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EVALUATION OF WES PROGRAMME

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The Water Supply and Environmental Sanitation Programme

in the 1995 - 2000 GoU-UNICEF Country Programme



EVALUATION REPORT VOLUME 2

The Hague
May 1998

IRC International Water and Sanitation Centre
The Hague, The Netherlands

NETWAS International
Nairobi, Kenya

NETWAS Uganda
Kampala

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Mr. Jo Smet
Mr. Isaac Oenga
Mr. John Odolon
Ms. Esther de Lange
Ms. Agnes Bitature
Mr. George Ebong
Mr. Benard A. Barugahara
Mr. Joseph Kiwanuka
Mr. Azaria Byobona

Sanitary engineer, team leader
Public health engineer
Social and environmental health
Environmental engineer
Sociologist
District Population Officer
District Comm. Development Officer
Principal Health Inspector
District Water Officer

IRC
NETWAS International
NETWAS Uganda
IRC
private consultant
Kiboga
Kabarole
Mpigi
Rukungiri

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List of abbreviations and acronyms

ADO	-	Assistant Development Officer
ACAO	-	Assistant Chief Administrative Officer
BH	-	Borehole
BMS	-	Borehole Maintenance Section
BMU	-	Borehole Maintenance Unit
CAO	-	Chief Administrative Officer
CBMS	-	Community-Based Maintenance System
CBO	-	Community-Based Organisation
CCB	-	Community Capacity Building
CDA	-	Community Development Assistant
CFO	-	Chief Financial Officer
CHW	-	Community Health Worker
CPAR	-	Canadian Physicians Aid Relief
Danida	-	Danish International Development Assistance
DCD	-	Directorate of Community Development
DCDO	-	District Community Development Officer
DEO	-	District Education Officer
DHI	-	District Health Inspector
DMO	-	District Medical Officer
DMT	-	District Management Team
DPO	-	District Population Officer
DWD	-	Directorate of Water Development
DWO	-	District Water Officer
EHU	-	Environmental Health Unit
ESA	-	External Support Agency
EU	-	European Union
GFS	-	Gravity Flow System
GWEP	-	Guinea Worm Eradication Programme
HA	-	Health Assistant
HI	-	Health Inspector
HPM	-	Handpump Mechanic
IDM	-	Inter-District Meeting
IFAD	-	International Fund for Agricultural Development
IMSC	-	Inter-Ministerial Steering Committee
LC	-	Local Committee
LoU	-	Letter of Understanding
LWF	-	Lutheran World Federation
MoE	-	Ministry of Education
MoF	-	Ministry of Finance
MoGCD	-	Ministry of Gender and Community Development
MoH	-	Ministry of Health
MoLG	-	Ministry of Local Government
MoPED	-	Ministry of Planning and Economic Development
MPO	-	Master Plan of Operation
NASIP	-	National Accelerated Sanitation Improvement Programme
NETWAS	-	Network for Water and Sanitation

PCU	-	Programme Coordination Unit
PDC	-	Parish Development Committee
PMT	-	Programme Management Team
PPA	-	Programme Plan of Action
RBPA	-	Rights-Based Programme Approach
RUWASA	-	Rural Water Supply and Sanitation Project
SNV	-	Netherlands Development Organisation
SWIP	-	South-West Integrated Project
ToT	-	Training of Trainers
UNPAC	-	Uganda National Plan of Action for Children
UPE	-	Universal Primary Education
VHW	-	Village Health Worker
WATSAN	-	Water and Sanitation Programme
WUC	-	Water Users Committee

Glossary

- action learning** the improvement of skills and knowledge through applying existing knowledge in the working environment (the action); the applications (planning/management/construction etc.) are being reviewed in a participatory way (the learning), and the lessons from this analysis are incorporated in a new cycle of application, so planning/ management/ construction are adjusted. Field experiences (action) from the basis for "learning".
- capacity building** the training and subsequent guidance and supervision of WES staff at different levels aiming for better performance for efficiency and effectiveness in the framework of the policies, strategies and guidelines of the Programme. Capacity building in staff needs to be accompanied by institutional building.
- facilitation** used in the WES context in Uganda as helping the districts, sub-counties and parishes to implement the WES activities, which is translated in provision of transport, per diems etc. by the WES Programme
- private sector** sector of the economic spectrum characterised by ownership of assets in private hands (individuals or companies) and aiming at making profit from the provision of services or products to clients
- privatisation** process of transferring ownership and responsibilities from the public sector to private sector or non-profit making private sector (e.g. water users associations)

1. Introduction

The present Water and Environmental Sanitation (WES) Programme in Uganda is supported by the GoU and UNICEF using funds mainly from Sida. It is one of the four GoU/UNICEF Country Programmes in the Master Plan of Operations 1995-2000. This Programme was preceded by the WATSAN (Water and Sanitation Programme) and SWIP (South-West Integrated Project) projects. These projects together covered 28 districts; WES is now active in 34 districts and covers the whole country except the 10 RUWASA-supported districts in Eastern Uganda.

The WES Programme aims to improve public health and general socio-economic development by contributing to the reduction of water and sanitation-related diseases and reducing the overall workload, especially of women, adolescents and children, through improved access to safe water sources and improved sanitation.

WATSAN and SWIP were intensive projects both in terms of human and financial resources. They were organised in parallel with and partly integrated into the government structures. Both were important in creating the setting for the present WES Programme .

The WES Programme is being implemented in a context of changing roles of national and local government, communities and the private sector. The "Policies and Guidelines for the Water Sector" (DWD, 1994, draft) identifies the measures to contribute to the improvement of coverage and sector performance. The Water Statute (DWD, 1995) is another important policy document for the water sector.

The "National Sanitation Policy" (MoH, 1992, draft) places communities at the centre. It states that sanitation should become an integrated element in all health and community interventions. A new National Sanitation Policy (MoH, first draft August 1997) is being developed by a National Task Force. The Sanitation Forum of October 1997 intended to give a new impetus to sanitation.

1.1 The WES Programme

The present WES Programme covers the period from 1995 to 2000. The framework of the WES Programme is made up of six main implementation principles (WES Plan of Operations, 1992):

1. management of water supply at the lowest appropriate level;
2. the role of the government as an enabler in a participatory, demand-driven approach to development;
3. the recognition of water as an economic good;
4. the integration of water and land use management;
5. the essential role of women in water management; and
6. the important role of the private sector in water supply and sanitation development and management.

The WES Programme has four main strategic components that create the necessary conditions for success of WES at different levels (WES Plan of Operations, 1992):

- to build community capacity to plan, construct, manage and effectively use water and sanitation facilities, with special emphasis on increased women's participation;
- to strengthen the capacity for service delivery in support of communities to plan, construct, manage and maintain water and sanitation interventions;
- to improve national, district and sub-county capacity to mobilise and manage resources for effective service delivery; and
- to strengthen capacity to develop policies and guidelines for technical and human resource development and quality assurance.

To achieve sustainability of the WES facilities and organisations, the WES Programme addresses a number of key issues, including building of management capacity of communities, existing institutions and categories of staff at all levels; efficient management of interventions; mobilisation of human, financial and material resources; institutionalising planning, management and information; applying least-cost, community-manageable and technically feasible technology; community contribution in construction and O&M costs; and legal ownership of communal facilities by the communities.

Privatisation of borehole drilling and handpump installation and commercialisation of slab production, handpump maintenance and spare parts provision is aimed at.

1.2 Mid-term evaluation of the WES Programme

This evaluation of the WES Programme has a forward-looking perspective, aiming at the maximal use of lessons from the past and present to contribute to the improvement of the programme.

The main objective of the WES Evaluation is to suggest improvements in the planning and implementation of the WES Programme based upon analysis of the present programme and earlier experiences from SWIP and WATSAN.

The Evaluation Team studied the comprehensive Terms of Reference (Appendix 1) and identified three main areas to be addressed: institutional issues; process issues (demand-driven approach and gender responsiveness); and issues related to the sustainability of the WES Programme facilities. In each area, key issues to be evaluated were identified.

The WES Evaluation took place from 1 February to 14 March 1998. The team composition and the programme are presented in Chapter 3 and Annex 2.

2. Evaluation methodology

2.1 Rationale for participatory methodology

The WES evaluation was carried out as a participatory exercise, allowing optimal room for key actors at village, parish, sub-county, district and national level to express their views and ideas on the WES Programme. The participation of those levels has created opportunities for them to reflect upon their own WES activities and facilities. Participatory methodologies created an open and conducive atmosphere that helped people to express their opinions freely. Many participants of the evaluation workshops indicated that this reflection contributed to their learning on WES. Furthermore, the methodology gave exposure to techniques that district and sub-county staff may be able to apply in their own WES communication, planning and review activities.

2.2 Evaluation Team composition

The Evaluation Team was composed of nine people. There were four district WES staff (from districts that were not visited), two Ugandan consultants (from NETWAS Uganda and a private consultant), one NETWAS International staff member and two IRC staff members. The district officers participated in the evaluation process in their own capacities. Their contribution is very much appreciated, and they got the opportunity to compare their own experiences with WES in their respective districts with what is happening in the districts visited. The intensive involvement of local and regional consultants has contributed to the development of local capacities on participatory evaluation methodologies.

The team composition was:

Mr. Jo Smet	Sanitary engineer, team leader	IRC
Mr. Isaac Oenga	Public health engineer	NETWAS International
Mr. John Odolon	Social and environmental health	NETWAS Uganda
Ms. Esther de Lange	Environmental engineer	IRC
Ms. Agnes Bitature	Sociologist	private consultant
Mr. George Ebong	District Population Officer	Kiboga
Mr. Benard A. Barugahara	District Comm. Development Officer	Kabarole
Mr. Joseph Kiwanuka	Principal Health Inspector	Mpigi
Mr. Azaria Byobona	District Water Officer	Rukungiri

The team leader joined the evaluation for four weeks; the rest of the team was involved full time (six weeks). Two teams were formed from the eight full-time team members; each team visited three districts.

2.3 Programme of the evaluation

The following table gives the structure of the evaluation process.

Evaluation element	Main methodologies used
1. Briefing at national level	discussions with key informants
2. Workshop on methodology and tools	participatory workshop
3. Field-testing of methodology and tools	discussions with key informants; focus group discussions; participatory exercises; observations; participatory workshops
4. Review and adjustment of methodology and tools; development of analysis tools	participatory workshop
5. Evaluation in six districts	discussions with key informants; focus group discussions; participatory exercises; observations; participatory workshops
6. Discussions at national level	discussions with key informants
7. Analysis and report writing	participatory workshop
8. Synthesis workshop	participatory workshop
9. Reporting	by team of evaluators

The evaluation focused on village, parish, sub-county and district levels. At the central level a limited number of discussions were held with key informants from the main participating institutions and a few ESAs. Six districts were selected by the PCU using selection criteria as the involvement in SWIP and WATSAN; geo-hydrological, economic, social and cultural variations; and a good geographical spread. The six districts visited were: Ntungamo, Bushenyi, Rakai, Hoima, Moroto and Apac. Evaluation activities took place at district level (discussions with key informants, workshop), at sub-county level (discussions with key informants, workshop), at parish level (discussion with key informants), and at village level (discussions with key informants; focus group discussions with women, users, WUC, LC1 and other leaders; village walks mapping, sanitation ladder). People expressed appreciation of the participatory evaluation exercise as it gave them ample opportunity to express their views and ideas in a relaxed atmosphere.

In each district, at least two sub-counties were visited, and within each sub-county two parishes and two villages. The selection of the first sub-county, parish and two villages was done by the district and sub-county staff to ensure a smooth programming (to enable information to reach selected sub-counties and villages in time). The second sub-county with two parishes and two villages were selected by the Evaluation Team upon arrival in the district. A full programme and itinerary is included as Appendix 2.

Prior to the WES Evaluation, the methodology and tools as well as the formats for reporting and analysis were developed by the team in a participatory group exercise. Some practising with the participatory tools was done. Examples of participatory tools used are included in Appendix 4. The methodology was field tested in two districts, and reviewed and finalised.

In each district, the evaluation team visited the district and two sub-county headquarters to discuss the WES Programme with the WES team and other key informants.

Furthermore, three Inter-District and two District Workshops (all one-day activities), in which a total of 18 districts participated, were organised. The district staff analysed their own district situation through participatory methodologies including a SWOT¹ analysis, focus group discussions on specific topics and an institutional mapping exercise. Facilitated by the team they analysed the institutional structure of the WES Programme at all levels within the district; the tasks and relationships between these institutions; the strengths and weaknesses in the performance of WES and previous programmes i.e. SWIP and WATSAN; and opportunities and threats related to WES activities for the future. Specific issues as the demand-driven approach, decentralisation and privatisation were also addressed. Full reports of these Inter-District and District Workshops are appended (Appendices 5 to 9).

In each district, a one-day Sub-County Workshop was organised for six selected sub-counties. The structure of this workshop was in principal the same as for the Inter-District Workshops. Full reports of these Sub-County Workshops are appended (Appendices 10 to 15). For many participants these workshops created the first opportunity to exchange experiences on WES, including organisational set-up, approaches, success areas, limiting factors and areas in which they were failing. They wanted these meetings repeated. The PPA 1998 includes provision for two of such Inter-Sub-County Meetings.

Visits by the evaluation team to the parish and village were usually facilitated by extension staff and local leaders, and lasted about half a day.

After the visits to the six districts, the evaluation team visited the RUWASA Project in Mbale for information and comparison with the WES Programme. Discussions were held with project staff in two districts. They were structured similarly to the visits to the other districts.

The Evaluation Team has analysed the WES Programme at all levels with an emphasis on the district level and below. The role of the central level is very strong in planning and budget allocations, so their decisions have a direct effect on the WES directions and operations at district, sub-county, parish and village level. Therefore discussions with key informants were also held at the central level, including UNICEF, the collaborating ministries, some members of the PMT, the PCU, supporting departments in the collaborating ministries, and WaterAid and SNV, which support the water and sanitation sector.

Finally, the two teams and the team leader joined again and compiled and analysed all the findings in a four-day workshop. This resulted in a first draft report that was presented in a Synthesis Workshop which was attended by staff from national institutions, district representatives and NGOs. The aim of the synthesis workshop was to test the preliminary findings on their validity and the preliminary conclusions and recommendations on their feasibility for implementation in the Ugandan context. The report on this workshop is

¹ . SWOT = Strengths, Weaknesses, Opportunities and Threats

appended (Appendix 17). This evaluation report incorporates the issues and remarks raised during this Synthesis Workshop. The final draft of the evaluation report was reviewed by key actors in the WES Programme and their comments were incorporated in the final text where appropriate. These comments from the Ugandan Programme stakeholders have been integrally attached (appendix 5 a) and the reactions of the Evaluation Team on these comments have also been integrally attached (appendix 5 b).

3. WES Programme performance

3.1 WES Programme performance as assessed by stakeholders

A few overall statements on performance as expressed by WES Programme staff are included here:

- At national level, most WES Programme staff find the Programme a good initiative but problematic because of the current arrangement for multi-ministerial involvement and because of the ambiguous role of UNICEF in the Programme. However, Programme staff feel that for the sake of integration of the three areas of water, sanitation, and community development and gender, the different ministries have to continue to form the basis of the WES Programme.
- At district level, the WES Programme is appreciated for its capacity building, direction and guidance, but much more is needed in terms of support and supervision. The limited financial support from the central level is found disappointing by most districts, and some districts went as far as to say that the WES Programme did not mean much to them. A serious complaint was also the release of funds and procurement of materials by the central level. The reduced facilitation as compared to SWIP and WATSAN was very much regretted at the district level.
- At the sub-county level, the performance of the WES Programme is taken up seriously, although most actors at this level feel limited in their performance due to limited human and financial resources. Through the decentralisation, the Programme gives this level more power but the lack of facilitation is regretted. The community involvement promoted by the WES Programme is seen as very important at this level contributing to system sustainability but in many cases the involvement is limited to contributions to capital cost.
- At parish and village level the WES Programme is generally not known, and in former SWIP districts people think the SWIP project is still active. Their appreciation of the performance of the WES Programme is somewhat related to the type of water supply technology that is being introduced, whereby protected springs are by far the most appreciated and community owned water sources.

A detailed reflection of the performance rating as viewed by the stakeholders can be found in the reports of the various workshops with district and sub-county WES Programme staff, which are all appended.

3.2 The WES Programme as a mainstream programme

It can be concluded that the WES Programme has become a mainstream programme which is supported by UNICEF. The WES Programme is gradually taking shape in a policy frame of decentralisation and privatisation. The major merits of the WES Programme are a substantial contribution to community water supply (budget wise some 42% of the UNICEF WES contribution in 1998); development of innovative and promising approaches and guidelines (e.g. sanitation); capacity building and institutional support through various means at all levels (some 25% of UNICEF WES budget in 1998); and advocacy and communication especially on sanitation. The Programme has succeeded in putting gender prominently on the agenda but has not achieved much success on this in the field.

The framework the WES Programme has established appears to have become the standard for projects such as those of WaterAid and SNV that support the sector through an integrated process. This framework includes procedures, guidelines, and methodologies and approaches in capacity building, etc. The RUWASA project uses the guiding principles of the WES Programme but is ahead of the WES Programme in the development of procedures and guidelines. RUWASA can therefore be seen as a development and testing ground for the WES Programme approaches and tools. Communication to exchange experiences between WES and RUWASA should be improved.

As the WES Programme can be seen as a mainstream programme, the emphasis is less on support for construction of facilities and more on creating the required enabling environment. The WES Programme has succeeded in that. This is not always appreciated by the district level, which is confronted with the low coverage in water and. The districts demand more funds for realising these activities, for which they may want to explore new funding sources including the users themselves, through the promotion of affordable and sustainable technologies in water and sanitation.

For 1998, the PPA shows a further move to mainstreaming, as nearly half of the funds are earmarked for non-construction projects. The financial contribution for the construction of water supply facilities will be concentrated in a limited number of districts. Particularly those with lower coverage get a larger share of the construction funds. Several districts only get funds for non-construction projects.

4. The context of WES

4.1 Decentralisation

The Decentralisation Policy of the Government of Uganda devolves responsibilities to the districts and the sub-counties as a means to improve performance, efficiency, effectiveness and sustainability. For the WES Programme, decentralisation has enabled the devolution of implementation to the districts, and later in 1998 even to the sub-county and lower levels, while the national level and districts mainly provide technical support, supervision and monitoring. However, the capacities of the national and district WES staff on supervision and monitoring are still weak.

The sub-county has become the main focus of implementation (as from July 1997) and revenue collection. This level retains 65% of all revenue collected, remits 35% to the district level, and further shares the balance of 65% as follows: 65% remains at the sub-county, 25% to LC1, 5% to LC2 and 5% to LC 4 level. From the discussions at the sub-county level, it did not become clear in which way the money which is sent to county, parish and village level is being used; guidance is needed on how to utilise the funds received by the LCs.

Decentralisation is a recent development. The roles, obligations and responsibilities of the various actors need to be discussed and agreed upon, and capacities to be built to ensure optimal use of resources allocated to various administrative levels. Furthermore, at the various levels the roles of administrative and political actors are seen to be overlapping and therefore need to be clarified. There is opportunity for political interference by persons with less knowledge and experience in water and sanitation, which may lead to conflicting situations. The separation of powers should be adhered to.

In some districts it was mentioned that the WES Programme has facilitated the implementation of decentralisation especially in planning and budgeting skills. The WES Programme needs to continue building on this strength through contributing to the district and sub-county planning activities.

4.1.1 District level

The district level sees the 35% received from the sub-county level as inadequate to meet their obligations, which include the payment of salaries for the S/C Chief, HAs, CDAs and the Parish Chief. Inadequacy of revenue collection is also expressed by the sub-counties. Some districts have voiced the concern that while services have been decentralised, there are not enough resources at the district level and there is heavy dependence on donors. Unconditional grants are provided by the central government. However, districts do not necessarily prioritise WES and often attend to other priority areas.

Some districts have indicated that the decentralisation policy has enabled them to recruit staff for the WES Programme. On the other hand, there is a decrease in job security due to patronage. Also, some civil servants have been made redundant because the county level of administration has been abolished (HIs and ADOs).

4.1.2 Sub-county level

The sub-counties do appreciate decentralisation because it has brought decision making closer to the people. It is also seen to improve accountability and transparency as tax payers are increasingly able to see what projects their taxes are put into. The sub-counties do, however, see their inability to sufficiently raise and mobilise resources, especially through tax collection. In the extreme case of Moroto no taxes at all are being collected from armed warriors, which form the majority of the taxable population.

The Public Service Reform which accompanied decentralisation, has seen the retrenchment of many sub-county staff thus reducing staff levels for the WES Programme ; there remain between 40 - 50% CDAs and HAs. In many cases one HA or CDA has to cover two sub-counties (see also Section 7.8). This situation needs to be addressed either through the involvement of other extension workers and/or reviewing employment guidelines at district level.

The process of decentralisation has brought resources nearer to the people, and it has increased internal resource mobilisation. Decentralisation has enabled better allocation of resources at the local level, i.e. according to priorities of needs. However, materials are procured centrally, sent to the districts and then further to the sub-counties, causing delays and presenting opportunities for misuse and mis-delivery.

Recommendations

- R.1 Guidelines on the implementation of decentralisation in the WES Programme should be further developed , and appropriate capacity building through training, guidance, supervision and support materials should be ensured.***
- R.2 The WES Programme should create the conditions for districts to make local purchases for WES materials. One of the conditions is training of district tender boards on how to manage the tendering process transparently, efficiently and effectively. The RUWASA project has some experience in this field which may be useful to the WES Programme .***

4.2 Privatisation and private sector development.

The Government of Uganda is very determined in its direction towards privatisation and the use of the private sector. Although hesitant, the water and sanitation sector is starting to utilise the private sector. However, the WES Programme does not have guidelines on how to implement privatisation and how to support private sector involvement. Private sector in this context mainly relates to drilling companies, organisations providing advisory services and training, small entrepreneurs in the field of slab casting, handpump sales (since 1994), spare parts production and sales, and local people such as fundi and possibly caretakers.

- R. 3 The WES Programme should develop clear policy guidelines on how privatisation will work within the programme.***

R.4 The WES Programme should specify the type of support to be given to develop the private sector involved in WES activities; e.g. by considering giving training and guidance of contractors on contract management.

R.5 The private sector should be better utilised by the WES Programme, e.g. concerning the implementation of construction activities, training and advisory activities and technical support.

The role of the WES Programme and the government is to create an enabling environment for private sector initiatives. Borehole drilling is expected to be privatised as of June 1998, but has been delayed for several times in earlier planning. Quality assurance and supervision are tasks of WES institutions at the national and district levels.

District depots for spare parts are largely non-functional at the moment. It is said that depots contain large stocks of less needed materials while regularly used materials such as cement are often not available. The district spare parts depots need to be closed down, and their function has to be taken over by the private sector. Furthermore, during the Synthesis Workshop it was suggested that the WES Programme stop procurement of all materials. Only the vacuum that will then be created will stimulate private sector development.

R.6 The WES Programme should stop the procurement of materials, allowing for the private sector to take over. Spares depots currently managed by the districts should be closed and support should be given to the private sector to take over that role.

The manufacture, distribution and sale of spare parts by the private sector needs attention in order to improve the level of support being provided to the Community-Based Management system (CBMS). Some initial support, e.g. current stocks of spares for boreholes, could be used as seed support on loan to dealers in district capitals. These dealers in the districts could feed a network of small retailers. The indicated support by a private company to assist in the spare parts distribution needs to be followed up. A good experience is available from the Danida-supported project in Malawi.² For sales of handpump spare parts and handpump repairs, the market is presently too limited to have this as a sole business. It should be run as an add-on to hardware shops and to other repair activities of, for instance, bicycle mechanics.

At present the private sector is already involved in the sale of pipes, fittings, and handpump rods (e.g. in Hoima and Moroto). However due to low demand for handpump spares, this service has been set up as a "service to the community" as voiced by a spare dealer in Hoima.

Furthermore, there are a number of women's groups involved in sanplat casting, with varying degrees of success. The success depends mainly on the availability of materials, the distance of the yard or shop to potential buyers, and the level of demand.

Many handpump mechanics (HPMs) have been trained under the WES or other programmes. They are encouraged to operate on some form of private basis. A variety of arrangements can be found, ranging from mechanics receiving allowance from the sub-county for an agreed number of repairs, to handpump mechanics that are paid by the communities that request the

² Village Level Operation and Maintenance of Handpumps; Experiences from Karonga Malawi, IRC-Danida, PP Series 3-E (1996).

service. There has been no structured attempt to assist and guide trained handpump mechanics after their training, and in general they feel too 'left alone'.

R. 7 When the private sector is to supply materials, the WES Programme should develop effective ways to support private sector initiatives, e.g. through training, soft loans and start-up encouragement through transferring parts of existing district depot stocks, and initial logistical support. The RUWASA project has gained some experience with similar support to private sector activities, which can be of use for the WES Programme.

R. 8 The WES Programme (district and sub-county level) should improve the informing of users on available services of e.g. sanplat producers, HPMs and spare parts suppliers, and indications of costs to enlarge the market of the private sector. Retrenched sector employees may be encouraged to take on such opportunities.

4.3 Policy and Legal Environment

The Government of Uganda has shown commitment in creating an enabling environment for water and sanitation in terms of the development of necessary policies and regulatory frameworks.

The Policy Guidelines for the Water Sector (DWD, 1994 draft) stipulates the management of water at the lowest appropriate levels, water as an economic good, a demand-driven approach to development, gender considerations in water supply, the provision of a conducive environment by government as an enabler, and the involvement of the private sector. The policy identifies the following measures to assist in improving coverage and sector performance: the gradual introduction of appropriate cost recovery procedures; the acceleration of sector decentralisation and promotion of community participation; standardisation of equipment and implementation approaches; promotion of local production; and strengthening of sector organisations.

The Water Statute (DWD, 1995) regulates water abstraction and supply. Furthermore it stipulates membership of users' associations, including Water User Committees (WUC), and their obligations.

The National Sanitation Guidelines (MoH, 1992, draft) place communities at the focus and intends to make sanitation an integral part of all health and community interventions. The policy identifies the pit latrine as the basic technology for rural communities and is directed to ensuring that every household in Uganda has one. For latrine improvements at the household level the sanplat is the favoured option. A new National Sanitation Policy was drafted in 1997, which describes the key actors in sanitation and their roles and responsibilities, and strategies on how to achieve improved sanitation conditions.

A Gender Policy was drafted in 1998 by DWD in consultation with the Ministry of Gender and Community Development. It focuses on affirmative action on the placement of women in both public and private sector, and the assurance of participation of women in decision making.

Other legislation relevant for the sector include the Public Health Act (MoH), the National Water and Sewerage Corporation Act (NWSC), the Local Government Act (MOLG), the Water Act, the Environmental Act, and the UNPAC, which is the official framework to guide social sector policy development.

R. 9 The WES Programme should translate the stated policies into strategies and guidelines especially concerning sanitation, disseminate these in abridged form to the relevant administrative levels, and make these operational for all sector projects. For sanitation this is to be done in close cooperation with the MoH, possibly in the context of NASIP.

4.4 UNICEF Uganda

In Uganda, UNICEF has made a long-term commitment to the GoU to support the water and environmental sectors as part of their country programme. The WES objective of UNICEF Uganda is to support the improvement of public health and general economic development, so reducing the prevalence of water and sanitation-related diseases and reducing the overall workload of especially women, adolescents and children. UNICEF Uganda is provided with funds from UNICEF General Funds, Sida and Norway. It has also been the funder of the two pre-WES projects: SWIP and WATSAN.

UNICEF is recognised as one of the main international organisations on the edge of the development and introduction of innovative approaches to come to sustainable sector institutions and facilities. Being serious in continuing support to the Water Supply and Sanitation sector in Uganda, UNICEF Uganda has contributed substantially to the awareness of the importance of integrating water, sanitation, hygiene, gender and community participation. Together with the contribution and the commitment of the GoU, it has resulted in the present mainstream WES Programme which is embedded within the Ugandan ministerial structures.

Next to the remarkable achievements of UNICEF Uganda stated above, its role in the WES Programme is also ambiguous. Although within the framework of the jointly developed GoU-UNICEF Master Plan of Operations, the UNICEF WES Section urges its own priority areas and strategy direction into the Annual Project Plans of Action (PPA). These areas and directions are in line with the policy of the GoU but do not necessarily have the same priority in the strategy. It may also result in deviation from the agreed demand-based approach of the WES Programme, which shows a far greater demand for water than for sanitation.

The UNICEF WES Section does not only keep a strong control of the directions of their investments, throughout the year it also only releases the funds after approval of each activity. Once a year, after reviewing the Programme performance and the submitted district plans, the PMT can allocate funds and the control thereof to the PCU.

The management structure of the GoU-UNICEF programmes seems to be rather complicated but is not further analysed³. UNICEF WES Section employs four professionals (three of them Ugandans) to support the four WES Programme components as indicated in the joint (GoU and UNICEF) Master Plan of Operations (MPO). They are supposed to support and advise the PCU in carrying out the WES Programme at the national level. In practice, as was reported to the Team, it seems that most of the activities are carried out by the PCU, and UNICEF officers sometimes confuse PCU staff and demand a lot of information to enable them to "control" the WES Programme from within UNICEF (see also Section 7.3).

R. 10 The Team identified the PMT as precisely the right institution to be in "control" of WES Programme funds. It is therefore recommended to empower the PMT to be operationally in direct control of jointly approved year plans and budgets. Every year joint WES Programme reviews on performance and directions should be carried out.

4.5 Lessons from SWIP and WATSAN

Prior the implementation of the WES Programme, two water and sanitation projects had been carried out in large parts of the country. The South-West Integrated Project (SWIP) and the Water and Sanitation Project (WATSAN) projects have been implemented by the Government of Uganda in partnership with UNICEF Uganda from 1987 up to 1995. In those areas where SWIP and WATSAN had been operational, the activities related to water and sanitation were transferred in 1995 from the projects, which stopped operation, to the WES Programme. In the districts and sub-counties visited, an inventory has been made of the lessons that were learnt from SWIP and WATSAN, and which of those lessons have been transferred to the WES Programme (see Appendices 5 to 15). The following are the major lessons:

- ◇ The need for an integrated approach including water, sanitation, hygiene, gender and environment has been clearly recognised under SWIP and WATSAN, and has been taken into account in the WES Programme design.
- ◇ The SWIP and WATSAN projects enhanced capacity building on budgeting and implementation at district level, which is being utilised and further strengthened in the WES Programme.
- ◇ Sharing of experiences through Inter-District Meetings (IDMs), which started in SWIP, has been very much appreciated. IDMs provide a good forum for the exchange of achievements, ideas on approaches, constraints, and possible solutions. Although IDMs also exist under the WES Programme, it is generally felt that these are less comprehensive, less frequent and less well organised.

³ see Mid-Term Review reports (1997). Management structures include UNICEF and GoU Focal Points, Country Programme Management Team, Component Management Teams, Programme Management Team, Programme Co-ordinating Unit

- ◇ The SWIP/WATSAN projects improved collaboration and coordination among the sector actors at all levels (including government departments, NGOs, religious organisations and CBOs), especially at district level, to foster a common approach in the provision of water and sanitation services. This ensures coherence and reduces the risk of having conflicting approaches within the communities. The WES Programme continued this collaboration and co-operation although in some districts it is not optimal (e.g. in Moroto between UNICEF and CWF; causes were not analysed).
- ◇ During the SWIP/WATSAN period, community involvement was introduced in a later stage, once the importance for enhancing ownership and sustainability of improved systems was recognised. In the SWIP borehole schemes the community involvement was largely absent. The WES Programme has adapted the community participation strategy by involving communities much more in the process from the beginning.
- ◇ The Letter of Understanding as used in SWIP and WATSAN is seen as a very powerful and effective instrument to clarify roles, obligations and responsibilities of the actors involved, and to increase commitment and accountability. Actors at various levels recommend the WES Programme to re-introduce and enforce Letters of Understanding (see also Section 7.5). The WES Programme has not adopted the LoU as yet.
- ◇ The focus of gender was felt to be generally weak in the SWIP and WATSAN projects. Although many actors feel the gender focus still has to be strengthened, the fact that gender is a cross-cutting issue in the WES Programme is being recognised. (See also chapter 8: Processes).
- ◇ The general support in terms of supervision and facilitation that was provided by the districts during SWIP and WATSAN was appreciated by the extension staff, and is seen as inadequate in the WES Programme .
- ◇ Neither SWIP, nor WATSAN has advocated for water as an economic good. The WES Programme is doing better.
- ◇ WATSAN followed a phase-in, phase-out approach, which may be a step in the right direction when used within the districts for sub-county implementation.

4.6 Other water and sanitation projects

Other water and sanitation projects in Uganda include a.o. the Rural Water and Sanitation Project (RUWASA, supported by Danida), the EU supported project on GFS (in eight districts), WaterAid projects through local NGOs, and projects from the Lutheran World Federation (LWF), International Fund for Agricultural Development (IFAD), the Netherlands Development Organisation SNV, and Irish Aid. The CBHC Programme has a substantial sanitation and hygiene component with activities at village level. A significant low-income urban project is the Small Towns Water and Sanitation Project (supported by the World Bank, Danida, and the Austrian and the French governments).

The RUWASA Project operates in 10 districts in eastern Uganda, and has similar objectives as the WES Programme. Currently the link between RUWASA and the WES Programme is through the Inter-Ministerial Steering Committee (IMSC) which is a policy-making body; at other levels the linkage is informal and not structured.

The WES Programme could benefit from the guidelines, manuals and other materials already developed in the RUWASA project, by adapting them for use in other districts of Uganda. This avoids duplication of efforts. However, it should be noted that the WES Programme is aiming at developing and stimulating self-reliance, and as it develops it enhances sustainability ensuring that the level of development achieved continues to be intact even after central funds reduce; while RUWASA is predominantly an implementation project heavily supported by external funds.

Some NGOs, such as WaterAid and SNV, work within the WES framework of policies, strategies and guidelines. They somehow see the WES Programme as a mainstream programme. Smaller and religious NGOs may for humanitarian or other reasons deviate from this framework and follow their own agenda, particularly in cost recovery, community management and technology selection. At district level, communication and cooperation between NGOs and the WES Programme staff often exists.

At the national level an initiative was started in March 1997 to create an experience exchange platform for all NGOs active in the water sector: NGO Forum. However, it seems to be unclear whether this is still active. The DWD plans to establish a post for an NGO-coordinating officer.

4.7 Links to other UNICEF supported programmes

The Community-Based Health Care programme (CBHC) has developed messages, approaches and strategies to lead to an increase in sanitation awareness and subsequently to acceleration of sanitation demands.

Currently, separate and independent work plans are being made at the district level for CBHC and the WES Programme, even though they make use of the same staff for implementation (HA and CDA) and their objectives have overlapping elements. This does not result in an efficient use of district and sub-county human resources. At the community level, CBHC has developed local capacities (CHW and VHW) which have a great potential. The WES Programme should link up with the CBHC for mobilisation activities, especially in sanitation and hygiene education. In areas where the Guinea Worm Eradication Programme (GWEP) is active, such as in Moroto, coordination and collaboration in terms of planning and the use of field staff is found, but can be improved.

The CBHC Associations at national and district levels could be a model for the co-ordination of WES activities of NGOs vis-à-vis these of DWD, EHU, and DCD.

4.8 The Rights-Based Programme Approach

The WES Programme is seen as one of the vehicles through which the objectives of Uganda National Plan of Action for Children (UNPAC) can be translated into action (See also MPO). The WES Programme objectives contribute to the access to adequate and safe drinking water and environmental sanitation in communities, ultimately reducing water and faecal borne diseases, including those among women and children. The WES Programme also reduces the walking distances to water points and so the burden of women, adolescents or children. Water supply and sanitation so contribute to the well-being of users and to the eradication of poverty. As water is also used for economic purposes it further contributes to poverty eradication.

The school sanitation component focuses on the needs of the children. It was noted in the field that while some children have access to sanitation in the schools, many of them come from homes without sufficient sanitation. For water, the reverse is true as the WES Programme contributes to water improvement in communities and gives less attention to water supply facilities for schools.

When interviewed, officers at district level did not have knowledge or deliberate reference to the RBPA, which is seen more as a prerogative of the Planning Officer.

5. Institutional issues

As seen in the previous chapter, the WES Programme is being implemented within the context of decentralisation, privatisation, the Local Government Act, the GoU-UNICEF County Programme and experiences from the SWIP and WATSAN projects. The institutions present, their roles and composition is influenced by this context. The decentralisation policy provides for the devolution of decision making, planning, management and resource allocation to lower government levels and hence greater planning and management responsibilities to non-sectoral officers based in districts and sub-counties. The privatisation policy is based on the recognition of the slow pace in delivery of services by the government, and stimulates the emergence of institutions such as drilling companies and spare parts dealers, and redefinition of procedures of the District Tender Boards. The Local Government Act of 1997 gives districts and lower local governments authority to provide basic social services. This has resulted in political institutions playing more active roles.

Below are the institutions that play a role in the WES Programme as identified by the various key actors in the programme. Therefore they do not necessarily reflect the actual or theoretical situation as it is supposed to be.

5.1 Existing institutions, key actors, and tasks

NATIONAL LEVEL

Institutions	Composition	Tasks
Inter-Ministerial Steering Committee	PSs from MoNR, MoH, MoGCD, MoE, MoPED, MoLG, MoF ⁴ , UNICEF	<ul style="list-style-type: none"> provide policy guidelines
Programme Management Team (PMT)	Directors from health, DWD, DCD, MoF, MoPED, UNICEF ⁵	<ul style="list-style-type: none"> overall management of the WES Programme approval PPAs annual reports organising reviews
CPMT and CMT⁶		<ul style="list-style-type: none">
Programme Coordination Unit (PCU)	Officers from DWD, EHU and DCD ⁷	<ul style="list-style-type: none"> developing guidelines, regulations, supporting and enabling WES Programme supervision and monitoring facilitation to districts/sub-counties capacity building
Departments	DWD, EHU and DCD	<ul style="list-style-type: none"> coordination implementation of various WES components
UNICEF WES Officers	1 Chief and 4 POs for water, health social mobilisation	<ul style="list-style-type: none"> supporting the PCU in guiding and facilitating the WES Programme at district and sub-county levels
Private sector	drilling companies, spare parts dealers consultants	<ul style="list-style-type: none"> implementation training advice
NGOs	training institutions	<ul style="list-style-type: none"> support to the WES Programme

⁴ Although invited, the MoF, MoLG and MoPED were not represented during the Synthesis Workshop. Of the MoGCD only its PCU member was present.

⁵ Officially the PMT includes also the MoE.

⁶ In the Synthesis Workshop it was mentioned that the CMT and the CPMT also exist. Although it was said to be important institutions, they have never been mentioned in the evaluation exercise except by UNICEF.

⁷ During the Synthesis Workshop it was found that the composition of the PCU is subject to different interpretations, the number of members ranging from 3 to 9 according to different key actors.

DISTRICT LEVEL

Institutional	Composition	Tasks
LC 5 Council (political) Sectoral Committees		<ul style="list-style-type: none"> • planning, budget approval • monitoring, supervision • policy making, resource mobilisation, advocacy
WES Steering Committee (political and admin.)	LC 5, RDC, CAO, ACAO, DWO, DMO, DCDO, DHI, DEO, NGOs	<ul style="list-style-type: none"> • planning & budgeting • management • supervision
District Management Team (technical/adminin.)	CAO, ACAO, DWO, DHI, DCDO, CFO, DEO	<ul style="list-style-type: none"> • planning & budgeting • supervision, co-ordination • auditing control • technical support/advise • monitoring and evaluation
Departments	Works (DWO), Health (DHI), Community Dev't (DCDO) or Comm.-Based Services	<ul style="list-style-type: none"> • planning and budgeting • implementation • training,
Borehole Maintenance Unit (technical, in some districts)	drillers, supervisors	<ul style="list-style-type: none"> • rehabilitation and major repairs
NGOs	extension workers, volunteers, etc.	<ul style="list-style-type: none"> • funding and implementation of WES activities
Private sector	shop keepers small-scale contractors	<ul style="list-style-type: none"> • supply spare parts, • sanplats, slabs, rings, pre-fabricated latrines

SUB-COUNTY LEVEL

Institutions	Composition	Tasks
LC3 Council (political)	Councillors from parishes	<ul style="list-style-type: none"> • approval plans and budgets • mobilise communities • supervision programme • making and passing of by-laws • resource mobilisation
S/C Management Committee (political and admin.)	LC3, HA, CDA, LC2, S/C Chief, P Chief, mason, HP mechanic, WES Committee	<ul style="list-style-type: none"> • management of WES • resource mobilisation • maintenance of facilities • planning and co-ordination
S/C Health Committee (political and admin.)	members of the LC3 council	<ul style="list-style-type: none"> • oversee all health activities in the sub-county
Water Committee (SGFS or BH Committee, in some areas)	LC3 and opinion leaders	<ul style="list-style-type: none"> • resource mobilisation, O & M, sanitation education
S/C Chief (administrative)		<ul style="list-style-type: none"> • implementation of policy, • co-ordination and supervision • enforcement of by-laws
NGOs	extension workers, volunteers, etc.	<ul style="list-style-type: none"> • slabs, rainwater jars, tanks, energy saving stoves production
Private Sector	HDM, macons, carpenters, sanplat casters	<ul style="list-style-type: none"> • handpump maintenance and repairs • construction of facilities • casting of sanplats

PARISH AND VILLAGE LEVEL

Institutions at parish and village level	Composition	Tasks
LC2 Council (political)	councillors from LC1	<ul style="list-style-type: none"> • mobilisation, • supervision, • record keeping on households
Parish Dev't Committee (political) in some areas	local politicians	<ul style="list-style-type: none"> • collection of data, • training of communities
Parish Chief (administration)		<ul style="list-style-type: none"> • mobilisation and revenue collection • enforce implementation and by-laws, • resource (funds) organisation, • supervision and monitoring WES activities and outputs
LC1 Committee (political)	local politicians	<ul style="list-style-type: none"> • mobilisation of resources, • monitoring, • implementation, • identification and appointment of caretakers, • setting up by-laws
Water Users Committee (elected community members)	caretaker, treasurer, chairperson, other members	<ul style="list-style-type: none"> • provide unskilled labour and collection of local materials, • maintenance water sources, • mobilisation of communities • identification sources, collection of funds
Users (community)	community members	<ul style="list-style-type: none"> • contribution to capital cost, • use of facilities, • O & M, • implementation of sanitation and hygiene practises

5.2 General management

At the *national level*, the IMSC is a strong policy- and strategy-making body. Their meetings are well attended and its members all seem to agree on the main directions of this integrated programme. There is consensus on programme vision, objectives and main strategies.

The PMT, as a management team, is the key body for the translation of the objectives into strategies and projects for implementation. The PMT carries out these management tasks, as far as the Team could assess, but not with a strong and equal participation of all ministries. Directors often delegate their responsibilities to lower cadres, weakening the decision-making power and the departmental support for the joint implementation. According to information received, the coherence of the PMT is low, meetings irregular and the attendance poor. During the Synthesis Workshop a number of reasons were mentioned for some ministries, especially MoGCD, not to be involved in the PMT and WES Programme. These include a lack of staff, lack of facilitation (priority to other programmes with better financial support), no effective WES focal point (although existing on paper), they feel only seen as a support to the WES Programme, not as equal partner in planning and management. It is beyond the Evaluation Team's Terms of Reference to further investigate the functioning and performance of the PMT. However, it is necessary to determine the factors contributing to the present situation and how to improve the shared ownership of the WES Programme. Actually, the three key ministries want the integrational character of the WES Programme to continue.

R. 11 In order to increase the functioning of the PMT, a small team of IMSC members should look into the factors causing the limited coherence and suggest actions to the IMSC to improve this. One option to explore could be to have the PMT headed by a coordinating ministry, such as the Ministry of Planning and Economic Development.

The PCU is the secretariat of the PMT and the implementing arm of the Programme at central level. It is the engine of the Programme, getting tasks from the PMT and requests from the districts and having responsibilities to the districts. The tasks are clear but too many for the staff available. The members, being representatives from the different departments of the participating ministries, are also active in working groups and meetings of those ministries. Their work pressure is high because next to the heavy work load in the WES Programme they have other adhoc and departmental tasks to address. As a result, the PCU is mainly involved in ad hoc activities, and does not allocate sufficient time for e.g. proper supervision and support activities. Each PCU staff has 10 to 13 districts to supervise; this results in a few days per year of support/supervision per district in the field. The PCU consists of enthusiastic people but their motivation is low.

