned under this category	To be defined by Districts

Budget line - Development						
Sub-budget line	Categories	Definition of categories	Code	Model activities (drop-down menu)	Definition of activities	Unit for targets
District rural water supply	Water quality surveillance	Activities related to measuring water quality of newly constructed and existing water sources.	wrk/wat 10.1	Water quality testing (new sources)	Water quality testing at time of construction of new water source	No of new sources tested
			wrk/wat 10.2	Water quality testing (old sources)	Water quality testing of existing water sources, due to complaints, disease outbreaks or regular check-ups	No of old sources tested
			wrk/wat 10.3-10.XX	Other (specify)	Other activities planned under this category	To be defined by Districts
District rural water supply	Supervision and Monitoring	Supervision of construction by and DWO monitoring	wrk/wat 11.1	Construction supervision visits	Supervision of construction of new water and sanitation facilities. The result of the supervision visits should be a completion form signed by the supervisor and representative of the beneficiaries.	No of supervision visits carried out
			wrk/wat 11.2	Inspection of water points after construction	Technical inspections of existing water points	No of water points inspected after construction
			wrk/wat 11.3	Regular data collection and analysis	Collection of baseline data and update of districts internal databases (including GPS-coordinates) and analysis of data collected	No of data collection field visits carried out
			wrk/wat 11.4	Specific surveys	Information collected through specific surveys (covering whole district, sub-county, parish or community level). May be used for measurement of sector specific indicators (e.g. the golden indicators).	No of specific surveys carried out
			wrk/wat 11.5-XX	Other (specify)	Other activities planned under this category	To be defined by Districts

Appendix 2: Calculation of Golden Indicators

Indicator	Units	Purpose of Indicator	How to Calculate Indicator	Comments
% water coverage of rural population	%	To monitor rural access to water	$[(\text{Hand pump} \times 300) + (\text{Springs Constructed} \times 200) + (\text{GFS Tap} \times 150) + (\text{pumped piped scheme tap} \times 150)] / [\text{Total District Rural Population}] \times 100\%$ {Figures for population and population growth rates will be issued by UBOS}.	Obtain information from progress figures. Include NGO, Govt & Private Sources. Include non-functional sources unless they have been permanently abandoned.
% water coverage of urban population	%	To monitor urban access to water	$[(\text{House connections} \times 6) + (\text{yard taps} \times 24) + (\text{public taps} \times 150) + (\text{Hand pump} \times 300) + (\text{Springs Constructed} \times 150)] / [\text{Total Population in supply area}] \times 100\%$ {Figures for popl. & growth - UBOS}.	District to obtain information from local water authority progress figures.
% of improved water sources that are functional at time of spot check	%	To monitor functionality of water facilities	$[\text{Total number of observed rural facilities (domestic and water for production) which are functioning}] / [\text{Total number of sampled facilities}] \times 100\%$	DWO to link this with follow-on support activities (see software steps). Guidance on the criteria for functionality will be provided by DWD
Average investment cost per beneficiary of new rural water and sanitation schemes	US\$	To monitor the investment costs	$[\text{Total amount spent on rural water sector activities (total conditional grant spent + district development grant spent + other government funds spent)}] / [\text{Total population served by new water and sanitation facilities}]$	Phased construction should be included and commented on.
% of people (households and schools) with access to improved and basic latrines/toilets	%	To monitor sanitation coverage	$[\text{Total no. of households with access to improved and basic latrines}] / [\text{Total number of households in the District}] \times 100\%$ {Figures for popl. & growth - UBOS}. Also provide list of pupil/stance ratio for all primary .schools.	For household sanitation - DWO needs to link to DHI. Obtain information from DHI survey reports. For school sanitation - DWO needs to link to District Education Department.

Indicator	Units	Purpose of Indicator	How to Calculate Indicator	Comments
% of water samples taken at the point of collection or discharge that comply with national standards	%	To measure the quality of water at source	[Total no. of samples that comply with national standards]/[Total no. of samples analysed]	National Water Quality Strategy will determine further details
New storage volume for Water for Production	M ³	To measure increase in availability of water for production	Report new volume constructed	
Mean sub-county deviation from the District average no. of persons per water point	List	To measure the equity of water coverage	See box below	Include all NGO, Government and private sources
% of households with access to hand washing facilities	%	To measure the accessibility of hand washing facilities	[Total no. of households with access to hand washing facilities]/Total number of households sampled Also provide a list of the number of hand washing facilities in each primary school.	For household hand washing - DWO needs to link to DHI. Obtain information from DHI survey reports. For primary schools - DWO needs to link to District Education Dept.
% of water and sanitation committees in which at least one woman holds a key position	%	To measure women's involvement in the water and sanitation sector	[Total no. of committees with at least one woman holding a key position (chairperson, vice chair person, treasurer or secretary)]/Total Number of committees sampled	This is to be undertaken as part of District follow-on support to communities (see software steps)

Box 1. Mean sub-county deviation from the district average – an explanation and rural Equity (Extracted from 2006 Water and Sanitation Sector Performance Report)

The indicator is not based on the conventional way of considering access (ie the % of the population with access to safe water). Instead it is based upon the number of people per improved water source. The indicator enables you to examine the mean deviation between the *number of people per improved water source* in the District with that of the sub-counties. To determine the indicator:

- Step 1 – calculate how many rural people there are per improved water source in an entire District (ie District rural population divided by number of improved water sources).
- Step 2 - calculate how many rural people there are per improved water source in each sub-county (ie sub-county rural population divided by number of improved water sources in the sub-county)
- Step 3 – calculate the difference between the District *people per improved water point* and the sub-county *people per improved water point*
- Step 4 – calculate the absolute value of the difference obtained in step 3.
- Step 5 – add up the absolute values and divide by the number of sub-counties.

The table below uses data from Sembabule District as an example.

			<i>Step 1 & 2</i>	<i>Step 3</i>	<i>Step 4</i>
Subcounty (S/C)	Population (June 2006)	Total No of Improved Sources	Ave. no of persons per improved source	District average minus S/C averages.	Absolute value of difference between S/C and District averages
1. Lwemiyaga	21,005	32	656	-163	163
2. Ntusi	12,922	27	479	-340	340
3. Lugusulu	23,236	22	1056	+237	237
4. Lwebitakuli	53,151	42	1266	+447	447
5. Mateete	58,764	95	619	-200	200
6. Mijwala	25,748	20	1287	+468	468
Total	194,826	238	819 (Ave)	N/A	N/A
Sum of sub-county Deviation					1855
Step 5. Mean sub-county deviation from the district average ie sum of sub-county deviation/no of sub counties				=1855/6	309

In Sembabule District as a whole, there are an average of 819 people per improved water point. In Ntusi sub-county, there are only 497 people per water point (340 **less** than the district average), whereas in Mijwala there are 1287 people per improved water point (468 **more** than the district average). The mean sub-county deviation from the district average is 309.