R. 12 The PCU should consider delegating a number of their responsibilities to the departments of the involved ministries and to the UNICEF WES Section. DWD, EHU and DCD could implement delegated tasks and be facilitated to utilise their staff optimally (e.g. regarding GFS, monitoring and evaluation). The utilisation of the private sector should be increased.

At *district level*, the DMT is the overall WES coordinating body, and is an effective, multi-disciplinary committee. The DMT is chaired by the CAO, who usually designates one of the ACAOs in the district to be specifically in charge of the WES Programme. The CAO also acts as the focal point between the district and external actors such as NGOs and other donors. The DMT reports to the Sectoral Committee of the LC5. However, in practice the reporting to and control of the LC 5 Council varies considerably, being virtually non-existent in some districts. This seriously affects accountability at district level. There are too many committees dealing with the WES Programme. This causes unclarity and ineffectiveness.

R. 13 For the success of the WES Programme, it is crucial that hardware and software components are integrated and equally valued. The CAO and ACAO should play a central role in promoting co-ordination, and in stressing the interdependency among the hardware and software sectors. Since the ACAOs in the WES Programme are new, they and the DPOs should be included in the capacity building activities of the WES Programme such as the Management for Sustainability Course, for orientation and to increase their capacities and motivation. Furthermore, the RUWASA experience shows that investing in team building significantly improves the performance, collaboration and effectiveness of the DMT.

R.14 The relation between DMTs and LC 5 Councils should be strengthened where not yet optimal, and should be based on a clearly understood and agreed division of

tasks and responsibilities (Letter of Understanding). The prioritisation and approval of requests for support for WES facilities should be done by the LC5 through its Sectoral Committee. Approved plans should be followed up by the DMT for further planning and harmonising implementation.

While the DMT consists of competent, active and enthusiastic persons, its individual members often do not have equal status and decision-making power within the team. In general this manifests itself in the marginalisation of some software activities in terms of budget allocations.

In general the names, composition and tasks of the various committees at the *sub-county level* are unclear and vary from district to district. Clarification of the tasks and responsibilities is recommended. The PCU should be supportive in this.

Parish level institutions are not active in management of WES activities. The PDC is a recently established institution which is being trained to participate in data collection for planning. The actual management of the WES facilities is often done by the LC1 directly in conjunction with WUC at village and community level.

R.15 The PDC should be used to ensure linkage of the WES Programme with other GoU-UNICEF and WES-related activities implemented by NGOs, CBOs and other departments. A good example is the linking to CBHC activities in sanitation and hygiene.

At the *village level*, the LC1 is involved in supervision and conflict management, but also seems to be taking over the general management tasks of the WUC, which in practice plays a very minimal role in WES facility management. In general, the need for a caretaker is recognised, but for communities a clear need for a WUC with six members does not exist (see also Section 9.1.4).

R.16 To achieve sustainable water systems, an autonomous management body at the water system level is very much needed. In this body, say WUC, the political influence should be minimised to prevent intervening and misuse. The WUC must have democratic control mechanisms in which politicians amongst others could play a role. It is recommended that the Programme addresses the need for strong WUCs urgently.

5.3 Coordination and communication

In general, coordination and communication is felt to be weak and insufficient, especially among key actors at the different levels, but also among actors at the same level.

Communication and co-ordination between the UNICEF WES staff and the PCU needs urgent attention, since it seriously hinders the implementation of the WES Programme at the national and district levels. Staff- and capacity-wise these are very strong teams. They are supposed to work together and in several activities they have shown they can. But the common practice seems to be that the UNICEF counterparts are more involved in keeping

strict control of the programme as opposed to contributing to optimal WES Programme development and operations by supporting the PCU members from the ministries. This causes confusion and sometimes even conflicts.

R. 17 Different options should be evaluated on how to improve collaboration and communication between the PMT, PCU and the UNICEF WES Section. The UNICEF WES team should work more closely together with the PCU. In addition roles and responsibilities should be clearly defined to promote transparency. One way to avoid overlap and ineffective use of human resources is to identify specific tasks and responsibilities for the UNICEF WES staff. Their involvement should be on an advisory basis, and can include the strengthening of advocacy activities, the development of guidelines, training materials, and other communication tools and documents. Another area they could support is capacity building at the district level.

R. 18 The Evaluation Team recommends the PCU to regionalise by outposting the majority of its members to various regions, each region covering five or six districts. To reach this number of districts per staff, a few PCU staff need to be recruited. This outposting should have a time horizon of only several years and not interfere with the positive decentralisation processes at district level. During the Synthesis Workshop this idea was supported, although not by all actors. The person remaining behind at headquarters can be located under the new Planning and Co-ordination Unit presently being established in DWD. This suggested re-organisation is similar to the set-up for a new EU-funded project on GFS that will have four advisors posted in two regional locations. These four advisors could take on all PCU activities for the eight districts of the EU-project. The suggested regionalisation of PCU staff is seen as a positive development to strengthen the PCU role, particularly in guidance, follow up and supervision, but also in terms of general efficiency and effectiveness. However, funds for logistics and transport should be adequate. The profile of the regional PCU members should focus foremost on management capacities, and much less on 'technical' capacities in the field of WES. This will improve not only the coordination but also supervision and support to the districts.

At the district level, it is being expressed that while the working relations between PCU and districts is good, proper communication and sharing of information in both directions is still lacking, especially concerning timely information on finances and work plans. This problem is also expressed at the sub-county level concerning the communication between district officials and their extension staff.

R. 19 Regionalisation of PCU staff is also recommended for the improvement of financial management and accountability at the district level. Clear procedures on financial management should be agreed upon in Letters of Understanding for improved transparency.

R. 20 Clear lines and agreements for communication have to be established between the various actors in the WES Programme, both within one administrative level as

well as among the various levels. Participatory workshops to identify these lines and agreements should be organised with all key actors, also allowing for capacity building on communication skills.

Although the S/C Chief is the overall co-ordinator for the WES Programme in his/her sub-county, the extension staff often work on their own initiative without properly informing the S/C Chief. Usually they do not copy their monthly reports to the Chief. Also district officers at times communicate directly to their extension staff without informing the Chief. It was also mentioned that regularly district staff, especially the DWO, communicate directly with communities, by-passing people at the sub-county level completely. This leads to an inefficient use of resources and causes a lot of frustration on the side of the extension workers and S/C Chief.

LC3 councillors could be more involved in community mobilisation, especially in sanitation, since they can be key advocates and change agents for the WES Programme. Sub-counties should be encouraged further to contribute to WES activities.

The sub-county level has a great need to develop capacities through learning, particularly as it is becoming the implementation focus of the WES Programme. The Inter-Sub-County Meetings, planned for 1998, are good platforms for the exchange of experiences, through which S/C staff can learn from each other and increase the capacities of the WES actors.

R.21 The Inter-Sub-County Meetings should be well-structured using a relevant WES theme in each meeting (e.g. demand-driven approach; planning; etc.)

R.22 Regular meetings of extension staff and their S/C Chief should be advocated and budgeted for to improve planning and efficient use of resources.

Although a communication structure between the village and the sub-county and district levels exists through the extension workers, its functioning is poor due to various factors including logistics. Co-ordination with the village level is usually through LC1 officials, often by-passing the parish level. The information flow from the district to the village is very poor.

Co-ordination and communication at village level is good. The main actors in WES are the users, LC1 and LC2, and the WUC, and communication is enhanced by the fact the WUC are selected by the community. However, communication on financial issues between the WUC and the users is poor and has to be improved (part of CBMS emphasis).

The WES Programme has forged working linkages with NGOs in various districts, these include IFAD (Hoima), CPAR (Apac), LWF (Moroto), Uganda Red Cross (Ntungamo), and also with donors e.g. Danida (Rakai). Some CBOs are involved in co-ordination and collaboration activities, e.g. the Rushoka Community Water Project in Ntungamo.

Communication with other sector projects such as RUWASA is generally limited and needs improvement. Collaboration with other NGOs exists particularly at district level through attendance of meetings and joint implementation but can be improved in terms of planning and implementation. Implementation of other GoU-UNICEF programmes is managed

through relevant district departments which usually do not co-ordinate their activities with the WES Programme despite the fact that they may be using the same implementors (CDAs, HAs, VHWS) performing similar tasks. There may be sporadic good examples that the Team missed.

R. 23 Collaboration with other district-based GoU-UNICEF programmes, NGOs and external projects should be strengthened through the DMT to increase efficiency and to benefit by exchanging and learning from each others' experiences. Modalities need to be developed particularly at district level. The NGO Forum on WES (central level) needs to be revitalised. With RUWASA, being a DWD project, co-ordination could be through the planned Planning and Co-ordination Unit in DWD but communication channels need to be internalised.

5.4 Planning

The Annual Plan of Action for the WES Programme is made at the national level by the PCU on the basis of submitted district work plans and budgets. This process now takes four to six months, which causes serious delays in implementation. Districts voice that in the process of transferring their work plans into a national WES plan (PPA), the PCU makes major changes without sufficient consultation. These changes are also due to increased attention on specific subject areas, e.g. institutional sanitation, and the geographic focus to reach more equity in water supply coverage.

Although the support from UNICEF Uganda is commonly acknowledged, by national and district institutions, UNICEF influences the planning and budgeting significantly with their own policy priorities, which not necessarily correspond with national or district priorities. The importance of UNICEF Uganda's role as initiator of new ideas is being recognised. Nevertheless, the demand-based approach cannot be realised without planning and budgeting being based on the needs of sub-counties and districts which are reflected in the district plans.

R. 24 Annual planning should be based on the submitted district plans, and any significant deviations should be discussed with the districts. The direction of plans towards UNICEF's policies should only be done gradually and after mutual agreement at different levels, so this needs careful communication and advocacy. The annual planning process should be made shorter.

Release of funds and materials from the national level is irregular and often delayed. This disrupts work plans and affects accountability in terms of time, as district work plans and budgets have to be submitted quarterly. Starting in 1998, this is changed to bi-annual work plans to improve the efficiency of implementation and ability to stay at pace with the accounting procedures. Furthermore, the release of funds is also recognised to be delayed by poor and late accountability of the districts.

The UNICEF procedure for the procurement of materials through UNICEF's Procurement Office in Copenhagen, is not flexible. This forms a bottleneck for the implementation of WES activities.

R. 25 Solutions should be sought for the long delay in procurement of materials; these may include a contingency fund for local procurement; increased stock of materials; local procurement of materials as much as possible, which enhances the private sector and the availability of these materials in the future. Another suggestion which was raised during the Synthesis Workshop is to stop the central procurement of materials completely (see Section 6.2). If carried out carefully and strict district-based control mechanisms built-in, this option has the preference of the Evaluation Team.

At the district level, planning and budgeting for WES is done by the DMT, and sometimes incorporate sub-county plans. WES activities are incorporated into the overall district development plans. Although districts have been trained in planning and budgeting under the WES Programme, the structure and the quality of the districts' plans and budgets need to be substantially improved.

R. 26 Although a good start has been made, planning and budgeting capacities have to be further strengthened at the district, sub-county and lower levels. This capacity building should have various components, such as training, guided participatory planning workshops and meetings to exchange experiences, and regular supervision and support for trouble shooting. Capacity building should include an extensive orientation on how to implement the demand-driven approach. PCU, through their outposted staff with possible assistance from consultants could address this.

Although sub-counties are beginning to plan and allocate funds for WES activities, planning and budgeting for WES is generally still weak at sub-county level. Extension staff make plans and submit them to the LC3 Council for approval, as well as to their officials at district level. The information and guidelines for proper planning that reach the sub-county from the districts are inadequate. The sub-counties feel that the process is not transparent. Extension staff generally expresses a lack of feedback and consultation from the district on their work plans, which hinders their performance (see Section 7.3).

The parish level is generally not involved in planning. Written village plans do not exist, yet local leaders know very well what they want and what their priorities are. However, these ideas might not be developed in a participatory process allowing for the views and ideas of all community members, including women, men and children.

R. 27 Extension staff should play an important role in ensuring a participatory and gender-responsive process, as well as in the actual writing of the plan, thus building village capacities. If such village plans are documented and agreed upon, then carrying out implementation and follow-up activities will be easier, both at the village and higher levels. It will also greatly enhance the institutionalisation of planning at village, parish and sub-county level.

R. 28 In some districts, Parish Development Committees have been trained in planning. Their potentials should be utilised to help communities to come up with their

plans and priorities. Furthermore, the WES Programme should make better use of the CBHC programme and the locally available staff from NGOs.

The process of receiving and channelling demands from the village level needs to be streamlined, as currently demands either go through the LC3, LC5 or directly to the CAO. This uncoordinated practice jeopardises the possibilities for systematic planning (see also Section 8.2).

5.5 Financial management

Funds from UNICEF and the Government of Uganda to the districts for WES activities are released by the PCU. These funds are generally felt to be inadequate to properly carry out the identified and planned WES activities. Districts feel limited in funds as a result of decentralisation. Although the demand based approach and decentralisation processes have helped in resource mobilisation from the communities, allocation of funds for WES activities by the district is still inadequate or non-existent, and the actual release is minimal.

R. 29 WES staff at the district and national levels should be more pro-active in mobilising resources to support WES activities, such as the new GFS project which is funded by the EU. Especially for the funding of expensive water supply technologies such as boreholes and GFS, external support continues to be needed. For less expensive water supply systems (e.g. protected springs and wells), local revenue collection from users and LC allocation should be stimulated.

At district level, the CAO is the overall accounting officer of the WES Programme, and s/he requests the release of funds from the national level. This request and the allocation is based on plans and budgets received from the department heads through the DMT. At the district level it is voiced that not enough of the resources go down to the real beneficiaries of the programme at village level, and that the WES Programme is too much focused at district level in terms of finances.

All key actors feel that accountability at district levels is poor. This is particularly because strict procedures and guidelines are lacking, as are supervision from the national level and from the LC 5 Council.

R. 30 Budget allocations should be made following the principles of the demand driven approach. Budget allocations at the district level for WES activities should be made more transparent in all stages of planning and implementation.

R. 31 Accountability at especially the district level has to be significantly improved. Clear agreements and procedures on financial issues, and Letters of Understanding (LoU) between the various actors are needed as good instruments for greater commitment as well as accountability at all levels. Based on the positive experiences in SWIP, WATSAN and RUWASA, it is recommended that these LoUs are re-introduced and signed at the planning stage. Furthermore, more guidance and supervision should be given in order to build district capacities in financial management. Possibilities for mis-use of funds and materials have to be minimised

through good control mechanisms that have to be developed and internalised. The district internal auditors should be involved to check the use of funds versus activity outputs. The auditors should also be involved in building LC officials' abilities to check activities taking place in their areas.

NGOs contribute to water and sanitation activities in the districts but the budgets and expenditures are not known. Improved collaboration can increase the effective use of resources and avoid overlap (see also Section 7.3).

Sub-counties have started budgeting for WES activities, although on a small scale because realised tax collections remain low. However, the return of paying taxes becomes more visible when these taxes are invested in village WES projects. Sometimes, larger expenditures for WES activities are hindered by the fact that taxes are collected in small amounts over a period of months.

R. 32 The various administrative levels should allocate budgets for WES activities, and ensure actual spending. Commitment to this budget allocations should be arranged through Letters of Understanding, and should be made conditional for the release of funds from the national level (matching funding arrangement).

In the framework of further decentralisation, funds for implementation are planned to go via the district to sub-counties directly. A start has been made with developing procedures for streamlining this channelling of funds.

R. 33 The planned channelling of funds through the district directly to the sub-county is estimated to benefit the actual implementation of WES Programme, and can ensure that a larger amount of the budget actually reaches the communities, provided the key actors at the lower level have the right capacities in financial management.

Although villages contribute to O&M and capital costs, there is no financial planning at this level. Contributions are collected when needed.

R. 34 Good financial management of facilities as part of CBMS is recommended at the Water User Committee level, thereby ensuring long-term financial sustainability of the facilities. This includes good cost recovery procedures, for instance through user charges.

5.6 Supervision and support

District staff are not adequately supervised and supported by the national level. When visiting the district, the PCU limits itself to contact with the district staff at the district headquarters. This limits their capacity to have an overview of what is happening in the WES Programme at the lower levels, hence weakening their supervisory and supportive role. It is envisaged that the suggested regionalisation of PCU staff will significantly improve their possibilities to properly guide and supervise district staff.

R. 35 In order to increase the effectiveness of the PCU guidance and supervision, it is recommended that PCU staff go into the field together with the district staff, to be able to see what is happening on the ground and share experiences with other WES Programme actors.

The role of the district in the WES Programme is gradually changing from implementor of physical projects to that of facilitator of activities at the sub-county level. In some districts they already carry out capacity building at the sub-county level but are somehow resistant in releasing the role of constructor, particularly as the private sector, which is supposed to take over, has not developed capacities as yet. On the other hand, the central level (including UNICEF) and the districts do not create a good environment for the private sector to take on activities.

District staff provide inadequate support and supervision to lower levels, especially to extension staff. The linking of supervision with capacity building activities will increase effectiveness, reduce expenditure and stimulate shared learning experiences.

R. 36 It is recommended that district staff have regular meetings with their respective extension workers. This will have many positive impacts, such as having a better overview of field activities and improved planning, implementation, follow-up, staff performance and motivation. Therefore budget provisions for regular meetings have to be assured, including facilitation.

Construction of water sources is supervised by a number of WES key actors (DWO, Water Field Officer, CDA, HA, local leaders) making it inefficient. Co-ordination among these actors is minimal and quality assurance of the construction is often poor.

R. 37 The supervision of construction activities has to be better co-ordinated. A clear division of responsibilities will limit the duplication of efforts. Effective quality control is needed.

Extension staff are inadequately facilitated, especially in terms of allowances and transportation, and they receive inadequate supervision from the S/C Chief. Also the LC3 gives minimal support, including financial resources.

R. 38 Appropriate transport and allowances for extension staff should be made a priority at district level, and can be provided for on a cost-sharing⁸ basis to increase a sense of responsibility. Likewise, appropriate arrangements have to be made for proper maintenance of means of transportation.

R. 39 The WUC and LC1 need stronger supervisory and training support. Provision of tools and equipment for digging by the sub-county on a cost-sharing basis can support people in pit digging, especially in rocky areas.

⁸ cost sharing of transportation means (e.g. motorcycles) between district and extension staff

5.7 Monitoring

In general it is felt that there is insufficient monitoring and supervision from the national level, particularly from the PCU and UNICEF WES officers. Recently, the M&E unit in DWD developed a set of survey tools for WES-MIS (January - March 1998). This set is very comprehensive tool for MIS but its efficient and effective use needs to be reviewed in the operational phase to come. The MIS looks more for state-of-affair than for functioning and use on water supply and sanitation.

In various districts, monitoring activities are carried out under other programmes, e.g. the GoU-UNICEF programmes and activities such as CBHC, GWEP and the Centennial Community Surveillance, and the Danida-supported Village Impact Monitoring System of the Rakai District Implementation Programme. Information retrieved through these activities are not or insufficiently shared.

CDAs and HAs are supposed to monitor and report on a monthly basis to their respective district staff on water supply and latrine coverage, hygiene in homes, and in some cases on the functioning of WUCs. Evidence of these reports can be found in some districts, although the number of extension staff practising this and the frequency of submission monthly reports vary widely. The effectiveness of this monitoring and its frequency is questionable.

These reports are generally not copied to the S/C Chief or to the villages concerned. At district level, the information is felt useful, and is said to be used in planning and budgeting, but it is felt to be insufficient because district staff do not carry out monitoring activities themselves.

CDAs and HAs rarely receive feedback from the districts on their reports, which seriously affects their motivation. At village level, the information is being used by the extension staff and local leaders to enforce by-laws, e.g. in the construction of latrines, and for WUC to help in the collection of O&M contributions.

R. 40 Systems and procedures on monitoring of processes, progress, institutional performance and sustainability should be developed and implemented by the key actors of the various levels. It should specifically focus on the collection and analysis of and follow-up on information at the lowest appropriate levels, thereby empowering people to act when felt needed. Of crucial importance to the success of a monitoring system are among others the following issues: the purpose of monitoring being improving programme efficiency and effectiveness, and not reporting; information should be collected by the person who has a vested interest in it; the ability for this person to act upon that information; and the collection of the minimum of information. By developing monitoring systems and tools in a participatory way, involvement and shared ownership of all actors involved in the monitoring will increase its effectiveness.

R. 41 Further development of skills and knowledge on monitoring is a must for the key actors at all levels. Training should be supplemented and followed by the learning-

by-doing development of a system, regular guidance, supervision and feedback, and by training materials and other background materials.

R. 42 *Experiences on monitoring other projects like RUWASA and other GoU-UNICEF programmes should be used to learn from these experiences and to avoid the duplication of efforts. The Co-ordination, Communication and Advocacy programme of GoU-UNICEF is also currently developing a management information system which the WES Programme may be able to make use of. The WES Programme could also learn from the current Community Capacity Building (CCB) process and utilise the PDCs in place. The CCB is a joint activity of the ministries of Local Government, Planning and Economic Development, and Justice.*

5.8 Human capacity needs

The emphasis of the WES Programme on capacity building at the district and sub-county level is probably the most successful area but the least visible. Human capacity is the foundation for sustainability of the WES Programme at all levels.

At the national level, the capacity and number of key actors involved in the WES Programme is somehow adequate, but clarification, better delegation and better co-ordination of specific tasks and responsibilities is needed.

R. 43 *The PCU needs refresher training on new project planning methodologies and project management concepts to develop proper managerial skills.*

District staff has identified the need for further training in planning, monitoring, mobilisation of resources, mobilisation of local leaders, technical options, gender awareness and responsiveness, participatory methodology and management of WES information.

R. 44 *The Evaluation Team confirms that training in these fields is needed but the needs per district are to be assessed to enable better priority setting and use of meagre resources.*

At the national level it was indicated that the training of sub-county staff by district staff, after having received a ToT, was not an effective approach as messages get diluted and changed. The use of Ugandan professional trainers not only takes care of this last disadvantage, but also lightens the workload of the WES Programme staff. On the other hand, using WES Programme staff as trainers can also be seen as a capacity building effort.

R. 45 *A quick study should be carried out into the effectiveness, advantages and disadvantages of training at the sub-county, parish and village levels by trained district staff versus the use of Ugandan professional trainers.*

The IRC/NETWAS training on Management for Sustainability is generally very well appreciated by the participants and skills and knowledge are being applied to some extent, especially in planning. As only few district WES staff were trained, it was difficult to

introduce new ideas. Nsamizi training is generally appreciated although attended by few. The effectiveness of such courses would increase if structured follow-up support in planning and management were provided.

The different departments involved in the WES Programme like the Department for Community Development have a shortage of manpower in terms of numbers and competence levels. More staff is needed, especially CDAs and HAs. Some sub-counties are manned by under-qualified staff, e.g. Health Orderlies.

R. 46 Efforts should be made to recruit preferably one CDA and one HA per sub-county, especially since they are the key link between communities and districts in planning and implementation of WES activities. As HAs and CDAs are involved in many programmes/projects, their activities (e.g. monitoring) should be coordinated with other programmes. Involvement of the parish level actors could also facilitate better communication.

The number of handpump mechanics trained is inadequate. There is no evidence of latrine masons trained. S/C Chiefs, LC1, LC2 and LC3 officials are generally not trained in WES issues. Within WUCs, capacity in terms of skills e.g. in record keeping for O&M is lacking. The caretaker and WUC are insufficiently trained, and no refreshers are given or follow-ups made.

The private sector needs support for capacity building through joint ventures and shared learning opportunities.

R. 47 In general, staff at all levels will benefit from capacity building on gender, planning, monitoring, the demand driven approach, implementation, management of finances, accountability and monitoring. However, equally important is the follow-up that is to be given to training activities through action-learning, i.e. participatory review and further improvement of the practices learned in the training.

R. 48 Human capacity building should go hand-in-hand with institution capacity building, including facilities and equipment, but also with the opportunity to apply the newly acquired skills and methodologies learned.

R. 49 Local leaders need to be given WES information and be strengthened in communication skills as they are key advocates for WES.

R. 50 Recruitment practices need to be gender sensitive to allow for more women staff to be involved in the WES Programme at the district and national level. This will enhance better communication with communities, especially women, who are key actors in all WES activities. It is recognised that the reservoir of experienced female professionals for WES Programme activities is limited.

6. The WES process

Uganda's policies are guided by the relevant global policy declarations⁹. Therefore, the role of the government as an enabler in a participatory demand-driven approach forms an important component of the strategy of the WES Programme. However, although the WES MPO 1995 - 2000 mentions the demand-driven approach as a strategy component, there is no further elaboration on how this approach fits into the Ugandan context and how it should be implemented in WES.

R. 51 A clear policy and strategy on how to implement the demand-driven approach in the WES Programme should be developed. It should include an explanation on how the approach fits into the Ugandan context. Guidelines and manuals should be developed on how to put the approach into practice. This information should be disseminated in a strong communication package to all the key actors in the programme, preferably adjusted to their specific roles and responsibilities.

6.1 The demand-driven approach

Demands are strongest voiced in relation to water supply facilities. In the majority of the villages visited, people indicated a need for water supply improvements. Many have put forward a request for a new or improved water supply system. Their demand for water is further expressed by their willingness to contribute to the water improvement through funds, labour and local materials. It is observed that communities' willingness to pay is primarily determined by the availability of alternative water sources. It was found that poorer communities that lack alternatives are more willing to pay for water than richer communities that do have other sources, although less safe. Thus the demand driven approach does not automatically further marginalise poor communities.

In general, the only level where the demand driven approach is taking place is in those communities where people face serious water quantity problems. They request district officials for support in water supply improvement.

The demand for sanitation is increasing but still generally low to virtually non-existent in exceptional cases such as Moroto District. In some regions a demand for sanitation is shown through the sales of locally produced sanplats, which are generally more affordable than the sanplats provided by the district authorities, because there are fewer or no transport costs involved. The increased attention for sanitation that is seen presently is mainly due to the cholera outbreak. This has initiated intensive campaigns¹⁰ on sanitation facilities and hygiene practices, and has resulted in by-laws on the construction of latrines. However, the long-term behaviour change is not ensured and needs consolidation by strong follow-up once the cholera is under control.

⁹ These global policy declarations include the 1990 Water, Sanitation and Environment Conference in New Delhi, the Convention on the Rights of the Child, The World Summit for Children in 1990, the Dublin Water Conference in 1991, the UN Conference on Environment and Development in Rio in 1992, and the Noordwijk Ministerial Conference on Drinking Water and Environmental Sanitation in 1994.

¹⁰ through messages on radio, tv, newspapers and posters from MoH accompanied by direct approaches through health staff and politicians.

R. 52 To increase the demand for sanitation and to maximise behaviour change both on the short and long term, the right balance between thorough sensitisation on the benefits of sanitation, and legal and social pressure should be sought. Sensitisation efforts should be made in a more participatory way, taking into account and building on existing views on sanitation and hygiene. Furthermore, the importance of women as potential change agents should be recognised and maximally utilised.

The attention for latrine facilities in schools has also increased due to the cholera outbreak, and currently many sanitation facilities are being constructed, especially where schools are threatened with closure. Many of these school latrines have temporary structures that need to be converted into permanent ones.

Funds at sub-county, district and national level for physical water supply improvements are limited. The available funds can not meet the demands. The available "water funds" are allocated at the national level and have competition from the other WES Programme components. The PPA is based less on demands from the districts (expressed in the district plans in which the demands from the villages are poorly reflected) but influenced more by priorities of UNICEF.

R. 53 The method of planning and budgeting is one of the most essential features of implementation of the demand-driven approach. Therefore, planning and budgeting for WES activities at a certain level should always be based upon the WES work plans and budget that are developed at the levels below, and should be finalised in consultation with these levels.

R. 54 The demand-driven approach can be used as a mechanism to scale down the WES Programme, by making a district allocation for the WES Programme a requirement for receiving matching funds from the national level. The required districts allocation should depend on the revenue base of the specific district. In the RUWASA project this type of arrangement is successfully incorporated through the Letter of Understanding.

Generally, male staff especially at district and sub-county levels lack the awareness and skills to make the demand-based approach gender responsive. Female staff are few but in general more gender responsive. In the field there is an absence of methods and materials on how to implement gender responsiveness into WES activities.

R. 55 At all levels, awareness on gender issues in WES and skills on how to put a gender responsive approach into practice should be increased through training and follow-up refreshers, regular guidance, opportunities for exchanging experiences, shared learning opportunities and support materials.

The success of the demand-driven approach depends foremost on the flow and sharing of information between communities and the other WES actors. The demand-based approach is instrumental in creating the right sense of ownership among communities, because it can respond to the real needs of the community. However, the risk exists that less informed communities are further marginalised when they do not receive sufficient sensitisation,

leading to less or unimproved facilities. Another disadvantage may be that requests are received in a more scattered way, which hinders cost-effective planning and implementation.

R. 56 Information exchange, especially between the communities and the WES implementors, is of crucial importance for the success of the demand-driven approach. Therefore WES staff at the district and sub-county levels as well as local leaders should be re-oriented towards participatory communication and gender-responsive skills, and they should be supported with adequate manuals and other materials. Guidelines for communication and a structure for the management of information should be developed to increase and ensure proper communication and information flows among all levels, giving ample emphasis to the village level.

6.2 The formulation and processing of requests

Requests for water supply are formulated at the village level. The initiative can be taken by a variety of persons, but usually a local leader is instrumental in the process. In a number of cases it was found that the initiator in a later stage becomes caretaker, although caretakers are also often persons who live closest to the source.

Requests are usually forwarded verbally, and rarely in written form. Furthermore, the request is seldom the result of a participatory process where all members of the community have had the opportunity to express their views and ideas. Therefore, the risk exists that the requests are not supported by a majority of the community, and that they do not reflect the views of both women and men.

R. 57 Extension workers and local leaders need to be re-oriented and guided in how to apply the demand driven approach in a participatory and gender responsive way, ensuring that the needs of all community members are taken into account. The use of participatory tools is a must. More training and follow-up is needed in this.

R. 58 Communities should be encouraged to write down their village plans, if needed with help of an extension worker or PDC, to support follow up activities in the village itself as well as on higher levels, and to strengthen their position in the whole process.

The responsibility to forward the request for a new or improved water source is mainly given to LC1 or, if available, LC2 officials. This process at village level seems effective and satisfying all actors involved, although influence of political interests is possible.

The request is forwarded to the LC5, CAO, DWO or to the DEO in the case of school sanitation, either directly or through the S/C Chief or LC3 chairperson. In some occasions requests are written down in the monthly reports of the CDAs and/or HAs, and forwarded to respectively the DCDO and the DHI or DMO. Although no clear procedure exists, local leaders always know how to find their way to the district officials. The absence of a clear system to request for WES facilities hinders the systematic processing of demands and

undermines transparency. See also recommendation 14 which suggests roles for LC5 and DMT in processing and approving S/C plans.

There is no system for the processing of demands. (Under SWIP there was a bottom-up 18-step planning procedure, which was appreciated because it was very clear although time consuming). The lack of clear criteria for the approval and priority setting of requests allows district staff to set their own priorities.

In most cases, communities do not receive any feedback from the district on their requests. In cases when feedback is given, it is either through the extension staff or directly to the LC system. This means that communities often do not know whether or not their request can be met. And if positive, what to expect next; no Letter of Understanding, no action plan is made. Furthermore, communities and local leaders (including the S/C Chief) are not informed about the materials that will be supplied by the district. This leaves a lot of room for the disappearance of materials, and the allocation and delivery of materials to the wrong places, as is reported from the field.

The lack of clear response from the district to community demands, combined with the political interference at the district and sub-county levels on the allocation of water systems, especially boreholes, jeopardises the trustworthiness of the approach at the only level where it is being practised at this moment, the community level.

R. 59 A clear and transparent procedure on the processing of and responding to demands should be developed to increase efficiency and accountability, especially of materials. This should include objective criteria for the honouring of demands, ensuring an equitable spread of resources among those who are most in need.

6.3 Reflection of demands in development plans

At the sub-county level, existing plans show that needs for water supply and institutional sanitation are taken into account. However, capacity building in planning and budgeting still has to be improved at this level. At the district level, a start is being made to incorporate sub-county development plans into the district annual work plan. However, there is still insufficient knowledge and willingness at district level to work fully according to the demand-based approach. This unwillingness is possibly caused by the fear of making demands that cannot be met, and the lack of experience with and confidence in the approach itself.

R. 60 WES actors at all levels should be re-oriented and trained on how to plan, budget and implement WES activities using the demand-driven approach. Proper guidance and follow up is crucial for the actual implementation, so is the availability of appropriate manuals and other materials.

6.4 Decision making

On technology choice for water supply, decisions are taken by technical staff, based on topography, hydrological conditions and the options known to them. Community preferences are not or not sufficiently taken into account. In general it is felt that the knowledge of extension staff on water technology options is limited. District staff are more knowledgeable on technology options. However more regular refresher workshops and updates are needed, especially on alternative technologies and service levels that are more appropriate for specific areas.

However, even more important than their technical knowledge, is extension staff's ability to explain to communities the implications of certain technology choices, such as their required contributions to capital costs and O&M, and the skills required for O&M.

R. 61 Although technology options for water supply are to a large extent determined by technical factors, it should be ensured that communities make the final informed decision on the choice of technology.

R. 62 Clear overviews and simple documentation should be made available on the implications of the various technology options in terms of cost (capital, O&M, replacement), operation and maintenance, and site. A procedure should include that each community has to be informed about these implications before they make a decision on their technology preference.

The community is usually involved in the site selection of the water facility. They are generally able to select which of the springs they want to have protected in case there is more than one available. Although determined by geo-hydrological conditions, the siting of boreholes is sometimes influenced by politicians, which seriously affects community commitment to the source.

R. 63 In site selection for water supply, political influences should be minimised through clear procedures and orientation of extension, technical staff and politicians.

Regarding sanitation, decisions on the site and technology used are taken by the men, since they are involved in the digging of the pit and they control the household finances.

Within the community, the men usually dominate in decision making, although some cases were found in Rakai and Apac where women expressed a gender balance in the decision making on the siting of latrines and the water sources. It is important that women participate in decision making on water and sanitation, because they are key users and therefore are able to provide knowledge and views that are not known to others. Examples include the most appropriate pit latrine cover for cleaning, the size of the squat hole to ensure the safety of children, the accessibility and quality of water sources, the siting of the latrine to avoid smell and flies in the kitchen.

R. 64 Technology choice, site selection and other key decisions for both water supply and sanitation should be made by both women and men, also taking into account the

views of children. Therefore, mechanisms are needed to increase women's involvement. Instrumental in this process are the extension workers. In all districts it is found that there is a need to improve the skills of extension staff on participatory tools and gender-responsive interaction.

7. Sustainability of WES facilities

A practical definition of the sustainability of facilities is the continuing functioning of a service and its continuing use by the community it was meant for, resulting in the benefits originally aimed at while external support has stopped. The sustainability is largely determined by the CBMS which includes the following elements: institutional arrangements; appropriate technology; reliability of the service; appreciation by the users group; financial arrangements and control systems; operational and maintenance capacities; availability of spare parts; and sub-county and district support.

7.1 Water supply

The sustainability of water supply services and systems is a key issue of the WES Programme. The CBMS is the system introduced to achieve the sustainability. The ultimate aim of improved water supply is the improvement of health and economic standards, which in turn gives motivation and means to sustain the water supply system.

The commonly promoted and applied technologies, in order of the WES Programme's preference, are:

1. Spring protection
2. Shallow well with handpump
3. Borehole drilling with handpump
4. Gravity fed system (GFS)
5. Rain water harvesting for institutions

7.1.1 Appreciation

In general, new or improved water sources are appreciated, usually because the water is cleaner and more reliable. Health benefits are recognised but are not always the main motivational factor influencing the choice of water source.

In the case of protected sources, the risk of children drowning motivates people to request for protection, even when the risk exists that the source will dry up. Convenience is another recognised motivation for protection.

Boreholes are generally more reliable, although the water does not necessarily taste better and they may not be at a closer distance. In a number of areas the alternating use of ponds in the wet and boreholes in the dry season can be seen.

As far as GFS are concerned, the appreciation is found to be much lower in areas where there is a high percentage of non-functioning taps. Also the management of GFS is much more difficult, with potential conflicts between upstream and downstream users.

Despite the general appreciation for water facilities, in a majority of cases the demands are not met. Hence, water sources are overloaded, causing frequent breakdowns, as in the case of boreholes. In specific areas serious water quality problems exist, such as salty water. One case of an earlier constructed borehole was said to contain traces of lead, which caused the

death of animals and led to its abandonment and a general distrust for boreholes by the local communities. The present demand for new and improved water sources exceeds the available resources available for water supply.

R. 65 As much as possible, districts, sub-counties and communities should be stimulated to allocate funds for WES activities to meet with the high demand for water . Through advocacy, local leaders should be sensitised for water investments. WES staff at district and national level should explore possibilities and lobby for the involvement of other organisations to support the construction or improvement of water supply, especially in cases where the technology is too expensive to be paid by the community and S/C only, such as for boreholes and GFS.

R. 66 It is suggested that before water facilities are constructed the water quality is tested for parameters that affect the acceptance and appreciation, such as taste, salinity and iron content, but also for parameters affecting health such as fluoride and nitrate. This should be done by the district water or health department.

7.1.2 Functioning and use

The present water facilities are generally used by a large number of people, causing frequent breakdowns as in the case of boreholes. A substantial number of water facilities do not function. The following table gives an indication of the functioning of various water supply technologies found in the six districts visited.

Technology	Estimated functioning range
protected springs	60-80% (some drying up)
handpumps on shallow wells	no information
taps in GFS	10-70%
handpumps on boreholes	from < 50 in some districts to > 70% in other districts
rain water harvesting	70-80% for household systems

based on discussions and observations in the districts visited by the Evaluation Team

The Team identified the following factors that contribute to poor functioning:

- WUCs/WSCs (crucial in CBMS) largely dormant
- Lack of a proper organisational structure in O&M
- Inadequate technical skills for O&M
- Lack of tools and spare parts
- Lack of preventive maintenance
- No feeling of ownership due to low level of community involvement; some water supply systems are still seen as SWIP, WATSAN or government property
- Poor workmanship in original construction
- poor designs
- Required repairs not carried out as alternative water sources are used
- Vandalism (mainly in the case of GFS)
- Corrosion of pipes and rising mains in aggressive water
- Availability of alternative sources

- Arguments with land owners on right of access and ownership system
- Poor quality of water (taste, colour, contamination)

R. 67 The WES Programme needs to look into the balance between supporting new water systems and rehabilitation support for existing, non-functioning systems. In rehabilitation the demand-driven approach, community participation and CBMS leading to ownership and sustainability must be followed.

Communities use safe water supply facilities and systems mainly for domestic purposes. The unprotected sources are used for other purposes. In the few cases where the systems (such as GFS) have sufficient quantity of water, they are also used for watering animals, small scale irrigation, fish ponds, making bricks, sanplat production, etc. These income generating activities contribute to poverty alleviation. Communities that have to walk long distances to collect safe water, use this for drinking purposes only.

7.1.3 Community contributions and ownership

In general, communities contribute to the construction of new or improved water sources in the form of funds, food, labour and local materials such as stones, sand and clay. This has the advantage that local resources are used, which is important in view of the limited funds available from the central level. However, the communities feel that their contributions are too high, especially in cases where local materials are not available or transport is not being provided. In these cases the community contribution for the protection of a spring can amount to more than 80% of the capital cost.

R. 68 Furthermore, the WES Programme could consider making special arrangements for communities or people within communities who are less or not able to contribute, e.g. allowing for contributions in kind or (cross) subsidies. Transport of local materials(if needed) should be provided by the district.

All key actors in the WES Programme express that the feeling of ownership among communities has increased, mainly due the fact that they contribute, which enhances the sustainability of the water supply facilities. At the village level, users clearly express that water sources are theirs, especially in the case of protected springs. However, the boreholes constructed under SWIP are generally still felt to be owned by SWIP. For water systems such as GFS, that cover a large area, i.e. several parishes up to several sub-counties, communities have a low sense of ownership.

In the view of most of the district WES teams however, the level of community ownership of boreholes is still too low. This is supported by the observation that people prefer to look for alternative sources when a borehole breaks down rather than contribute to its repair.

There is no legal procedure on the ownership of land where the water facilities are located, and no attempt is being made to officially legalise community ownership of the land around the water source. In a number of districts this was found to cause problems.

R. 69 Legal ownership of the land around a water source should be ensured before the construction or improvement of that particular source, to avoid future conflicts on rights. This ownership must be made evident by way of a certificate or Letter of Ownership, to be vested in the WUC/WSC or LC1 for community water systems, or in the LC2 or LC3 for larger systems covering several villages and more.

7.1.4 Community-Based Maintenance System

The principle of a Community Based Maintenance System (CBMS) places management of the facilities at the community level, aiming at enhancing the sustainability of water systems through proper management, cost recovery, and operation and maintenance. It is a government policy which has started under SWIP and although not very strong, is still operational, also for systems constructed under the WES Programme. In the districts visited, the main actors involved in the management of improved water systems include the LC1, Water User Committee (WUC), caretakers, handpump mechanics (HPM), and sub-county and district staff.

R. 70 The functioning of the CBMS is largely insufficient to ensure sustainability of the WES facilities. The Programme should put the strengthening of all components of the CBMS as one of the top priorities for the coming years. Advocacy, communication and training supported by guidelines where not yet present should be considered to strengthen the CBMS.

All water points visited had a Water User Committee (WUC) or a Water Source Committee (WSC) which are trained once. However, many of these committees were dormant due to lack of clearly defined roles vis-à-vis the LC1 Councils. Although several committees had lists of users, and records and receipts of payments, in many cases records are poorly kept. These committees have no written rules or regulations governing the management of the water source. There is no evidence of audits and only very few bank accounts were noticed. In most cases the user charge concept was known but not put into practice. O&M support is usually not planned and budgeted for at village, parish and sub-county level. Communities prefer ad hoc contributions whenever the need arises, leading to long down times of the facilities when they break down.

R. 71 Considering the costs for replacement and major repairs of parts of their water supply systems, the communities need to be sensitised on the preferred system of regular payment of user charges in order to create a reserve.

In general, the need for a caretaker is recognised, but communities do not always see a clear need for a WUC, which results in WUCs being less effective.

R. 72 WUCs and caretakers need stronger support in skills development to be able to improve their performance in the CBMS. Besides O&M and the collection and accounting for contributions, they should be more actively involved in monitoring of system performance. More regular training and on-the-job guidance will improve their performance considerably. The gender balance in decision making within WUCs should be improved in terms of number and functions of women.

The observations in the field showed that little regular maintenance was done. The quality of workmanship was poor in many instances. Handpump mechanics will only deliver services against payment, unless they are being paid by the sub-county. Their work has somehow to be controlled on quality.

Caretakers are mainly engaged in cleaning activities, and undertake little or no preventive maintenance. Caretakers also control the use of the facility and collect money when the system breaks down.

R. 73 Caretakers should be sensitised and trained on preventive maintenance, especially for handpumps and GFS. The motivation of caretakers will increase when the WUC provides them, also as incentives, with supporting items such as gum boots, a raincoat and tools.

Currently communities are not clear on the responsibility of replacement costs of major items like the handpump. Major repairs may also require some external assistance to the community from for instance, the district or sub-county. The WES Programme has no indicative figures for yearly O&M and replacement cost of different water supply technologies.

R. 74 This information should be given to communities before they make the final choice on the technology to be applied. Through an improved monitoring system at WUC and other levels, realistic data on O&M costs should be collected. These are useful for both the WUC in setting the user charges and for the sub-county and district to include in the information to communities planning new systems.

Presently, district staff (BMU/BMS) are involved in major repairs. The private sector is to be encouraged to take over this responsibility. This is especially true for desilting of boreholes and fishing in boreholes. Districts and sub-counties shall continue to provide supervisory and technical advice on O&M and general management issues, for a continuing period after CBMS has taken root.

The HPMs were trained a long time ago, and their number is at this moment felt to be insufficient. Furthermore, it is unclear who is responsible for paying the HPM. Some sub-counties pay them a monthly allowance, while in other sub-counties communities pay them for the work done. Even where they receive a monthly allowance, it was reported that they still demand payment from the community. Sub-counties which have retained the HPMs on a monthly allowance, do not charge communities for the repairs of their handpumps. Eventually most HPMs will work as private sector entrepreneurs.

R. 75 Eventually technical skills for maintenance and repairs of particularly handpumps and GFS should be commonly available within each district. More HPMs need to be trained and supported in their effort to operate as private sector entrepreneurs.

7.1.5 Technology appropriateness

The WES Programme promotes the use of appropriate, low-cost technologies including spring protection, shallow wells with handpumps, GFS, boreholes with handpumps, and rainwater harvesting for institutions.

Spring protection

This does not increase the quantity of water compared to the traditional source but improves the quality and safety of use. In some cases where accessibility is poor, steps have been provided. In low yielding springs, ferro-cement tanks have been provided to store the night flow. The overflow is returned to the river for repair rights. The capital cost for spring protection is low, and O&M cost is extremely low and only requires cleaning, fencing and maintaining the catchment area.

Shallow wells with handpumps

These can serve up to 300 persons with 25 LCD. The quality of the construction ensures that the quality of water is maintained. Initial capital cost is relatively low, but substantial cost for regular maintenance is required.

Boreholes with handpumps

Boreholes with handpumps are expensive to construct, operate and maintain. Therefore, they should only be constructed where no alternative technologies are feasible. Boreholes serve larger populations, thus having a higher wear and tear, and requiring frequent and regular preventive maintenance, which is usually lacking. Corrective maintenance or repairs were carried out only when the handpump broke down. The district should play a key role in the promotion of preventive maintenance.

Handpumps

The majority of handpumps used were either U2 or U3. The concern for the water quality is related to hard water and in some cases water that causes corrosion of the metal parts of the pump, particularly to the rods and rising main. Users mentioned that both U2 and U3 suffer from similar shortcomings in aggressive water causing corrosion. U3 is apparently better in shallow wells as it showed heavier wear and tear in deeper wells compared to U2. Stainless steel rods require special handling in repairs. It was said that more skilled handpump mechanics are required for U3, which contradicts the very reason why U3 was introduced as being easier maintenance at village level.

GFS

The GFS can serve many communities, thus reducing the per capita cost. However, as seen in Ntungamo and Bushenyi, these come along with the need for elaborate management systems and also the need for overall water resource management to make them reliable in quality and quantity. On one occasion a village felt deprived of their water, which served wealthier villages located lower. This caused serious conflicts and regular vandalism.

R. 76 For GFSs that cover several villages to parts of several sub-counties, a higher level of management organisation (GFS committee) has to be established, which depending upon the size of the scheme, may have a substantial task to manage the

maintenance and other affairs in the GFS. This needs further development and pilot introduction in some areas. International experiences can be used as a starting point in the development of such institutional and management arrangements.

Rainwater harvesting

A rainwater harvesting system usually serves a limited number of people. It was observed that a school received one 20 m³ tank, which is insufficient for the intended number of users and purposes. Initial costs of rainwater harvesting are high while O&M costs are normally low. Water must be used economically, otherwise it will be lacking when most needed. In some areas (especially Rakai) rainwater harvesting was felt the only alternative water source at household level. The fact that WES does not support rainwater harvesting at household level was seen as a serious constraint.

R. 77 Rainwater harvesting for households should be supported in areas where no other alternative water sources are available.

7.2 Sanitation

Several initiatives to advocate sanitation have been taking place at the national level for the past few years. However, generally there has been little follow-up and real implementation of the ideas generated.

Advocacy for sanitation through the National Sanitation Forum has lacked the momentum to continue as there has been no follow-up on the Kampala Declaration on Sanitation (October, 1997). There is little action on many of the resolutions made at the Forum. More than half of the members who signed the Declaration in Kampala were holding elective offices which have fallen vacant because of the LC5 elections of February 1998.

Sanitation is not seen as a priority by leaders and local councils mainly because it is seen as difficult to implement and because water is felt as much more urgent.

In all the districts visited, the sanitation facilities were predominantly traditional pit latrines. In some cases these were improved by the provision of sanplats. Institutional latrines in schools, in administrative units and household latrines in trading centres were mostly constructed of bricks and cement. Some of these were ventilated improved pit latrines (VIP).

Although sanitation was expressed to be generally poor in schools, trading centres and markets, some districts enjoyed a high coverage of household latrines. For instance, in Bushenyi district the coverage was between 62 and 92%, in Mbarara district between 43 and 72%, and in Rakai 54%¹¹. However in many districts the coverage was rather low. In Moroto district sanitation facilities are in the trading centres and institutions, and not in the rural areas. The reasons behind this are the strong cultural beliefs in the rural community which are less prominent in urban and institutional settings.

¹¹ as reported by the DHIs and DWOs on the Inter-district meetings or from district records

Problems contributing to low coverage include:

- Inadequate supply and cost (Sh 2,000-3,500) of sanplats making them inaccessible to most households; private sector has not been trained or is not interested to take on production; transport of sanplats is seen as an hindrance.
- Poor quality of sanplats produced by the low skilled private sector; quality control of sanplats is not institutionalised
- Destruction of the logs of the latrines by termites
- Difficult terrain (rocky or soft soil, high water table) which prevents the digging of pits; some pits collapse after digging; pit lining significantly increases the cost of latrine construction; appropriate technologies are not known by the districts
- Cultural beliefs and negative attitudes towards the use of latrines, for example use of latrine can affect pregnancy; awareness raising is insufficient
- Sanitation is not given a priority status by local leaders
- Nomadic pattern of life in Moroto and Rakai does not favour the construction and use of latrines.

Poor sanitation in trading centres and schools was attributed to:

- Increased migration from rural to urban areas causing increased pressure on the few sanitation facilities available
- Weak legislation on sanitation
- Limited technology options known
- The high enrolment in primary schools due to the UPE has increased pressure on the few facilities present in the school premises.

7.2.1 Institutional latrines in schools

Sanitation in schools is being influenced by the new Universal Primary Education Policy (UPE), which has resulted in a sharp increase in school populations without a proportionate increase in sanitation (and water) facilities. The guidelines for programme implementation also make it difficult to solicit contributions from parents, which at present makes it difficult for a number of schools to construct facilities. The focus of the WES Programme is changing as the PPA 1998 has put more emphasis on sanitation, especially in schools. The pressure of the cholera epidemic has played a positive role in the construction and use of sanitation facilities.

R. 78 Schools should be given the possibility to deal with the construction of sanitary facilities in a flexible way. The option to ask parents to contribute in the form of finances or labour should exist. However, these contributions should not be made obligatory in a very strict sense, since it is not acceptable that the enrolment of pupils is affected by it.

The cholera outbreak and the high risk that the schools have because of the concentration of many children in a relatively small area, moved the government to announce strict inspections on the presence and condition of the latrines. This even forced some district authorities to close schools until they have fulfilled the requirements on sanitation.

This increased attention in schools for sanitation and hygiene raise issues as the promotion of use of latrines by the pupils, the presence of hand washing facilities and the practising of hand washing. The fact that they will get familiarised with this behaviour creates a good foundation for copying it at home and promoting it to their parents.

For the above reason and for reasons of increased attention to sanitation resulting from the National Sanitation Forum (October 1997) and the increased attention to sanitation in the UNICEF overall WES Programme, the WES Programme included a component of substantial size on institutional sanitation in their 1998 programme.

R. 79 The Programme's School Sanitation Initiative has the potential to become an effective approach for improved latrine use and improved sanitation and hygiene behaviour. However, this approach should not only include classroom teaching but also practical activities with children and teachers, such as how to make simple hand washing facilities and mosquito traps. Sanitation and hygiene activities should be linked with complementary activities in the communities the children come from, such as sanitation and sanplat promotion.

7.2.2 Appreciation

Generally, the demand for sanitation is very low, although the outbreak of cholera has increased awareness and attention. Especially for sanitation a lot of sensitisation is needed to raise demands.

R. 80 Promotion of provision, use, operation and maintenance of sanitation facilities and hygiene and sanitation behaviour calls for increased awareness of the community through health education and sensitisation. Effective communication approaches and instruments must be further developed and disseminated. This needs to be accompanied by capacity building of extension staff using participatory methodologies which they themselves can apply in their work.

R. 81 The initiative on accelerated sanitation improvement (NASIP)¹² from the National Sanitation Forum (October 1997) needs further support for action; the 1998 PPA indicates some support of the WES Programme. This initiative included the exemplary role of local leaders in having an improved latrine. Certain areas need special attention, such as Moroto where availability and use of latrines is extremely low.

The measure taken by the GoU to combat the cholera outbreak and to promote better sanitation and hygiene through the campaigns on radio, in newspapers and through posters had a very positive impact as far as the team could observe. In many villages, extension staff and politicians had mobilised and instructed the community to build latrines. Schools were threatened with closure if they did not have or start building latrines.

R. 82 The existing CBHC Associations in the districts and their health groups in the villages, and NGOs and CBOs operating at community level should be involved in

¹². NASIP is the proposed National Accelerated Sanitation Improvement Programme led by the MoH.

the sanitation promotion campaign through increased co-operation and collaboration efforts.

The WES Programme has made efforts through health and community development staff, CBHC and other NGOs to create awareness and raise sanitation demand. In areas earmarked as Environmental Health and Sanitation Concentration Areas much attention was paid to change the sanitary and hygiene behaviour of the people. The Team noted the success of this approach in a positive change in behaviour and appreciation for improved sanitation facilities.

R. 83 For sanitation, focusing sensitisation on concentration areas to increase the demand can increase effectiveness.

The sanplats, with a price range of Ush 2000 to 3500, are seen as too expensive, especially when transport costs are involved. In a number of regions, a demand for locally made sanplats is evident. In Ntungamo, one women's group was found to produce and sell between 10 and 15 sanplats a week, at a cost of Ush 3000. In various cases the demand for sanplats could not be met due to a lack of materials for district sanplat production, lack of local slab production, and lack of knowledge on sanplat production.

R. 84 A gradual process of phasing out support to sanplat production is recommended, as a flexible approach towards capacity building of the private sector.

In some cases it was found that sanitary facilities are more appreciated by women than by men. The following reasons were found for appreciation: convenience; cleanliness; aesthetic value; fashion; and particularly for visitors and in-laws. It was mentioned that in some cases women raise the money for a latrine themselves. This involves at least money for having the pit dug, since women are not supposed to dig pits. However, since men are the key decision makers on pit digging and finances, most women are completely dependent on their husbands for the construction of a latrine. Households with a latrine do not have separate stands for men and women or in-laws. The cultural barrier of sharing a latrine with in-laws was often mentioned as an obstacle for using latrine.

R. 85 For the construction of latrines, extension workers and local leaders should be sensitised and oriented towards cultural and gender-specific values that hinder the use of latrines, to enable them to take these into account as much as possible. The WES Programme may benefit from a feasibility and appreciation study on e.g. separate latrines for various family members.

7.2.3 Functioning and use

The structural condition of most traditional latrines was found to be poor: slabs showed holes, walls and roofs were crumbling down, and doors or other measures for providing privacy were missing. Some pits were full or about to be full (<0.75 m from slab level). There was no evidence of technical guidance during construction except in CBHC areas, sanitation concentration areas and trading centres.

The Mission found that most household sanitation facilities are generally used by all household members except small children and the handicapped. However, the main users were identified to be the women and children who spend most of their time at home. Men usually stay away from home because of their work and are therefore not able to use the latrine so regularly. A very nice observation was made in Ntungamo, where small holes were made outside the latrine for use by small children. This encourages the children to use a latrine at young age and makes the use of latrines part of their sanitation behaviour. Before this initiative is translated into general recommendations, the risks for disease transmission, hygienic cleanliness and removal of faeces must be reviewed. The cleaning of latrines is done by women and children, and ranges from fairly good to poor.

In Moroto district very few households have latrines (<5%) except in institutions and a few people in trading centres. Using a latrine for defecation is exceptional. The use of open fields and dry river beds is preferred. The communities resent sharing defecation facilities and are totally against piling up human excreta in one place as this encourages, according to them, infections for illnesses.

7.2.4 Financial arrangements

Latrine construction, use and maintenance is regarded an individual concern and thus the financial arrangements to support it remain at individual capacity. Some people expressed poverty as a limiting factor for facility provision.

The high cost of sanplats (Sh 2,000 to 3,500 each) was seen as a limiting factor to install this on the latrine. The cost of digging varies, depending on soil texture, between Sh 500-3000 per foot, plus the cost for hiring tools.

7.2.5 Sanitation Technology appropriateness

Pit latrine technology is not appropriate in areas with unstable or rocky soil or with a high water table, conditions which can be found in a number of districts. Pit lining has been tried in soft soil areas but has proved to be expensive, or if made of cheaper and local material, not very durable and effective. Feasible alternatives and appropriate technology is still a problem.

To solve the problem of sanitation facility provision and use in Moroto district the actors in the district and sub-county suggest the construction of community latrines in each *manyatta* (community unit).

R. 86 Latrine construction is problematic in many situations due to specific environmental conditions. It is therefore recommended that a literature review is done on suitable and appropriate technologies for rocky, sandy and soft soils, and water-logged areas. The most promising technologies for Ugandan conditions could be field-tested before being generally promoted and disseminated to guide the extension staff. In general, people should be offered some feasible sanitation option for them to select the most preferred.

7.2.6 Hygiene

Hygiene practices in most of the districts are still poor. Although some cleaning of water containers before use and some hand washing was found, awareness on hygiene in general and on hand washing in particular is very low. Hand washing is a new practice for families in many communities. Hand washing facilities were not around in most households. The hand washing facilities that are found in schools are temporary structures/facilities. Often soap can be found (in one occasion in the form of powder already put in the water, also to prevent children from drinking that water), although it has the tendency to disappear.

Drying racks for draining utensils were present in half of the households but many of them appear to be little in use, as they were old and about to collapse.

R. 87 In connection with other programmes and projects, clear and practical hygiene messages could be developed, accompanied with participatory materials that can be used by HAs, CDAs and VHVs, and groups involved in CBHC.

R. 88 In the case of improved sanitation, the construction of latrines should be promoted hand-in-hand with the habit of washing hands. The development of such a hygiene education message should be based on a easy-to-catch message, and be combined with sensitisation of extension staff and other change agents in health posts etc. UNICEF's skills and experience in advocacy should be optimally used in such activities.

7.3 Environment

Environmental concerns are found not to be a main focus area of the WES Programme . However, some issues that are closely related to water, sanitation and the environment around homes are being addressed.

Some protection initiatives for protected sources and GFS have been found, but in general catchment protection is not considered as part of the O&M of the water source. Some cases of water contamination during the rainy season because of erosion have been found. However, brick making activities were noted to be taking place near some water sources, resulting in borrow pits, which could have adverse effects on the water quality.

R. 89 Although environmental concerns do not have to feature as a main component of the WES Programme , it is crucial to include catchment protection into O&M activities. for the sustainability of water sources, especially for protected sources and GFS.

Regarding the environment in villages and homesteads, it is observed that a level of general cleanliness exists in all villages, although it varies considerably. Drying racks are used by about half of the homesteads, and are being appreciated.

Women's groups in Ntungamo district are involved in tree planting activities and in the making of energy saving stoves. Soil conservation activities are being carried out in different areas in the district.

R. 90 The promotion of particularly drying racks and energy saving stoves is felt to be beneficial and should be continued, and can be highlighted more in areas where they do not get sufficient attention at the moment

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**Appendix 1:
Terms of Reference and overview of key issues**

Terms of Reference (TOR)
for
Evaluation of WES Programme: Uganda

Introduction

The Programme Management Team (PMT) for the Water and Environmental Sanitation (WES) Programme mandated the programme to do a post implementation evaluation of the South West Integrated (Water and Health Programme (SWIP) and the Water and Sanitation Programme (WATSAN). SWIP and WATSAN assisted districts under the last GoU-UNICEF Country programme (i.e. 8 and 20 districts respectively). The WES programme now provides assistance to all districts formerly assisted by SWIP and WATSAN.

Draft TOR were developed for this work and the WES Programme Focal Points² (GoU and UNICEF) requested the Network for Water and Sanitation (NETWAS) and International Water and Sanitation Centre (IRC) to submit a joint proposal. At a meeting on 30.08.97 between IRC and the WES Programme Focal Points, it was agreed that it would be more beneficial to evaluate the WES Programme which has now completed nearly (3) years of implementation. This was to be done in a progressive and forward-looking and would focus on the effects (including sustainability) of the community systems and organisational structures that are used to implement the WES Programme.

At the 30.08.97 meeting the PFPs and the visiting IRC staff member agreed that IRC and Directorate of Water Development (DWD) would do the evaluation as a joint venture and that UNICEF would provide the funds. This was done in preference to using the bidding process to get consultants since IRC gets some support from the main international agencies (including from UNICEF) and its mandate includes provision of such assistance. IRC will work in collaboration with NETWAS - Uganda and NETWAS - International (based in Kenya), both of which it is helping to develop capacity to provide such support in the sub-region.

Objective of the Evaluation

- To assess the post- and pre- merger experiences of SWIP and WES; analyse them with a forward looking perspective; and suggest how useful lessons (positive and negative) may be used to improve the planning and implementation of the current WES programme.

The study will not be a one-off event so it is not expected to exhaustively cover all facets of the issues listed in the scope of work. However, it is expected to suggest options that can help programme managers (at all levels) to improve implementation of the programme in the districts.

The study will also examine of how the programme deals with gender responsiveness in all aspects of its operation

Scope of Work

- Review if, what, and how lessons from SWIP and WATSAN were transferred to WES Programme.
- Get stakeholders (at all levels - but with special attention to the sub-district levels) rating of WES performance; obstacles they have identified in its implementation and how they would address them.

Assess how the programme uses and benefits from, decentralised programme implementation; an assessment of the institutional, organisational and political arrangements that have been made (including in the offices of sub-county and parish chiefs, community organisations - such as Water User Committees); provisions for funding (by villagers, Community-Based Organisations, (CBOs) Non-Government Organisations (NGOs), and churches); human and institutional capacity building needs of districts (at all levels); how the WES Programme fits into plans of the districts; how it is contributing to the institutionalisation of such plans; and for selecting good indicators to evaluate and to monitor capacity building at district and sub-county levels.

- Identify the key actors of the implementing team put in place by district; and do a task analysis (including assessment of the dynamics of interactions between - including the Chief Administrative Officer (CAO) and the District Medical Officer (DMO)); identify gaps; and recommend ways to improve implementation of the programme

¹ The WES Programme is one of (4) programmes supported under the 1995-2000 GoU-UNICEF Country Programme.

² The Focal Points for the Programme (PFPs) are the Director of the Directorate of Water Development (Directorate of Water Development) and the Chief of the WES Section in UNICEF-Kampala.

Assess how the WES Programme handles technology choice (including those for building and maintaining facilities as well as for training); the implication of some of the key choices; and how the programme may use technology more beneficially and cost effectively.

Assess the choice of materials (e.g. use of galvanised iron riser pipes for handpumps) used to equip boreholes; response to community preferences (say between U 2 and U 3 handpumps); the promotion of sanitary latrines; and whether there is merit for special focus on a particular method for particular fields of training.

How to improve the sanitation implementation in the WES Programme

Assess whether or not sanitation issues get adequate attention; the demand of households to improve their sanitation; and whether there is need for more integration (in approach and support for a "WES Sector") with health programme through better use of structures such as Primary Health Care (PHC) and Community Based Health Care (CBHC).

Analyse how agreements (including Letters of Understanding) and project rules and procedures of the programme have adapted to the demand-based, demand-responsive, and demand driven approaches.

Assess how districts plans respond to community demands; how communities collect, manage and use community contributions; if plans and implementation procedures are in line with the MPO for the Country Programme; if the programme contributes to poverty alleviation; and if account is taken of the "Rights Based Programming Approach" that guides the Ugandan National Plan for Children.

Assess the degree of collaboration between the Programme and : other programmes of the GoU-UNICEF Country Programme; NGOs; other partners in WES development (including Rural Water and Sanitation programme (RUWASA) and Small Town Water Supply and Sanitation Project (STWSSP)); and recommend ways to forge stronger links.

Assess how training is done within the programme, including the benefits from and uses of training (especially as perceived by the trained personnel themselves and as seen by sub-national stakeholders).

Assess the benefits of training done by IRC and NETWAS - International (for district staff) and by Nsamizi Institute of the Ministry of Gender and Community Development (for extension staff at sub-county level). This should include the use of, and support given to, the trained staff by districts and sub-counties.

Assess the procedures and systems used by the programme for monitoring, including their applicability and usefulness at different levels.

Facilitate the workshops that form part of the implementation of this study (see attached schedule).

Methodology

Capacity building.

The WES Programme should have a strong capacity building aspect - especially at the district level. To enhance this, the study was designed to maximise opportunities to accelerate and to build effective capacity at district and sub-county levels. To achieve this:

- district staff are incorporated as key members of the team - to focus on sub-national aspects.
- NETWAS-Uganda was included as a main part of the external members of the team - to build local capability to give such support in the future.
- The study report will be prepared in Uganda so that the Ugandan team members can benefit from the experience of their external colleagues.

Learning from past experiences.

The districts to be visited were purposively selected to include ones which SWIP assisted to set up CBHC areas (Ntungamo and Kasese) and sanitation concentration areas (Ntungamo); communities in districts such as Apac and

Hoima that WATSAN assisted to set up Community-Based Maintenance System (CBMS); areas where there are special needs to be considered in implementing the programme (Moroto); and where there are other major players assisting (IFAD in Hoima and DANIDA in Rakai). The itinerary proposed by IRC in its proposal of 18.09.97 will be used to guide the work during the district visits.

It must be noted that the field visits are not intended to be reviews of the performance of the districts. They are to give the study team an opportunity to see how the programme is structured so they will be able to draw from the experiences in suggesting options to improve the programme in its entirety.

- **Extensive use of appropriate rapid appraisal techniques (RAP) and tools for participatory rural appraisal (PRA).**

The study is expected to use tools for RAP and PRA that will help all the stakeholders contacted during the study - especially at the IDMs. For the RAPs special attention is to be paid to quantitative (simple structured questionnaires - using those that will be used to assess the efficacy of the training) and qualitative (especially focus group discussions, interviews and observations).

Composition of the Review Team

Review team of (9) persons; (5) of whom are to come from locations external to the districts and (4) are to come from the districts. (For the external members, IRC is to provide the team leader and one other - preferably a woman if the team leader is not a woman; NETWAS-International is to provide (1); and NETWAS-Uganda is to provide (2) of which it is preferred that (1) is a woman).

The district members are to include a District Planning Officer (DPO); a District Community Development Officer (DCDO); and a District Health Inspector (DHI); and a District Water Officer (DWO). District members to be selected from districts that will not be visited as part of the evaluation.

The review team is to be divided into (2) teams for field work. Each team is to have at least one woman.

Output

- Report with clear and specific findings and recommendations. Where possible the report should include indicative cost and suggest timeframe for introduction of recommendations.

The report will be shared with all major stakeholders at all levels (including those at the sub-county level). It should also be short enough so that reproduction costs at these levels will not be high. The Study Team may consider use of a logical framework matrix for presentation of the report.

- Notes on the workshops that are done as part of the study (as annexes to report). The participants for the Inter-District workshops will be similar to those for similar workshops (IDMs) held by the programme.

Basic References to be made available to Study Team

- Plan of Operation for the WES Programme (PPO) section of the Master Plan of Operations (MPO) for the GoU-UNICEF Country Programme.
- Annual Plans (1995 - 1997) of Action (PPA) for the GoU-UNICEF WES Programme.
- Evaluations done (1994 and 1996) by Sida and CIDA of SWIP and WATSAN Programmes.
- Close of Programme Report by the Management of the SWIP Programme.
- Studies commissioned by the WES Programme as part of the Mid Term Review of the GoU Country Programme. The Studies are "Review Quality, Quantity, Usefulness and Management of Data (including the Village Infrastructure Inventory) that is Routinely Available to Different Levels of WES Programme and Suggest Ways it May Contribute to a Country-Wide Management Information System" by Centre Point Consultants Ltd and "Mainstreaming Accepted WES Structures and Procedures into the Existing Institutional Framework and Mechanisms" by ALFA Consultants Ltd.
- Study on Institutional Capacity Building in 1997 by Uganda Management Institute


Timeframe and Schedule for Key Events

•	Duration	:	27.01-14.03.98
•	Schedule of key events	Stakeholders briefing	: 04.02.98
	Visits	Rakai & Hoima	: 08-14.02.98
	IDM (Workshop)	Hoima	: 13.02.98
	Visits	Moroto & Apac	: 15-21.02.98
	IDM (Workshop)	Apac	: 20.02.98
	Contact Stakeholders	Kampala	: 23-25.02.98
		Mbale (RUWASA)	: 26-27.02.98
	Visits	Kasese & Ntungamo	: 01-07.03.98
	IDM (Workshop)	Kasese	: 06.03.98
	Contact Stakeholders	Kampala	: 09-10.03.98
	Stakeholders Briefing	:	11.03.98
	Present Report to DWD	:	13.03.98

Condition

- The execution of the evaluation is a joint collaboration between DWD, IRC; and NETWAS (International) and NETWAS (Uganda). UNICEF is a contributor to IRC.
 - The amount and schedule for payment of the consultant fees will be as agreed between DWD and IRC. This will be guided by past collaboration between the (2) agencies on the Management for Sustainability Training course facilitated by staff involved in WES development in Uganda.
- The costs will include provisions for travel; DSA in addition to fees. The fees and DSA will be in accordance with the rates used for UNICEF operations in Uganda.
- If the need arise for any amendment to the agreement request for such amendments must be submitted in writing and must be approved before the work is undertaken.

Prepared by 
Patrick Kahangire
Director
Water Development Directorate.
and *PFP - WES Programme

and 
Lloyd Donaldson
Chief, WES Section
UNICEF.
and PFP - WES Programme

With input from


Jo Smet
Senior Programme Officer
International Reference Centre for Water and Sanitation

Date 10 December 1997.

Appendix 1: Overview of key issues

Framework for the mid-term evaluation of the GoU - UNICEF Country WES Programme in Uganda

Final draft, 8 February 1998

1.1 General

Key issues	Indicators	Relevant level(s)
1. Which lessons from SWIP and WATSAN are transferred to the WES Programme, and how this is done?		S, D, N ¹
2. What are the main problems regarding sanitation (including schools) and how can this be improved?	soil condition, water table, fly breeding, smell, reluctance	P, S, D (including schools, markets and health units)
3. Are plans and implementation procedures in line with the MPO for the Country Programme?	MPO plans	D, N
4. How do the main stakeholders at all levels appreciate the WES performance?	policy, budget, forums	S, D, N

1.2 Institutional issues

Key issues institutional structures	Indicators	Relevant level(s)
1. What institutional structures exist and function at national, district, sub-county, parish and village level? Which of these structures is permanent (administration) and which non-permanent (programme)?	physical presence, minutes Bks, Bks of ACC	V, P, S, D, N
2. What private sector structures exist at the various levels (commercial and others)?	mechanic tools workshops	V, P, S, D, N
3. How does the WES programme fit into the plans of the districts?	sectoral committees, minutes	S, D
4. Does the WES programme contribute to the making of development plans at district, sub-county, parish and village level (institutionalization)?	plans, committee minutes	V, P, S, D
5. On which level(s) does the WES programme focus?	intensity of activities, resource allocation	S, D
6. Does the programme make use of and benefit from decentralized programme implementation?		S, D
7. How have institutions evolved over time (history)?	existence of institutions	V, P, S, D, N
8. Is the "Rights Based Programme Approach" that guides the Ugandan National Plan for Children been taken into account?	policies, compliance	S, D

¹ V = Village, P = Parish, S = Sub-County, D = District; N = National; ACC = Accountant; BKS = Books

Key issues on roles & responsibilities	Indicators	Relevant level(s)
1. Who are the key actors in the WES programme (institutional, organisational, political)?	list of actors	V, P, S, D, N
2. What are the tasks of key actors in implementing the programme, dynamics and interactions, gaps, and recommendations (task analysis)?	records	V, P, S, D, N
3. What are the roles and responsibilities of the users in the WES programme (level of user participation)?	minutes of Bks, Bks of accounts	V, P
4. How do communities collect, manage and use community contributions for water and sanitation facilities?	evidence income and expenditure, bank account	V, S
5. What is the level of penetration of the private sector in the WES programme (commercial and others)?	facilities through private sector	V, P, S
6. What is the role of the government, is it enabling WES implementation?	GoU contributions	S, D
7. Is decision-making gender responsive?	% women/men in committee	V, S, D

Key issues collaboration & coordination	Indicator	Relevant level(s)
1. What is the degree and nature of collaboration and co-ordination between the programme and other programmes of the GoU-UNICEF Country Programme, NGOs and other partners in WES including RUWASA and STWSSP, and what are recommendations to strengthen the links (including cross cutting issues like gender, HIV and ??)?	IDM minutes, exchange of reports	S, D, N

Key issues HRD	Indicators	Relevant level(s)
1. Do sub counties and districts have the capacity to identify HRD needs at the lower level?	no. of staff, no. of trainings	D, S, N
2. Do the different levels have sufficient human capacity to implement WES?	no. of staff	S, D, N
3. What type of training is given to whom within the programme (content and methodology)?	training reports, manuals	V, P, S, D, N
4. What are the benefits and uses of training given (such as by IRC, NETWAS, the Nsamizi Inst.) for the programme functioning of these trainings (especially as seen by trainees, their bosses and colleagues, and sub-national stakeholders)?	deployment, increased output	V, P, S, D, N
5. How are trained staff being used, and what support is given to them by districts and sub-counties?	deployment	P, S, D

1.3 Assessing the WES process

Key issues demand driven approach	Indicators	Relevant level(s)
WATER SUPPLY		
1. Who in the community initiates a demand for water supply (women or men)?	application	V, S
2. How is a request being formulated, and to whom Is it directed?	copy request, minutes	V, S
3. Is there any feedback received on the request?	reply	V
4. Do communities contribute, either in cash or kind, to the capital investment and to the O & M cost?	contribution & work lists	V, S
5. Were SWIP and WATSAN agreements (including Letters of Understanding) and project rules and procedures being appreciated by the various key actors?	copy of letter (signed)	D, N (S in RUWASA)
SANITATION		
1. Are communities appreciating safe excreta disposal, and what steps are they undertaking to realise this?	presence, use, maintenance	V, P
GENERAL		
1. How do actors at the various levels process community demands (passing on, setting priorities, approving or not approving, giving feedback to communities, time needed)?	filing, acknowledge, minutes	V, S, D
2. How do district plans respond to community demands?	district plans	V, S, D
3. How is demand driven approach for water and sanitation been taken into account in district and sub-county plans?		S, D
4. What are strengths and weaknesses of a demand based approach?	volume of requests	S, D, N
5. Are key decisions being taken by the community (men, women) e.g. on technology choice and site selection? Where technology options known (informed choices)? What are the implications of these choices?	sites of facilities	V, S
6. Are facilities being appreciated?	O&M, use	V
7. Are the facilities meeting with the demands and the expectations of the users?	queues	V, S

Key issues monitoring processes, use and functionality	Indicators	Relevant level(s)
1. What is being monitored at which levels regarding water and sanitation? Who monitors (position, women, men)? What tools are used for monitoring?	reports, record Bks	V, S, D
2. How is monitoring information used? Who uses the information? Can the person that collects the information act upon it?	reports, records	V, S, D
3. Does the person who reports monitoring information receive feedback?		V, S, D
4. How are monitoring procedures and methods being appreciated?		V, S, D
How does the programme uses and benefits from selecting good indicators to evaluate and monitor capacity building at district and sub-county? Will be concluded by team during analysis		V, D

1.4 The sustainability of WES facilities

Key issues technology	Indicator	Relevant level(s)
SANITATION		
1. Are latrines available, being used, functioning and being maintained?	presence, use, conditions	V
2. Is there a hand washing facility available close the latrine?	presence	V
3. Who uses the latrine (women, men, girls, boys)?	observation	V
4. Are latrines appreciated, what are benefits, are there any problems (women, men, girls, boys)?	presence, use, sex allocation	V
WATER SUPPLY		
1. Are water supply facilities available, being used, functioning and being maintained?	presence, use, condition	V
2. How is the maintenance of water supply organised (availability of spares, tools)	tools, mechanic, spares	V, S, D
3. Who uses the water supply facilities (women, men, girls, boys)?	observation	V
4. What water source is used for which purpose?	observation	V
5. Are facilities being appreciated, what are benefits, and are there any problems (women, men, girls, boys)?	presence, use, maintenance	V
6. Are there appropriate WES technologies that are more beneficial and cost-effective?	presence	D, N
7. Does the choice of materials for bore holes (e.g. galvanized iron riser pipes for hand pumps), respond to community preferences (U2, U3)?	condition	D, N
8. Does the programme contribute to poverty alleviation (time management, improved water quantity and quality, use of water for income generating activities)?	reduced distance, water for income gen. activities	V, S, D

Key issues finances	Indicator	Relevant level(s)
1. How functions the provision of funding (investment cost) for water and sanitation (by villagers, CBOs, NGOs and churches)?	books of account, plans, reports	S, D, N
2. Are policies for paying of the various programmes/organisations in line with each other?	uniformity of rates, reports	V, S, D
3. Are people willing to pay for water (users as well as actors on sub-county and district levels)?	contribution list, budgets	V, S, D
4. Are people capable to pay for water?	% with fund	V, S
5. Are people paying for water? To what are people contributing (implementation, O&M)?	records of income	V, S
6. How are financial resources managed at village level (receipts, accountability, budgeting - income and expenditure - , auditing, banking, regularity of collections)?	income, expenditure, bank accounts	V, S
7. Are the water and sanitation facilities managed in a financially sustainable way (is it possible to cover all cost)? Will be concluded by team during analysis	% functioning water sources	V, S, D

Key issue invironment	Indicator	Relevant level(s)
1. Does the programme have adverse and/or positive effects on the environment	erosion, tree planting, drainage, proximity of latrines	V,D,N

Appendix 2: Itinerary of the Evaluation Team

Appendix 2: Itinerary of the Evaluation Team

TENTATIVE EVALUATION PROGRAMME FOR TEAM A:

John Odolon; Esther de Lange; George Ebong; Joseph Kiwanuka

going to Ntungamo, Rakai and Moroto

date	day	time indication	activity	remarks
02.02	Mon	<ul style="list-style-type: none"> • morning • afternoon • evening 	<ul style="list-style-type: none"> • briefing • final preparations • travel to Mbarara 	
03-05.02	Tues-Thu	all day	Methodology w/shop	
06.02	Fri	09.00 11.00 13.00 14.00 evening	<ul style="list-style-type: none"> • meeting district Ntungamo: CAO+WES • visit sub-county Rugarama • visit parish Kagonji • visit village Kakamba 1 Cell • review village methodology 	
07.02	Sat	09.00 10.00 14.00	Discussions at Rugarama sub-county H.Qs visit parish Ngomba visit village Ngomba/Butare Cell	
08.02	Sun	<ul style="list-style-type: none"> • morning 17.00-20.00 	free prepare for sub-county workshop	
09.02	Mon	09.00-16.00	sub-county workshop in Ntungamo	six sub-counties participating
10.02	Tues	<ul style="list-style-type: none"> • morning • afternoon • evening 	<ul style="list-style-type: none"> • review village/parish meth./tools • same • finalise preparation s/c w/shop 	in Mbarara
11.02	Wed	<ul style="list-style-type: none"> • morning • afternoon • evening 	<ul style="list-style-type: none"> • review/fine-tune district w/shop • analysis schedules • analysis schedules 	in Mbarara
12.02	Thu	08.00 10.00 12.00 12.30 evening	<ul style="list-style-type: none"> • travel to Ntungamo • visit Ntungamo sub-county • visit Kahunga parish • visit Butare central village • final preparation district w/shop 	
13.02	Fri	09.00-18.00 night	<ul style="list-style-type: none"> • IDM workshop in Ntungamo • group discussion and analysis 	Kabale Bushenyi; Mbarara; Rukungiri
14.02	Sat	09.00 11.00 15.00	<ul style="list-style-type: none"> • visit Mutanoga parish • visit Mutanoga village • 	
15.02	Sun	morning afternoon	<ul style="list-style-type: none"> • free • analysis Ntungamo 	
16.02	Mon	morning afternoon	<ul style="list-style-type: none"> • group discussion and analysis Ntungamo • travel to Rakai 	
17.02	Tues	08.00 12.00 13.00	<ul style="list-style-type: none"> • visit District: CAO/WES Rakai • visit Kasaali sub-county • visited Nkenge parish • visited Nkenge village • 	
18.02	Wed	09.00 10.30 14.00	<ul style="list-style-type: none"> • visited Kyalulanggira Sub county • visited Kyamumba village • visited Kamuma B village analyse and 	

		evening	prepare for w/shop	
19.02	Thu	09.00-16.00 evening	<ul style="list-style-type: none"> sub-county workshop Rakai analyse and prepare for intra-district w/shop 	
20.02	Fri	09.00-17.00 evening	<ul style="list-style-type: none"> intra-district district workshop Rakai analysis 	
21.02	Sat	09.00 10.30 14.00 evening	<ul style="list-style-type: none"> visited Lwankoni Sub county visited Lwankoni parish visit Lwankoni village Travel to Kampala 	
22.02	Sun	morning afternoon	<ul style="list-style-type: none"> analysis Rakai 	
23.02	Mon	all day	<ul style="list-style-type: none"> analysis Rakai cont'd travel from Kampala to Mbale 	
24.02	Tues	morning rest of day	<ul style="list-style-type: none"> arrangements with RUWASA travel from Mbale to Moroto 	
25.02	Wed	08.00 12.00 13.00	<ul style="list-style-type: none"> visit District: CAO/WES Moroto visit Nadunget sub-county visit Nadunget parish visit Nakapelimen manyata visit Rupa sub-county visit Acholi Inn parish visit Kidepo manyata 	
26.02	Thu	09.00 10.30 14.00 evening	<ul style="list-style-type: none"> Visit Matany sub county visit Matany parish visit Matany village (trading centre) visit Logolei manyata 	
27.02	Fri	09.00-17.00 evening	<ul style="list-style-type: none"> Sub county workshop analysis 	at Kangole mission
28.02	Sat	09.00 10.30 14.00 evening	<ul style="list-style-type: none"> analysis all day 	
01.03	Sun	morning afternoon	<ul style="list-style-type: none"> free analysis preparation for district workshop 	
02.03	Mon	09.00-13.00 afternoon	<ul style="list-style-type: none"> District workshop Moroto travel to Mbale 	Smet in Kampala
03.03	Tues	morning afternoon	<ul style="list-style-type: none"> visit RUWASA Pr. Management Discussions with WES team Mbale (Team A) visit Iganga district (Team B) visit Kasozi village Team B) analysis both teams 	Smet in Kampala
04.03	Wed	09.00 10.30 14.00 evening	<ul style="list-style-type: none"> visit Bukooma sub county (Team B) visit spare parts dealer visit Busadha village Team A visit CAO Visit Nakaloke sub county visit Nakaloke - Kireka village visit two schools visit Nambale sub county, drama Team B reports to Jinja. 	Smet in Kampala
05.03	Thu	morning afternoon	<ul style="list-style-type: none"> Call on RUWASA PC Team A reports to Jinja 	Smet in Kampala and joins in Jinja
06.03	Fri	all day	Analysis w/shop	
07.03	Sat	all day	Free	

08.03	Sun	morning afternoon	Analysis and reporting	
09.03	Mon	all day	analysis/reporting	
10.03	Tues	all day	analysis/reporting	
11.03	Wed	morning afternoon	<ul style="list-style-type: none"> • travel to Kampala • Preparation of w/shop/reporting • duplicating/distribution rough report 	
12.03	Thu	all day	Synthesis w/shop	
13.03	Fri	morning afternoon evening	Debriefing reporting reporting/travel Oenga/De Lange	
14.03	Sat	all day evening	Reporting/submit report travel Smet	

EVALUATION PROGRAMME ITINERARY FOR TEAM B:

Isaack Oenga, Agnes Bitature, Azaria Byobona and Benard A. Barugahara
going to Bushenyi, Hoima and Apac

date	day	time indication	activity	remarks
02.02	Mon	<ul style="list-style-type: none"> • morning • afternoon • evening 	<ul style="list-style-type: none"> • briefing • final preparations • travel to Mbarara 	
03-05.02	Tues- Thu	all day	Methodology w/shop	
06.02	Fri	09.00 11.00 13.00 14.00 evening	<ul style="list-style-type: none"> • Finalise IDM/Sub county workshop preparations 	Bushenyi unable to meet team
07.02	Sat	09.00 10.00 14.00	<ul style="list-style-type: none"> • Meeting with Bushenyi CAO/WES/Team • visit sub county Kigarama • visit parish Masheruka • visit parish Katojo central 	
08.02	Sun	<ul style="list-style-type: none"> • morning 17.00-20.00 	free prepare for sub-county workshop	
09.02	Mon	09.00-16.00	sub-county workshop Bushenyi	six sub-counties participating: Kyeizooba, Kigarama, Kakanju, Bumbaire, Kyagyenyi
10.02	Tues	<ul style="list-style-type: none"> • morning • afternoon • evening 	<ul style="list-style-type: none"> • review village/parish meth./tools • same • finalise preparation s/c w/shop 	in Mbarara
11.02	Wed	<ul style="list-style-type: none"> • morning • afternoon • evening 	<ul style="list-style-type: none"> • review/fine-tune district w/shop • analysis schedules • analysis schedules 	in Mbarara
12.02	Thu	08.00 10.00 12.00 12.30 evening	<ul style="list-style-type: none"> • travel to Bushenyi • visit Bumbaire sub-county • visit Bumbaire parish • visit Kitakula village • visit Bweranyangi Junior school 	
13.02	Fri	09.00-18.00 night	<ul style="list-style-type: none"> • Travel to Bushenyi • visit Kyamuhunga sub county 	

			<ul style="list-style-type: none"> visit Kyamuhunga parish visit Ryatende village (Mashonga) visit Gongo village 	
14.02	Sat	09.00 11.00 15.00	<ul style="list-style-type: none"> Travel to Bushenyi visit Rwenge sub county visit Kyakanda village visit school 	
15.02	Sun	morning afternoon	<ul style="list-style-type: none"> free analysis Bushenyi 	
16.02	Mon	morning afternoon	<ul style="list-style-type: none"> group discussion and analysis travel to Hoima 	
17.02	Tues	08.00 12.00 13.00	<ul style="list-style-type: none"> visit District: CAO/WES Hoima select sub counties for visit visit Kigorobya sub-county 	
18.02	Wed	09.00 10.30 14.00 evening	<ul style="list-style-type: none"> visited Kisukuma parish visited Ndaragi village visited Kigorobya prepare for sub county w/shop 	
19.02	Thu	09.00-16.00 evening	<ul style="list-style-type: none"> sub-county workshop Hoima analyse and prepare for intra-district w/shop 	Kisukuma, Kizirafumbi, Buhimba, Kigorobya, Busiifi, Kitoba, Kyabigambire
20.02	Fri	09.00-17.00 evening	<ul style="list-style-type: none"> Inter-district district workshop Hoima analysis 	Hoima, Kibale, Masindi, Kiboga, Mubende
21.02	Sat	09.00 10.30 14.00 evening	<ul style="list-style-type: none"> Visit Kiloba sub county Visit Kiragura parish visit Owoli west village visit Parajok village visit private dealer 	
22.02	Sun	morning afternoon	<ul style="list-style-type: none"> Free Analysis 	
23.02	Mon	all day	<ul style="list-style-type: none"> Meet IFAD Hoima Visit private dealer Travel to Apac 	
24.02	Tues	morning rest of day	<ul style="list-style-type: none"> Visit CAO Apac select sub counties for visit and workshop Analysis 	
25.02	Wed	08.00 12.00 13.00	<ul style="list-style-type: none"> Meet CAO/WES team Apac visit Aduku sub county visit Odeo corner parish 	
26.02	Thu	09.00 10.30 14.00 evening	<ul style="list-style-type: none"> visit Odeo corner village visit Amia A/B village analysis 	
27.02	Fri	09.00-17.00 evening	<ul style="list-style-type: none"> Apac IDM workshop analysis 	Apac, Lira, Soroti, Gulu, (Kotido, Luwero absent)
28.02	Sat	09.00 10.30 14.00 evening	<ul style="list-style-type: none"> visit Akokoro sub county visit Awillla parish visit Otwonongwen village visit Oparomo village 	
01.03	Sun	morning afternoon	<ul style="list-style-type: none"> analysis prepare summary for Jo Smet 	
02.03	Mon	09.00-13.00	<ul style="list-style-type: none"> Sub county workshop Apac 	Bale, Ngai, Akalo,

		afternoon	<ul style="list-style-type: none"> • travel to Mbale 	Aduku, Akokoro, Chegere, Inomo, Otwol, Apac TC, Iceme, Loro, Nambieso,, Ayer * ACAO invited all sub counties to attend w/s; those who came later than 11 am were sent away. Jo Smet in Kampala.
03.03	Tues	morning afternoon	<ul style="list-style-type: none"> • visit RUWASA Pr. Management • Discussions with WES team Mbale (Team A) • visit Iganga district (Team B) • visit Kasozi village Team B) • analysis both teams 	Smet in Kampala
04.03	Wed	09.00 10.30 14.00 evening	<ul style="list-style-type: none"> • visit Bukooma sub county (Team B) • visit spare parts dealer • visit Busadha village • Team A visit CAO • Visit Nakaloke sub county • visit Nakaloke - Kireka village • visit two schools • visit Nambale sub county, drama • Team B reports to Jinja. 	Smet in Kampala
05.03	Thu	morning afternoon	<ul style="list-style-type: none"> • Call on RUWASA PC • Team A reports to Jinja 	Smet in Kampala and joins in Jinja
06.03	Fri	all day	Analysis w/shop	
07.03	Sat	all day	Free	
08.03	Sun	morning afternoon	Analysis and reporting	
09.03	Mon	all day	analysis/reporting	
10.03	Tues	all day	analysis/reporting	
11.03	Wed	morning afternoon	<ul style="list-style-type: none"> • travel to Kampala • Preparation of w/shop/reporting • duplicating/distribution rough report 	
12.03	Thu	all day	Synthesis w/shop	
13.03	Fri	morning afternoon evening	Debriefing reporting reporting/travel Oenga/De Lange	
14.03	Sat	all day evening	Reporting/submit report travel Smet	



**Appendix 3:
List of persons met**

Appendix 3: List of persons met

National level:

1. Mr. Lloyd Donaldson	Chief WES UNICEF Uganda
2. Mr. William Fellows	Project Officer WES UNICEF Uganda
3. Mr. Patrick Kahangire	Director Water Development, Min. of Natural Resources
4. Mr. Tom Mwebesa	Ag. Commissioner Environmental Health Unit, Min. of Health
5. Mr. Joshua Ogwang	Ag. Commissioner Community Development, Min. of G & CD
6. Mr. Ian Arebahona	PCU Programme Coordinator
7. Ms. Phoebe Baddu	PCU Programme Officer/ Min of Gender and Community Dev't
8. Mr. Charles Tumwebaze	PCU Programme Officer / Min. of Health
9. Mr. Stephen Omoit	PCU Programme Officer /Min of Natural Resources/DWD
10. Mr. Gilbert Kimazi	PCU Programme Engineer/Min of Natural Resources/DWD
11. Eng. Sottie Bomukama	Commissioner Urban and Institutional Development DWD
12. Eng. Patrick Kagoro	Commissioner Inspection and Support Services DWD
13. Eng. Mugisha Shillingi	Ag. Commissioner Rural Water Supply DWD
14. Mr. Samuel Otuba	Head, Monitoring and Evaluation Unit
15. Mr. Wakooli	Deputy Head, Monitoring and Evaluation Unit
16. Mr. Rudolf Glotzbach	Gravity-Fed Systems Unit
17. Mr. Gracious Sembali	Gravity-Fed Systems Unit
18. Mr. Amsalu Negussie	Country Representative WaterAid
19. Mr. Michael Laing	Resident Engineer WaterAid
20. Mrs. Monica Kunihira	Co-ordinator Support Unit WaterAid
21. Mrs. Rosemary Kaduru	Co-ordinator Water and Sanitation Projects, SNV

Ntungamo District:

1. Mr Mande Mabaale	ACAO i/c WES
2. Mr S. Ringaniza	DHI
3. Mr Nyete	Sanitation Coordinator
4. Mr Leo Ahimbisibwe	District Water Officer
5.	DCDO
6.	CAO
7.	District Planning Officer

Ntungamo Sub county:

1. Mr Tumwebaze Aloysious	Ag. S/C Chief/Parish Chief, Kahunga
2. Mr Tibesigwa John	Local Administration Police
3. Ms Kobutungyi Deborah	Sub Accountant
4. Mr Fabius Bagumire	CDA i/c Ntungamo sub county

Kikoni parish

1. Mr Reuben Bahorana	Chairman LC2
2. Mr Anatoli Kizza	Chairman LC1 Mutanoga Cell

Rugarama Sub County:

1. Mr James Timbikangwa	Sub County Chief
2. Bamwesigye George	CDA i/c

Rakai District:

- | | |
|---------------------------|--------------|
| 1. Mr Vincent Semakula | CAO |
| 2. Ms Namuyanja Harriet | ACAO i/c WES |
| 3. Mr Mujunarinda Charles | Statistician |
| 4. Mr Kaddu Lubega | DHI |
| 5. Mr David Balubuliza | DWO |

Kasaali Sub County:

- | | |
|---------------------|---|
| 1. Mr Mutuuzi Kiddu | Sub Conty Chief |
| 2. Senkima Abbey | HA |
| 3. | Nursing Aid |
| 4. Mrs Kikomeko: | Katuntu Tweekembe Women's Group executive |
| 5. | Kyampagi Women Group |

Kyalulangira Sub County:

- | | |
|------------------------|------------------------------|
| 1. Mr Wamala Samson | Ag. Sub County Chief/Cashier |
| 2. Mr Bitayindwa Yasin | HA |
| 3. Mr Kakuru Charles | Parish chief |

Kasula Parish:**Kyamumba village:**

LC1 Executive
Community members
Kamuma B village

Lwankoni Sub County:

1. Former Chairman LC3
2. LC2 executive committee
3. Head Teacher Lwankoni Primary school
4. CBHC Trainer Lwankoni
5. LC1 executive committee members
6. Lwankoni Women's group members
7. WUC members
8. Caretakers

Moroto District:

- | | |
|-----------------------|---------------------------|
| 1. Mr Isaac | CAO |
| 2. Mr Aloysious Aloka | ACO i/c WES |
| 3. Dr Owiny | DMO |
| 4. Mr Iditemany | Field Officer Water |
| 5. Mr Eyura Martin | District Health Inspector |
| 6. Mr Charles Olyan | DWO |
| 7. Mrs Elizabeth Bala | DHE |

Matany Sub County

- | | |
|---------------------|--------------------------|
| 1. Mr Paul Omongole | Parish Chief |
| 2. | Sub County Accountant |
| 3. | LWF worker/LC1 Executive |
| 4. | LC1 Defense |
| 5. | LC 1 Chairman |
| 6. | HA |

Nadunget Sub County

- | | |
|----------------------------|------------------|
| 1. Mr Peter Lowapus | Sub County Chief |
| 2. Mr Celestino Kinei | Nursing Aid |
| 3. Ms Clementina L. Icumat | CDA |

Nakapelimen Village (Nadunget Parish)

1. Elders and Community Members

Naitakwayi Primary School

1. Mr Olinga Headmaster

Rupa Sub County

1. Mr John Logwe Ag. Sub-County Chief
2. Ms Clementina L. Icumat CDA

Kidepo Village

1. Mr Joseph Lodia HPM
2. Elders
3. Treasurer Water Source

RUWASA**Ruwasa Project Office**

1. Mr Samuel Mutono Project Coordinator
2. Mr Patrick Okuni Dep. Project Coordinator
3. Mr Jarn Eric Project Management Advisor
4. Ms Alice K.Mango Ag. Community Services Specialist
5. Mr Mathius Ofumbi Training Unit
6. Ms Alice Community Services Section
7. Ms Enid Kansime Monitoring Officer
8. Mr Joseph Epitu Administration and Finance Manager
9. Mr Andrew Mbiro Drilling Specialist
10. Mr Joe Semugooma Accountant
11. Ms Barbara Bamanya Monitoring Officer
12. Mr Erisa Operation and Maintenance Unit

Mbale District

1. Mrs Peace Onzia CAO
2. Ms Ruth Auma DCDO
3. Ms DIS
4. Mr Matuwa DWO/District Ruwasa Coordinator

Nakaloke Sub County

1. RUWASA Sub County Coordination Committee
2. CDA
3. HA
4. Engineering Assistant
5. Former LC 3 Chairman

Kireka Central Village

1. LC I Executive
2. WUC
3. Elders
4. Community Members
5. Visited two Primary Schools at Namunsi Parish

Bukonde Village

1. WUC members
2. Parish Chief

Nambale Sub County

1. Attended Drama on WES by Bukonde Women's Group

BUSHENYI

- | | |
|-------------------------|--|
| 1. Bitarabaho Johnson | CAO |
| 2. Mulira | DWO Bushenyi P.O.Box 339 Tel. 85-42053 |
| 3. Wambiji Busule Moses | DWO Office Bushenyi, Eng. Assistant |
| 4. Muhwezi Ponthan | DCDO |
| 5. Kiberu Charles | ag.D/CAO |
| 6. ACAO i/c WES | |

Subcounty and lower levels

- | | |
|--------------------------|--|
| 1. Mbanya Hamu | Subcounty chief Kigarama |
| 2. Mr. Mulizi John Bosco | Ag. Sub-county chief Bumbaire S.C |
| 3. Mr. Eriab Bataka, | HA i/c Igara county, Bushenyi |
| 4 Tugumisirze Advine | ACDO Kigarama |
| 5. Mr. Tugume Humphrey, | Deputy H/M Bweranyangi Junior Academy |
| 6. Mrs Matsiko Edith | Dep. H/M Bweranyangi Junior Academy |
| 7. Mr. Asiiimwe Epharim, | Parish chief Mashonga |
| 8. Mr. Nyondo K.E. | Parish chief, Kyamuhunga parish |
| 9. Mrs. Gaffa Pamela | Sec. Information LC II Kyamuhunga parish |
| 10. Mr. A.N Tirikwendera | Chairman Kyamuhunga GCS (Ryantende v.) |
| 11. Mr. Y Batuna, | Treasurer, Kyamuhung GCS. |
| 12. Mr. J. Semugoma, | Technician, Kyamuhunga CGC |
| 13. Kiiza Raymond | S/c accountant |
| 14. Kahima S.B | Watsan treasurer |
| 15. Buzareki Jairesi | Watsan Committee member Kigarama |
| 16. Kahagirwe J | H.A Kigarama |
| 17. Kayondo D | SGT.i/c Kigarama |
| 18. Fundi Fred | Plumber Kigarama |
| 19. Bainmugisha David | student(muk) Kigarama |
| 20. Mulinzi JB | Ag.S/chief Bumbaire |
| 21. Bataka Eriab | H.A i/c Igara |
| 22. Tugume H | D/HM Bweranyangi |
| 23. Matsiko Edith | " " " |
| 24. Asiiimwe Ephrahim | Parish chief Mashonga |
| 25. Nyondo KE | " " Kyamuhunga |
| 26. Gaffa Pamela | Sec.information LII Kyamuhunga |
| 27. Tirikwenda AN | Chairman gravity scheme Kyamuhunga |
| 28. Batuna Y | Treasurer GFS Kyamuhunga |
| 29. Semugoma J | Technician GFS Kyamuhunga |
| 30. Kakomaho A | C/person LCII Masheruka |
| 31. Rebetaho D | Sec. Youth LCII Masheruka |
| 32. Behangana A | Sec. Finance LCII Masheruka |
| 33. Ruteraho Enid | V/C person LCII " |
| 34. Baribusha P | Caretaker Masheruka |

HOIMA

- | | |
|----------------------------------|--------------------------------|
| 1. Mr. Patrick Mwesigwa Isingoma | CAO - Hoima |
| 2. Mr. Tumwebaze Mukiga | Del CAO i/c WES Hoima |
| 3. Mr. Christopher Asiiimwe | DHI Hoima |
| 4. Mr. Byenume Fredrick | Sanitation Coordinator - Hoima |
| 5. Mr. Simon Wakooli | DWO - Hoima |
| 6. Mr. Kabanyomozi Francis | ADCDO - Hoima |
| 7. Mr. Simon Mugayo | Team leader TST, IFAD Hoima |

SUBCOUNTY AND LOWER LEVELS

- | | |
|--------------------------------|---------------------------------------|
| 1. Mr. Muyelde Charles | HA i/c Kigoroby Hoima |
| 2. Mrs. Magambo Judith | CDA i/c Kigoroby SC Hoima |
| 3. Mr. Nyamunobwa M. Abirereki | Senior Health Orderly, Kigoroby Hoima |
| 4. Mr. Leonard Wandera | Parish chief -Kisukuma , Hoima |
| 5. | ExLIII c/person Kitooba |
| 6. | subcounty chief Kigoroby |

APAC DISTRICT

- | | |
|--------------------------------|-----------------------------|
| 1. Mr. Faust Olwitingol | CAO Apac |
| 2. Mr. George Ogwang | ADCDO Apac |
| 3. Mr. Tom Okello | DCDO Apac. |
| 4. Mr. Vicher Ojok Ogwal | ACAO i/c WES Apac. |
| 5. Mr. Paul Onayo | DWO - Apac |
| 6. Mr. Sabiiti Mbabazi | DHI - Apac |
| 7. Mr. James Ogwal | Accountant i/c WES - Apac |
| 8. 8.Charles G. Apat | Ag. DHI Apac |
| 9. 9.Mr. Bongo David | subcounty chief Aduku- Apac |
| 10. Mr. Emmanuel Eruda | HA Aduku SC |
| 11. Mr. Ocen Gregory | Sanitation coordinator Apac |
| 12. 12.Mr. Okeng James | subcounty accountant |
| 13. 13.Mr. Hellen Awilli Ogwal | CDA - Aduku |
| 14. 14.Mr. Okori Lameka | Parish chief Oboko parish |
| 15. 15.Mr. Opio Peter | Chairman LC I Odeo corner |
| 16. 16.Mr. Olowe Godfrey | Odeo corner. |
| 17. Okello Nelson | S/c chief Akokoro S/c |
| 18. Opio Francis | SHA Akokoro |
| 19. Okello Caroline | V/C person LCII Aboko |
| 20. Opio Nicholas | Ex.parish chief Awilla |
| 21. | Elder Awilla |
| 22. | Pump mechanic Akokoro |

IGANGA DISTRICT RUWASA VISIT

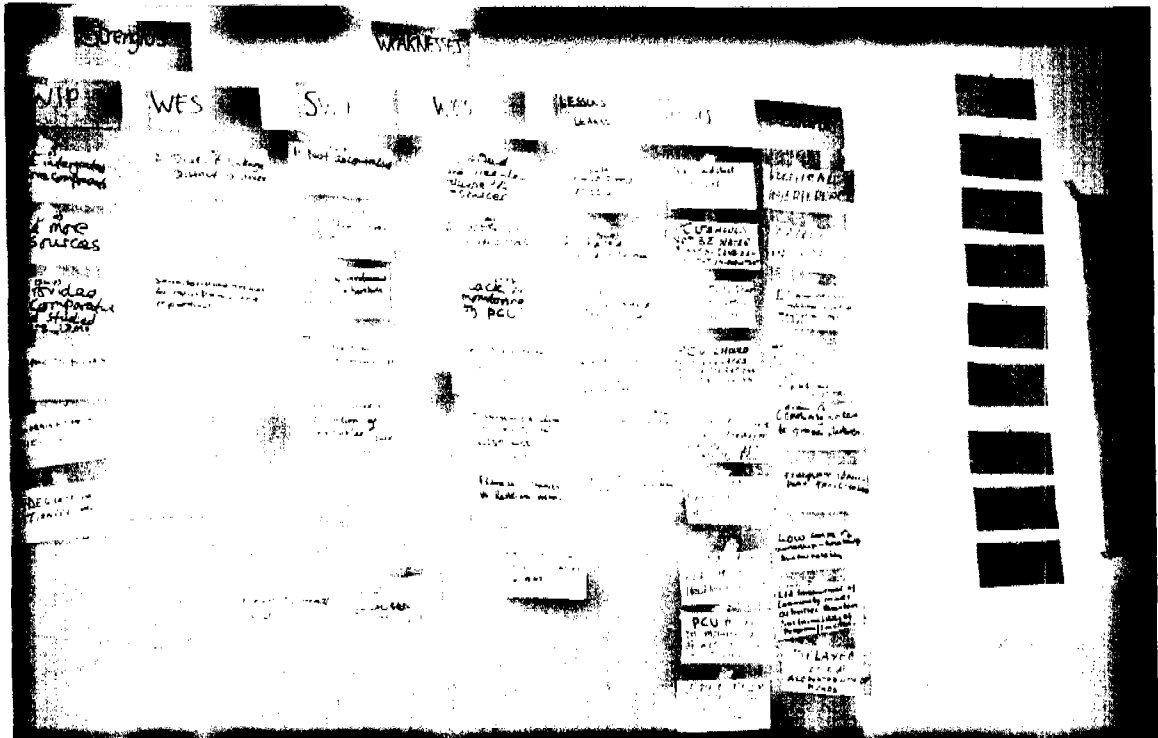
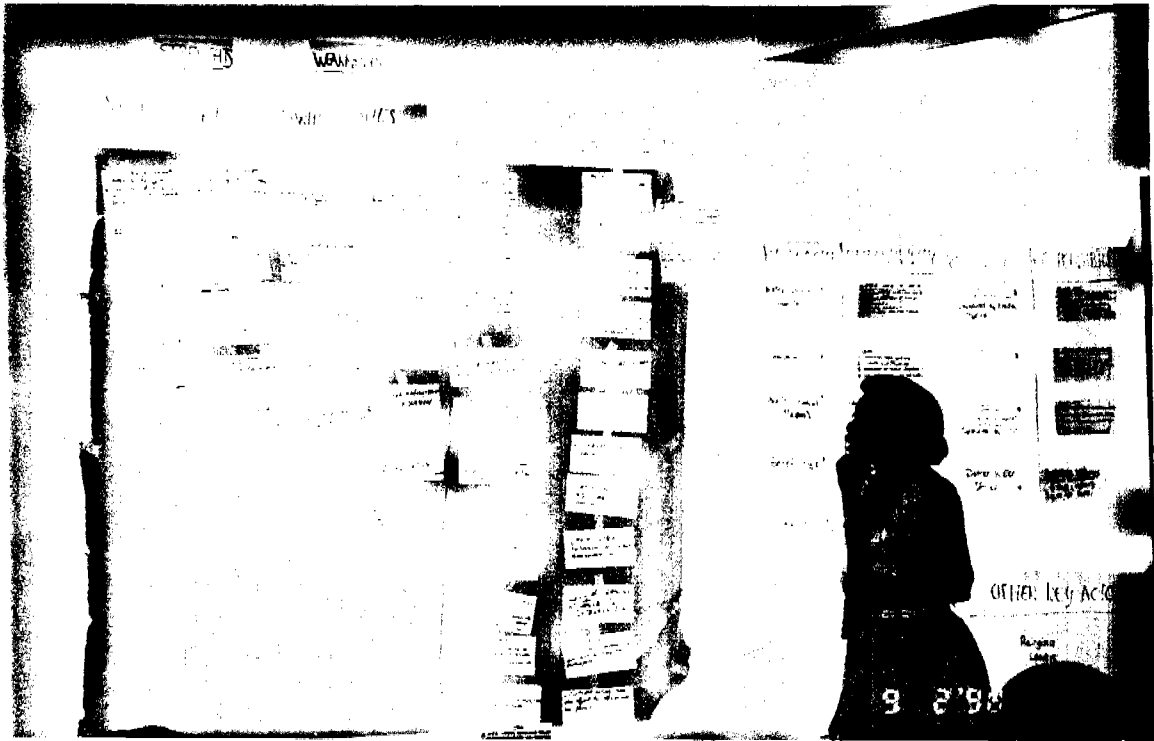
- | | |
|--------------------|----------------------------|
| 1. Kalinaki S | DIII/ag RUWASA coordinator |
| 2. Kozaala I | DCDO |
| 3. Okello Ogolla P | DEO |
| 4. Tugankye Fred | Health Eductaor |
| 5. Kisita James | Chief internal auditor |
| 6. Makinabu Yahaya | ag. DWO |

BUKOOMA SUBCOUNTY

- | | |
|---------------------------|--------------|
| 1. Mugabi Faith Huziranka | 1. S/chief |
| 2. Bataala Erusania | 2. C/man WSC |

Appendix 4: Examples of participatory tools used

SWOT- Analysis in IDM-workshops and Inter-Sub County workshops



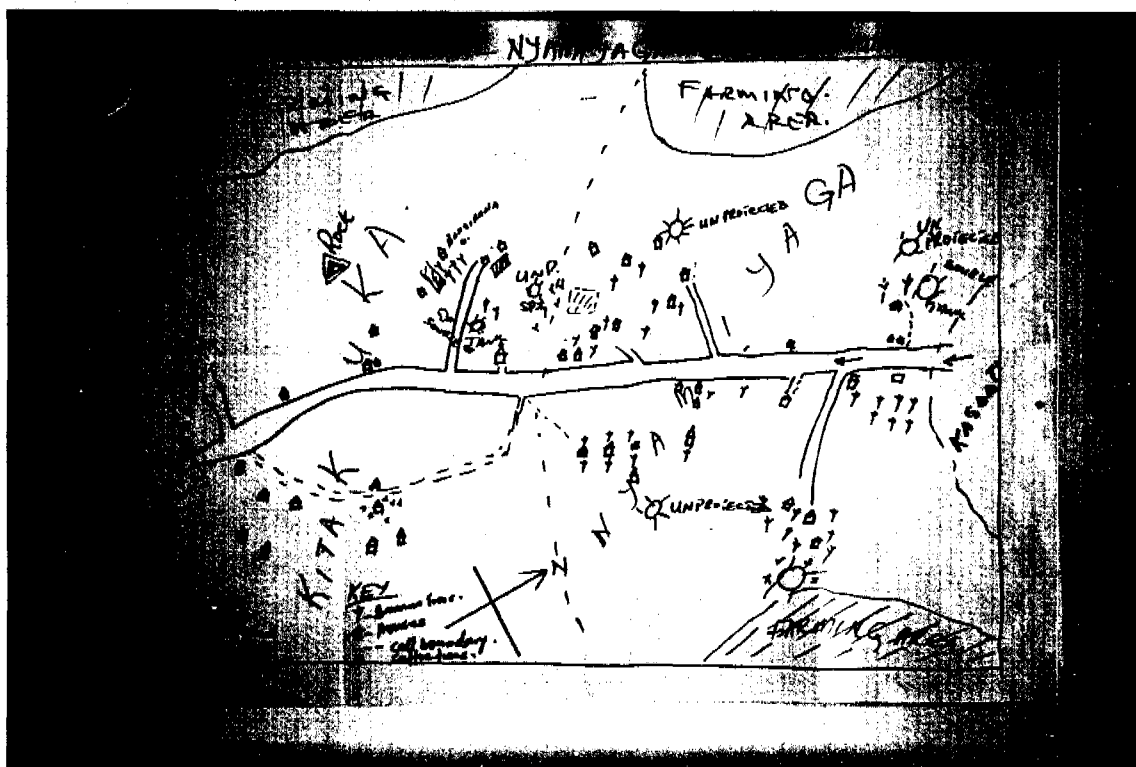
Focus Group Discussions at Village Level



Sanitation Ladder Exercise (village level)



Mapping 6 Exercise (village level)



Appendix 5: Recommendations

Appendix 5: Recommendations

- R.1 Guidelines on the implementation of decentralisation in the WES Programme should be further developed , and appropriate capacity building through training, guidance, supervision and support materials should be ensured.*
- R.2 The WES Programme should create the conditions for districts to make local purchases for WES materials. One of the conditions is training of district tender boards on how to manage the tendering process transparently, efficiently and effectively. The RUWASA project has some experience in this field which may be useful to the WES Programme .*
- R. 3 The WES Programme should develop clear policy guidelines on how privatisation will work within the programme.*
- R.4 The WES Programme should specify the type of support to be given to develop the private sector involved in WES activities; e.g. by considering giving training and guidance of contractors on contract management.*
- R. 5 The private sector should be better utilised by the WES Programme , e.g. concerning the implementation of construction activities, training and advisory activities and technical support.*
- R. 6 The WES Programme should stop the procurement of materials, allowing for the private sector to take over. Spares depots currently managed by the districts should be closed and support should be given to the private sector to take over that role.*
- R. 7 When the private sector is to supply materials, the WES Programme should develop effective ways to support private sector initiatives, e.g. through training, soft loans and start-up encouragement through transferring parts of existing district depot stocks, and initial logistical support. The RUWASA project has gained some experience with similar support to private sector activities, which can be of use for the WES Programme .*
- R. 8 The WES Programme should inform users on available services of e.g. sanplat producers, HPMS and spare parts suppliers, and indications of costs to enlarge the market of the private sector. Retrenched sector employees may be encouraged to take on such opportunities.*
- R. 9 The WES Programme should translate the stated policies into strategies and guidelines especially concerning sanitation, disseminate these in abridged form to the relevant administrative levels, and make these operational for all sector projects. For sanitation this is to be done in close cooperation with the MoH, possibly in the context of NASIP.*

- R. 10** *The Team identified the PMT as precisely the right institution to be in control of WES Programme funds. It is therefore recommended to empower the PMT to be operationally in direct control of jointly approved year plans and budgets. Every year joint WES Programme reviews on performance and directions should be carried out.*
- R. 11** *In order to increase the functioning of the PMT, a small team of IMSC members should look into the factors causing the limited coherence and suggest actions to the IMSC to improve this. One option could be to have the PMT headed by a coordinating ministry, such as the Ministry of Planning and Economic Development.*
- R. 12** *The PCU should consider delegating a number of their responsibilities to the departments of the involved ministries and to the UNICEF WES Section. DWD, EHU and DCD could have delegated tasks and be facilitated to utilise the staff optimally (e.g. regarding GFS, monitoring and evaluation). The utilisation of the private sector should be increased.*
- R. 13** *For the success of the WES Programme, it is crucial that hardware and software components are integrated and equally valued. The CAO and ACAO should play a central role in promoting co-ordination, and in stressing the interdependency among the hardware and software sectors. Since the ACAOs in the WES Programme are new, they and the DPOs should be included in the capacity building activities of the WES Programme such as the Management for Sustainability Course, for orientation and to increase their capacities and motivation. Furthermore, the RUWASA experience shows that investing in team building significantly improves the performance, collaboration and effectiveness of the DMT.*
- R.14** *The relation between DMTs and LC 5 Councils should be strengthened where not yet optimal, and should be based on a clearly understood and agreed division of tasks and responsibilities (Letter of Understanding). The prioritisation and approval of requests for support for WES facilities should be done by the LC5 through its Sectoral Committee. Approved plans should be followed up by the DMT for further planning and harmonising implementation.*
- R.15** *The PDC should be used to ensure linkage of the WES Programme with other GoU-UNICEF and WES-related activities implemented by NGOs, CBOs and other departments. A good example is the linking to CBHC activities in sanitation and hygiene.*
- R.16** *To achieve sustainable water systems, an autonomous management body at the water system level is very much needed. In this body, say WUC, the political influence should be minimised. It is recommended that the Programme addresses the need for strong WUCs urgently.*

- R. 17** *Different options should be evaluated on how to improve collaboration and communication between the PMT, PCU and the UNICEF WES Section. The UNICEF WES team should work more closely together with the PCU. In addition roles and responsibilities should be clearly defined to promote transparency. One way to avoid overlap and ineffective use of human resources is to identify specific tasks and responsibilities for the UNICEF WES staff. Their involvement should be on an advisory basis, and can include the strengthening of advocacy activities, the development of guidelines, training materials, and other communication tools and documents. Another area they could support is capacity building at the district level.*
- R. 18** *The Evaluation Team supports the idea within the PCU to regionalise by outpostting the majority of its members to various regions, each region covering five or six districts. To reach this number of districts per staff, a few PCU staff need to be recruited. During the Synthesis Workshop this idea was supported, although not by all actors. The person remaining behind at headquarters can be located under the new Planning and Co-ordination Unit presently being established in DWD. This suggested re-organisation is similar to the set-up for a new EU-funded project on GFS that will have four advisors posted in two regional locations. These four advisors could take on all PCU activities for the eight districts of the EU-project. The suggested regionalisation of PCU staff is seen as a positive development to strengthen the PCU role, particularly in guidance, follow up and supervision, but also in terms of general efficiency and effectiveness. However, funds for logistics and transport should be adequate. The profile of the regional PCU members should focus foremost on management capacities, and much less on 'technical' capacities in the field of WES. This will improve not only the coordination but also supervision and support to the districts.*
- R. 19** *Regionalisation of PCU staff is also recommended for the improvement of financial management and accountability at the district level. Clear procedures on financial management should be agreed upon in Letters of Understanding for improved transparency.*
- R. 20** *Clear lines and agreements for communication have to be established between the various actors in the WES Programme, both within one administrative level as well as among the various levels. Participatory workshops to identify these lines and agreements should be organised with all key actors, also allowing for capacity building on communication skills.*
- R.21** *The Inter-Sub-County Meetings should be well-structured using a relevant theme in each meeting.*
- R.22** *Regular meetings of extension staff and their S/C Chief should be advocated and budgeted for to improve planning and efficient use of resources.*
- R. 23** *Collaboration with other district-based GoU-UNICEF programmes, NGOs and external projects should be strengthened through the DMT to increase efficiency and to benefit by exchanging and learning from each others'*

experiences. Modalities need to be developed particularly at district level. The NGO Forum on WES (central level) needs to be revitalised. With RUWASA, being a DWD project, co-ordination could be through the planned Planning and Co-ordination Unit in DWD but communication channels need to be internalised.

- R. 24 Annual planning should be based on the submitted district plans, and any significant deviations should be discussed with the districts. The direction of plans towards UNICEF's policies should only be done gradually and after mutual agreement at different levels, so this needs careful communication and advocacy. The annual planning process should be made shorter.*
- R. 25 Solutions should be sought for the long delay in procurement of materials; these may include a contingency fund for local procurement; increased stock of materials; local procurement of materials as much as possible, which enhances the private sector and the availability of these materials in the future. Another suggestion which was raised during the Synthesis Workshop is to stop the central procurement of materials completely (see Section 6.2). If carried out carefully, this option has the preference of the Evaluation Team.*
- R. 26 Although a good start has been made, planning and budgeting capacities have to be further strengthened at the district, sub-county and lower levels. This capacity building should have various components, such as training, guided participatory planning workshops and meetings to exchange experiences, and regular supervision and support for trouble shooting. Capacity building should include an extensive orientation on how to implement the demand-driven approach. PCU, through their outposted staff with possible assistance from consultants could address this.*
- R. 27 Extension staff should play an important role in ensuring a participatory and gender-responsive process, as well as in the actual writing of the plan, thus building village capacities. If such village plans are documented and agreed upon, then carrying out implementation and follow-up activities will be easier, both at the village and higher levels. It will also greatly enhance the institutionalisation of planning at village, parish and sub-county level.*
- R. 28 In some districts, Parish Development Committees have been trained in planning. Their potentials should be utilised to help communities to come up with their plans and priorities. Furthermore, the WES Programme should make better use of the CBHC programme and the locally available staff from NGOs.*
- R. 29 WES staff at the district and national levels should be more pro-active in mobilising resources to support WES activities, such as the new GFS project which is funded by the EU. Especially for the funding of expensive water supply technologies such as boreholes and GFS, external support continues to be needed. For less expensive water supply systems (e.g. protected springs and wells), local revenue collection from users and LC allocation should be stimulated.*

- R. 30** *Budget allocations should be made following the principles of the demand driven approach. Budget allocations at the district level for WES activities should be made more transparent in all stages of planning and implementation.*
- R. 31** *Accountability at especially the district level has to be significantly improved. Clear agreements and procedures on financial issues, and Letters of Understanding (LoU) between the various actors are needed as good instruments for greater commitment as well as accountability at all levels. Based on the positive experiences in SWIP, WATSAN and RUWASA, it is recommended that these LoUs are re-introduced and signed at the planning stage. Furthermore, more guidance and supervision should be given in order to build district capacities in financial management. Possibilities for mis-use of funds and materials have to be minimised through good control mechanisms that have to be developed and internalised. The district internal auditors should be involved to check the use of funds versus activity outputs. The auditors should also be involved in building LC officials' abilities to check activities taking place in their areas.*
- R. 32** *The various administrative levels should allocate budgets for WES activities, and ensure actual spending. Commitment to this budget allocations should be arranged through Letters of Understanding, and should be made conditional for the release of funds from the national level (matching funding arrangement).*
- R. 33** *The planned channelling of funds through the district directly to the sub-county is estimated to benefit the actual implementation of WES Programme, and can ensure that a larger amount of the budget actually reaches the communities, provided the key actors at the lower level have the right capacities in financial management.*
- R. 34** *Good financial management of facilities as part of CBMS is recommended at the Water User Committee level, thereby ensuring long-term financial sustainability of the facilities. This includes good cost recovery procedures, for instance through user charges.*
- R. 35** *In order to increase the effectiveness of the PCU guidance and supervision, it is recommended that PCU staff go into the field together with the district staff, to be able to see what is happening on the ground and share experiences with other WES Programme actors.*
- R. 36** *It is recommended that district staff have regular meetings with their respective extension workers. This will have many positive impacts, such as having a better overview of field activities and improved planning, implementation, follow-up, staff performance and motivation. Therefore budget provisions for regular meetings have to be assured, including facilitation.*

- R. 37** *The supervision of construction activities has to be better co-ordinated. A clear division of responsibilities will limit the duplication of efforts. Effective quality control is needed.*
- R. 38** *Appropriate transport and allowances for extension staff should be made a priority at district level, and can be provided for on a cost-sharing basis to increase a sense of responsibility. Likewise, appropriate arrangements have to be made for proper maintenance of means of transportation.*
- R. 39** *The WUC and LC1 need stronger supervisory and training support. Provision of tools and equipment for digging by the sub-county on a cost-sharing basis can support people in pit digging, especially in rocky areas.*
- R. 40** *Monitoring system and procedures should be developed and implemented by the key actors of the various levels. It should specifically focus on the collection and analysis of and follow-up on information at the lowest appropriate levels, thereby empowering people to act when felt needed. Of crucial importance to the success of a monitoring system are among others the following issues: the purpose of monitoring being improving programme efficiency and effectiveness, and not reporting; information should be collected by the person who has a vested interest in it; the ability for this person to act upon that information; and the collection of the minimum of information. By developing monitoring systems and tools in a participatory way, involvement and shared ownership of all actors involved in the monitoring will increase its effectiveness.*
- R. 41** *Further development of skills and knowledge on monitoring is a must for the key actors at all levels. Training should be supplemented and followed by the learning-by-doing development of a system, regular guidance, supervision and feedback, and by training materials and other background materials.*
- R. 42** *Experiences on monitoring other projects like RUWASA and other GoU-UNICEF programmes should be used to learn from these experiences and to avoid the duplication of efforts. The Co-ordination, Communication and Advocacy programme of GoU-UNICEF is also currently developing a management information system which the WES Programme may be able to make use of. The WES Programme could also learn from the current Community Capacity Building (CCB) process and utilise the PDCs in place. The CCB is a joint activity of the ministries of Local Government, Planning and Economic Development, and Justice.*
- R. 43** *The PCU needs refresher training on planning and management to develop proper managerial skills.*
- R. 44** *The Evaluation Team confirms that training in these fields is needed but the needs per district are to be assessed to enable better priority setting and use of meagre resources.*

- R. 45 A quick study should be carried out into the effectiveness, advantages and disadvantages of training at the sub-county, parish and village levels by trained district staff versus the use of professional trainers.*
- R. 46 Efforts should be made to recruit preferably one CDA and one HA per sub-county, especially since they are the key link between communities and districts in planning and implementation of WES activities. As Has and CDAs are involved in many programmes/projects, their activities (e.g. monitoring) should be coordinated with other programmes. Involvement of the parish level actors could also facilitate better communication.*
- R. 47 In general, staff at all levels will benefit from capacity building on gender, planning, monitoring, the demand driven approach, implementation, management of finances, accountability and monitoring. However, equally important is the follow-up that is to be given to training activities through action-learning, i.e. participatory review and further improvement of the practices learned in the training.*
- R. 48 Human capacity building should go hand-in-hand with institution capacity building, including facilities and equipment, but also with the opportunity to apply the newly acquired skills and methodologies learned.*
- R. 49 Local leaders need to be given WES information and be strengthened in communication skills as they are key advocates for WES.*
- R. 50 Recruitment policies need to be gender sensitive to allow for more women staff to be involved in the WES Programme at the district and national level. This will enhance better communication with communities, especially women, who are key actors in all WES activities.*
- R. 51 A clear policy and strategy on how to implement the demand driven approach in the WES Programme should be developed. It should include an explanation on how the approach fits into the Ugandan context. Guidelines and manuals should be developed on how to put the approach into practice. This information should be disseminated in a strong communication package to all the key actors in the programme, preferably adjusted to their specific roles and responsibilities.*
- R. 52 To increase the demand for sanitation and to maximise behaviour change both on the short and long term, the right balance between thorough sensitisation on the benefits of sanitation, and legal and social pressure should be sought. Sensitisation efforts should be made in a more participatory way, taking into account and building on existing views on sanitation and hygiene. Furthermore, the importance of women as potential change agents should be recognised and maximally utilised.*
- R. 53 The method of planning and budgeting is one of the most essential features of implementation of the demand driven approach. Therefore, planning and budgeting for WES activities at a certain level should always be based upon*

the WES work plans and budget that are developed at the levels below, and should be finalised in consultation with these levels.

- R. 54 The demand driven approach can be used as a mechanism to scale down the WES Programme , by making a district allocation for the WES Programme a requirement for receiving matching funds from the national level. In the RUWASA project this type of arrangement is successfully incorporated through the Letter of Understanding.*
- R. 55 At all levels, awareness on gender issues in WES and skills on how to put a gender responsive approach into practice should be increased through training and follow-up refreshers, regular guidance, opportunities for exchanging experiences, shared learning opportunities and support materials.*
- R. 56 Information exchange, especially between the communities and the WES implementors, is of crucial importance for the success of the demand-driven approach. Therefore WES staff at the district and sub-county levels as well as local leaders should be re-oriented towards participatory communication and gender-responsive skills, and they should be supported with adequate manuals and other materials. Guidelines for communication and a structure for the management of information should be developed to increase and ensure proper communication and information flows among all levels, giving ample emphasis to the village level.*
- R. 57 Extension workers and local leaders need to be re-oriented and guided in how to apply the demand driven approach in a participatory and gender responsive way, ensuring that the needs of all community members are taken into account. The use of participatory tools is a must. More training and follow-up is needed in this.*
- R. 58 Communities should be encouraged to write down their village plans, if needed with help of an extension worker or PDC, to support follow up activities in the village itself as well as on higher levels, and to strengthen their position in the whole process.*
- R. 59 A clear and transparent procedure on the processing of and responding to demands should be developed to increase efficiency and accountability, especially of materials. This should include objective criteria for the honouring of demands, ensuring an equitable spread of resources among those who are most in need.*
- R. 60 WES actors at all levels should be re-oriented and trained on how to plan, budget and implement WES activities using the demand-driven approach. Proper guidance and follow up is crucial for the actual implementation, so is the availability of appropriate manuals and other materials.*
- R. 61 Although technology options for water supply are to a large extent determined by technical factors, it should be ensured that communities make the final informed decision on the choice of technology.*

- R. 62** *Clear overviews and simple documentation should be made available on the implications of the various technology options in terms of cost (capital, O&M, replacement), operation and maintenance, and site. A procedure should include that each community has to be informed about these implications before they make a decision on their technology preference.*
- R. 63** *In site selection for water supply, political influences should be minimised through clear procedures and orientation of extension, technical staff and politicians.*
- R. 64** *Technology choice, site selection and other key decisions for both water supply and sanitation should be made by both women and men, also taking into account the views of children. Therefore, mechanisms are needed to increase women's involvement. Instrumental in this process are the extension workers. In all districts it is found that there is a need to improve the skills of extension staff on participatory tools and gender-responsive interaction.*
- R. 65** *As much as possible, districts, sub-counties and communities should be stimulated to allocate funds for WES activities to meet with the high demand for water. Through advocacy, local leaders should be sensitised for water investments. WES staff at district and national level should explore possibilities and lobby for the involvement of other organisations to support the construction or improvement of water supply, especially in cases where the technology is too expensive to be paid by the community and S/C only, such as for boreholes and GFS.*
- R. 66** *It is suggested that before water facilities are constructed the water quality is tested for parameters that affect the acceptance and appreciation, such as taste, salinity and iron content, but also for parameters affecting health such as fluoride and nitrate. This should be done by the district water or health department.*
- R. 67** *The WES Programme needs to look into the balance between supporting new water systems and rehabilitation support for existing but non-functioning systems. In rehabilitation the demand-driven approach, community participation and CBMS leading to ownership and sustainability must be followed.*
- R. 68** *Furthermore, the WES Programme could consider making special arrangements for communities or people within communities who are less or not able to contribute, e.g. allowing for contributions in kind or (cross) subsidies. Transport of local materials(if needed) should be provided by the district.*

- R. 69** *Legal ownership of the land around a water source should be ensured before the construction or improvement of that particular source, to avoid future conflicts on rights. This ownership must be made evident by way of a certificate or Letter of Ownership, to be vested in the WUC/WSC or LC1 for community water systems, or in the LC2 or LC3 for larger systems covering several villages and more.*
- R. 70** *The functioning of the CBMS is largely insufficient to ensure sustainability of the WES facilities. The Programme should put the strengthening of all components of the CBMS as one of the top priorities for the coming years. Advocacy, communication and training supported by guidelines where not yet present should be considered to strengthen the CBMS.*
- R. 71** *Considering the costs for replacement and major repairs of parts of their water supply systems, the communities need to be sensitised on the preferred system of regular payment of user charges in order to create a reserve.*
- R. 72** *WUCs and caretakers need stronger support in skills development to be able to improve their performance in the CBMS. Besides O&M and the collection and accounting for contributions, they should be more actively involved in monitoring of system performance. More regular training and on-the-job guidance will improve their performance considerably. The gender balance in decision making within WUCs should be improved in terms of number and functions of women.*
- R. 73** *Caretakers should be sensitised and trained on preventive maintenance, especially for handpumps and GFS. The motivation of caretakers will increase when the WUC provides them, also as incentives, with supporting items such as gum boots, a raincoat and tools.*
- R. 74** *This information should be given to communities before they make the final choice on the technology to be applied. Through an improved monitoring system at WUC and other levels, realistic data on O&M costs should be collected. These are useful for both the WUC in setting the user charges and for the sub-county and district to include in the information to communities planning new systems.*
- R. 75** *Eventually technical skills for maintenance and repairs of particularly handpumps and GFS should be commonly available within each district. More HPMS need to be trained and supported in their effort to operate as private sector entrepreneurs.*
- R. 76** *For GFSs that cover several villages to parts of several sub-counties, a higher level of management organisation (GFS committee) has to be established, which depending upon the size of the scheme, may have a substantial task to manage the maintenance and other affairs in the GFS. This needs further development and pilot introduction in some areas. International experiences can be used as a starting point in the development of such institutional and management arrangements.*

- R. 77** *Rainwater harvesting for households should be supported in areas where no other alternative water sources are available.*
- R. 78** *Schools should be given the possibility to deal with the construction of sanitary facilities in a flexible way. The option to ask parents to contribute in the form of finances or labour should exist. However, these contributions should not be made obligatory in a very strict sense, since it is not acceptable that the enrolment of pupils is affected by it.*
- R. 79** *The Programme's School Sanitation Initiative has the potential to become an effective approach for improved latrine use and improved sanitation and hygiene behaviour. However, this approach should not only include classroom teaching but also practical activities with children and teachers, such as how to make simple hand washing facilities and mosquito traps. Sanitation and hygiene activities should be linked with complementary activities in the communities the children come from, such as sanitation and sanplat promotion.*
- R. 80** *Promotion of provision, use, operation and maintenance of sanitation facilities and hygiene and sanitation behaviour calls for increased awareness of the community through health education and sensitisation. Effective communication approaches and instruments must be further developed and disseminated. This needs to be accompanied by capacity building of extension staff using participatory methodologies which they themselves can apply in their work.*
- R. 81** *The initiative on accelerated sanitation improvement (NASIP)² from the National Sanitation Forum (October 1997) needs support for action and linking to the WES Programme. This initiative included the exemplary role of local leaders in having an improved latrine. Certain areas need special attention, such as Moroto where availability and use of latrines is extremely low.*
- R. 82** *The existing CBHC Associations in the districts and their health groups in the villages, and NGOs and CBOs operating at community level should be involved in the sanitation promotion campaign through increased co-operation and collaboration efforts.*
- R. 83** *For sanitation, focusing sensitisation on concentration areas to increase the demand can increase effectiveness.*
- R. 84** *A gradual process of phasing out support to sanplat production is recommended, as a flexible approach towards capacity building of the private sector.*

² NASIP is the proposed National Accelerated Sanitation Improvement Programme led by the MoH.

- R. 85** *For the construction of latrines, extension workers and local leaders should be sensitised and oriented towards cultural and gender-specific values that hinder the use of latrines, to enable them to take these into account as much as possible. The WES Programme may benefit from a feasibility and appreciation study on e.g. separate latrines for various family members.*
- R. 86** *Latrine construction is problematic in many situations due to specific environmental conditions. It is therefore recommended that a literature review is done on suitable and appropriate technologies for rocky, sandy and soft soils, and water-logged areas. The most promising technologies for Ugandan conditions could be field-tested before being generally promoted and disseminated to guide the extension staff.*
- R. 87** *In connection with other programmes and projects, clear and practical hygiene messages could be developed, accompanied with participatory materials that can be used by HAs, CDAs and VHWs, and groups involved in CBHC.*
- R. 88** *In the case of improved sanitation, the construction of latrines should be promoted hand-in-hand with the habit of washing hands. The development of such a hygiene education message should be based on a easy-to-catch message, and be combined with sensitisation of extension staff and other change agents in health posts etc. UNICEF's skills and experience in advocacy should be optimally used in such activities.*
- R. 89** *Although environmental concerns do not have to feature as a main component of the WES Programme, it is crucial to include catchment protection into O&M activities. for the sustainability of water sources, especially for protected sources and GFS.*
- R. 90** *The promotion of particularly drying racks and energy saving stoves is felt to be beneficial and should be continued, and can be highlighted more in areas where they do not get sufficient attention at the moment.*

**Appendix 5 a:
Comments on draft report
from
Ugandan WES Stakeholders**

COMMENTS ON DRAFT REPORT ON EVALUATION OF WATER AND ENVIRONMENTAL SANITATION (WES) PROGRAMME BY IRC-NETWAS

1. General

- 1.1 Title “.. and UNICEF supported WES Programmes”.** We suggest use of “... A Programme in the 1995-2000 GoU-UNICEF Country Programme”. This gives a clearer perspective on the nature of the partnership.
- 1.2 Table of Contents.** It does not guide the report effectively through the report. We suggest incorporation of Recommendations and Conclusions as part of Executive Summary and devoting a Section of the Main Report to Findings. We think this will be of assistance to the decision makers.
- 1.3 Executive Summary**
- We find it inadequate. Propose you include the following; the setting and purpose of evaluation; the findings; the recommendations.
- 1.4 List of Abbreviations.** We suggest that the report include those listed in Pg ii (Annexes) : V, P, S, D, N and Bks.
- 1.5 Mid Term Evaluation (MTR) of WES Programme and MTR of Country Programme.** Use Evaluation of WES Programme and MTR of Country Programme.
- 1.6 Insufficiently analysed findings and vague (generic) recommendations.** Many of the problems cited in the report are well known and provide the rationale for the existence of the Programme. However we do not think they have been sufficiently analysed to help the programme to take action. To advance this we recommend that the final report make more use of : available reports and records (and include them as an Annex); trend analysis (to help users to relate to the evolution of development style (from emergency, rehabilitation to development); and the views and judgements of the evaluators.
- 1.7 Glossary of Definitions.** We suggest that this be done for terms such as : capacity building, private Sector, NGO, supervision, facilitation, and participatory evaluation methodology. We think this add clarity to the report.
- 1.8 Incorrect or insufficient references.** Examples are : report on Evaluation Team's visit to RUWASA is not contained in Appendix 16; Sec. 6.3 does not seem relevant to Pg 27 Para 4; Sec. 5.5 (referred to re lesson 6, Pg 27) is missing; information on process is in Section 4.5 not in Chapter 6; RBPA (Pg 29 Last Para) is not defined; and Recommendation 71 (Pg 52 Para 6) is not clear. The TOR needs to be appended.
- 1.9 Limited Use of Case Examples.** The cases in the report appear to be limited to Ntungamo and Moroto. How about other districts (and from other countries). We suggest you consider adding case examples as boxed text.
- 1.10 Credit for Recommendations.** Recommendations 10 and 12 were made by the MTR of the WES Programme in Nov 1997. We think the report should give attention to accuracy on this.
- 1.11 Treatment of Annexes.** Too voluminous - makes document so large that it is unlikely to enjoy the desired readership. This was a main reason why only few persons submitted comments on the draft that was circulated.
- If kept unchanged, we suggest separation into (2) volumes ; one comprising Executive Summary (with the Recommendations and Conclusions - preferably in tabular form, which would help to satisfy the TOR requirement for Scheduling of Recommendations); and rest (including the Annexes as the Main Report).
- 1.12 Annex 3 on Persons Met.** Hopefully this is not final (since Team was scheduled to meet representatives of collaborating Ministries and Department; NGOs; other Section of UNICEF; and other team Members of UNICEF's WES Section).
- 1.13 Annex 5-7 on Inter-District Meetings (in Ntungamo, Hoima and Apac); Annex 8-9 on District Workshops (in Moroto and Rakai); and Annex 10-14 on Sub-County Meetings (in Apac, Bushenyi, Hoima, Ntungamo, and Rakai).** Similar comments to those for the IDMs.. The Section is very long (24 Pages from xvii to xl). We suggest that these be merged (preferably by category of meeting). Issues considered to be of general interest could then be highlighted and those on (specific) district matters could be highlighted.

2. Specific

- 2.1 **Pg 7 Para 1 Last Sentence on "number of districts supported". (See also Pg 7 Para 1).** We suggest report uses : "28 of 39" supported by SWIP-WATSAN, "34 of 45" by WES Programme (remaining 10 by RUWASA and Kampala is capital district). This will give users a concept of the scale of the programmes.
- 2.2 **Pg 7 Para 4 Last Sentence on "this report (structured) on general issues". (See also Pg 11 Para 6).** Why was this done since : at stakeholders meeting the Evaluation Team commented on the comprehensiveness of the TOR; and the TOR asked the Team to consider scheduling and costing of recommendation.
- 2.3 **Pg 7 Para 5 Sentence 1 on ". moving into mainstreamed Programme"; Pg 16 Para 6 on "WES as umbrella (to coordinate) other WES projects"; and Pg 25 Recommendation 9 on "(the mainstreamed) Wes Programme to translate policies and make operational for sector projects".** The report needs to : specify basis, appreciate that PCU is more than DWD, the financial implications; and how this could be done. . When was it conferred with this leadership role? Some explanation to justify this role as WES should be provided otherwise WES may be judged on the wrong premise.
- 2.4 **Pg 8 Para 4 Sentence 2 on " regionalisation of PCU (by) out posting staff". (See also Pg 35 Paras 3 and 4).** Regionalisation was the trend in SWIP but was rejected because it was seen as : counterproductive in terms of capacity building; and not in line with government policy. The report needs to provide insights into issues such as : implications for rental, vehicles and drivers; which ministry would make staff selection. Also : is financial management a result of lack of procedures or simply planned and executed resource leakages.
- 2.5 **Section 7.6 on "SC Chief and LC3 give minimal support to extension staff".** Need "why", "how and "who to act" (District, Wes Team, IMSC) so programme can plan logical interventions.
- 2.6 **Pg 8 Para 3 Sentence 2 on "UNICEF keeps tight control on planning, budget"; Pg 27 Para 3 and Pg 37 Para 1 on "UNICEF WES pushes own Agenda"; Pg 7 Para 4 Sentence 4 on "UNICEF officers confuse PCU staff and demand information to control Programme"; and Pg 34 Para 8 on "inadequate communication between UNICEF WES and PCU-DWD". (See also Pg 34 Para 9 on "improving PCU-DWD & WES - UNICEF collaboration"; and Pg 16 Para 7 on "decentralisation of control in implementation"and Pg 45 Para 2 on "UNICEF ignores district input into PPA").** These findings are sufficiently important that specific examples are needed since comment not fair to WES Team. The Team thinks that good examples of joint planning as : the method used to prepare PPA and MPO; the developing the ToR for this evaluation. UNICEF staff needs the feedback so they can be requested to stop. One interpretation from the attention given in the report is that UNICEF policies are bad. If so, specificity is needed so it can be influenced to change (locally and globally). Also, it is important that the Evaluation understands that within UNICEF globally, programme success is mainly evaluated by how far control and management has been transferred to Government and communities.
- 2.7 **Pg 11 Para 2 Last Sentence on "increasing sustainability of WES facilities and legal ownership of community facilities by communities".** The basis for this conclusion needs elaboration. Is the problem really "ownership" or is it "control of management".
- 2.8 **Pg 12 Sec 3.1 on "Rationale for Participatory Methodology".** To what extent was this evaluation participatory.
- 2.9 **Pg 13 Para 2 Last Sentence on "People appreciated meetings (with Evaluation Team) since they were first opportunity to express views"; and Pg 14 Para 1 and 2 last sentences on "participants found workshops a good methodology".** Important finding but insufficiently analysed. " Who are the people", "What were their views", "were the views valid", "did the Team find it to be true", how were the methods used in the workshops by the Evaluation team different from those used for Training supported by the Programme. (The Evaluation Team could analyse the PPAs to share with readers how much is invested in Workshops and sensitisation). What about IDMs.
- 2.10 **Pg 14 Para 3 Sentence 1 on "Parish and village visits".** Not clear what is being referred to (Was it the visit by the Evaluation Team).
- 2.11 **Pg 14 Para 5 Sentence 1 on "District WES performance not to be reviewed (by Evaluation)".** We think this is an incorrect interpretation of the TOR. (See Bullet 2 of scope of TOR).

- 2.12 Pg 15 Para 3 on "Wes Programme - heavily supported by UNICEF". This need to be put in perspective. The amount is about \$4 million in 34 Districts. For comparison (See PPAs for data), the report should also show inputs by government (all levels) and community.
- 2.13 Pg 15 Para 5 line 4 on "LoUs were abandoned". LoUs have not been abandoned. Their application was suspended to allow the Programme to sensitise stakeholders on their use.
- 2.14 Institutional Issues**
- Context of Country Programme, Specific programmes, participation of line ministries, institutional and decentralised (mainstreamed) implementation strategy not well brought out/analyzed.
- Pg 16 Section 4.2 para 1 & 3 are arbitrary statements, which are not based on the facts e.g. role of central agencies, relative support to water, sanitation, mobilization and the relationship with other components of the country programme. They should be rewarded or give analysis.
- 2.15 Pg 16 Para 5 Last Sentence on "UNICEF WES Team (to) work more jointly by moving to PCU". Report needs to analyse cons and pros - especially considering its allusion to tendency of UNICEF to control. (See comment on Pg.8 Para 3).
- 2.16 Pg 17 Section 4.3 on "Demand drive - as viewed by different actors"; Pg 37 Para 6 and Pg 44 Para 1 on "How to implement demand drive in WES"; Pg 47 Para 3 on "Districts having insufficient knowledge and unwillingness to work according to demand based "; Pg 45 Para 2 on "little District input into PPA (which is less based on demands)"; and Pg 46 Para 8 on "Lack of clear criteria for approval and priority setting allows district staff to set their own priorities". (See also Pg 45 Recommendation 53). Different actors (and interest groups) have different interpretations. The report needs to be more analytical here (including giving it definition). What type of elaboration is expected (since this relates to national policy and the PPAs have been cognizant of national policy. It is an aggregation of district request mentioned and tailored to resource availability.). Is the wide difference in interpretation of demand drive a problem for Districts.
- 2.17 Pg 17 Para 1 on "Training courses (e.g. by IRC-NETWAS) to be followed up". This was specifically requested in the TOR. Not adequately addressed. Need to be done for final report.
- 2.18 18 Para 4 on "support for home-based rain harvesting to increase sustainability of WES facilities". Correction should be made that support for home - made rain water harvesting is being facilitated through Pg skills and knowledge importation (training). Being advanced in PPA.
- 2.19 Pg 18 Para 5 on "Technologies imposed by implementers"; and Pg 18 Para 6 on "functioning of WES support systems at different levels. Treatment too generic. (How would do you start). Communities contribute (Would they do so if they did not want the technology). If the finding for water systems (Sentence 1) were true, functionality would be tending to zero.
- 2.20 Pg 18 para 6 depot empty, distri"... Elements of CBMS weak, spares cts/subcounties doubted if they take CBMS seriously" These are sweeping statements, you should have found out the causes and offered solutions.
- 2.21 Pg 19 Para 3 and last on "WES - link to NASIP"; and Pg 55 Para on "follow-up on Kampala Declaration on Sanitation". (See also Pg 54 Last para). Incorrect. NASIP is a "baby" of WES Programme (involved from its conception) . WES promoted (See PPAs for 1997 and 1998) and financed the National Task Force to find new initiatives to rationalize WES interventions in an integrated approach.
- 2.22 Pg 20 Bullet 2 Sentence 2 on "Importance of integrating water, sanitation, community development and gender. Programme to continue in this constellation". Not sure if this the view of the staff or a recommendation of the Evaluation?
- 2.23 Pg 20 Bullet 2 sentence 3 on "disappointing financial support from central" and Pg 20 Bullet 2 line 3 on "some districts say WES did not mean much to them". This could be interpreted as a positive sign. Need also to review perspective of contributions by all partners as prescribed in MPO and, consequently the performance of all - not only the centre.
- 2.24 Pg 20 Para 3 Bullet 1 on "most WES staff find Programme a good initiative, but problematic". Not sure if this is the view of staff or a recommendation of the evaluation?

- 2.25 Pg 20 Bullet 2 line 4 on "focus on physical water supply for 1998". We suggest that actual allocation from the PPAs be used to determine the accuracy of this finding.
- 2.26 Pg 20 Para 4 on "complaint (concerning) procurement of materials by centre" and Pg 37 Para 4 on "delay in procurement of materials". The team was informed that the Programme is considering contracting services and construction of facilities. The private sector is being facilitated and mobilised to be at the interface. Also need analysis of procurement problems at District level to ensure a "balanced" finding.
- 2.27 Pg 21 Para 2 on "RUWASA ahead of WES Programme on". Specificity needed.
- 2.28 Pg 21 para 3 ".....WES Mainstream programme biased towards creation of enabling environment that construction ...". Where is the basis of this statement?
- 2.29 Pg 22 Para 2 last sentence on "guidance needed on use of funds received by LCs"; and Pg 22 Para 2 on "Funds utilisation at sub-county". Did the Evaluation Team ask during the SC meetings held. Needs to be supported.
- 2.30 Pg 22 Para 2 on "Sub country - decentralisation since July 1998)". Earlier. Check Local Govt structure to see when it started.
- 2.31 Pg 23 Para 4 Recommendation 1 and 2 on "Guidelines on implementation (and privatisation) should be developed". Vague. Also we think these exist (See 1998 PPA).
- 2.32 Pg 23 Paras 6 and 7 on "WES Programme - no guidelines on privatisation". Government's policy being followed. (Activities in 1998 PPA include hiring consultant to work out modalities). Local procurement of handpumps started in 1994.
- 2.33 Pg 23 Sec 5.5 on "UNICEF's procurement procedure is once per year through Copenhagen. Not correct.
- 2.34 Pg 24 Para 5 Recommendation 6 on "soft loans...". The Programme has no authority to do this.
- 2.35 Pg 24 Para 5 Recommendation 7 on "spare parts distribution. Malawi .. a good example". We do not agree. In Malawi distribution is being done through government shops. Analysis should separate local and non-local materials, cost implications (especially with limited budget), quality control, district procurement vs private sector procurement.
- 2.36 Pg 25 Para 1 on "Mechanics receiving allowances"; and Pg 43 Para 4 on "Inadequacy of Handpump mechanics." We do not support this since the programme does not wish to be prescriptive. How many trained so far? How did Team find that "no evidence of latrine masons trained". Connection between this section and privatisation needed since the focus is on privatisation.
- 2.37 Page 25 commendation 8 WES programme should inform users on available services of HPMS and ...". This is vague, who in WES Programme should do this. Need to be more specific for necessary action.
- 2.38 Pg 27 Para 4 on "Management structure of GoU - UNICEF CP - not most efficient". Report needs to state basis used by Team to arrive at this.
- 2.39 Pg 27 Para 5 Recommendation 10 on "PMT - right institution to control WES funds". This is prescribed by the mechanisms set up for the Country Programme. The report needs to be careful in using "control" since it could be interpreted as advocating for micro-management.
- 2.40 Pg 28 Para 4 on "collaboration problems in Moroto". Needs to be clear. What was the problem (and need).
- 2.41 Pg 28 Para 5 on "delayed community involvement. SWIP-WATSAN (introduced) community involvement later". Need dates. We think it is incorrect. CBMS was introduced pre-1992 (A report exists).
- 2.42 Page 28 para 6 . We expected the team to study the LOUs and where possible advise for improvement.
- 2.43 Pg 28 Para 7 on "weak gender focus in SWIP/WATSAN". Important finding. Needs to be substantiated. Also need strong (doable) recommendation on how to address the deficiency.
- 2.44 Pg 28 Para 8 on "Supervision during SWIP and WATSAN appreciated by extension staff. Inadequate in WES Programme". Report needs to analyse this. Balance against dependency creation.

- 2.45 Pg 28 Last Para** on "neither SWIP, WATSAN or WES advocated for water as economic good". What does this mean. How could it be done. Opportunity for Evaluators to share "success stories".
- 2.46 Pg 29 Para 2** on "Separate plans at districts for CBHC and WES Programme"; and **Pg 38 Para 4** on "WES Programme make better use of CBHC". Not clear if the Evaluators see this as positive or negative. Note : CBHC relate to Health Programme of the GoU-UNICEF Country Programme. Suggestions on "how".
- 2.47 Pg 29 Para 4** on "WES Programme - vehicle for UNPAC to be translated into action". Good. The programme had input into UNPAC.
- 2.48 Pg 29 Para 5 Sentence 3** on "WES Programme contributes to communities and gives less for schools". Report need to quote figures. Source of information. Report's finding inconsistent with the 1998 PPA. Also : Schools use community supply. The more vulnerable children are not old enough to be in school. Insufficient resources under WES Programme to meet all needs. In most communities, schools chosen as sites for water supply points.
- 2.49 Pg 29, after Section 6.8** There is no mention of contribution or linkage with Poverty Eradication Action Plan.
- 2.50 Pg 30 Sec 7** on "WES - being implemented in context of decentralisation, privatisation". An important omission is : as part of the GoU-UNICEF 1995-2000 Country Programme.
- 2.51 Pgs 30 and 31 (Table)** on "WES Institutions (including District Steering Committee (DSC) and Sub-County Management Committees)". Table needs to be clearer. Suggest differentiation into : Country Programme institutions (e.g. PMT) and Government institutions (e.g. IMSC and PCU). On CP structures, the Report omitted CPMT and CMTs. DSCs were phased out in 1997 (functions assumed by relevant Statutory Committee); report should use legal name (Water and Sanitation Committee) as per 1995 Water Statute. IMSC does not handle administrative functions but policy
- See also **Pg 33 Para 5 Sentence 5** on "reporting and control of LC 5 Council varies considerably" and **Pg 34 Para 2** on "names, composition and tasks of sub-county committees vary from district to district". Specificity needed. However this is a reality of decentralisation where districts have the right (and obligation) to organise themselves.
- 2.52 Page 32, last para** ... according to information received, low coherence of PMT (?), irregular meetings, poor attendance This is incorrect, quote source, there is a whole file on PMT business with facts to the contrary.
- 2.53 Pg 32 Para 2 Sentence 2** on "PMT carries out management tasks - but not with strong and equal participation of all ministries". Report needs to provide source. We think the strong input by MoLG, MoPED, MoH and MoNR is a major success for the WES Programme. WES Programme is one of many programmes where different government institutions are involved.
- 2.54 Pg 33 Para 2** on "PMT to be headed by coordinating ministry such as MoPED" and **Pg 33 Para 3** on "PCU (is) implementing arm at centre". Report needs to discuss how this would help (maybe drawing from countries where such arrangement works). Note : Staff in ministries such as MoPED tend to be administrators not implementers. The team should have found out how government programmes are implemented under responsible sectors/ministries. MPED is a planning, and coordinating sector at national level for all sector programmes. Need to compare with how other programmes (Health, BECCAD and CCA) are managed. We think it is more accurate to see PCU as the "facilitating arm". The shift (supported by PCU and PMT) is to get implementation to rest with the relevant technical departments. [The Evaluators interfaced with both the GFS, M & E, and Drilling Units of DWD where there has been some success with this].
- 2.55 Pg 33 Para 3 Sentence 5** on "PCU (staff) workload is high because of adhoc and departmental tasks". Specificity needed.
- 2.56 Page 34 para 2.....** composition and tasks of various subcounty committees unclear and vary Team should have made clarification or comment on what is provided for in the documents.
- 2.57 Pg 34 Para 3** on "Parish institutions not active in WES management. PDC is recent institution". Incorrect. Did Team refer to available information on CCB/CBMIS. (If so, what are its views on this). The Team was informed of efforts being made to correct this - especially since the enabling possibilities of the Local Government Act (1997).

- 2.58 Page 35 Recommendation 18. Team misunderstood need for extra staff. Under decentralization, difficulties in outposting national staff to serve regions. Recommendation brings out unnecessary emphasis on centre to do things. Need for district capacity analysis and suggestions for improvement.
- 2.59 Pg 35 Para 5 on "Clear lines and agreement between various actors". Agreed in MPO that is how the WES Programme operates.
- 2.60 Pg 35 Para 6 on "District staff go direct to communities (bypass sub county). Leads to inefficient use of resources". Could be efficient but may not be a sustainable option.
- 2.61 Pg 35 Para 7 on "LC 3 councillors (to be) more involved in Mobilization" How. We plan for this in 1998 PPA.
- 2.62 Pg 36 Para 2 on "Inter-SubCounty Meetings (to be) well structured". Examples needed. We think they are.
- 2.63 Pg 36 Para 6 on "Communication with others (such as RUWASA). Channels are IMSC and direct contact. Collaboration on activities such as Tool kit for sanitation.
- 2.64 Pg 36 Para 8 on "PPA (preparation) takes 4 - 6 months"; Pg 37 Para 2 on "Shortening annual planning process" and Pg 37 Para 3 on "Irregularity and delays in release of funds". Implementation does not stop planning and vice versa. This evaluation was planned and funded to get options to help with such questions. Important that report recommends options that Programme can consider to deal with this. Also. Any ideas from the evaluation of the real cause (s).
- 2.65 Pg 37 Para 5 on "inadequate structure and quality of district plans and budgets". How. What is missing in the joint plans. Need for facts and statistics for this conclusion, our experience is that WES is not incorporated in district plans/priorities budgetwise and in resource allocation.
- 2.66 Pg 38 Para 2 on "Written Village plan do not exist"; Pg. 46 Para 3 on "Village request forwarded verbally and rarely in written form". Why is this important. Who will benefit from this (it seem from Recommendation 25 that this would be the extension staff). What is the significance. We think this needs time to take root. Usually this process is started by a few who "catalyse" others and "mushrooming" ensues.
- 2.67 Pg 38 Para 6 on "Funds channelled to Districts through PCU". Not correct.
- 2.68 Page 38 Recommendation 27loose use of WES e.g. WES staff, WES activities incorrect.
- 2.69 Pg 39 Para 2 on "Poor accountability at districts because lack of procedures guidelines". These exists. How do you think that they can be implemented.
- 2.70 Pg 39 Para 4 Recommendation 29 on "use of district internal auditors." Districts already doing this! Case of Lira and Kumi.
- 2.71 Pg 39 Para 5 on "NGOs contribute to water but (their) budgets not known." More analysis is required. Why are NGO's expenditure not known..
- 2.72 Pg 39 Para 10 on "Villages contribute to O & M but (do) no financial planning"; and Pg 52 Para 3 on "Communities prefer (to make) ad hoc contributions". If they plan and they contribute to O & M; what is expected here. The adhocness could be positive (if funds mobilized without elaborate (collection and expenditure) system.
- 2.73 Pg 40 Para 4 on "refusal of districts to create good environment for private sector". Why. More analysis is required.
- 2.74 Pg 40 Para 6 on "budget provisions for meetings of district staff". See 1998 PPA Need views of other countries on balance between what is right and what is affordable. Also, would this be sustainable.
- 2.75 Pg 40 Para 7 on "Supervision of water source construction by key WES actors (is) inefficient" and "LC gives minimal support"; and Pg 40 Para 8 on "Supervision to be better coordinated". What make it in efficient. (Is it because they are not convinced, they were not asked, have resource constraints or sheer neglect). The Local Government Act (1997) and District Service Commission Guidelines are very clear on sectoral responsibilities and duty schedules for each officer. Team failed in its tasks.

- 2.76 Pg 41 Paras 1 and 2 on "Inadequate facilitation of Extension staff (especially allowances and transport)". What is happening with resources provided, (especially transport) so far. What does the team recommend as adequate transport and allowance. Who should cost share. Not in keeping with government policy (tried and rejected).
- 2.77 Pg 41 Para 3 on "Gum boots, rain coat - as motivators for Caretakers". Sustainability questionable! How long can gum boots be a motivator for caretakers. Where has this kind of motivation worked.
- 2.78 Pg 41 Para 4 on "Insufficient monitoring - from PCU and UNICEF" and Para 9 on "M & E system and procedures to be developed." Why and how. Is it the number of times. Is it technical ability Concern or M & E. The PCU includes the UNICEF offices. The Decentralisation Statute assigns responsibilities to line ministries for quality assurance, monitoring and evaluation.. The report show review efforts being made to facilitate M & E Unit of DWD to take on this role.
- 2.79 Pg 41 Para 6 on "CDAs and HAs - to report monthly on water supply and latrine coverage". Why. Things certainly will not change much within a month. Spend time to work with intervention committees.
- 2.80 Pg 42 Para 3 on "CCA - developing a MIS". This should be CBMIS. WES involved in its development. Need views of Evaluations on how this will help. Lead role by MOH.. No time as stated.
- 2.81 Pg 42 Para 4 on "WES Programme emphasis on Capacity Building - most visible area." Why? How to improve.
- 2.82 Pg 42 Para 6 on "The PCU needs training to develop managerial skill. Is poor planning by PCU due to lack of skills or other factors (e.g. workload, remuneration).
- 2.83 Pg 42 Recommendation 8 on "Evaluation Team confirms that training (in planning..) needed". How about the training by IRC/NETWAS (as required by TOR). (See also Para 9 & Pg. 43 Para 1 and Pg. 43 Para 6).
- 2.84 Pg 43 Para 3 on "Shortage of Extension staff and efforts to recruit adequate CDA's... ." Why are they not recruited. Lack of funds, low salaries? What does this team recommend to the district to overcome this. What about water staff? Analysis not elaborate.
- 2.85 Pg 43 Para 7 on "human capacity building (to go) hand in hand with institutional capacity building". Abstract. What is the recommendation?
- 2.86 Pg 43 Recommendation 46 on "Action Learning". Vague. Terms needs definition. Where is the basis and facts to justify recommendations R46-R47?
- 2.87 Pg 43 Para 9 on "Recruitment policies need to be gender sensitive". What is the recommendation for WES. Gender training for the public service commission.
- 2.88 Pg 44 Para 3 on "Sanitation is increasing but still low" and "right balance". Why low. Is the indication for sanitation improvement latrine. How. Target group. Example of approaches that have worked elsewhere.
- 2.89 Pg 45 Para 1 on "temporary structures (for school latrines) - to be converted into permanent ones". Need to define temporary and permanent structures. Is it feasible to promote "permanent" latrine structures at all schools?
- 2.90 Pg 45 Para 6 on "few female Extension staff but (they) are more gender responsive" Important finding. Needs details. (For what). Where was this found)
- 2.91 Pg 46 Para 9 on "Communities do not get feedback from district". Why! More analysis required. What is the impact of the efforts in CBMIS and MIS (WES)?
- 2.92 Page 46 Section 8.2 should read all through as formulation and processing of plans (and not demands).
- 2.93 Page 47 para 5 Generally felt that knowledge of extension staff not sufficient Evaluation team expected to help us with better analysis and doable solutions.

2.94 Pg 50 Para 5 on "Table (reported - based on discussions)". Important But, why not also on data(e.g. from M & E Unit of DWD). Data used in tables should be rectifiable at source. Analysis should cover other issues;

(Ownership

- Lack of O&M procedures and bye-laws,
- Leadership,
- Does WES implementation strategy have an impact on institutional development for sustainable O&M?,
- Inadequate (number and quality) technical staff).

2.95 Pg 50 Last Para on "balance between new water system and rehabilitation" Important feasibility restrainable. Balance with need of unserved. Hope the recommendation is not for another rehabilitation Programme.

2.96 Pg 51 Para 1 on " Communities - long distances to collect safe water. Use it for drinking only." Source. Extent found (from interaction with 18 Districts and records/reports available for perusal by the Evaluation Team).

2.97 Page 51 para 2 need for recommendation on community contributions; percentage, form (cash or kind), documnetation, management etc eqpecially now with more towards private sector implementation.

2.98 Pg 51 Para 5 on "district WES teams find community ownership still low"; Pg 51 Para 6 on "Legal procedure on the ownership of land"; and Pg 51 Para 7 on "Legal ownership of land around a water source". Not clear. To what extent is this problem. Could it be more of problems relating to costs rather than an ownership problem?. What does the Water Statute say on this?

2.99 Pg 52 Para 7 on "Little regular maintenance". Why are 70% of pumps working?

2.100Pg 54 Para 4 "higher level management organisation for GFS. International experiences can be used ..". Share with us.

2.101Page 55 Section 9.2.1 Team was informed of collaboration with Ministry of Education at all levels to ensure schools and community building plans include sanitation and water supply.

2.102Pg 55 Para 5 on "sanplats and relation to low (latrine) coverage"; Pg 57 Para 6 and Pg 58 Para 6 on "High cost of sanplats - limiting factor"; Pg 57 Para 7 on "phasing out support to sanplat production"; and Pg. 58 Para 2 on "(poor) structural condition of most traditional latrines". Is a traditional latrine without a sanplat not sanitary. Do we need to prescribe a technology. What are other options. Is this the economic. How is this related to the "demand driven approach". By whom. Analysis. How's this important. This message and that in Pg. 57 Para 6 could be confusing. The spirit of the recommendation is reflected in the 1998 PPA. How many were visited by Team.

2.103Pg 57 Para 5 on "Focusing sensitization on concentration areas". Define. Promotion may not be feasible.

2.104Pg 57 Para 8 on "sharing latrine with in-laws - cultural obstacle for using latrine" and Pg 58 Para 1 on "separate latrines for family members". Specify Districts. Scale of problem. We now have a problem of price of one latrine in household. Should we leap to promotion of multiple latrines for households.

2.105Pg 59 Para 2 on "Most promising technologies - field tested before disseminated ". Need suggestion (60% of Evaluation Team was Ugandan) (a) low cost; culturally acceptable; experience in similar situation. The idea of more research is not an attractive proposition.

2.106Pg 59 Para 8 on " Catchment protection not part of O & M of water source. How. What did people say or do that reflect this finding. If WES Programme is to intervene this kind of analysis and interpretation is crucial.

2.107Pg 59 Recommendation 88 on "environmental concerns - not included as main component of .. Programme". Not true. A latrine is supposed to stop contamination of the environment by human excreta. Water Source catchment protection.

**Appendix 5 b:
Reactions on some comments on draft report
by
Evaluation Team**

REACTIONS ON SOME COMMENTS ON DRAFT REPORT WES UGANDA EVALUATION 1998

by Evaluation Team

The eight pages contained 120 comments, 13 general and 107 specific comments. This shows the thoroughness of the review of the draft evaluation report by the professionals involved in the WES Programme. The comments were very valuable and indicate the commitment of the commenters towards the WES Programme.

All comments have been very seriously studied and on nearly all a reaction is given below. Where appropriate the comments have been incorporated in the final text. The evaluation team gave re-stated or further clarified the arguments behind the conclusions drawn, or gave further information etc.

The first comments were all incorporated in the text of the reports. The report has been split in two volumes, an executive volume (vol. 1) with an Executive Summary and a chapter on Major conclusions and recommendation, and a full report volume (vol. 2).

A Glossary of some basic terminology used has been included as well.

- comm. 1.9: the use of specific cases in the reporting is limited, as then the report will be read as a fact finding report on which the Programme could act on an case-by-case basis. The TOR indicated the need for overall trends in the Programme for which six representative districts were selected. For the six districts selected and the twelve other districts that visited the Inter-district workshops, and for the sub-counties participating in the Inter-Sub-County workshops in all six districts, details of the situation are reflected in the appended workshop reports. To ensure that no specific information got lost, these workshop reports are not collated.
- comm. 1.10: of course the Evaluation Team used the MTR reports as a reference, but also used its own information channels and judgements. Based upon these, recommendation 10 (with some overlap with MTR recommendations 6.1 and 11.2) was formulated. It should be concluded that overlaps in conclusions strengthen the recommendations of both the MTR and the WES Programme Evaluation.
- comm. 1.13: the evaluation team compiled all the field findings on summary sheets for analysis. These were not included as they were intermediate steps/tools for the final findings and conclusions. Adding these would cost a lot of work and give more "semi-raw" material as bulk in the appendices. In stead for recognition by the districts and sub-counties the workshops reports were appended.
- comm. 2.2: because of the comprehensiveness of the TOR, it was needed to structure the evaluation around four areas presented in the briefing meeting at DWD. The TOR was analysed around these four areas, as presented in appendix 1. The time scheduling and costing of the recommendations is not possible as this would lead to a formulation and planning stage that needs much more details and consensus of all actors than that could be reached in the time-frame of the evaluation. Planning for further improvement including defining activities, their time-frames and costs are elements of a post-evaluation phase.
- comm. 2.3: this was concluded from many discussions with key staff at national and district level; including NGOs that appreciate WES Programme for the reasons given. If you stop the WES Programme, then who will take this over? Nothing is impossible but it was made clear to the evaluation team that there is need for a platform (or call it umbrella) for these kind of activities! Of course this has organisational and financial implications, which the evaluation team did not work out.

- comm. 2.4: this proposed regionalisation (division of districts among four/five PCU staff; which could be based either in Kampala or in locations in the field) is not in conflict with decentralisation as the PCU staff does not take over responsibilities from district staff but only supports and guides them. This support is only temporary anyway! The outposting was suggested to achieve a higher efficiency (less travel time; more contact with target group/"clients"). Outposting would be only for a few years, as this support would decrease in intensity, and perhaps private sector would take over. We thought this was an innovative approach to increase the efficiency and effectiveness of the PCU! Car rentals etc. are quite a detail! On the financial management: the evaluation team did not a financial audit.
- comm. 2.5: recommendation 38 and 39 give some solutions
- comm. 2.6: the Eva Team tried to be critical and report on strengths and weaknesses to improve the programme (see TOR). Therefore the relation between UNICEF and the GOU was part of the analysis. Some findings/conclusions and recommendations referred to in this comment 2.6 may be critical but must be seen as constructive to improve the effectiveness of UNICEF in its relation to the GoU. The Eva team did not want to be offensive and we did not expect UNICEF to be defensive. If the PMT agrees on this, how can this be further improved; there are many good examples of collaboration between UNICEF and GoU. If the UNICEF success is evaluated on the successful transfer of control and management then UNICEF Uganda has been successful but can still improve; isn't it? The interpretation that UNICEF policies are bad is not suggested at all!! The evaluation team did not evaluate the UNICEF policies!
- comm. 2.7: section 2.1 is not about evaluation but about the WES Programme itself.
- comm. 2.8: the evaluation was to a large extent participatory as the chapter on the Evaluation Methodology indicates. This approach was jointly developed with Focal Points in GoU and UNICEF.
- comm. 2.9: overview of participants in workshops are given in appendices and in lists of people met. The people met in the village meetings have not been listed. Their views were compiled in the workshop reports (see appendices) and in the summary sheets of findings (not appended). The appreciation was expressed in the workshop evaluations (see reports). The validity of their views was counter-checked with others' views and facts in the villages. The difference between the methodology of training and workshops conducted by the WES Programme staff has not been evaluated in itself but the impression was that those were less participatory, except perhaps a few. The PPAs and reports indicate a lot of training and sensitisation; what has been actually done is unclear (but this has not been evaluated as performance evaluation was not aimed at).
IDMs were well appreciated as indicated in Ex. Summary, Recommendations on Institutional issues rec. 8 (p.9) and lessons from WATSAN/SWIP p.29
- comm. 2.11: page 3 of TOR: "... field visits not intended to be reviews of performance of districts ...". Performance rating of sub-district level has been an integral element in observations, discussions and workshops.
- comm. 2.12: adjusted
- comm. 2.14: this is indeed an important conclusion/recommendation; reference is made to the chapter on Institutional Issues (section 2: General Management, the discussions the evaluation team had with involved people at different levels and the statements made at the Synthesis workshop; see also appendix 17 on Synthesis workshop)
- comm. 2.15: adjusted; working with the same agenda and jointly on Programme issues removes the feeling of "control".
- comm. 2.16: indeed WES must define the Demand-driven approach (DDA) and work out strategies etc. as indicated in rec. 51. In the Management for Sustainability the demand-

driven approach was dealt with. Now there is need to make this operational through strategies, guidelines and disseminate through workshops and support/guidance by PCU. Interpretation of DDA is wide, which is a problem at sub-county and district level; they use their own criteria for prioritisation of requests and hardly follow a process of dealing with village requests. They have to internalise the DDA. Not easy though, as it is so different from the traditional way of helping village people (which was more political interest driven).

- comm. 2.17: text added, although not very many of those who followed courses were met.
- comm. 2.18: to attention of the Programme to low cost water supply technologies as rainwater harvesting is very low (see PPA 208)
- comm. 2.19: of course people need improved water supply systems, and they are willing to contribute (at least most people); but the selection of the type of technology is at the heart of the DDA and the sustainability of the system, nobody can deny that. Communities may not know what alternatives there are for their water supply. And if even if they have the most appropriate system, this can only be sustained if CBMS functions, and in most situations it does not or not sufficient to ensure sustainable water supply services.
- comm. 2.20: in the chapter on MAJOR CONCLUSIONS AND RECOMMENDATIONS the underlying analysis are not given for all statements, these can be given in the relevant chapters with causes and more specific detailed solutions as well. The statements may sound as sweeping statements: the evaluation report wants to emphasise the seriousness of the lack of sustainability and the priority the WES Programme has to pay to this and CBMS. Clarity in our statements was also asked in the Synthesis workshop. ***CBMS has a very, we repeat, very high priority!***
- comm. 2.21: adjusted
- comm. 2.22: statements reflect the views of the WES Programme staff on the WES performance
- comm. 2.23: indeed this can be seen as a positive point, the districts taking on their own development (see the Eva Teams view in section *WES Programme as a mainstream programme*, but they do not see it like that, and this chapter was meant to ventilate their views directly. Added some statements.
- comm. 2.24: statement of Programme staff !
- comm. 2.25: we removed this statement, as it is already covered in the previous sentence.
- comm. 2.26: agree that decentralised procurement may give problems in terms of accountability etc. But therefore (as mentioned several times in text) good control mechanisms and accountability procedures have to be established (by PCU). But these envisaged problems should not stop the WES Programme of not continuing with further decentralisation and facilitation of the private sector, and keeping procurement at the central level. By stating this we do not say that WES is not considering private sector involvement and their facilitation. see also rec. 2 and 7
- comm. 2.27: at several places in text, the developments in RUWASA are referred to; as RUWASA is a project in rural water and sanitation with a lot of funds for a small area and a lot of specialists, it is logic that they can develop specific tools faster than the overall WES Programme.
- comm. 2.28: in the first para of this section, it was stated that 42% of UNICEF contribution for physical community water supply. The major contribution is on capacity building and institutional support; advocacy and communication; new approaches etc. so more enabling, isn't it?
- comm. 2.29: yes it was asked at S/C level, and they indicated that they did not know it. Local government to advise the S/C on this.
- comm. 2.30: correct, slip of the pen

- comm. 2.31: involvement of private sector is encouraged (PPA 340, with an output of 150 boreholes drilled, the guidelines are not yet developed)
- comm. 2.32: adjusted.
- comm. 2.33: adjusted
- comm. 2.34: just an idea, perhaps other programme of GoU could assist
- comm. 2.35: please read publication. According to that, distribution is through private sector (chain of distributors for supermarkets). You can not expect that the evaluation team comes up with a complete plan for the distribution of local spare parts; this can be done in a separate project.
- comm. 2.36: adjusted. No trained latrine masons were found in the villages visited.
- comm. 2.37: adjusted, but it is clear that this is to be done by the WES Programme staff in contact with the communities and WUC.
- comm. 2.38: right, management structure of UNICEF Programmes is not part of TOR
- comm. 2.39: a programme management team should be in control of the programme including the funds/money. It was indicated that presently UNICEF keeps control on the funds and release of money for expenditures
- comm. 2.40: indicated that problems lies between UNICEF and LWF (a.o. on borehole drilling), but the evaluation did not analyse these problems
- comm. 2.41: this comment was given many times in the districts and sub-county workshops. CBMS was not perceived as enhancing community involvement. Community involvement was particularly poor during the planning and decision processes. We do not understand the need for dates.
- comm. 2.42: analysing all strategies, guidelines and papers in the WES Programme is far beyond the scope of this evaluation; that is seen as operational and management support.
- comm. 2.43: that it was weak in SWIP/WATSAN is a fact; for WES the evaluation team has several recommendations on gender-specific activities (chapter WES Process)
- comm. 2.44: this support and guidance is dealt with in the section supervision and support in the Institutional chapter.
- comm. 2.45: water is an economic good meaning it is scarce and it has a price label to have it supplied at the right service level. WES is doing generally much better than SWIP/WATSAN, which were more situated in a transition period. There are numerous examples in literature.
- comm. 2.46: the evaluation team recommends WES Programme to link up with CBHC for efficiency and effectiveness reasons!
- comm. 2.49: some statements added on poverty alleviation.
- comm. 2.51: the tables area the reflection of the institutional mapping and task analysis the participants of the workshops did. The districts may be differently organised; that still means that absence of control by LC5 is a serious short-coming
- comm. 2.52: but this is what was mentioned and even stated in the Synthesis workshop
- comm. 2.53: what we say is that PMT functions well, it manages well but not with equal participation of all ministries; but they do participate.
- comm. 2.54: PMT headed by planning ministry was just an idea; chair by independent ministry (local government or planning) has worked somehow in Tanzania (HESAWA). But we did not have sufficient time to work this out (focus on district/sub-county). PCU is implementing the activities at national level, isn't it? The real physical implementation is taking place at the community level!
- comm. 2.55: PCU staff is also active in their own ministries in working groups, tasks forces etc.
- comm. 2.56: again this is what was found at sub-county level.

- comm. 2.57: this is what was found at the Parish level
- comm. 2.58: see reaction 2.4
- comm. 2.60: the inefficiency is that extension staff is meant to do this.
- comm. 2.62: we got signs that they become repetitive, and to keep it dynamic and interesting a theme could be selected for which districts present case studies; the other common agenda points should remain.
- comm. 2.63: IMSC deals with policy issues; there is need for communication on operational issues and guidelines/manuals, so outputs and exchange of experiences between RUWASA and WES.
- comm. 2.64: we tried to give directions and less specific options as these need to be analysed by the Programme actors to be useful. Common literature gives many options.
- comm. 2.65: there is a huge variation between the quality of the district plans, but generally there is a lot to improve in terms of structure, clear objectives, realistic outputs, time-frames, resources needed etc. The plans are often not based on sub-county plans. In several district plans the WES activities are incorporated, at least they are mentioned.
- comm. 2.66: why village development plans need to be better documented is clearly explained; you may not agree with this but a clear explanation has been given
- comm. 2.67: PCU approves release of funds?
- comm. 2.68: comment is not understood
- comm. 2.69: district staff expressed themselves the weakness of accountability; so training and follow-up needed on the use of procedural guidelines.
- comm. 2.70: was indicated by district staff themselves: if good results in Kumi and Lira, then these experiences could be used for other districts; we did not visit these districts
- comm. 2.71: NGOs tend to keep their expenditures secret; at least they do not (always) pass that information to the district administration (CAO)
- comm. 2.72: ad-hoc collection is fine if that will ensure that instantly sufficient funds can be raised to pay for the required repair/maintenance costs, if not then it is better to have a limited reserve fund (not too high because of inflation) for reasons given in Rec. 71
- comm. 2.73: the report does not say that districts *refuse* but better conditions could be created; see also the chapter on the *Context of WES*, section 2 on private sector.
- comm. 2.74: these budget allocations do not have to come from the WES Programme, as that is not sustainable!
- comm. 2.75: what makes it inefficient? the fact that a number of WES key actors supervise it! so need for co-ordination; in Ghana they plan to have construction of facilities by contractors monitored by the WUCs, for reasons of efficiency. The evaluation team did not check whether the guidelines of the District Service Commission were followed. But even if guidelines are followed, was it all efficiently done? TOR: "where can the Programme further improve?"
- comm. 2.76 and 2.77: there was no assessment done on the effectiveness of the facilitation (transport) provided so far.
- comm. 2.78: monitoring is needed to give information to the national (and other levels) on progress, coverage, functionality, use and impact of the WES facilitates and management systems; this info should be used to adjust policies, strategies and guidelines etc. to improve the efficiency, effectiveness and sustainability of the facilities and programmes. It is not the frequency; good monitoring (and evaluation) increases the concern. In the districts the UNICEF officers are not seen as part of the PCU. Indeed the M&E unit developed a set of WES MIS tools. These are very comprehensive. It is a typical MIS system which differs from monitoring on functionality, use and impact. But the WES MIS

is a good step that needs to be monitored whether it works as planned or whether it is too comprehensive.

- comm. 2.79: indeed too frequent, but also indicators may not all be best ones. Improvement is to be addressed in an holistic and structured way by addressing monitoring as a strong management tool.
- comm. 2.80: CBMIS use in WES is to be looked into simultaneously as the entire monitoring system
- comm. 2.81: "capacity building is most successful but least visible": how to improve this picture: show people that they have performed better than in the past because, that systems are more sustainable than in the past because of etc. Politically, the hardware/physical implementation is still most visible and important. Institutional and human capacity is the foundation for sustainability. WES Programme very much contributed to that! Congratulations for making this choice in priority setting!
- comm. 2.82: both
- comm. 2.83: Management for Sustainability course (IRC/NETWAS) has been confirmed by all interviewed participants to be a good to excellent course but that in many cases the application of the new tools, ideas etc. has been difficult as other district WES staff was not trained. IRC/NETWAS has always indicated that the course is the foundation for improved management/planning but that further learning (on management and planning) through support is crucial. In the course proposals, it was always suggested to have district teams participating in the courses and not individuals from the districts. Text adapted.
- comm. 2.84: districts have limited funds, and they have to prioritise; so suggestions is to put priority for this type of staff over higher-level staff, but with good support/coaching/monitoring.
- comm. 2.85: if the institutions do not change by creating the right environment for the new directions that have been trained, then training is not needed. E.g. computer training has no sense if there will be no computers within a short time. This is called dual focus in capacity building.
- comm. 2.86: (will be put in kind of glossary) "action learning" is the improvement of skills and knowledge through applying existing knowledge in the working environment (the action); the applications (planning/management/construction etc.) are being reviewed in a participatory way, and the lessons from this analysis are incorporated in a new cycle of application, so planning/management/construction are adjusted. Field experiences (action) from the basis for "learning". I remember that a concept paper was sent to DWD/UNICEF which was spread among PMT.
- comm. 2.87: indeed perhaps also for Public Service Committee, but the team did not evaluate their recruitment policies. The WES Programme should do its utmost to get competent women on board to achieve better balance and to enhance communication (between district and sub-county and communities) on sustainability issues with key actors (also women). We changed policies into practices.
- comm. 2.88: demand for sanitation is still low because many people in rural areas do not see the need for it, or at least it is not a priority for investments; etc. During the Synthesis workshop, this was summarised in the presentations and discussed in the working groups; see the appendix on this w/shop. All points are also given in the report. Examples of successes: communication in Guinea-Bissau; monitoring in Burkina Faso and Niger; school sanitation. UNICEF published manual on sanitation programming.
- comm. 2.89: temporary latrines have no or poor lining, a floor of logs, filled with clay and perhaps plastered, and a superstructure of poles and mud (wattle and daub) or makuti or hessian etc. while a latrine with a stronger lining (if needed) and concrete slab, and (best)

walls of cement blocks etc. Where there are no latrines intermediate solutions have to be sought (if external funding is not available, or not as yet).

- comm. 2.90: obvious. Do not remember where exactly; then we have to go back to our detailed records.
- comm. 2.91: indeed important finding, conclusion and recommendations if demand-driven approach has to get operational. Discussions at sub-county, parish and village level revealed that. See also reports from the Inter-district sub-county workshops. Does the CBMS include a reporting system on village requests??
- comm. 2.92: indeed, the demand is translated in a *request*. It would have been better if it had resulted in a village plan, but as indicated earlier, village plans are not formulated yet (see Institutional Chapter section 4 on planning)
- comm. 2.93: the evaluation team has indicated the problem areas; now the next step is to plan for improvement and put priorities. For example, other appropriate technologies to be developed. The evaluation team has some ideas on other technologies (protected hand-dug wells with windlass/ rope pump; smaller gravity supplies; better standpoints etc.); but it was not the task of the evaluation team to identify more suitable technologies. That is part of a formulation, planning exercise based on sufficient feasibility studies incorporating hydro-geological surveys, context studies, etc. Technology selection based on informed choice is a basis for sustainability. See also IRC/WHO publication: Linking Technology Choice and O&M.
- comm. 2.94: this table is very indicative and based on discussions and observations in the districts, sub-counties, villages visited. So this is not a very representative sample and strong conclusions can not be drawn from these percentage. The list following gives a good general overview of factors contributing to poor functionality of some systems. The following sections analyse some key factors including ownership, CBMS, etc.
- comm. 2.95: no recommendation for new rehabilitation programme, but the broken-down borehole systems need to be rehabilitated (as WES Programme is doing already) considering the demand-driven approach. If people are not accepting the CBMS/cost recovery or if technology is beyond their technical/ financial/ organisational capacity, then better other technology (if feasible), or village-specific subsidy (?). Of course, the districts have to address the poor and under-served first. *Equity* is very important; this is quite balanced in WES.
- comm. 2.96: not surprising finding; this is common if safe water sources are far away and traditional or temporary ponds/sources are found nearby the homes. This is particularly in semi-arid areas.
- comm. 2.97: community contributions are very good for the development of ownership of the water supply facility. Material supplies (if available) are easier but also financial contributions are realistic. The absolute figure depends on the economic/financial capacity of the future owners/users. The evaluation team can not give a figure here. It is clear that the feasibility surveys including the participatory survey with the community, and the agreement/contract with the community on tasks/roles/responsibilities will stipulate these contributions. These will vary per community, sub-county, district.
- comm. 2.98: ownership of boreholes is felt (by the districts and sub-counties) to be poor; also evaluation team found that. For other water supply facilities that had more community contributions and involvement (springs) the ownership is much better. The other issue is completely different: The evaluation team found that the property (and therefore the use) of the water supply facility was many times (not everywhere) linked to the ownership of the land on which the facility was constructed. This needs to be solved, e.g. through a legal document such as Letter of Ownership!

- comm. 2.99: 70% in some districts, while in others below 50% (sometimes far below that). But again these figures are very indicative and based on relatively few observations and discussions in selected districts, sub-counties and villages!
- comm. 2.100: yes very willing to do so. Malawi; Kenya; Namibia; Zimbabwe; The Philippines; Nepal etc. Can we discuss this.
- comm. 2.101: OK. is this conflicting with any recommendation?
- comm. 2.102: the qualification sanitary is particularly determined by the slab and the possibility to clean it. If traditional latrines have a good cemented slab and a proper drop hole (not too small) then probably OK. The evaluation report recommends the informed choice of technology, not one option. The project should not prescribe the technology. The options are particularly in the slab/floor and the superstructure; the pit lining as well, but here the expected life of the pit is to be taken into account. These variations have all a different price tag. As the people can select the technology themselves (after raised demand) the demand-driven approach is followed. If people show demand then the price of sanplats (or less if cemented earth floor) should not be a problem. How many latrines visited? Many: in all villages visited say three to ten!
- comm. 2.103: the message is that a focus on sensitisation (through communication) has a proven effect on the demand for sanitation.
- comm. 2.104: this is culturally determined. In some districts more than in others, plus the taboo is slowly fading away. The participatory surveys (prior to sensitisation etc.) should reveal this problem. So where it is a problem, the households could choose for two latrines but perhaps cheaper ones (if they have financial limitations or low motivation)
- comm. 2.105: the options for these difficult geo-hydrological conditions are not commonly known; this was also indicated in the Synthesis w/shop. Research is too big a word, more literature overview and testing the most suitable ones for the contextual conditions of the area. IRC could be of assistance (we plan a research on this as it is a common problem in many countries)
- comm. 2.106: WES Programme should not intervene but recommend owners of springs and catchments how to secure good quality and quantity of water; water source protection. This can be easy for smaller catchments but complicated (with possible conflicts between land users) for larger catchment. see IRC OP on Drinking Water Source Protection, and recent research and participatory action research on community-based water resources management (for smaller catchments)
- comm. 2.107: right but recommendation is more on structural catchment protection and through sanitary surveys as part of environmental and health concern (see Lloyd and Helmer (WHO) on Water Surveillance; and WHO Guidelines for Drinking Water Quality Vol. 3 (latest version; to be published soon))

Appendix 6: IDM Workshop Ntungamo

Appendix 6: IDM Workshop Ntungamo

Ntungamo, Mbarara, Bushenyi, Rukungiri and Kabale

13 February 1998

1. Discussion on the institutional mapping

- * The DWO has only two water field officers.
- * The LC 1 Chairperson sets water by-laws, the Parish Chief is enforcing the law.
- * The supervision of the construction is the responsibility of the HA and the CDA at S/C level, and the DWO at district level. However, the HA and CDA are not coordinating with or supervised by the DWO.
- * All repairs are carried out by the fundi, who operates at district level.

2. Focus group discussions

2.1 Sanitation, Hygiene and environment

Sanitation generally is poor, particularly in schools, markets and trading centers. In villages, e.g. Bushenyi (VII), the lowest coverage is 62%, while the highest is 92%. The average is 82%. For Mbarara the lowest coverage is 43%, the average 72%.

Problems with sanitation include:

- Sanitation is wrongly perceived to be latrines only
- Not taken as a priority issue
- rural-urban migration
- weak legislation on sanitation
- lack of political support
- poverty
- high enrollment increases pressure on the facilities
- limited technology options
- limited demand for sanitation

Problems faced by WES staff include under-staffing, inadequate training, poor funding and poor facilitation.

Approach to sanitation:

- Community sensitization (meetings)
- Enforcement of by-laws
- Home visits
- School health programme
- Competitions

Solutions:

- Adequate funding
- Political and administrative support
- Special funding for sanitation in schools

- Proper staffing
- Updating of the legislation on sanitation
- Advocacy for hygiene education at all levels
- clear explanation of sanitation

2.2 Water supply

- Projects addressing water supply in the area are/have been among others SWIP, WES and Red Cross.
- Technologies used are gravity flow schemes (GFS), protected springs, bore holes and rainwater harvesting.

Problems include:

- Low community participation, political interference, poverty of the community, poor staffing, transport, delay of supplies (funds and materials), and lack of transparency.
- The distribution of materials is centralized which causes delays and lowers morals (specifically on district level).
- CDAs are not available to the communities, they don't visit.
- The capacity for maintenance erodes over time. When a caretaker is not transparent on the contributions, the community feels he is eating their money and will stop paying.
- People that are dislocated are difficult to serve and therefore often left out.

Possible solutions:

- Communities that are too poor to place a demand for water should be sensitized to get involved in income generating activities.
- Funds should be decentralized, or the current system for the supply of materials should be improved.
- Some groups have auditors to check on the community O&M contributions.

2.3 Human resources management and gender

The capacity to implement the WES programme is generally satisfactory when it concerns staffing, although some district officers said that staffing is inadequate. Facilitation however is poor.

Gender sensitivity at district and sub county level is not an issue. According to the 100% male group all decisions are taken purely on the basis of professional knowledge and experience. On community level gender sensitivity exists.

2.4 Decentralization and the demand driven approach

- Decentralization entails the devolution of power from the center to the lower levels of government (district, sub county).
- Communities now demand for facilities and contribute.
- Sub counties can now budget and allocated funds to WES activities.
- The WES programme has assisted in building the capacity at district level to implement the decentralization process.
- Personnel are now accountable to the people since they are paid by their respective lower level councils.
- People feel ownership of the facilities because of their contribution.

- People are demanding for WES facilities, particularly water supply, which is normally initiated by the LC1 or LC 2 chairperson, and latrines for schools, which is usually initiated by the Parents Teachers Association or the School Management Committee.
- Demands are addressed to the district, which allocates and plans for field visits. Upon receiving materials from the district, the receiver has to sign for receipt (book with overview of materials and signatures seen, even as one request for a protected spring).

Problems

- Lack of adequate capacity to make comprehensive and integrated plans.
- Lack of adequate resources to make the plans.

3. SWOT

Through an analysis on Strengths, Weaknesses, Opportunities and Treats, the participants of the workshop discussed in 2 groups their experiences in SWIP and WES. Their findings were discussed in plenary.

3.1 Strengths of SWIP

- ◇ More integrated, more components (such as a monitoring unit, the community based health care, etc.)
- ◇ More resources and facilitation available, giving people motivation to work
- ◇ Provided for comparative field studies during IDMs, creating the possibility to exchange experiences
- ◇ A lot of emphasis on training, capacity building
- ◇ Good coordination (because HQ was in Mbarare)

3.2 Strengths of WES

- ◇ Direct linkage from the district to UNICEF (previously through Mbarare)
- ◇ More decentralized because of government policy, more activities at the lower level
- ◇ Standardized formats for acquisition and reporting (this was also under SWIP)

3.3 Weaknesses of SWIP

- ◇ Not decentralized
- ◇ The district played the role of middle man (head quarters were in Mbarare, the districts did not have direct contact with the center, there was lack of transparency)
- ◇ Community involvement was low in borehole drilling
- ◇ Never consultation on the allocation of boreholes to districts (no needs assessments were made)
- ◇ Provided poor quality motor cycles

3.4 Weaknesses of WES

- ◇ Frequent changes in reporting formats
- ◇ Limited and irregular release of resources (no synchronization on the delivery of funds and materials)
- ◇ WES has a water bias (HQ)

- ◇ Lack of monitoring by PCU
- ◇ Poor monitoring
- ◇ The PCU is physically far away, HQ is less accessible for the districts

3.5 Lessons learned

- ◇ Integrated approach
- ◇ Shared field experiences
- ◇ Encouraged community ownership in WES
- ◇ Frequent visits for monitoring and supervision are essential
- ◇ Decentralized programmes are better conducted (HQ should be closer)
- ◇ Having different units (PCU and UNICEF) hampers smooth running of the programme
- ◇ Lack of clarity in the procedures of PCU

3.6 Ideas

- ◇ PCU and UNICEF should be in one office, or at least should form one committee that takes the decisions. Especially planning to synchronize the release of funds and materials should be improved.
- ◇ Encouragement of inter-district field visits
- ◇ WES should work more integrated, no water bias, the sanitation component should be considered more carefully
- ◇ CAOs must be involved in the WES programme, the district should allocate some of their own funds for WES (like they do for roads, health and education)
- ◇ Transparency in the districts, e.g. information from UNICEF on the release of funds should be copied to the implementing officers
- ◇ Mandatory quarterly district management meetings and copies should be sent to PCU
- ◇ PCU to improve on monitoring of WES activities in the districts
- ◇ Equip implementors with appropriate transport

3.7 Obstacles

- ◇ Political interference
- ◇ Lack of timely accountability for funds and resources at district level
- ◇ Inadequate resources
- ◇ El nino weather conditions and floods
- ◇ Staff trained by WES go to NGOs, where they are being paid more (esp. community workers)
- ◇ Low sense of ownership of the community
- ◇ WES water bias at district level
- ◇ Inadequate transport facilitation
- ◇ Delayed release and accountability of funds
- ◇ Limited involvement of community in WES activities

4. Evaluation of the workshop

4.1 Good

- good workshop
- participatory discussion (4 times)
- allows exchange of ideas
- clear instruction of topics
- facilitators skilled & friendly
- facilitators conducted workshop well, keep up
- approach fair (2 times)
- good time management (2 times)
- good lunch arrangement
- nice to compare SWIP and WES in a free atmosphere
- it restores some hope about a better future for WES
- a comparative analysis between WES and SWIP and ideas on how to improve on WES
- straightforward in handling issues

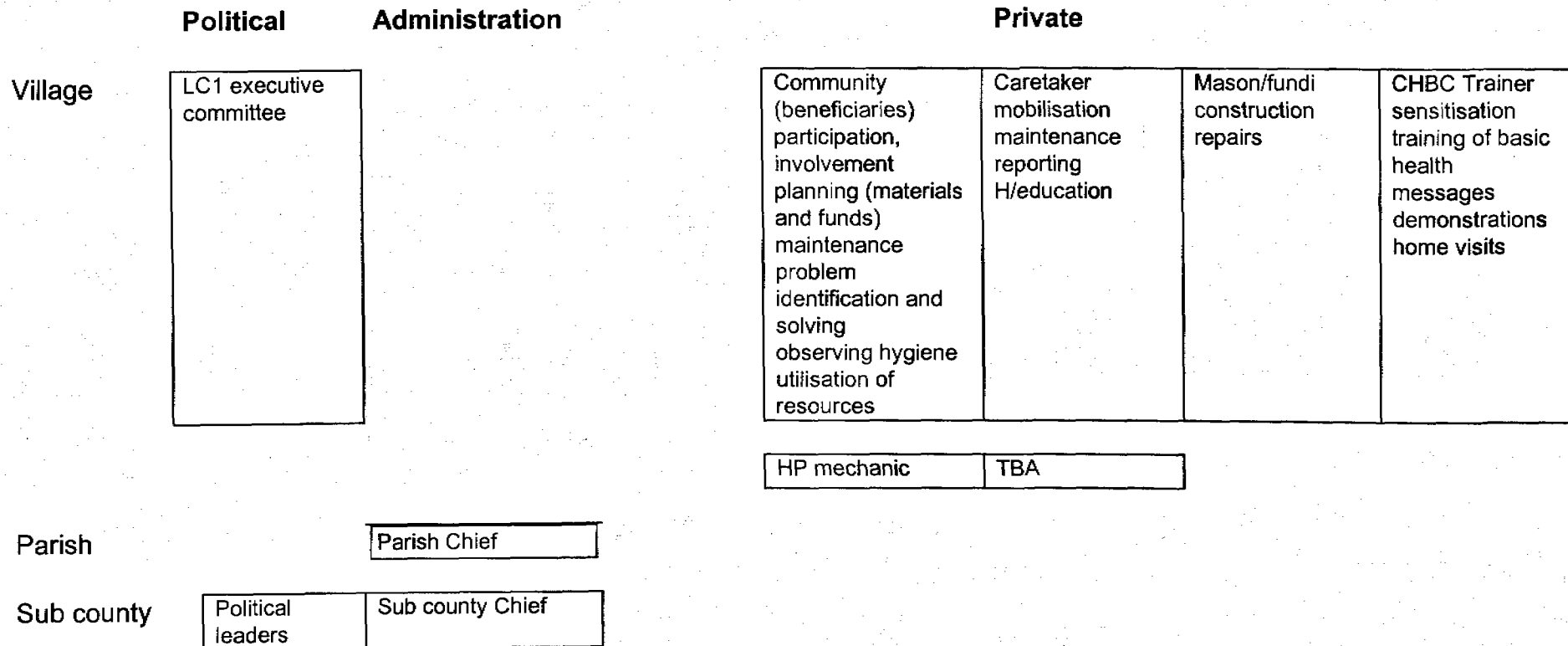
4.2 Room for improvement

- time allocated not enough
- late start (3 times)
- poor time management (4 times)
- wasted time on discussing trivial issues (2 times)
- workshop ideas hopeless since the programme operations are constant in nature
- need for more evaluation and on the spot checking
- little time given to WES implementors to come to this meeting (letters of invitation arrived late, one only this morning)
- lack of coordination of WES implementors causes confusion

5. List of participants

Name	Designation	District
1. Bagorogoza B	District Planner	Rukungiri
2. Kahanyi E	Water Officer	Rukungiri
3. Masereka Jean M	District Health Inspector	Rukungiri
4. Nyakisa Stanley	District Health Inspector	Bushenyi
5. Mwesigye Silver	Population Officer	Bushenyi
6. Muhwezi Pontian	DCDO	Bushenyi
7. Kaleega M W	Ag Water Officer	Mbarara
8. Milira V R	District Water Officer	Bushenyi
9. Ringaniza S	DHI	Ntungamo
10. Bagumire F	Ag DCDO	Ntungamo
11. Namanya N	Economist	Ntungamo
12. Ahimbisibwe Leo	DWO	Ntungamo
13. Monday Mabale	CAAO	Ntungamo
14. Yiga F	Field Office Water	Ntungamo
15. Namara Christopher	DCDO	Kabale
16. Mbaruka Isaac	DHI	Kabale
17. Mugisha Plan	DWO	Kabale

Institutional mapping IDM Ntungamo



		HA sensitisation training supervision of construction tech. options analysis advise on WES	CDA mobilisation reporting to LC 3 council, copy to DCDO and SC Chief supervision construction H/education training	
District	District Council	CAO coordination supervision monitoring accountability	DWO water source dev't supervision (field officers) technical advisor planning reporting to CAO	DEO
		DHI planning for san inspection hygiene water quality training and supervision HA	DCDO advocacy training supervision mobilisation planning	DP/E
National		PCU mobilisation of resources coordination monitoring reporting	Government of Uganda	
International		UNICEF	Other donors	

Appendix 7: IDM Workshop Hoima

Appendix 7: IDM Workshop Hoima

Masindi, Kiboga, Mubende, Masaka, Hoima, Kibale
21 February 1998

1. Institutional mapping

1.1 Institutional Structures

Existing	Functioning	Coming up(new)	Comments
District Health Committee/Social Services Comt.			As part of the Dist. Local council
WES Management Committee/Technical comt./Steering Com./Sectoral Comt.	Yes		
Sub-county Health Comt. WES S/C Dev't Committee			
Village Health Committee			
Water Source Comt.			
LC 5, 3 and 1			

1.2 Key Actors

- District: CAO, CFO, DWO, DHI, DCDO, DPO, NGOs, BMS, FO
- Sub-county: S/chief, CDA, HA, H/P Mechanic/mason, SDC, LC III, NGOs
- Village: VHC, WSC, CARETAKERS, CHWs, CHANGE AGENTS, landowners
- Community: Opinion leaders

1.3 Functioning

Institutions/actors	Dormant	Functioning	Coming up
DLC, CAO, CFO, DWO, DHI, DCDO, DPO, NGOs, BMS, FO		YES	
DPO			YES
BMS (in one district)		YES	
CDA, HA, H/P Mechanic/mason, NGOs		YES	
SDC, Sub-county LC 3 Council, Chief			YES
H/P mechanic	YES		
S/C WES Committee	YES		
LC 1, CHWs, landowners		YES	
WSC	YES		
VHC, Caretakers, change agents	YES		

1.4 Main roles of key actors

Actor	Main role in WES
CAO	<ul style="list-style-type: none"> ■ co-ordination ■ ensure proper implementation
DWO	<ul style="list-style-type: none"> ■ planning implementation water source improvement ■ quality control ■ control of resources
DCDO	<ul style="list-style-type: none"> ■ mobilisation for community participation ■ training of water source Committee
DHI	<ul style="list-style-type: none"> ■ planning, monitoring, training ■ support supervision, quality assurance, reporting
DPO	<ul style="list-style-type: none"> ■ data processing ■ technical adviser on planning & resource allocation
CFO	<ul style="list-style-type: none"> ■ control and dispatch of funds
DLC	<ul style="list-style-type: none"> ■ policy making for WES ■ advocacy for WES
LC V	<ul style="list-style-type: none"> ■ monitoring implementation ■ funding ■ co-ordination
NGO	<ul style="list-style-type: none"> ■ collaboration at s/county level ■ funding community WES projects
H/PM	<ul style="list-style-type: none"> ■ repair and maintenance ■ co-ordinate with district and users ■ training caretakers
LC III	<ul style="list-style-type: none"> ■ resource allocation ■ co-ordination of partners in WES
LC I	<ul style="list-style-type: none"> ■ identification of community needs ■ mobilisation of community to solve prob ■ resource mobilisation
Opinion leaders	<ul style="list-style-type: none"> ■ community mobilisation & sensitisation ■ local resource mobilisation ■ link beneficiaries with service delivery

1.5 Private Sector

Mechanics and Fundis are present. Although spare parts dealer exists it was not mentioned in the workshop: level of penetration minimal.

1.6 WES programme Focus

Although participants showed reluctance to answer this question, it was revealed that the focus is more at district with minimal resources finding their way to the real beneficiaries

1.7 Uses of Decentralisation

Covered in FGDs however decentralisation was said to make certain offices/officers redundant by abolishing the County level of administration.

1.8 Collaboration and Co-ordination

District especially CAO' office seems to be the major co-ordination point for NGOs and person at district and national level.

Other administration actors like DHI report to and collaborate according to technical and official needs.

2. SWOT analysis

2.1 Strengths of WATSAN

- ◇ Work-plans and budgets discussed and passed as a group in the steering committee meeting.
- ◇ The Project officers could monitor and secure logistics for the district
- ◇ Vehicle/motorcycle spare parts were available
- ◇ Adequate and timely release of supplies and funds (allowances and local materials)
- ◇ Support supervision
- ◇ Development of Village Information Inventory (VII)
- ◇ There were more trainings and workshops enabling capacity building.

2.2 Weaknesses of WATSAN

- ◇ Too much centralisation of power in certain/one office either DHI or DWO
- ◇ Some district officials were left out e.g. CFO, Planner, CIA, thus no proper accountability of funds
- ◇ Low community contribution
- ◇ No proper mobilisation and sensitization of communities on O & M
- ◇ Programme was not district owned.
- ◇ Gender issues were not emphasized.
- ◇ Rigid policies
- ◇ No proper method of acquisition of water source e.g. boreholes within the community.

2.3 Strengths of WES

- ◇ Capacity building at all levels
- ◇ IDM give chance to share experiences
- ◇ District involvement; consultation and collaboration
- ◇ Decentralised planning at all levels and decision
- ◇ Promotion of development plans of sub-county on WES into district budgets and work plans.
- ◇ Various technologies developed to suit community demands
- ◇ Gender issues emphasized
- ◇ Community involvement and contribution lead to sustainability
- ◇ Sanitation becoming a priority in the village and in institution.

2.4 Weaknesses of WES

- ◇ O & M for vehicles left to districts
- ◇ Inadequate supply of materials e.g. cement, and slab materials
- ◇ Delayed funding and inadequate funding
- ◇ No or less support supervision from above
- ◇ Monitoring and supervision funds for district officials not provided
- ◇ Delayed delivery of materials
- ◇ Bureaucracy from PCU (stores)
- ◇ Lack of effective transport for the field staff e.g. motorcycles.

2.5 Recommendations for improving WES

- ◇ Government counterpart funding should be increased
- ◇ Government/districts should solicit for funding from other donor agencies to assist WES programmes
- ◇ Districts should increase on their contributions towards WES programme
- ◇ Sanitation component should get more funding (hygiene education)
- ◇ Strengthen and ensure team work among the key actors of WES programme (roles and responsibilities of each be known)
- ◇ Timely release of materials procurement e.g. cement, iron bars, etc.
- ◇ Privatisation of sell of spare parts do away with District and sub-county depots
- ◇ Logistics improvement (vehicles, motorcycles, allowances)
- ◇ Cut down on the bureaucracy as it was in WATSAN time.
- ◇ PCU to plan more with the District. Avoid cutting down (work plan and budgets by the districts).

2.6 Obstacles

- ◇ Inadequate local/central Government counter funding
- ◇ WES implementing staff deployment being low due to decentralisation (*cost sharing)
- ◇ Changes in leadership (Local councils)
- ◇ Bureaucracy
- ◇ Donor Agency life span.

3. Focus group discussions

3.1 Water

Demand and processing for water: The communities offer the demands through the leaders, either written or verbal (leaders, LCs, extension staff) to the sub-county or directly to the water office.

Technology choices depend on the nature of the source so the water office chooses from among spring, shallow well, borehole, GFS, etc. WES policies limit choice of technologies. Donors have certain technology bias. Topography, costs are also considered.

NOTE: Communities have no direct input on technology selection. However, some communities suggest a prepared option depending on what they see from their neighbours.

Information on technologies: No information is given to communities on technologies to help select proper technology, selection is done by District Water Office.

O & M District Support: Districts give minimal support for O & M. Only in major repairs, maintenance spares depot, which are usually poorly stocked. In certain cases districts provide tools for HP mechanics.

Monitoring for O & M: Ineffective

3.2 Sanitation, hygiene education and environment

The demand for sanitation is extremely low.

Approach for sanitation: Sanitation has been tied to water provision; Hygiene sensitization hoping community change; Entry point through LCs and other organised groups; Enforcement of by-laws (legislation);

Problems: Not all components of sanitation are addressed: Weather patterns; leaders not exemplary, lack of knowledge, poverty, low coverage, sandy and rocky soils.

Appropriate technologies include the Improved Traditional Pit Latrine (ITPLO), Sanplat, and VIP.

Conditions: Sanitation lagging behind (i.e. personal hygiene, Environmental Sanitation, hand washing habits and practices).

Attitudes: Sanitation not seen as a priority, little value attached to sanitation, inadequate political will (budgeting & financing), cultural beliefs and taboos.

Institutional Sanitation: Inadequate and poorly kept especially at administrative offices.

3.3 Decentralisation vs. demand responsiveness

Community demands get incorporated in District plans by analysing the situation in communities using a bottom-up approach. Provision of knowledge, information to communities about the need for them to initiate demands.

Master Plan of Operation vs. District Plans: District plans try to follow The MPO.

The main stakeholder(s) at all levels appreciate WES and its performance: Increased resource allocation and contribution to the Programmes as reflected in WES budgets at sub-county; increased physical participation at community levels;

Co-ordination/collaboration with other programmes: Joint planning and implementation is being pursued in the various districts with enhanced success.

Role of Government as enabler for WES implementation: contributing resources, conducive environment, political, economic, policies. Short comings: delayed, irregular counter funding, inadequate resources.

Monitoring: activities/Implementation; funding; material and supplies; utilisation of services maintenance of facilities. Done by CAO, Planners, Auditors, Storekeepers, Technocrats, Politicians. Tools used: spot inspection; Reports; Work plans, Auditing; Over seeing use of monitoring information; Problem identification, strategy laying for improvement; soliciting for resources.

Resource Mobilisation (involvement of other actors); there is collaboration; co-ordination hence harmony in the conditions by the various actors.

3.4 Gender and HRD

Gender and Community Development: no gender balance at the District Local Councils, decisions not gender responsive.

At the WES sectoral committee the decisions are not gender responsive.

There is no gender balance at the various implementation levels e.g. district, sub-county and parish level.

Even at household level, the decisions are not gender responsive, even though the trend is changing.

Suggestions: gender awareness training and recruitment policies be made more gender responsive.

Training extension staff, CDAs and HAs: content participatory methodologies, communication skills for those involved in WES. Benefits: synergy and complimentary among the CDAs and HAs. Improved performance.

Training community leaders: content gender sensitization; Leadership skills; WES Advocacy. Methodology: workshops, seminars usually participatory methods. Benefits: improved involvement in WES activities.

Other trainings: Handpump mechanics, masons (artisans) WSC, WUC.

Support to Trained staff by Districts: Support supervision, logistics provision, transport and allowances.

4. Wrap up session

Sanitation in school: activities include training to school Health Committees comprising of parents, teachers and school children (pupils) in hygiene education and O & M. Technical and material support for the construction of pit latrines. Inspection of sanitary conditions in schools.

Rights Based Approach: The target group for WES and children. The improvement at water and environmental sanitation facilities enhance the quality of living conditions for this target group. However, there is little linkage between the Probation Officer who is seen as the flag carrier for the Rights Based Approach and WES activities at district level.

Focus on WES: the current funding focus is to the districts, who are expected to facilitate the implementation of WES activities at village level through the sub-counties.

This leads to sporadic development as "demands" come from all parts of the district, making logistical support from the districts cumbersome and slow.

Concentration sub-counties: devolve implementation to sub-county level with technical and supervision from the district level.

Collaboration: Other UNICEF supported programmes include Health, BECCAD, CCA and PEARL (UNFPA). The CDA, HA, HE are involved in these activities. Need to harmonise and synchronise the inputs from the various extension staff.

5. Evaluation of the workshop

5.1 Good

- ◇ appreciated WES programme evaluation process
- ◇ conducive atmosphere for participants
- ◇ comparison between WATSAN/WES
- ◇ excellent facilitation
- ◇ participatory approach

5.2 Bad

- ◇ Incoherent time management
- ◇ little time to internalise matters
- ◇ distance traveled too long
- ◇ conflict with other schedules e.g. elections
- ◇ workshop time too short- 2 days
- ◇ workshop too long
- ◇ no agenda communicated before hand
- ◇ no assurance of allowances until end

6. List of participants

Name	Position	District
1. Mayanza Gonzala	District Planning Officer	Masaka
2. Bwengye Lamuel	DCDO	Masaka
3. Augustine Jjumba	DHI	Masaka
4. Kampikaho J.B.K	DWO	Masaka
5. Ddamba Henry	ACAO - WES	Kiboga
6. Odongo Philbert	DWO	Kiboga
7. Mulabya Fred	DHI	Kiboga
8. Nakhwasye Michael	DCDO	Kiboga
9. Tumwezabe Mukigga	DCAO - WES	Hoima
10. Simon Wakooli	DWO	Hoima
11. Francis W. Kabanyomozi	ACDO	Hoima
12. Avu Ely Biliki	District Economist	Hoima
13. Christopher Asimwe	DHI	Hoima
14. Mujere Nathan	DWO	Mubende
15. Mureebe Blair	Planner / Statistician	Mubende
16. Eribankya Muhonga	DHI	Mubende
17. Ekachelan E	DCDO	Mubende
18. Komwubuga Emmanuel	CDA - WES	Masindi
19. Tumushme Davis	DPO	Masindi
20. Kitembo M.B	For DHI	Masindi
21. OKot George	For DWO	Masindi
22. Kajubi Mark	DPO	Kibale

Appendix 8: IDM Workshop Apac

Appendix 8: IDM Workshop Apac

Gulu, Soroti, Lira, Apac

27 February 1998

1. Institutional mapping

1.1 Institutional Structures

STRUCTURES	FUNDS	ROLES	CAPACITY	PROBLEMS	INFORMATION GAP
NATIONAL IMSC (MNR,MOH,GCD, MF,MOLG,PED/C EF) PSU (DWD,HID,DCD)		-PLANNING -POLICY -FUNDING -SUPPORTED BY NAT. LOGISTICS (DONORS) TECH.SUPPOR T HRD	HAS SUFFICIENT QUALIFIED STAFF		EXISTS BETWEEN DISTRICTS AND COMM. STRENGTHEN PARISH CAPACITIES FOR CLOSER SERVICE DELIVERY TO COMMUNITIES
DLC DSC(LCV,RDC,IC H,DMO,DCDO,D HI,DEO,NGO'S) DMC(CAO,DCDO ,DPO,CFO,DWO, DHI,NGOS)	CAO	PLANNING IMPLEMENTAT ION MGT &SUPERVISIO N HRD CO-ORD / MONITORING	INADEQUATE IN ALL AREAS I.E WATER,HEALTH,CD FEW QUALIFIED IN PLACE	OVERLOADED=LE SS EFFECTIVE COORD	
SLC SMC (LCIII,HA,CDA,LC II,S/CHIEFS,P/CH IEFS,MANSON,H P/MECHANIC, WES COMMUNITY)		IMPLEMENTAT ION RESOURCE MOBILISATION MAINTENANCE PLANNING MORE IMPLEMENTAT ION TO SC HRD	NO T SUFFICIENT, SOME ARE ADEQUATELY QUALIFIED IMPROVE CAPACITY IN VIEW OF INCREASED DEMANDS BOTH QUALITY AND QUANTITY	OVERLOADED=LE SS EFFECTIVE COORD & IMPLEMENTATION	
SOURCE COMM (LCI) COMMUNITY	ACTIVITY	USE MAINTAIN RESOURCE MOB. PLANNING IMPLEMENTAT ION	NO CAPACITY TO MAINTAIN ESP.B/HS INSUFFICIENT WILLINGNESS FOR RESOURCE MOB. POVERTY	POOR MAINTENANCE, BROKEN DOWN FACILITIES	

Flow of funds

1. From National level to CAO who then provides to DWO,DHI,DCDO
2. From sub-county directly to activity in community

NB The two sources of funds are independent and not mixed.

Demands

Emanate from community and sent to SC directly to the CAO or relevant technical department.

Logistics

With decentralisation logistics(vehicles) are district's responsibility. However, programme can support.

HRD

Is a central activity but needs to be shared by the districts, sub-counties.

Implementation can be devolved to sub-counties and communities to allow districts to take on the role of coordination and monitoring.

2. Focus group discussions**2.1 Sanitation****Technologies**

- ◇ VIP latrines
- ◇ ITPL (sanplats)
- ◇ Adequate privacy
- ◇ Traditional latrines
- ◇ Bucket latrines
- ◇ Water closets (urban)
- ◇ Mad latrines
- ◇ Compost
- ◇ Trench

Problems

- ◇ Obsolete sanitation regulations
- ◇ Soil texture e.g. sandy, rocky
- ◇ High water table
- ◇ Social cultural beliefs
- ◇ Poverty
- ◇ Low levels of appreciation
- ◇ Inequality in resource allocation at all levels
- ◇ Insecurity
- ◇ Inadequate civil/political support
- ◇ Inadequate and unmotivated staff

Concrete strategies

- ◇ Build community capacity to manage their own health problems
- ◇ Sanitation promotion
- ◇ Community out reaches
- ◇ Social Mobilisation and marketing of sanitation benefits
- ◇ School health programmes

Problems of institutional sanitation

- ◇ Lack of space
- ◇ Poor operation and maintenance
- ◇ Inadequate civil/political support

Solutions recommended

- ◇ Use appropriate technologies
- ◇ Advocacy at various levels
- ◇ Sanitation Promotion should be a responsibility of all
- ◇ Equitable allocation of resources for sanitation promotion
- ◇ Promotion of home and environmental sanitation campaign
- ◇ Promotion of school health competitions
- ◇ Enforcement of sanitation bye-laws
- ◇ Districts should initiate their bye-laws
- ◇ Obsolete regulations should be revised

Sanitation fits best in PHC because sanitation needs multi-sectoral approach, and because the central government has allocated conditional grants to districts for PHC.

Things to be monitored in sanitation

- ◇ Community change of attitude and behaviour
- ◇ Monitor quality of water (safe water chain)
- ◇ Appropriateness of technologies in use
- ◇ Sanitation facilities e.g. latrines, bash shelters, refuse (solid waste) management
- ◇ Disposal of waste water
- ◇ Personal hygiene especially eating, establishment, schools, markets, erosion
- ◇ Food hygiene

How

Carry out studies, Regular water quality monitoring and assessment, Community based management information system, Parades in schools, Inspection of eating establishments, Food sampling.

2.2 Decentralisation

- ◇ Overlapping roles – need for clarity
- ◇ Over concentration on the district not going to lower levels
- ◇ Responsibilities decentralised don't match district resources.
- ◇ Water coverage has increased
- ◇ Increased accountability and implementation
- ◇ Increased community participation thus better siting and location of water sources
- ◇ Improved relatively the plight of the women and children, thus increased time for women participation in other development activities.

Changes to WES: Good

- ◇ District has more powers and responsibility over water, health, environment and sanitation of its populace.
- ◇ More to Demand Driven Approaches from Supply Driven Approaches
- ◇ From district ownership to community ownership of water sources

Changes to WES: Bad

- ◇ Raised community expectations against scarce resources
- ◇ Planning is rendered less effective due to demand driven approach
- ◇ Increased the time lag before a service is rendered

Funding

Resource are mobilised from taxation and community contributions, NGOs, CBOs, churches, charity, fundraising activity

What are the HRD needs

Increasing staff

Increased co-ordination/networking

Equipment

Suggestions For improvement

More allocation of funds to WES activities

Increase co-ordination of WES at all levels

Periodic review and evaluation of WES

Able communities should be allowed to fund their services and then later reimbursed

Regular update of management information systems

2.3. WES – WATER**Existing Water Technologies**

Spring protection, Deep wells, shallow wells, rainwater catchment, valley dams, and tanks; springs with ferrocement tanks.

Other appropriate technologies: Infiltration galleries, GFS both not used in these districts.

Community Involvement

There is not much involvement of communities in technology choice, but if they are to be involved it could be done by holding sensitization meetings to discuss various options/requirements such as financial inputs, levels of skills for O & M.

What Operation and Maintenance Support is given at different levels?

Support by District: Acquisition of spares, major repairs, e.g. fishing out, desilting, technical supervisors support by sub-counties. Acquisition of spares from districts pay pump mechanics, reporting of break down

Village: Mobilise funds, pay pump mechanics in some district, provides local materials, unskilled labour.

What Organisational structures exist?

District:	DWO
	BMS/Field officers
	BMU – crew
Sub-county:	SCC/WES/Chairman – Sub-county committees
	Pump mechanics and spring masons
Village:	Water source committee
	Care taker

Does choice of materials(U2,U3) respond to community preferences?

- ◇ The aim of introducing U3 not achieved because:
- ◇ Rising main expensive and less durable
- ◇ Requires more skilled mechanics
- ◇ Inadequate tools
- ◇ Difficult to handle
- ◇ Standardisation of pumps

How can WES incorporate better the need of women and men into programme activities?

Encourage more women care takers

Encourage women to take offices of responsibilities.

What WES Training activities have taken place in the districts?

Training	Target	Content	Method
WES Management	WES Team DWO, DHI, ACAO, CDO, NGO (Soroti) DWO, DHI, ACAO, CDO, DPO, DCDO, DHI, DWO	Planning	Lecture, discussions
Budgeting	-do-	budgeting	discussions
Planning	-do-	Planning	Lecture, discussions
IRC/NETWAS	-do-	Management for sustainability	Lecture, discussions, Role play, video, field visits

Benefits of training?

Better performance in planning, implementation, supervision skills, evaluation and monitoring.

What is the District's capacity to handle the WES programme?

1. Manpower: Inadequate staff, poor training of field staff

2. Training needs:

- District: WES Management training to district staff
- Sub-county: - Community leaders training
- Extension staff skills training
- Pump mechanic training
- Mason training for springs and latrine construction
- Community:- Water source committee, care takers, village councils sensitisation

Recommendations for capacity building:

- ◇ Periodic refresher courses be organised for extension staff
- ◇ Fill the vacant posts in staff compliments and expand where necessary
- ◇ Communication skills (interpersonal communication)
- ◇ Provide gender responsive recruitment policies to increase women in technical positions.

GENDER**How are the needs of children and women incorporated in WES plans?**

WES plans include women activities like hygiene training, energy saving stores, home and village improvement.

What deliberate action by District Committees is being taken ?

- Integrating women in WES committees at all levels
- One woman member at district level and 4 women at water source level and woman treasurer.
- Training of women leaders in resource mobilisation
- WES to consider man/woman representation to WES committees at all levels
- More training/short courses given to women
- Reduction of work load in the girl child and women by availability of water (clean and safe) within a reasonable distance
- Both man/woman be involved in decision making at all levels of WES management

3. The SWOT analysis**3.1 Strengths of WATSAN**

- ◇ Technical support, leading to better condition
- ◇ Regular supervision
- ◇ Shorter Bureaucracy (District – UNICEF linkage)
- ◇ Timely realisation of funds and materials
- ◇ Staff were better motivated
- ◇ Transport, allowances, bonus
- ◇ Logistical support was adequate

3.2 Weakness of WATSAN

- ◇ Institutions formed could not be sustained
- ◇ No sense of ownership in communities
- ◇ The speed of implementation was too fast
- ◇ Planning was top-down
- ◇ Subsidy on spares, slabs created dependency, hence could not lead to sustainability
- ◇ Emphasis was on quantity
- ◇ Water activities had more resource allocation

3.3 Strengths of WES

- ◇ Demand responsiveness
- ◇ Community empowerment
- ◇ Incorporation of the environmental aspect of the sanitation

- ◇ Enhanced commitment to ownership
- ◇ Bottom-up planning leading to better siting of water sources

3.4 Weaknesses of WES

- ◇ Increased Red Tape
- ◇ Untimely release of funds and materials
- ◇ Decreased co-ordination unit
- ◇ Decreased motivation of staff due to inadequate logistics, allowances and bonuses
- ◇ Marginalised communities continue to lag behind as they cannot voice their demands
- ◇ Increased burden on districts, especially those unable to meet their obligations

3.5 Opportunities for improving WES

- ◇ Establishment of Effective Management Information System
- ◇ Poorer and marginalised communities continue to receive subsidy
- ◇ Need for improved and regular release of funds
- ◇ Privatisation to be enhanced, tried before fully implementation
- ◇ Improved co-ordination by PCU
- ◇ Repair and rehabilitation of facilities, boreholes, vehicles before fully handing over to districts
- ◇ Improve staff motivation allowances, logistics, etc.
- ◇ Staff capacities/compliments to be filled

3.6 Obstacles

- ◇ Conflict in approach by the various actors e.g. NGOs, CBOs, religious organisations
- ◇ Quality of work making will undermine sustainability
- ◇ Wholesale privatisation may hurt the Rights of children and women
- ◇ Voluntarism might wane with time in communities
- ◇ Affordable, sustainable technical options are not feasible in some areas due to topography
- ◇ Community inability to provide their contributions
- ◇ Inadequate lack of demand for sanitation
- ◇ Political interference

4. Wrap up

1. Advantages of DDA

- . Commitment to ownership
- . Increased resource mobilisation

Disadvantages of DDA

- . Marginalised communities continue to be left out
- . Excessive demands generated, hence difficulties in planning and implementation.

Recommend: Focus to assist the poor

District plans in relation to MPO: Most districts have copy of the make reference to it. However, officers have internalised the MPO.

Rights Based Programme Approach: Mainly with Probation Officers and WES provides facilities inadvertently

Technology choice: Need to involve communities underscored. Spare part depots be privatised as a matter of priority. The private sector be encouraged and supported.

Linkages with other programmes occur only in meetings. It is not regular nor formalised.

Things that WES must continued to do include among others:-

Involvement and strengthening of community participation in WES
Strengthen the planning to make it more demand responsive

Officers need orientation towards Demand Driven Approach – planning.

In line with the recent Government of Uganda policy at giving priority to staff to purchase of 'bonded' stores and property – WES may wish to follow a similar to the advantage of the officers working and using WES facilities (vehicles etc.)

Request: Feed back on WES evaluation to the Districts was requested and recommended by the participants.

5. Evaluation of the workshop

1. 5.1 Good

- Facilitators were very lively and clear on tasks
- Food was good
- Workshop was participatory; helping us make self evaluation of the District WATSAN AND WES activities
- Analysing the various components under WES
- Free discussion
- Learnt DDA is a problem for some districts
- Sharing, interaction with colleagues

5.2 Room for improvement

- workshop conducted too fast
- poor time management, workshop started late
- hot day
- no clear information on welfare
- only a few districts participated
- timetable too congested

7. no transport for Apac participants
8. participants did most of the work
9. late arrival of most districts and lacked interest
10. late lunch
11. venue not specified in invitation letter.

6. List of participants

Name	Position	District
1. Stella Amiti	ACAO - WES	Soroti
2. E. O. Egao	DHI	Soroti
3. Okello Mike	DCDO	Soroti
4. Onega-Opio	DWO	Soroti
5. I.O. Lojwero	DPO	Gulu
6. Onyuta Albert	DCDO	Gulu
7. Luwita Raymond	DWO	Gulu
8. Lalobo Obadiah	DHI	Gulu
9. J.S. Elasu Odongo	DHI	Lira
10. Francis Okello	District Planner	Lira
11. R. Ogwang	DCDO	Lira
12. Patrick Ayo	Ag. DWO	Lira
13. G.F. Ogwanga	ACDO	Apac
14. Paul Onayo	DWO	Apac
15. Ocen Gregory	Sanitation Coordinator	Apac
16. Ojok Victor Ogwal	ACAO - WES	Apac
17. Charles Apat G	Ag. DHI	Apac

Appendix 9: District Workshop Moroto

Appendix 9: District Workshop Moroto

2 March 1998

1. Information from documents

1998 Annual WES Workplan

Community	68,697
S/County	20,799
District	10,595
GoU	92,267
Donor	203,178
Total	410,801

All budget specifications are incomplete; no accounting for specific expenditures.

2. Discussion on the institutional mapping

The CDA and HA report on monthly basis on planning and immediate problems to the DCDO and DHI. From the DCDO and DHI, resources are supposed to go down the CDA and HA, but in practice this is very limited. The supervision of Has and CDAs has been limited for the past 2 years.

The DHI, DHE, DWO and DCDO regularly report on activities to the ACAO in charge of WES. The ACAO also coordinates with NGOs like LWF and Coop. & Dev't. The ACAO is responsible for reporting to the LC 5 Council. This happens mostly verbally, and is not done frequently. The LC 5 can pose queries to the ACAO, which is also not frequently done. Accountability of the ACAO to the LC 5 seems minimal.

The heart of the WES programme is felt to be more on water than on sanitation.

3. Focus group discussions

3.1 Water, sanitation, hygiene and gender

1. Problems related to water

- * People are always moving with their kraals
- * Lack of O&M arrangements, weak WUCs
- * Presence of other alternatives, people prefer ponds during the rainy season
- * Few viable options (no GFS, springs, wells)
- * Difficult geo-formations (dry holes)
- * Difficult to mobilise communities for repair, repair of breakdowns is avoided as long as possible
- * Water quality problems such as salty water and traces of lead
- * Frequent breakdowns of U3 BHs (pipes break)

2. Solutions for the water problems

- * More boreholes
- * Windmill pumps, pipes, GFS
- * Train more HP mechanics
- * Sensitise users on ownership of water sources and O & M
- * Consider replacement of U3 to U2
- * Encourage private sector involvement of spares provisions

3. Sanitation and hygiene problems

- * Collapsing soils and rocky areas
- * Negative attitude towards using pit latrines (shared use)
- * Negative cultural beliefs, e.g. on pregnancy and using latrines
- * Few extensions workers (7 HAs and 11 CDAs)
- * Inaccessibility to communication (media)
- * Social structure and settlement pattern not conducive to siting of latrines
- * Only men bathe, women bathe rarely due to lack of privacy
- * Open, indiscriminate defecation

4. Solutions for the sanitation and hygiene problems

- * Study soil structure for appropriate sanitation technologies
- * Continuous sensitisation and hygiene education, especially for women and children
- * Institutional latrines for manyattas
- * Provision of pick axes for rocky areas (NGOs, WES, district, DANIDA, S/Cs)
- * Integrated sanitation approach (using other staff as well)
- * CDAs and HAs should work together and use one language
- * WES should support slab production
- * Radio programmes in Ngakarimojong
- * Bathing shelters near sources for men and women

5. Gender concerns

- ACAO - encourage women to take up responsibilities
 - positive discrimination in favour of women education

DWO - caretakers of BHs women advocated for

3.2 Demand driven approach, HRD and gender

1. How is the demand driven approach reflected in the WES programme?

- * Pronounced in the water sector
- * Political influence on the allocation of water sources
- * Communities request for boreholes
- * Communities contribute in labour and cash
- * The demand for water is higher than the WES programme can realise
- * There is a lack of sense of ownership among communities (lack of understanding of the local culture may have increased the lack of ownership, even as the character of the culture, being people expecting gifts)
- * No demand on sanitation

- * Lack of support from local leaders for sanitation
- * Community does not see the need to demand for technical staff to assist them

2. Training given by WES

- * Orientation of HAS, CDAs and HP mechanics on WES skills, about 20 participants (1997)
- * Orientation of the district team and local councils on WES skills and approach, facilitated by the national level
- * Community mobilisation and management meetings (2)
- * Advocacy at S/County level (3)

3. How is gender reflected in your work?

- * High illiteracy rate (11%), especially among women
- * Cultural limitations for women
- * The existence of the WID Officer in the district offers an entry point for gender involvement
- * Women are encouraged to be in the Water Committee, i.e. as care takers or HP mechanics
- * Most extension workers are male
- * Only one female in the district WES team, who feels that she is by-passed and ignored by the hard-core of the team (plan not commented upon or approved, no budget allocated)

4. The SWOT analysis

Overview of previous and existing programmes and projects involved in water supply and sanitation in Moroto District:

- Lutheran World Federation
- KPIU
- CHIPS
- Cooperation and Development
- GWEP

4.1 Strengths of WES

- ◇ Provision of demonstration latrines in schools
- ◇ Slab production
- ◇ Materials for slab production
- ◇ Borehole drilling (under GWEP)
- ◇ Maintenance of existing BHs
- ◇ Good coordination and cooperation between departments at district level (view not shared by female DHE)
- ◇ Strong steering and management Committee
- ◇ Funds for WES available (only the UNICEF funds, no district contribution)

4.2 Strengths of LWF

- ◇ Well trained extension staff
- ◇ Training of handpump mechanics

- ◇ Adequate funding and facilitation
- ◇ Drilling of boreholes (used to be in two counties only)
- ◇ Involvement of indigenous people in implementation
- ◇ Community sensitisation on O & M for BHs
- ◇ Provision of spare parts for boreholes

4.3 Weaknesses of WES

- ◇ Inadequate and untrained extension staff (CDAs and HAs)
- ◇ Inadequate institutional framework
- ◇ Poor financial flow at district level (no district contribution)
- ◇ Inadequate funding
- ◇ Delay of funds
- ◇ Funds directed to CAO in stead of DMO
- ◇ People see water as priority, water bias
- ◇ Allocation of WES budget among different departments is not clear

4.4 Weaknesses of LWF

- ◇ Limited area of operations, only two counties
- ◇ Poor coordination and cooperation with line departments (this remark concentrated on the period after LWF changed its focus on agriculture; during the implementation of the water activities it worked using the people in the departments)
- ◇ Programme shifted to agro-based activities (August 1997)
- ◇ Concentrated on ethnic groups ('Dipei')
- ◇ Sanitation left out

4.5 Lessons learned/opportunities/ideas

- ◇ Clear allocation of funds
- ◇ Regular supervision, monitoring and evaluation of activities is needed
- ◇ Training opportunities
- ◇ Timely release of funds
- ◇ Integration of sanitation and water
- ◇ WES should contribute to slab production and the provision of spares (no private sector yet to take it up)
- ◇ A forum to coordinate WES activities at district level with NGOs
- ◇ Use WIDO to maximise gender concerns
- ◇ Encourage study tours/exchange visits
- ◇ More KAP studies should be done in Moroto
- ◇ Clarify accounting procedures
- ◇ Provide adequate funding
- ◇ Clarity on priority setting done at national level (priorities have been set by the district implementors together with people from the national level, but have been changed by national level staff without any explanation to district staff)
- ◇ Provide improved facilitation for extension staff
- ◇ S/Counties have to put WES into their budgets (ACAO did not show serious commitment to allocate district funds for WES, using lack of tax revenues as reason)

4.6 Obstacles

- ◇ Donor dependency meaning doubtful sustainability
- ◇ Cultural conditions
- ◇ Personalisation of counties by some NGOs
- ◇ No private sector for spare parts and slab production
- ◇ Political influence
- ◇ Insecurity
- ◇ Poor accountability and inadequate pressure to account properly
- ◇ Gender imbalance against women
- ◇ Absolute poverty, especially among women (wives and widows) and children
- ◇ Relative poverty due to value perceptions regarding cattle
- ◇ Difficult soil structure
- ◇ Harsh climatic conditions

5. Evaluation of the workshop

Good

- ⇒ Good facilitation (5 times)
- ⇒ Presentation good
- ⇒ Free participation
- ⇒ Good cooperation
- ⇒ Well organized
- ⇒ Friendly
- ⇒ Clear explanation of issues
- ⇒ Should be quarterly (2 times)
- ⇒ Lessons learned very good
- ⇒ I liked the SWOT analysis

For improvement

- ⇒ Time management, we began late
- ⇒ I came late
- ⇒ Those who came early suffered most
- ⇒ Should be annually
- ⇒ More evaluation of this kind
- ⇒ None (3 times)

6. List of participants

- | | |
|-----------------------------|-----------------------------|
| 1. Aguti Grace E. | District Nursing Officer |
| 2. Obidnyd Okong | District Inspector of Drugs |
| 3. Locham Justine | PHC Rep. Bouora Health Zone |
| 4. Betty Ogwel | DHV |
| 5. Olyan Charles | DWO |
| 6. Iditemany Victor | Field Officer Water |
| 7. Tudo John Bosco | GWEP Coordinator |
| 8. Aloka Aloysus | ACAO in charge of WES |
| 9. Eyura J. Martinus | DHI |
| 10. Bala E. | DHE |
| 11. Olupot A. Ocum | HA |
| 12. Oryono Omonda Granfield | DCDO |

Institutional mapping District Workshop Moroto WES evaluation, Feb/march 1998

	Political	Admin					Volunt eers			
District	RDC	CAO	CFO	ACAO/WES coordination WES activities Chair WES District Comt. M&E WES activities	DHI technical advise on san. & hygiene planning and budgeting san. activities to District WES Comt.	DCDO mobilisation sensitisation planning and budgeting on cap. bldg	DWO planning water sources ensuring implementation liase with others secretary DWES Comt.	DHE soc. mobilisation Heducation KAP studies liase with others	NGOs like LWF, Coop. & Dev't	
	LC 5 Chair	WIDO	Field Officer							
	Women Rep. LC 5									
County					Tonal supervisors					
Sub county	LC 3 Chair	S/C Chief	S/C supervisor (GWE P)		CDA soc. mobilisation identification community priorities liase with others	HA community mobilisation home visits reporting to DHI	HP mechanic repair Bhs advise on BH maintenance	opinion leaders	Healt h units	
	LC 3 Water Committee	AHE								
Parish	LC 2	Parish Chief	PDOs							
							Care taker maintenance Ws problem reporting to WS committee	opinion leaders	WS committee	
Village	LC 1							village volunteers	teachers	FHW (NGOs) CBOs
								elders	religious leaders	

**Appendix 10:
District Workshop Rakai**

Appendix 10: District Workshop Rakai

20 February 1998

1. Introduction

Present at the workshop: the DCDO, CBS (female), Statistician, DWO, DPI (only morning), ACAO responsible for WES coordination (female), and HI (only morning).

Sub county	water supply coverage	latrine coverage
Kyalulangira	0%	37%
Luwanda	28.8%	62%
Kasaali	25.6%	71%
Luwankoni	43%	72%
Byankabanda	15%	54%
Kabira	20%	67%

Total of Sub Counties 24

Total amount of HAs in Rakai 11
 Total amount of CDAs 17 (15 actually in the field)
 Total amount of HIs 4

2. Remarks made during the Institutional mapping

- * Policy guidance on WES goes from the LC 5 Council to the CAO and down to the HIs, S/C, parish and village level.
- * Technical issues are approved by the LC 5 Council, and go down the same way.
- * Village planning is supposed to be forwarded to S/C and from there to the CAO (still has to be started up).
- * NGOs present in Rakai are Concern, World Vision, Dumont, ICR and Chybale.
- * NGOs are particularly strong at the parish and village level. They enter the district in consultation with the CAO, especially on their area of implementation and on technology interventions. In the areas in which they operate, the NGOs are stronger than the government (more staff, better allowances and transport).

3. Focus group discussions

3.1 Water, sanitation, hygiene and gender

- A) What are the main problems and underlying causes for water, sanitation and hygiene?
- B) What are possible solutions?
- C) What are you doing to ensure gender responsiveness in the WES programme?

Water

Non acceptance of water tariffs in Rakai Town, which leads to donor dependence

⇒ education on the benefits of safe water

Poor water quality (physical, biological, taste, colour), most of the iron removal plants have been abandoned

⇒ filtration, iron removal plants

Inadequate water quantity, especially in the dry areas

⇒ alternative technologies such as rainwater harvesting

⇒ skills development in rainwater harvesting

Long distances to sources

⇒ development of more sources

⇒ skills in rainwater harvesting

Poor transportation and storage

⇒ hygiene education

⇒ skills in rainwater harvesting

Sanitation and hygiene

Mobile, nomadic populations, no time for digging and using pits

⇒ hygiene education

Difficult terrain (rocky, water logged, loose soil)

⇒ skills training

⇒ make available a practical range of technologies

Poor hygiene, e.g. hand washing is not practised

⇒ hygiene education

Low awareness/ignorance on the benefits of sanitation

⇒ Hygiene promotion, awareness drive

Gender actions

DWO:

- in WUC, 50% of its members have to be women
- Women's groups are being trained in making rainwater harvesting tanks and jars, and casting slabs

CBS:

- encouraging women to take leadership positions
- gender advocacy of politicians etc.
- gender awareness training for CDAs
- attention to gender issues during quarterly and annual meetings with CDAs

3.2 Demand, decentralisation, HRD and gender

A) How is the demand based approach implemented in WES?

B) What are the positive and negative effects of decentralisation on WES?

C) What training has been given to whom?

D) How is a gender balance reflected in your (daily) work?

Demand driven approach

- * Communities can now request for services, they themselves can now identify their needs and request services
- * Departments go out to the communities to sensitise them on what the district can offer
- * Institutions demand for safe water sources
- * The District Development Fund, which is supported by DANIDA, offers sub counties the possibility to identify and request for 1 or 2 projects every year, such as the construction of schools or health centers
- * The district is not yet receiving requests from the community, but the level of awareness has increased, more guidance is still needed

Positive effects of decentralisation

- * Resources are nearer to the people, e.g. materials; the supply of materials from WES has gone from the centre to the districts; on the other hand people realise that they have a lot of local resources themselves
- * Monitoring of WES has become more easy
- * Promotion of a sense of ownership and responsibility among communities
- * Proper allocation of resources at the local level, resources are used according to prioritisation of needs
- * People are more active in local politics/leadership

Negative effects of decentralisation

- * Inadequate funds and S/C and district levels to run the decentralised programmes (among which is WES), the district hardly contributes to WES (CBS budget for WES in 1998 is Ush 300.000 for the allowances of 17 extension workers); also the overall budget of the district has been cut down drastically, from 61 million last year to about 40 million this year
- * Inadequate staff, especially at S/C level, to implement WES (caused by restructuring)
- * Victimisation of civil servants (discrimination between in-borns and people from other districts)

Training given in Rakai

- * Two women's groups have been trained on the construction of water tanks and jars; these groups are benefiting enormously, although one group has difficulty with getting materials (area difficult to access); more groups are wanting to be trained, lack of funds to train them
- * SPAC (S/C Plan of Action for Children) training has been given to extension workers, S/C Chiefs and councilors; funding was provided from CCA; now training of newcomers is needed
- * Hand pump mechanics are being trained, in principle 2 per S/C (one is needed, the second functions as a backup); at this moment some S/Cs do not have a HP Mechanic
- * Advocacy meetings
- * Community mobilisation and management meetings for S/C executives, NGO representatives, community leaders, parish representatives, extension workers, and 2 representatives from the LC1, LC 2 and LC 3 Women Councils

- * Workshop for all S/Cs on planning, budgeting and monitoring, given to the SCTPCs
- * Special meeting on gender for the extension staff on CBS

Gender issues

- * Fewer women at the district and S/C level among the implementors of WES
- * Measures to stimulate gender responsiveness include:
 - staff review meetings where gender issues are discussed (quarterly)
 - end of the year workshops
 - gender awareness meetings
 - meetings with women separately in the field (it is found that when women participate in mixed meetings it makes them more inactive); also the Sexual Transmitted Diseases Programme has decided to target women separately
- * In the Village Impact Monitoring System, data are collected gender specifically

4. The SWOT analysis

4.1 Strengths of SWIP

- ◇ Sufficient transport (3 times)
- ◇ Vehicle maintenance was oke
- ◇ Enough personnel
- ◇ Enough funds to facilitate staff
- ◇ Good work in drilling and water source protection
- ◇ Quick in the provision of materials
- ◇ Good follow up (of field activities)
- ◇ IDMs

4.2 Strengths of WES

- ◇ Utilisation of local materials
- ◇ Empowering of communities so that they themselves can identify problems
- ◇ Emphasis on capacity building at all levels (2 times)
- ◇ Frequent support and supervision from the centre
- ◇ Gender emphasis
- ◇ Tackling of rainwater harvesting
- ◇ Mobilisation of communities improved
- ◇ IDMs (with more districts)

4.3 Weaknesses of SWIP

- ◇ Transport not sustainable (by the time SWIP left all vehicles were very old)
- ◇ Ignored the Kooki water problem; boreholes were not possible, no alternatives were offered (2 times)
- ◇ Planning was top down
- ◇ Poor identification of borehole sites
- ◇ Inappropriate technology for boreholes, which raises cost for O&M, e.g. U3 was used in medium depth holes
- ◇ Low quality of boreholes

4.4 Weaknesses of WES

- ◇ No transport facilities (2 times)
- ◇ Slow stores processing
- ◇ Rainwater harvesting at household level not supported
- ◇ Delays and irregular release of funds and materials from the centre
- ◇ District/CAO is not informed when funds are ready
- ◇ To establish the release of funds one has to travel to the centre, sometimes funds/cheque close to being expired
- ◇ Delays from the centre distorts district workplans
- ◇ Materials insufficient
- ◇ Assumed district contribution (district does not allocate budget for WES)
- ◇ Poor coordination between DWD and UNICEF

4.5 Lessons learned and other ideas for improvement of WES

- ◇ Organisation of O&M for boreholes to be improved, e.g. a district based repair rig
- ◇ Sustainable transport facilitation for the district and S/C levels is essential to programme implementation
- ◇ Decentralise stores purchases, release materials to the districts
- ◇ Encourage more bottom up planning (strengthening of the lower levels is needed)
- ◇ harmonise fund releases with district workplans
- ◇ Districts are to account in time
- ◇ Districts should seriously contribute to WES, district, S/C and village contributions to WES should be specified
- ◇ Development and signing of Letters of Understanding between districts and centre
- ◇ The WES programme should contribute to rainwater harvesting at household level, when no other alternatives are possible
- ◇ Installation of the recommended handpumps, e.g. U3 where they are supposed to be
- ◇ Privatisation of spare parts supply, preferable in a gradual way, e.g. the casting of slabs
- ◇ Use appropriate pipes for boreholes, depending on the water quality, e.g. stainless steel or PVC
- ◇ Aggressive sanitation and hygiene education campaigns
- ◇ Compulsory contribution by parents to school sanitation

4.6 Obstacles

- ◇ Cultural beliefs hinder the protection of water sources and the construction of latrines
- ◇ Community contribution is sometimes too high, especially where the local materials are far and therefore transport is needed
- ◇ Sanitation is an individual activity and therefore more difficult to implement
- ◇ UPE policy hinders the community contributions for sanitation facilities
- ◇ Taxable income of people is very low, and current way of tax collection hinders allocation to WES (even when budgeted for)
- ◇ High cost of alternative sanitation technologies, as well as their acceptability
- ◇ Low community response to sensitisation meetings

5. Evaluation of the workshop

Positive remarks	Room for improvement
<ul style="list-style-type: none"> * Good facilitation allowing active participation of all (5 times) * Presentation good * Ice breakers * Time keeping * Meals * Experiences shared and guidance from facilitators * Sitting arrangement good * Use of cards 	<ul style="list-style-type: none"> * Timing on Friday is inconvenient * Breakdown of information flow * Loss of time on detailed discussion * Participants coming late * We have not mobilised resources for the weekend

6. List of participants

- | | |
|------------------------|-------------------------------|
| 1. Nayiga Regina | DCDO |
| 2. Namuyanja Harriet | ACAO in charge of WES |
| 3. Kitatta George | HI |
| 4. Bagarukayo Alex | CCS |
| 5. David Balubuliza | DWO |
| 6. Mujunarinda Charles | Statistician |
| 7. Herman Bukenya | Community Education Assistant |

Institutional mapping District Workshop Rakai WES evaluation, Feb/march 1998

	Political	Administration	Volunteers											
District	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 5px;">Sectoral Comm. for Health and Environment</td> </tr> <tr> <td style="padding: 5px;">LC 5 Council monitoring planning and revision budget</td> </tr> </table>	Sectoral Comm. for Health and Environment	LC 5 Council monitoring planning and revision budget	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 5px;">CAOs Office requesting materials coordination WES plan monitoring accounting</td> <td style="padding: 5px;">DWO water source development training</td> <td style="padding: 5px;">DHI sanitation and hygiene promotion capacity building</td> <td style="padding: 5px;">Comm. Services Dept training and capacity building monitoring</td> </tr> <tr> <td style="padding: 5px;">ACAO in charge of Health Services</td> <td colspan="2" style="padding: 5px;">DMO</td> <td></td> </tr> </table>	CAOs Office requesting materials coordination WES plan monitoring accounting	DWO water source development training	DHI sanitation and hygiene promotion capacity building	Comm. Services Dept training and capacity building monitoring	ACAO in charge of Health Services	DMO			<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 5px; height: 40px;">NGOs</td> </tr> </table>	NGOs
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County		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 5px;">ACAO</td> <td style="padding: 5px;">HI</td> </tr> </table>	ACAO	HI										
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Sub county	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 5px;">S/C Council budgeting overseeing implementation mobilisation pressure on LCs for resources</td> </tr> </table>	S/C Council budgeting overseeing implementation mobilisation pressure on LCs for resources	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 5px;">Sub county Chief</td> <td style="padding: 5px;">HA sanitation and hygiene promotion WS development</td> <td style="padding: 5px;">SCTPC</td> <td style="padding: 5px;">CDA sensitisation training data collection reporting supervision of community</td> <td style="padding: 5px;">HP Mechanics repairs identification and purchase spares needed monitoring BH performance</td> </tr> </table>	Sub county Chief	HA sanitation and hygiene promotion WS development	SCTPC	CDA sensitisation training data collection reporting supervision of community	HP Mechanics repairs identification and purchase spares needed monitoring BH performance						
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Village	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 5px;">Community contribution of labour and materials providing personnel for WSC maintenance</td> </tr> <tr> <td style="padding: 5px;">Village Committee</td> </tr> </table>	Community contribution of labour and materials providing personnel for WSC maintenance	Village Committee		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 5px;">Water Source committee</td> </tr> <tr> <td style="padding: 5px;">NGOs</td> </tr> </table>	Water Source committee	NGOs							
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**Appendix 11:
Sub County Workshop Apac**

Appendix 11: Sub County Workshop Apac

27 February 1998

1. Introduction

Participants: The participants included sub-county Chiefs, Community Development Assistants (CDA), Health Assistants (HA), and one opinion leader. Six sub-counties were invited. The criteria for selection was that the sub-counties invited had some experiences in SWIP and are now involved in WES.

Purpose: To identify lessons learnt in WATSAN and transferred to WES especially Institutions, Process, and Sustainability as relates to water, sanitation, gender and hygiene education. This being the first Sub-county workshop, it was used to test and perfect the Evaluation Methodology as pertain to running of a Sub-county workshop.

Introduction: The WES Evaluation is designed to solicit views, experiences and perspectives of the various actors, especially the lessons learnt during SWIP/WATSAN and how these have been transferred to WES. The Institutional issues, the Process, and the Sustainability are of particular importance in order to strengthen the WES Programme. The aspects relating to Water, Sanitation, Hygiene Education and Gender will receive special attention.

2. Institutional mapping

2.1 Task analysis

The participants were divided into three groups according to their professions, i.e. Sub-county Chiefs, Health Assistants and Community Development Assistants. Each group were asked to write down 10 most important of their tasks in any given month. This was followed by the groups being asked to indicate which of the tasks they actually carry out, when and how often in a month. The participants were then asked to indicate which programmes each of the tasks falls into. Below is the result of the analysis:

Sub-county Chiefs

Task done	Done and frequency	Partners	Programmes
1. Mobilisation	One day a week	LCs, Parish Chiefs	Health, WES
2. Revenue collection	Daily	Parish Chiefs, clerks	Graduated tax, licensing
3. Meetings	Once a month	Clerks	Development & General
4. Sensitisation	Once a month	LCs, HA, CDA	Epidemics
5. Supervision	Daily	LC III,	General
6. Settling disputes	Once a week	Chiefs, Police	Civil cases
7. Keeping law and order	Daily	Chiefs, Police	Training
8. Bringing offenders to justice	Once a week	Chiefs, Police	Referral to courts
9. Workplans / Programming	Once a month	Chiefs, HA, CDA	General & Development
10. Evaluation	Once a month	Chiefs, LC III, HA, CDA, C/M	Data collection

Community Development Assistants

Task done	Done and frequency	Partners	Programmes
1. Literacy classes	8 days a month (1 hr)	LCs, Literacy Instructors	Functional Adult Literacy
2. Community mobilisation	3 times a week	LCs, Chiefs, Communities	WES
3. Training WSC	1 day in 1997	HA, HI, ACDO	WES
4. Hygiene Education	30 days	HA, HI, Chiefs, LCs, Community	CDD Programme
5. Sensitisation	30 days	Women, LCs, Chiefs	Gender and Community Development
6. Group Formation (Women, Youth, Disabled)			
7. Meetings at sub-county level			
8. Home & Environment improvement	8 a month		WES
9. Cultural activities			
10. Report writing	once a month		

Health Assistants

Task done	Done and frequency	Partners	Programmes
1. Mobilisation	4 days a month	LCs, CDA, Chiefs, CHW, leader	Health Activities
2. Health Education	7 days a month	CDA, CHW	Health Promotion
3. Supervision	2 days a month	Chiefs, LCs, CDAs	WES
4. Home visiting	5 days a month	CDA, CHW	Home improvement and nutrition
5. Sanitary Inspections	4 days a month	CHW	Administration, School sanitation
6. Organise & attend meetings			
7. Training of WSC			
8. Investigate Communicable Diseases			
9. Immunisation	4 days a month	CHW, Medical staff	UNEPI
10. Reporting	2 days a month		Record keeping

1.1 Problems hindering performance at S/C level

CDAs

- lack of field staff to assist CDAs
- lack of co-operation between the CDAs and local authorities during mobilisation
- Cultural values have a negative effect on promotion of certain activities like gender issues
- lack of logistics from S/County
- Seasonal activities like ploughing and harvesting affect work
- lack of allowances for field staff
- lack of support on decentralisation programmes by S/County e.g. safe motherhood, literacy programme which have a WES component.

HA s

- poor communication; chiefs and LCs don't mobilise community
- poor co-ordination with other departmental staff
- poor road network
- insecurity
- lack of health staff (HA); large areas with only one person
- insecurity
- no/inadequate means of transport
- lack of motivation from local authorities

S/Chiefs

- poor communication
- illiteracy
- poverty and ignorance leading to poor attendance of meetings
- broken down boreholes and unprotected springs
- inadequate staff
- low income from tax collections

1.3 Solutions

CDAs

- recruit more field staff at sub-county level
- sensitise the local authorities on the need for co-operation between the and extension staff
- develop clear processes of communication and responses from the districts
- sensitise men on the need to attend adult literacy classes
- logistics should be provided
- proper planning of the programmes

HAs

- Sensitise chiefs and LCs
- Involve respective departments in the districts
- recruit more staff
- improve on feeder roads by district administration

S/C chiefs

- road rehabilitation
- Adult literacy programme
- Seek Loans

- Training
- More trained staff
- better mobilisation
- affordable transport

2. The SWOT analysis

2.1 Strengths of WATSAN

- ◇ Availability of construction material regularly (cement, pipes, aggregates, concrete blocks)
- ◇ Logistical support adequate (Transport, funds)
- ◇ Support from NGOs (FHI)
- ◇ Skilled labour
- ◇ Training

2.2 Strengths of WES

- ◇ Availability of logistical support
- ◇ Construction material even though irregular
- ◇ Support from NGOs
- ◇ Skilled labour
- ◇ Community involvement
- ◇ Training.

2.3 Weaknesses of WATSAN

- ◇ Did not cover environmental protection
- ◇ Did not rehabilitate/Repair all boreholes in the district.
- ◇ Did not supply enough tools (pick axes, spades)
- ◇ Trained sanitation fundis were left redundant
- ◇ Not all protectable springs were protected.
- ◇ Did not care for sub-stores leading to the disappearance of these stores.
- ◇ Demo VIPs were not completed.
- ◇ Did not cover the whole district e.g. Akokoro sub-county
- ◇ Forced people to buy sanplats etc.

2.4 Weaknesses of WES

- ◇ Failure to maintain WES vehicles
- ◇ No longer supplying spares to Boreholes/shallow wells
- ◇ Increase in price at sanplats
- ◇ Lack of supervision by the District staff
- ◇ Irregularity in holding planning and management meetings.

2.5 Opportunities to improve WES

- ◇ Drilling at new boreholes
- ◇ Rehabilitation of boreholes and repair
- ◇ Spring protection
- ◇ Training of manpower at all level

- ◇ Provision of logistics e.g. bicycles, motorcycles and spares thereof
- ◇ Provision of sanitation (slabs, sanplats)
- ◇ Motivation of WES staff.

2.6 Threats or obstacles

- ◇ Decentralisation - The Districts may not be able to sustain the program
- ◇ Privatisation will result in price increases of some WES products.
- ◇ Misuse of funds and materials (corruption)
- ◇ Lack of support by the communities to the WES Program
- ◇ Lack of support by Sub-county.
- ◇ Inadequate support by the District
- ◇ Unmotivated staff especially CDAs & HAs.

3. Wrap up

3.1 The processing of community demands

- Assessment through LC I ----LC II----LC III----LC V
- there should be awareness creation within the community through the field staff so that the communities can identify their needs
- feedback should go through Administrative staff (implementors)
- there should be co-ordination between the politicians and administrators

3.2 Preference for WES planning and budgeting

Should be done at sub-county level with information flowing from village ----sub-county---district

3.3 System for paying HP mechanic

Monthly allowance but not salary. Handpump mechanics to be incorporated as staff of the sub-county.

3.4 Best way to collect user charges

- Need to improve on the management of funds through training of user committees
- use of records before and during the collection of user charges.

4. List of participants

Name	Position	Sub-county
1. Aloka David	Health Assistant	Bala
2. Ben Ongom Eموke	Sub-county Chief	Bala
3. Engutim Peter	CDA	Bala
4. Milton Akwal	Opinion Leader	Ayer
5. E.P Otyang	CDA	Ayer
6. Tom Okello Oyepa	HA	Nga'i
7. Joan Ayo	CDA	Acaba
8. Adonyo Andrew	HA	Acaba
9. John Okello Atine	Sub-county Chief	Acaba
10. Fred Godfrey Opudo	HA	Akalo
11. Bongo David	Sub-county Chief	Aduku
12. Hellen Awal Ogwal	CDA	Aduku
13. Francis Opio Owiny	HA	Akokoro
14. Richard Abaki	CDA	Akokoro
15. Nelson Okello	Sub-county Chief	Akokoro
16. Ruma Abili Charles	HA	Chegere
17. Odule Musthelu	HA	Otwol
18. Beatrice Adupa	CDA	Apac Town Council
19. Justine Ogwang	HA	Inomo
20. Oturi Alex	HA	Iceme
21. Jasper Oyengo Etime	Sub-county Chief	Nambieso
22. G. Oweta	HA	Nambieso
23. Charles Olwa Okwero	Sub-county Chief	Loro

**Appendix 12:
Sub-county Workshop Bushenye**

Appendix 12: Sub-county Workshop Bushenye

February 1998

1. Introduction

The WES Evaluation is designed to solicit views, experiences and perspectives of the various actors, especially the lessons learnt during SWIP/WATSAN and how these have been transferred to WES. The Institutional issues, the Process, and the Sustainability are of particular importance in order to strengthen the WES Programme. The aspects relating to Water, Sanitation, Hygiene Education and Gender will receive special attention.

Background: The objective of the sub county workshop was to solicit and assess the perspectives, views and experiences from the various actors involved in WES at the Sub-county level.

Participants: The participants included Sub-county Chiefs, Community Development Assistants (CDA), Health Assistants (HA), and one opinion leader. Six sub-counties were invited. The criteria for selection was that the sub-counties invited had some experiences in SWIP and are now involved in WES.

Purpose: To identify lessons learnt in SWIP and transferred to WES especially Institutions, Process, and Sustainability as relates to water, sanitation, gender and hygiene education. This being the first Sub-county workshop, it was used to test and perfect the Evaluation Methodology as pertain to running of a Sub-county workshop.

Tentative Workshop Programme: The tentative workshop programme was as below:-

9:00 - 9:30	-	Introduction; Overview of the WES Evaluation
9:30 - 11:00	-	Institutional Mapping
11:00 - 11:30	-	Tea Break
11:30 - 13:30	-	SWOT exercise
13:30 - 14:30	-	Lunch
14:30 - 15:30	-	Role Play (Process Analysis - Demand Driven Approach, Demand Responsiveness)
15:30 - 16:30	-	Plenary discussion (Decentralisation, Sustainability, Capacity Building)
16:30 - 17:00	-	Evaluation; Administrative issues

Note: The workshop started at 10:45 as the letter inviting the participants indicated start time as 10:00 am. Due to the late start, there was no lunch break.

2. The institutional mapping

The participants were divided into three groups of two sub-counties each, to identify the Key actors, their roles, responsibilities and linkages.

2.1 Key actors and some of their roles and responsibilities

District

1. Chief Administrative Officer (CAO)
2. District Health Inspector (DHI)
3. District Community Development Officer (DCDO)
4. District Water Officer (DWO)
5. NGOs and CBOs

Sub-county level

1. Local Council III (LC 3)
 - Policy formulation
 - Budget and resource allocation
 - Community sensitisation and mobilisation
 - Supervision follow-up and monitoring
 - Planning and priority setting
2. Sub-county Chiefs
 - Overall supervision of all development activities within the Sub-county
 - Control of finances in the Sub-county
 - Mobilisation and sensitisation
 - Resource mobilisation within the Sub-county
 - Follow-up
3. Health Assistants
 - Implementation of health programmes and policies on the ground
 - Provision of health education in the Sub-county
 - Monitoring, evaluation and assessment of the health and hygiene aspects in the Sub-county
 - Co-ordination, reporting and follow-up
 - Mobilisation and sensitisation
 - Resource mobilisation and delivery
 - Technical supervision and provision of skilled labour
4. Community Development Assistants
 - Implementation of development programmes including WES
 - Monitoring, evaluation and assessment of development programmes
 - Mobilisation, sensitisation and organisation of community involvement
 - Resource mobilisation and delivery
 - Supervision, co-ordination, follow-up and reporting
5. LC-III Health Committee
 - Resource mobilisation
 - Supervision follow-up and monitoring
 - Overseeing the general health and sanitary conditions in the Sub-county
 - Community sensitisation and mobilisation
6. Water and Sanitation Committee

- Planning and lobbying for funds
 - Community sensitisation and mobilisation
 - Supervision follow-up and monitoring
 - Budgeting
7. Water fundi (handpump mechanics, plumbers, masons)
 - Construction of water and sanitation facilities
 - Maintenance and repair of facilities
 - Provision of skilled labour
 8. Agricultural Assistant
 - Sensitisation on sanitation e.g. compost pits
 9. GISO (only in emergencies like cholera outbreak)
 - Enforcement of bylaws during emergencies

Parish level

1. Local Council II (LC 2) chairperson
2. Parish Chiefs
3. Parish Development Committee
4. Health Committee

Village level

1. Local Council I (LC1) chairperson
2. WATSAN committee
3. Water source committee
4. Community members
 - Mobilisation and provision of resources
 - Provision and organisation of unskilled labour
 - Ownership, operation, use and maintenance of improved water and sanitation facilities
5. Caretaker - water source
 - Maintenance of water facilities
6. Opinion leaders
7. Water fundi (handpump mechanics, plumbers, masons)

2. The SWOT analysis

The purpose of the SWOT analysis is to bring out how the stakeholders (Sub-county level see WES as a programme. Secondly, to see the strengths, weaknesses of SWIP/WATSAN with the view to understanding how and where WES Programme can be improved. The SWOT analysis will also provide an overview of lessons from SWIP and how they have been adopted in the WES Programmes. The participants will also provide a listing of Opportunities and Threats as related to the WES Programme.

How SWOT was Planned: Divide the participants into 4 mixed groups. Let each group write of SWIP/WATSAN and of WES, 2 strengths and 2 weaknesses. And of WES write 4 Opportunities (ideas for improvement) and 4 Threats (likely obstacles).

Each column would then be discussed with the view of to get clarification on the meaning of the points raised from the various groups. The outcome was as below:-

<p><u>Strengths (SWIP/WATSAN)</u></p> <ol style="list-style-type: none"> 1. Improved water situation in communities 2. Good logistical support 3. Good participation, sensitisation in form of training seminars and workshops (Does this mean capacity building and grounding-in of extension staff?) 4. Subsidised and/or provided free sanplats <p><u>Strengths (WES)</u></p> <ol style="list-style-type: none"> 1. Provides logistical support 2. Improved community participation and involvement, leading to increased commitment to ownership 3. Provides materials for spring protection 4. Seminars for field staff 	<p><u>Weaknesses (SWIP/WATSAN)</u></p> <ol style="list-style-type: none"> 1. Lack of community participation and involvement 2. Poor monitoring and follow-up 3. Inadequate information to communities 4. Poor technical performance e.g. drying up of sources due to poor surveys 5. Facilities did not meet expectations of users e.g. water quality (colour, taste), quantity and distribution <p><u>Weaknesses (WES)</u></p> <ol style="list-style-type: none"> 1. Poor and inadequate logistical support 2. Poor and inadequate information dissemination 3. Unclear roles and objectives of the WES Programme 4. Failure to maintain vehicles left by SWIP/WATSAN 5. Irregular supply of materials 6. Workplans and requisitions for materials not honoured or followed
<p><u>Opportunities - Ideas for improvement (WES)</u></p> <ol style="list-style-type: none"> 1. Communities have a positive attitude towards the WES Programme 2. Communities perceive the improved facilities as their own and willing to maintain 3. Government and communities can contribute more resources to the WES Programme 4. Capacity to plan and budget exists at district level and being developed at lower levels 5. Political Will exists for the improvement of WES activities 	<p><u>Threats (Obstacles) (WES)</u></p> <ol style="list-style-type: none"> 1. Inadequate funds/financing and resource allocation to WES activities 2. Inadequate logistical support 3. Poor leadership and political interference 4. Irregular supply of materials 5. Poor monitoring and accountability systems 6. Poor community participation due to fatigue

Appreciation of WES: WES is still new. The mission of WES, its organisation and the roles of the various stakeholders not sufficiently clear to all.

Lessons learnt in SWIP/WATSAN and transferred to WES:

- The need for community participation and involvement
- The change to bottom-up approach in planning of WES activities
- The capacity to plan, budget and implement water and sanitation activities at district and lower levels
- The need to improve water, sanitation, hygiene education and the involvement of women in WES activities

3. Focus group discussions

Focus of WES: Currently the WES activities are district specific e.g. materials are delivered to district level from where they are sent to the Sub-county. Logistics permitting, it will be desirable to focus at Sub-county level.

Development plans: The process of institutionalising development plans is a slow process, some attempt is being made. Sector and workplans are made. WES activities are spread in water, health and community development in the district plans and budgets. Sub-counties allocate some funds to WES as a directive from the districts. However, the actual expenditure on WES at Sub-county level is minimal.

Training: The following cadres receive training HA, CDA, LC1, Parish Chiefs. However new staff are receiving inadequate orientation training.

Sanitation problems: Inadequate support from local leaders and politicians who do not see the importance of sanitation especially pit latrines. The idea of coercion is not popular among the local leadership. The communities also do not appreciate the need for sanitation. Financial constraints as some households cannot afford sanplats, hence the low demand for sanplats. The preference of termite attack and rotting cause frequent collapse of latrines.

Improved and affordable technology coupled with vigorous and targeted hygiene education will be necessary in order to improve the image of sanitation.

Private sector: Handpump mechanics are available at Sub-county level. While women groups are getting involved in providing hygiene education.

4. Decentralisation**Advantages**

- Communities involved in the decisions making processes
- Improved problem identification at grassroots
- Improved services and nearer to the people (users)
- Promotes commitment to ownership
- Planning and budgeting tailored to the needs of the communities
- Enhances community empowerment

Disadvantages

- Inadequate facilitation
- Insufficient sensitisation and information dissemination on decentralisation
- Increase in taxation
- Inadequate skilled manpower
- Insufficient accountability at lower levels
- Causes retrenchment at the centre without corresponding capacity building at lower levels
- Limited expansion of WES activities due to other priorities

5. The demand driven approach

The process Analysis on the demand driven approach and demand responsiveness was done by way of a *role play*. The purpose of the Process analysis is to assess how problems at community level are identified, prioritised, solutions sought and implemented in the context of demand driven approach and demand responsiveness.

The process analysis will also provide an overview of who initiates the "demand" and the various channels within which the "demand" is processed and implemented.

How Role play was Planned: The participants were asked to imagine "Being a village in Bushenyi district and have a WES problem, through a role play solve the problem". The participants were divided into 2 groups, the first group to conduct the role play and the second to observe and check if what is acted in the role play is what happens in a real life situation in the context of demand driven approach as advocated in WES.

Result 1: The first group acted a village meeting convened by the LC1 chairperson, who observes that other villages around them have received cement and have protected their wells. Based on this observation and desiring to attain to the same status as those villages around them, a resolution is passed to protect the village well. A letter is written and delivered by an emissary directly to the CAO. The village makes no reference to the Technical Extension staff nor to the Sub-county. On receiving the request, the CAO refers the village to the Sub-county Chief for recommendation. Once this recommendation was obtained, cement and other materials are allocated. Neither the CAO nor the Sub-county Chief consult nor convene a meeting to consider the request along with others. The request is dealt with as an isolated case and not as an institutionalised process of considering "demands" emanating from the many villages in the district/Sub-county. Upon receiving approval another village meeting is convened and resolved to contribute towards the protecting of the shallow well. In this meeting it also resolved to invite the HA for technical advise.

Observations from the Role Play

- ◇ The demand for protecting the spring is based on "status" to be like the villages and not on a perceived problem.
- ◇ The village makes the choice of technology, and only invites the technical expert to help in carrying out the implementation.

- ◇ The CAO and the Sub-county Chief treat the request as isolated from other "demands". No meeting is convened to adjudicate the requests, plan and allocate resources.
- ◇ The village approaches the CAO directly. There is no reference to the extension staff, Parish, nor Sub-county.
- ◇ The village requests for cement and only upon receiving it do they start to do internal resource mobilisation and seek technical advise.
- ◇ Accountability in handling materials was not evident from the role play. No delivery notes were signed nor the village informed the amount of cement allocated to them.
- ◇ No consideration for O&M as the role play ended with the completion of implementation.

6. Evaluation of the workshop

The participants were requested to write down 2 things they liked and two things they did not like about the workshop. The responses were as follows:

6.1 Good things about the workshop

- The WES were good especially on WES Programme
- The Role Play was very interesting
- The mode of facilitation and presentation was very good
- We were reminded and educated on WES
- The SWOT in relation to SWIP/WATSAN was very revealing and interesting
- Free participation
- Good sitting arrangement - semi circular giving all equal status and opportunity
- Sharing of views, ideas and experiences on how to improve WES

6.2 Bad things about the workshop

- Complicated SWIP/WES procedures
- No time allowed for lunch
- Time too short, workshop time should be two days
- We arrived late and started late
- More sub-counties should have been invited
- No pamphlets were given

7. List of participants

Name	Position	Sub-county
1. Kabateraine S	LC II Chairpeson	Kyeizooba
2. Baremirwe Louis	Sub-county Chief	Kyeizooba
3. Katarbarwa Deus	HA	Kyeizooba
4. Muganzi Christian	ACDO	Kyeizooba
5. Tiberindwa	Sub-county Chief	Kakanju
6. Muhanguzi Basil	CDA	Kakanju
7. Mubbaze C	HA	Kakanju
8. Tumukundise Ndemiire	Opinion Leader	Kakanju
9. Tumwine Bariira	Opinion Leader	Kyamuhunga
10. Tumwine Freddie	Ag. Sub-county Chief	Kyamuhunga
11. Mujurizi Simplico	CDA	Kyamuhunga
12. Kagarina George	HA	Kyamuhunga
13. Muzaare Alex	CDA	Bumbaire
14. Kahanginwe J	HA	Kigarama
15. Buzareki Jairesi	Opinion Leader	Kigarama
16. Tugumisinge A	ACDO	Kigarama
17. Mugarura Jackson	Ag. Sub-county Chief	Kigarama
18. Mugarura Ephraim	Opinion Leader	Kyangyenyi
19. Barekye Dinnah	CDA	Kyangyenyi
20. Olye Michael	HA	Kyangyenyi
21. Nganwa Borora	Sub-county Chief	Kyangyenyi
22. Kamoomo	HA	Bitereko

Appendix 13: Sub-county Workshop Hoima

Appendix 13: Sub-county Workshop Hoima February 1998

1. Institutional mapping

1.1 Key actors

The most important people and institutions as key actors of WES programme at sub-county are as follows:-

- ◇ Local councils at all levels
- ◇ NGOs (UNICEF, IFAD, AVIS, World Visions, etc.)
- ◇ Village Health Committees
- ◇ Water source committees
- ◇ Sub-county Development committees
- ◇ Sub-county chief
- ◇ Health Assistant
- ◇ Agriculture officer
- ◇ Community Development Assistant
- ◇ Masons
- ◇ Pump mechanics

1.2 Responsibilities

Local Councils

Approves the plans and budget
Planning and budgeting
Make bye-laws
Mobilisation of committees and funds
Co-ordination
Implementation

NGOs

Funding in terms of funds and materials
Co-ordination of the key actors and institutions in the programme
Monitoring and evaluation of the whole programme
Carry out trainings

Sub-county Development Committee

Planning of the Development activities of sub-county
Implementation of the programme
Monitoring and evaluation of programme
Setting priorities of the sub-county

Water Source Committee

Mobilisation of funds, and local materials
Sustainability of the programme by mobilisation of funds for operation and maintenance

Village Health Committees

Identification of the village, community problems (water sources for protection), prevailing diseases
Home visiting and reporting to LCs and extension staff
Mobilisation of funds for operation and maintenance of activities in the communities.

Sub-county Chief

Mobilisation of resources (funds, materials)
Co-ordinations of key actors at sub-county level

Health Assistant

Mobilisation and sensitising the communities in WES activities
Planning (work plan and budget) and implementation of WES activities e.g. source protections, slab distributions and placing on the pit latrines.
Technical advisor in WES programme at sub-county
Keep following-up of the WES activities
Monitoring and evaluation
Home visiting

Agriculture Officer

Demonstration of gardens
Nutrition activities in the communities
Technical advisor. Environment (Tree planting)
Home hygiene in terms of animal husbandry/plants (composting manure)

Community Development Assistant

Mobilisation and sensitisation of communities on WES activities
Implementation of WES activities
Follow up of WES activities

Masons

Carry out the construction of water sources (protection)

Pump mechanics

Carry out the repairs on broken down boreholes

2. The SWOT analysis**2.1 Strengths of WATSAN**

- ◇ High staff motivation in terms of allowances and Bonus
- ◇ Trainings were carried out frequently, of masons, WSC, VHC, etc.
- ◇ Free and on time materials
- ◇ Transport of materials on time
- ◇ Encouraged sanitation by provision of VIPs and protection of water sources

2.2 Strengths of WES

- ◇ Community involvement in planning leading to sustainability due to increased demand.

- ◇ Some trainings for extension staff
- ◇ Encourage Home Improvement and spring protection
- ◇ Cost sharing leading to sense of ownership (sell of sanplats)
- ◇ Provides transport of sanplats to sub-counties
- ◇ Involvement of other extension staff e.g. Agriculture Assistants.]
- ◇ Involves/encourages women participation.

2.3 Weaknesses of WATSAN

- ◇ No adequate transport for materials
- ◇ Less sense of ownership due to no county contribution (less planning and involvement)
- ◇ Focus of sanitation was on latrines Vs other sanitation components
- ◇ Inadequate transport for field staff CDAs, HAs e.g. bicycles
- ◇ Less involvement of local leaders

2.4 Weaknesses of WES

- ◇ Inappropriate transport for high community demand
- ◇ CDAs no WES allowances
- ◇ WES activities not seen as priority at sub-county level thus limited release of funds
- ◇ Insufficient training opportunities
- ◇ Cost sharing - problem of collecting contributions for capital costs and repairs and cost burdens too high on community
- ◇ Poor feed back from district on terms of funds and sensitisation funds

2.5 Opportunities for improving WES

- ◇ Promote Home Improvement competitions at all levels
- ◇ Improve transport for field staff (motorcycles)
- ◇ Refresher course
- ◇ Increased motivation at District/sub-county
- ◇ Introduce quarterly meetings for evaluating activities/experience sharing
- ◇ Make WES activities a part of sub-county priorities
- ◇ Financial Resources for External sources should be delivered at sub-county.

2.6 Threats or obstacles

- ◇ Poor monitoring and evaluation by external staff
- ◇ Lack of adequate logistical support
- ◇ WES priority at sub-county level
- ◇ Poor co-ordination between external staff, LCs
- ◇ Community over burdened due to unequal cost sharing e.g. sub-county not contributing.
- ◇ Misuse of funds and mis-allocation
- ◇ Inadequate capacity to cope with certain issues e.g. environmental concerns

2.7 Lessons transferred from WATSAN to WES

- ◇ Training and seminars: Masons, WSC, care takers, etc.
- ◇ Transportation of materials from the district to sub-counties
- ◇ Protection of water sources

3. Role play on the demand driven approach

INITIATION: District officers as agents of Donors like UNICEF, AVIS, IFAD
Community: The MP, prominent member or chairman organises the community to
 Appreciation may be made to HA or direct to the district.

INFORMED CHOICE : Usually choice of technology, suite is done by the technical person with limited participation of the community – probably Chairman and technician.

FORMULATION: Request made in LC I meeting or written to Health Assistant having heard the neighbouring village progress or having been sensitised as regards the possibility of getting such a services.

O & M AND CONTRIBUTIONS: none currently made in form of cash but rather in form of labour and like sand and blocks. If break down = requires repairs = spot collections

SUSTAINABILITY: no O & M system, no real sense of ownership, (hand over ceremony) contradicting.

LEVEL OF DEMAND: More for water than sanitation. Sanitation being set a precondition for water; “first improve your village sanitation..... then water will protected”

PROCESS: Unstructured, haphazard, own formal. Information deficient. Either political system, or personal relations.

DIRECT COMMUNICATION BETWEEN VILLAGE HEALTH ASSISTANT AND THEN HEALTH ---- DWO?

Requests may or may not fit to WES committee.

System for Improvement

Community information e.g. more knowledge on options, how to prioritise, move information from technical personnel, include appropriate transport
 Sensitise sub-county leaders in WES so that they can participate and be informed of their role
 Planning to be done at all levels
 Used for accountability and transparency whereby the community is informed about their rights and responsibilities.

Problems on DDA

- ◇ Involves and takes mobilisation and communication
- ◇ Possible wrong demand, from wrong priorities
- ◇ Inadequate information – wrong choices
- ◇ Poor leaderships – misrepresents community needs/dd, or to organise community demand.
- ◇ Poor capacity – coping capacity to deal with such a system.

- ◇ Demands may not match technical possibilities.
- ◇ Relies too much on community's ability to identify their own needs, and express them.

4. Problems of sanitation

- ◇ Homes without sanitation, low coverage
- ◇ Inadequate knowledge among the communities (ignorance)
- ◇ Poor involvement of local councils at all levels
- ◇ Lack of adequate funds to address sanitation
- ◇ Poor soil conditions causing collapse
- ◇ Poor community response
- ◇ Inadequate follow-up
- ◇ Cultural beliefs, some places are on lake shore
- ◇ Termites

5. Evaluation

Good

Sharing and each allowed to contribute
Group work was enlightening
Explanation on the process of WES
The evaluation process very participatory
Excellent facilitation
Co-operation from and of facilitators

Bad

The programme was congested
Time too short, suggest 2 days
Time management too poor
Late start due to late arrival
Allowances too little
Some were not quite honest

6. List of participants

Name	Position	Sub-county
1. Ochen Akodia Phillbert	Health Assistant	Kiziranfumbi
2. Tinka Stephen	Health Orderly	Kiziranfumbi
3. Muhumuza Charles	CDA	Kiziranfumbi
4. Muyelege Charles	HA	Kigoroby
5. Magambo Judith	CDA	Kigoroby
6. Victor Byenkya	Health Orderly	Buhimba
7. Bwaligama Grace	CDA	Buhimba
8. Kiva Fred	Chairman - WSC	Buhimba
9. Kachope Grace	CDA	Busiisi
10. Ahabyoona Grace	HA	Busiisi
11. Bagire M. John	HA	Kyabigambire
12. Kwebiha B. Amos	Sub-county Chief	Kyabigambire
13. Asaba M. Freddie	CDA	Kyabigambire
14. Katumise Elizabeth	HA	Kitoba
15. Faith Kirikarama	CDA	Kitoba

**Appendix 14:
Sub-county Workshop Moroto**

Appendix 14: Sub-county Workshop Moroto

27 February 1998

1. Comments on the institutional mapping

At the S/C level, WES activities are in the hands of the S/C Chief, the HA and the CDA, where the S/C Chief coordinates. This team solves problems as much as possible, or passes them on to the district when they don't have the capacity. The S/C Chief reports directly to the CAO, who coordinates with the WES team, consisting of the DHI, DCDO and the DWE. The CAO can also contact/contract the Cooperation and Development for Uganda or the LWF.

The S/C Chief is also in a position to report problems to the elders, who then take issues up with the users, caretaker or others.

Schools are linked to the S/C Chief.

2. SWOT analysis

Programmes on water supply and sanitation in Moroto include: WES (starting), GWEP, LWF (more than 26 years), Cooperation and Development (Italian Aid), KPIU (dams, not really taken off), and the DWD before WES.

For the SWOT analysis, the WES programme was compared with activities from the LWF and Cooperation & Development.

2.1. Strengths of WES

- ◇ Provision of logistical support to extension workers (e.g. transport in form of bicycles)
- ◇ Targeting the communities at grassroots level
- ◇ Holding seminars at community level, capacity building
- ◇ Drilling boreholes, just starting
- ◇ Workshops at district and S/C level, although not yet sufficient
- ◇ Making of slabs

2.2 Strengths of LWF/Coop. & Dev't

- ◇ Provision of spare parts and training to HP mechanics
- ◇ Targets communities at the grassroots level
- ◇ Drilling boreholes and assistance in maintenance (before the LWF maintained boreholes)
- ◇ Training of local women's groups, e.g. on food security and animals

2.3 Weaknesses of WES

- ◇ Poor start due to delays
- ◇ lack of appropriate transport; bicycles break down and are not sufficient to cover the complete area of a mobiliser

- ◇ lack of communication and coordination between higher and grassroots level (being the extension staff)
- ◇ WES not strongly rooted at grassroots level, not known, people are not well informed about WES
- ◇ WES has not yet started!
- ◇ WES conducted a planning activity at S/C level in 1997, but until to date no implementation (extension staff are told to wait)
- ◇ Funds were promised but not yet received, delays in implementation hinder implementation

2.4 Weaknesses of LWF/Coop. & Dev't

- ◇ No more training of HP mechanics and caretakers; the number of HP mechanics is not sufficient, which at times gives them a too powerful bargaining position
- ◇ Operating in small pilot villages, concentration areas, in a static way
- ◇ Lack of coordination with local leaders, local leaders not involved in decision making
- ◇ Sensitisation on the production of slabs, but no training on how to actually do it
- ◇ Concentration on water, no sanitation

2.5 Lessons learned/ideas

- ◇ Provision of adequate support to cover large areas
- ◇ Training of HP mechanics highly necessary
- ◇ WES should concentrate on smaller areas; the district can be divided into zones to assist WES implementation
- ◇ WES should start small scale to facilitate implementation and monitoring
- ◇ The district should come up with a WES plan
- ◇ Decentralizing WES activities at S/C level should be strengthened (no S/C is waiting for the district to act, and cannot do anything)
- ◇ WES needs more extension staff to cover larger areas

2.6 Obstacles

- ◇ Monitoring difficult because of the large area
- ◇ Some areas are inaccessible during rainy season
- ◇ Insecurity
- ◇ Famine, caused by semi desert conditions
- ◇ Community sometimes faces problems meeting the contribution
- ◇ Poor communication due to poor infrastructure, e.g. roads
- ◇ Negative cultural beliefs, e.g. the use of latrines affecting pregnancy
- ◇ Fear of the dangers of using latrines, e.g. the presence of snakes
- ◇ Rocky soils affect drilling, some borcholes dry out
- ◇ Women are not supposed to solve problems or contribute in meetings
- ◇ People are very mobile, latrines are less suitable

3. Evaluation of the workshop

3.1 Good

- ⇒ All was interesting
- ⇒ The workshop was very important
- ⇒ Lessons very interesting
- ⇒ More seminars needed
- ⇒ At least once a year
- ⇒ Workshop was participatory
- ⇒ Facilitation process allowed for participatory contributions
- ⇒ Good presentation and coordination of facilitators
- ⇒ Good facilitation (2 times)
- ⇒ Well understood and facilitation very active
- ⇒ Nothing bad (6 times)

3.2 Room for improvement

- ⇒ One day to short, 2 or 3 days needed (6 times)
- ⇒ Was on too short notice (2 times)
- ⇒ Time not observed
- ⇒ Should be conducted at least every six months
- ⇒ Requisition of some allowances (2 times)
- ⇒ Maybe some people did not follow well because of language

4. List of participants

- | | |
|------------------|----------------------------|
| 1. Atilyaun A. | CDA Lokopo/Lopee S/C |
| 2. Emudong S. P. | CDA Ngoleriet/Matany S/C |
| 3. Logwee J. | Ag. S/C Chief Rupa S/C |
| 4. Kinei C. | NA Nadunget S/C |
| 5. Lowapus P. | S/C Chief Nadunget |
| 6. Lokoumoe V. | HO Ngoleriet |
| 7. Pedo J. | CDA Loyome/Lorengdwat |
| 8. Marino G. L. | S/C Chief Ngoleriet |
| 9. Onyang J. | SHA/AHE Kangole |
| 10. Icuma T. | CDA nadunget |
| 11. Louko M. | S/Accountant Matany |
| 12. Iditemany V. | Field Officer Water Moroto |

Institutional mapping Sub County Workshop Moroto WES evaluation, Feb/march 1998

District	CAO Office	DMO	DCDO training extension workers and local administrators promotion implementation coordination	DHI carry out HE technical advise on health and refuse/faecal disposition	DWE coordination water issues to central and s/c levels handling BH major breakdowns processing water demands spare parts allocation funds	DHE	Cooperation and Development for Uganda
Sub county	LWF Extention Workers	Health Orderly	Sub county Chief mobilisation promotion ensuring implementation	HA H education initiation construction latrines, education on use and maintenance of latrines and hygiene	CDA mobilisation communities H education passing community needs to higher levels, link between communities and officials creating awareness and demand for WES	Schools sets examples on hygiene practices training of future generation on WES	BH Committee and hand pump mechanics
Parish	Parish Chief						
Village	Community	LC1	Users contribution of money selection of caretakers motivation of caretakers and HP mechanics participation in pond maintenance identification and reporting of illnesses	WUC, BH caretaker and elders maintenance of BH or well collection of resources for new water sources			Water Source committee

Appendix 15: Sub-county workshop Ntungamo

Appendix 15: Sub-county workshop Ntungamo 9 February 1998

1. The institutional mapping

1.1 Overview of identified key actors

Village level	Chairperson LC 1* Water Source Committee* Beneficiaries* Water fundis*
Parish level	Chairperson LC II Parish Chief*
Sub-county level	Chairperson LC III Sub-county Chief* Water Committee* Health Committee Community Development Assistant* Health Assistant*
District Level	District Water Officer*
Other key actors:	Religious Leaders, Teachers and Members of Parliament

* Note - Nine key actors mostly involved in WES

1.2 Roles and Responsibilities of key actors

Key Actor	Roles/Responsibilities
Water Source Committee	Identify water sources Mobilise local materials Provide unskilled labour Ensure day to day maintenance
Chairperson LC I	Community mobilisation Conduct LC I Water Meetings Settles disputes over land Set water bye laws at LC I level
Water fundis	Carry actual construction Carry out actual repairs
Beneficiaries	Participate in actual construction Collect local materials for construction
Parish Chiefs	Implement Government policies such as obligation to construct latrines Conducts Supervision (of all staff and communities) Enforce bye laws Mobilises communities
Health Assistant	Provides Technical advice Supervises construction and maintenance of WES facilities Carry out Health Education Implement Government Policies Mobilises communities

	Carry baseline survey together with Health Assistant
Community Development Assistants	Mobilises Community Implements Government policy Conducts baseline surveys Supervises construction and maintenance of WES facilities
District Water Officer	Supervises Water Field (Extension) staff in construction of WES (Water) facilities Carry out training (capacity building) at lower levels

2. The SWOT analysis

Strengths, Weaknesses, Opportunities and Threats of South West Integrated Project (SWIP) and Water and Environmental Sanitation (WES)

2.1 Strengths and weaknesses

SWIP	WES	SWIP	WES
Adequate facilitation towards allowances, materials etc.	Community participation emphasised	SWIP was over-centralised (approval and materials in Mbarara)	Poor facilitation for programme implementation
Combined delivery of services with integrated supervision by various SWIP implementors	Community Better sustainability as institutions like sub-county are stronger	SWIP provided too much hence less community sense of ownership	Poor coordination among WES implementors at district and lower levels
Encouraged participation of people	Introduced GFS which serves more communities		WES implementors work top-down (delivery of materials to villages which may have not prioritised WES) and over concentration of springs in some areas
SWIP provided water supply technologies especially boreholes and spring protection	More emphasis on spring protection hence increased water supply to less fortunate and non-GFS areas	Boreholes were not durable and expensive to maintain (including repairs) as no spares for boreholes were provided	Over concentration of WES resources to the water sector
Introduced improved sanitation and demonstration WES facilities e.g.	Emphasis more hygiene e.g. clean containers and maintenance of		WES expects too much contribution and participation from communities

Demonstration VIP latrines, springs	water sources by communities		beyond community ability (e.g. buying cement by community, cost of transporting (buying) sand and stones, allowances to fundis
Clear workframe (18 steps to be followed (approach of bottom to top planning))	Emphasis on women participation in WES activities	The SWIP 18 step approach was long and hindered fast service delivery	
All materials were supplied by SWIP and community contribution lower		Provision and work by district officials (cement, blocks made by district etc.) resulted in less community involvement	WES implementors at district level have direct contact with communities and do not pass through implementors at lower levels
Well structured system of supervision		Community participation for women less emphasised	

2.2 Opportunities (Ideas)

Participants were divided into four groups and each group asked to suggest for ideas for future implementation of the WES programme. These were then presented in plenary and discussed and agreed upon as highlighted below.

- ◇ Inter-departmental collaboration among WES implementors needs to be activated and strengthened.
- ◇ A distribution of material working mechanism needs to be streamlined with a bottom-up approach being considered.
- ◇ All key actors at various levels need to be involved in all aspects of WES programme implementation;
- ◇ Supply of materials for WES activities be decentralised to sub-county level.
- ◇ There is need to strengthen implementation of WES through an integrated approach actively involving all sectors (departments) of WES;
- ◇ Follow up of activities in the district and lower levels by the Central Government needs to be strengthened;
- ◇ There is need to strengthen WES implementation through creation of sub-county WES committees
- ◇ Planning at sub-county level need to be strengthened and through development of sub-county action plans;

- ◇ Open independent offices for WES implementation at the national level ;
- ◇ There is need to carry out sensitisation of communities through seminars on community participation, functioning of the WES , collaboration with NGOs in light of decentralisation;
- ◇ Facilitation of WES extension staff should be given due attention.

2.3 Obstacles to implementation of WES

- ◇ Delay in release of funds and materials for WES implementation;
- ◇ Negative cultural values
- ◇ Lack of integration of WES by its' implementors;
- ◇ Political interference and influence affecting allocation of materials;
- ◇ Lack of accountability and transparency and hence corruption;
- ◇ Too much contribution from communities;
- ◇ Poor road infrastructure;
- ◇ Inadequate and qualified and dedicated staff (and other personnel e.g. Fundis and other skilled workers);
- ◇ Community not willing to participate and lack of cooperation;
- ◇ Ignorance by communities (beneficiaries);
- ◇ Low or inadequate remuneration of extension staff ;
- ◇ Delivery of different materials to be brought by communities (distributed among families) resulting in delays.

4. The role play

The participants were split into two groups. The first group was to compose a role play on the WES process while the second was assigned to write up the process as it would occur. The second group would be an audience to the first, compare the steps they have outlined and take note of various issues that would arise out of the play. These would form the basis for further discussion.

4.1 The steps in WES programme

1. Sensitisation of the local communities by CDA/HA
2. Identification of water sources by community
3. Extension staff together with water fundis identify and inspect water sources and form water source committees
4. HA with the Parish Chief and Water Source Committee meet the community
 - to identify sources of materials
 - to carry out sensitization on sanitation
5. Water Source Community through the Parish/Sub-county leaders requisition materials from the district
6. Community mobilises and provides local materials
7. District Officials (DWO, DCDO and DHI) inspect the water site
8. Delivery of cement, pipes, sanplats by the district officials to sub-county
9. Construction of spring starts
10. Supervision by CDA, HA, S-b-County Chief and district officials (DWO, DCDO, DHI)
11. Official recommendation to the district officials
12. Official hand-over

4.2 Observations

- ◇ The process was a top down. The CAO having received some funds from the centre invites the WES implementors. Most of this funds was for the water sector. Later on most of the planning was done by the DWO (while side lining the DCDO and DHI) and the DWO delivers materials directly to the communities without informing the other staff at lower levels.
- ◇ The CDO/CDA reports directly to the DCDO but not the sub-county chief
- ◇ Communities not willing to buy sanplats and as sanitation was not considered a priority
- ◇ sanitation technology was expensive for the community and raise in the price of sanplat was not explained to the community
- ◇ communities not aware of the procedures for requests and unclear procedures at village level.

4.3 Strengths of the role play

- ◇ CAO briefed DWO, DHI and DCDO on the new WES programme and its budget
- ◇ The DWO, DHI and DCDO briefed CDA, HA and Sub-county Chief about the WES programme
- ◇ The LC 1 at first played a consultative role to community but this changed later contrary and corruption was evident

4.4 Areas of improvement

- ◇ All key actors at all levels need to be informed and involved at all stages
- ◇ The need for transparency at all stages with delivery notes, letters (copied) reaching all important stakeholders
- ◇ District Steering Committee should plan and control the delivery of all materials
- ◇ There is need for improved coordination at district level

5. List of participants

- | | |
|-----------------------|---------------------------|
| 1. Mugisha G. | S/C Chief Rugarama |
| 2. Katwesigye Deus | CDA Rweikiro |
| 3. Bamwesigye George | CDA Rugarama |
| 4. Kakigume Amon | HA Kibatsi |
| 5. Twinobusingue Aida | CDA Kibatsi |
| 6. Bagumire Fabius | CDA Ntungamo |
| 7. Agaba Elias | S/C Accountant Ruhaama |
| 8. Twikirize John | S/C Chief Nyakyera |
| 9. Bampemukaluo J. | SHA Ruhaama |
| 10. Behunda J. B. L. | HA Kayonza |
| 11. Nabuloli Leah | HA Rweikiro |
| 12. Namara herbert | Mason Rwoko TC |
| 13. Mukile M. | S/C Chief Ntungamo |
| 14. Mugizi Charles | Chairperson Rweikiro |
| 15. Tibazimura Perez | CDA Nyabikoho |
| 16. Kato Eliakim | Head teacher Ruhaama |
| 17. Mpamizo Benon | S/C Chief Nyabikoho |
| 18. Shemereza Topher | ACAO Ruhaama |
| 19. Dwesiga R. Osugi | CDA Bwongyera |
| 20. Muyini Fred | Head teacher Rugarama |
| 21. J. K. Tinbukangwa | S/C Chief Rugarama |
| 22. Bamwine Vincent | S/C Chief Kibatsi |
| 23. Zamaari Pockus | HI Rubane |
| 24. Sandi Stephen | HA Nyabikoho |
| 25. Muhwezi Ephruin | Head teacher Nyabikoho |
| 26. Kyarimpa Lydia | S/C chahier Nyabikoho |
| 27. Kageba Ambrose | LC 2 Chairperson Ntungamo |

**Appendix 16:
Sub-county Workshop Rakai**

Appendix 16: Sub-county Workshop Rakai

19 February 1998

1. Discussion points Institutional mapping

- ◇ Reporting is done from LC1 to LC 2, to LC 3, to LC 4 and finally to LC 5.
- ◇ The HA, CDA and S/C Chief coordinate and write reports jointly, which are forwarded to the DHI and/or the District Sanitation Officer.
- ◇ The focus of the WES programme is at the village level because that is where the actual implementation takes place, that is where WES can be seen.
- ◇ NGOs come in at the district level through the CAO

2. The SWOT analysis

2.1 Strengths of SWIP

- ◇ protection and drilling of water sources
- ◇ training extension workers at least every three months
- ◇ selection, training and sensitisation of WUC before drilling (boreholes)
- ◇ stronger on sanitation than WES
- ◇ SWIP was better able to reach the grassroots level (training at all parishes in the district)
- ◇ SWIP has tried to train some HP mechanics
- ◇ sensitisation of communities to open accounts for O&M of boreholes (precondition)
- ◇ staff motivated because of: sufficient allowances, transport and other facilities (gum boots, rain coat)
- ◇ sensitisation of people before any construction activity

2.2 Strengths of WES

- ◇ protection of springs (more than under SWIP) and shallow wells
- ◇ provision of safe water
- ◇ production of sanplats and slabs
- ◇ sensitisation of community on sanitation and hygiene, such as cleaning Jerry cans
- ◇ programme increases community participation

2.3 Weaknesses of SWIP

- ◇ boreholes of poor quality
- ◇ poor supervision of boreholes
- ◇ failure to train HP mechanics in some areas, which has caused some breakdowns
- ◇ after drilling no follow ups, also caused breakdowns
- ◇ community was less involved, e.g. no choice on technology
- ◇ protection of springs that were not reliable, this caused a lot of damage to the image of WES activities, although they were only incidental cases

2.4 Weaknesses of WES

- ◇ since 1995 no training on WES for extension workers
- ◇ no formation of WUCs
- ◇ low motivation of staff (facilitation, transport)
- ◇ lack of some materials (some pipes, pumps)
- ◇ WES is not known at grassroots level, people do not distinguish between SWIP and WES
- ◇ no focus on the O&M of protected springs
- ◇ supervision of the district level is inadequate
- ◇ extension workers in NGOs are much better paid than under the WES programme

2.5 Lessons learned and ideas for improvement of WES

- ◇ motivation of staff needed
- ◇ the facilitation and transport of extension staff should be given priority (more than the O&M of district transport)
- ◇ materials should be there
- ◇ WES should increase community involvement
- ◇ allowances should come down in adequate amounts from the district level to the people working in the field
- ◇ accountability and checks & balances should be focused on the district level
- ◇ the S/C should allocate a budget for WES, S/C Chiefs and Councils should take WES serious and should give priority to WES
- ◇ to balance community contributions, at least transport should be provided for by the district if asked for
- ◇ caretakers could be motivated through small contributions from the community, e.g. by giving that person gum boots and a rain coat
- ◇ the WES programme should have as its policy that only those communities are assisted that voice out a real demand for WES facilities; the communities should be obliged to apply for services; communities should come to the extension staff with their request, in written form; the requests should be filed
- ◇ Technology options should be clearly explained to the community in terms of advantages and disadvantages (contribution for construction needed, required O&M, cost for O&M)
- ◇ WES should have a radio or communication programme on what the programme does, and on the use of a protected spring
- ◇ women should be more involved in WES activities than men, because they are the main users of water; they should be given proper responsibilities; sensitisation should start at schools
- ◇ district officials should not go directly to communities to sensitise people, but through the extension workers
- ◇ sensitisation on sanitation and hygiene should be made a precondition for water supply, it should be a priority area
- ◇ extension workers should purposefully include women

2.6 Consequences of decentralization

- ◇ more development in terms of roads, district head quarters and a hospital
- ◇ supervision is easier, but supervision of the district level is too weak
- ◇ decentralisation assists communities to take decisions
- ◇ it increases transparency, every level knows what has to be done and what is there
- ◇ decrease in job insecurity, strong power of direct supervisors over placement and promotions of staff (position staff further weakened by many jobless colleagues)
- ◇ no longer possible to request for a transfer in case of conflict
- ◇ more political interference of people with less knowledge and experience on WES increases conflict situations

3 The role play

3.1 Observations

- ◇ the S/C chief was harsh to HA in public
- ◇ extension workers did not carry out a situation analysis
- ◇ the HA talked about protection without explaining the benefits
- ◇ the HA and CDA talked about the need to protect springs while the community had already voiced out the need for an improved water source, they did however not check if there was a real demand for water, or for something else (e.g. cement)
- ◇ the fundi or another expert could have been consulted on which materials were needed (although in case of a protected spring the HA also knows)
- ◇ the LC1 chairpersons did not give any opportunity to the community to express their views (time pressure)
- ◇ it was unclear who were the members of the LC1 Council
- ◇ the views of the women were not asked for when setting priorities
- ◇ water technology was not specified, it seemed to be decided by the extension staff
- ◇ the implications of the various technology options were not explained to the community
- ◇ the idea of forming a WUC was mentioned but not explained in more detail

3.2 Concerns derived from the role play

- ◇ processing demands
- ◇ institutions needed for WES management
- ◇ situation analysis
- ◇ technology choice
- ◇ gender sensitivity
- ◇ sanitation and hygiene

4. Evaluation of the workshop

Positive remarks	Room for improvement
<ul style="list-style-type: none"> * The workshop has been beneficial * The facilitators tried their best to cover all the things in one day, a big task * I have learned very good lessons, especially on sanitation, thank you so much * The workshop has broadened our minds about issues of concern which have been neglected unknowingly, so that we are going to improve on them * I liked your approach, everybody was able to participate (2 times) * You were very friendly and you have achieved most of our views * You have been good presenters, keep it up * Because we are people at the grassroots keep on calling us otherwise the top leaders deceive you * We have expressed our views freely without fear of our bosses, we all participated, we shared experiences from other areas * Good and lively; I have enjoyed it (2 times) * Nice comparison between SWIP and WES * I have gained some skills and knowledge in community sensitisation 	<ul style="list-style-type: none"> * Time was not enough, next time call us at least 3 or 4 days ahead (2 times) * Such workshops should also be extended to the lower levels, so that the grassroots community gets to know what is happening * Make sure that you invite all extension staff so that more views are generated, most S/Cs were not represented * There should be contacts with the rural communities concerned * The workshop was too short (4 times) * Do not forget telling the advantages and disadvantages of the workshop * We want you to fight tooth and nail to see that what we have discussed is seen, through your report, actually the grassroots members are extremely under-looked

6. List of participants

- | | |
|--------------------------|------------------------------------|
| 1. Kasibaute Willy | HA Byakabanda S/C |
| 2. Were Mwanda Titus | Teacher Byakabanda S/C |
| 3. Habukenya Faridah | NGO Field Assistant Byakabanda S/C |
| 4. Serei Detsru | S/C Chief Byakabanda |
| 5. Eugene Lubega Sempiro | AAO Lwanda S/C |
| 6. Kizito M. | CSA Kalisizo S/C |
| 7. Kaweesi Godfrey | CSA Lwanda S/C |
| 8. Samud Mugeny | CSA Lwanda and Kasasa S/C |
| 9. Sebuala Amis Drekson | HA Lwanda S/C |
| 10. Ssenkma Abbeys | HA Kasaali/Kabira S/C |
| 11. Kutudi Kiddu | S/C Chief Kasaali |
| 12. F. Kitsania | S/C Chief Lwanda |
| 13. Kayouoza G. | S/C Chief Kyalulungira |

Institutional mapping Sub County Workshop Rakai WES evaluation, Feb/march 1998

	Political	Administration		Private	
Village	LC1 leaders mobilisation local materials implementation monitoring			opinion leaders	
Parish	LC2 executives	Parish chief mobilisation enforce implementation evaluation and report	Community Health Worker mobilisation sensitisation monitoring		
Sub county	LC 3 executives	Sub county Chief implementation policy mobilisation organising funds	HA mobilisation supervision H/education	CDA monitoring sensitisation follow up coordination	
County		HI training comm. information follow up M&E	ACAO		
District		CAO accounting supervision administration	DWO provision materials coordination upper levels monitoring tech. advise	District Sanitation Coordinator sanitation coordination reporting	
		DHI coordination monitoring evaluation	DCDO supervision mobilisation administration	DEO	DMO
					NGOs

Appendix 17: Report Synthesis Workshop

Appendix 17: Report Synthesis Workshop

12 March 1998, Fairway Hotel, Kampala

1. **Welcome by PCU co-ordinator** on behalf of the Chairman PMT of WES Programme
2. **Welcome by Evaluation Team leader** and explanation of day programme.
3. **Presentation on the Evaluation Methodology** and the different steps followed (see also Chapter 2, Main Report)
4. **Presentation on the WES Context** (presentation and discussion); (see also chapter 3, Main Report)

5. **Presentation on: sanitation: the focus for WES**

Coverage: Low but increasing

Problems contributing to low sanitation coverage include a/o.:

low priority of Sanitation among the various actors, inadequate demand by household (users), nomadic populations, high water table, difficult soil conditions, termites attracting logs, cultural belief and negative attitudes, costs implications and inconvenience of use (e.g. pregnant women).

Promotion: The promotion of sanitation will be enhanced by increasing the available technologies. The link between facilities and behaviour need to be strengthened; Promote Sanitation in smaller Units" Concentration areas and move on to new areas"; Improve capacities of extension staff (number, skill, attitude, logistical support), e.g. One CDA and HA per Sub-county; Focus on gender and participatory methods in Capacity building.

Schools: The Construction of latrines in schools ongoing. This creates a positive habit (behaviour) of safe excreta disposal. (Note -if poorly kept school latrines can be a source of contamination and spread of disease).

The impact on sanitation due to school curriculum is not sufficiently known, only that pupils have some positive effect on their families. Pupils wash hands (carry water from home) as there are no permanent hand washing facilities. Adding soap to the water ensures that the same water is not used for drinking.

Policy: There is need to clarify the policy on sanitation and increase resource allocation.

Policies exist (draft) but require to be translated into practice (action).

Securing political support at all LC levels in line with The Kampala Declaration will greatly enhance the profile of Sanitation.

Points form the discussion:

- What can be done about shortage of CDA's and HAs?
- How do recommendation fit into resource envelop?
- What other sanitation issues were looked at apart from latrines?
- Rank recommendations according to priorities?
- What is the magnitude of the problems of sanitation?
- What did your hand washing definition include? soap/ash?
- How can the use of children be improved in hygiene promotion?
- Which Policies have been approved; all are drafts; no San. Policies have been passed.

- Qualify latrine coverage to include use, maintenance, appearance
- Need to take poverty into account
- Need to look at project design and limitations of WES, support, policies adequacy
- Recommendation on NASIP and WES
- Suggestion for appropriate Sanitation technologies for sanitation problems
- Kampala declaration any effects?
- Include bylaws that were seen
- More on way forward on sanitation
- Staffing position
- Promotion of sanitation communally?
- Too high profile given to cultural beliefs
- CBOs/NGOs in sanitation?
- How do sanplat promote latrine coverage?

6. Presentation: Towards sustainable water systems

Definition: Sustainability entails a systems that functions and provides the user with the desired level of service at a cost/inputs the user can afford.

The factors influencing sustainability include:-

Technology options: The technology options offered by the WES Programme are generally affordable and O & M costs are low. They provide a level of service that can be upgraded as the need for higher level increases. Choosing Technology Options: The users (community) currently have little input in the choosing of technology options. It is assumed that communities are not capable of making 'diligent' inputs with the process.

Organisation for maintenance: Community Based Management Systems advocated. WUC/WSC need to support to develop clear guidelines "Bylaws" on the ownership (Real or assumed", Roles, Responsibilities of the Chairman, Secretary, Treasurer, the Committee, the Users; accountability requirements, communication Channels between committed and Users. The linkages between the water committee and the LCI.

GFS require more elaborate management organisation.

Support Mechanisms: The District and the sub-counties have a role to play in supporting CBMS and hence the sustainability of the systems. Districts should allocate some "seed" money for major repairs/rehabilitation. The sub-counties should also provide funds but also do regular support to WUC/WSC, especially, the CDA/HA should be co-opted members of the WUC/WSC in their sub-counties. The private sector e.g. HP Mechanics and availability (Physical access) of spare parts must be ensured.

Operation and Maintenance: Routine maintenance is sadly missing. Caretakers have neither the skills nor the prerequisite attitude for preventive maintenance. Major repairs will sometimes need inputs from district and sub-counties. The borehole maintenance unit (BMU) are largely in operational for lack of adequate support. This should be assessed with a view to privatise the operations. Regular maintenance should be paid for by the user community seeking the services from a private handpump mechanic.

Ownership: Whereas the ownership of water resources and related developments is vested in DWD, mechanism need to be put in place to delegate some of the 'Ownership' rights to the user community. The DDA enhances the commitment to ownership, however in applying the DDA note must be taken of equity and the WE Programme Capacities. Legal issues re-ownership including land ownership where the facilities are located, evidence of ownership

(Certificates, etc.) and clear definition where such ownership can be vested e.g. at the Parish Chief Level or Sub-county Chief Level or a combination/Joint Ownership among these two offices.

Finance: These play a crucial role in the sustainability of water systems. Capital contributions are paid largely due to the condition upon which a community receives a facility. However, O & M costs are difficult to access as communities are not willing to pay user charges or fees, preferring ad hoc contributions as and when the need arises causing prolonged downtime when the facility breaks down. Support in this area is totalling lacking, and requires urgent costs attentions.

Replacement costs: Normally replacement costs come at the end of the useful life of a handpump. Without regular user fee/ charge communities find difficulties raising substantial sums when replacement is required. The practice has been to call upon the district to assist. With strengthening payment of user charges/fees, savings must be made for replacement costs.

Points from the discussion

- Why water and not sustainability of sanitation
- Recommendation Director RUWASA: Draw a few lines on how to operationalise the idea of linking the promotion of facilities with behaviour. The skills and materials of UNICEF should be used.
- Private sector no large conglomerates, more individual HPM and stock keepers. Critical number of pumps is needed.
- Difference between focus WES and Focus on CBMS in evaluation not clear, no what have you been focusing?
- LWF is providing spare parts, good, development, WS can lack ink how to support and guide these developments.
- Most issues raised in presentation are symptoms, What are the problems and to what degree?
 - Culture that is not used to writing down.
 - Most WES activities end after construction usually only one training for will and caretaker.
 - UDA can give follow up guidance, learning by doing (no training sessions).
- How is the balance between WES and private sector. Why does it take WES so long to get BH drilling privatise?
- WES plans to privatise drinking by the end of June, 98 (very weak excuses Jan, may be good to make this question a point in the report)
- Private sector seems eager to move into drilling.
- We were lost in Ac process of going down to the district level? How do we ensure ownership, especially on BHs. Share experience from Kenya.
- Increase in coverage can not cope with separation growth, because implementation is small and systems break down.
- Ownership various sometimes communal pressure supports ownership.
- Need to balance the demand driven process and actual activities taking place, the process is now delaying us, how can we become more pro-active. Process takes a lot of time. One dilemma is explaining DDA takes a f time.
- Strength communication package on explaining and how to implement.

- Ownership between, some are privately owned, but number is low. demand water exceeds resources, how can we address this issue.
- Towards sustainable W/S, why not say towards W/S and sanitation (Lloyd). Give more ideas on how will can be made more sustainable. Give a clear definition/description of the private sector as you see it in the context of WES.
- On Sustainable of WUC: better gender balance in terms of number and functions women wishes WUC, gender balance in decision making.
- We need clear recommendation on this issue especially BHs, how are we going to make systems sustainable.

7. WES as a mainstream programme

Main issue was:

Has the WES Programme supported by GoU and UNICEF become a mainstream or umbrella programme for all water and environmental sanitation projects in Uganda?

Issues raised:

- Components of the WES integrated programme
- The institutional framework in the WES Programme
- Weak elements in the institutional framework needing strengthening
- Framework on water and environmental sanitation developed by WES
- different donor-supported integrated projects

Points from the discussion

- MOF, MOLG, MPED not represented in this meeting.
- MOE left out as IMSC member
- Component Management Team comes under PCU important structure. Includes more actors (MNR, MOH, MGCD UNICEF).
- Should PCU be dismantled? The idea exists to dismantle PCU and allocate responsibilities directly to Ministries - More resources available, no identification of one person only, programme will be seen more as one of the activities of the Ministry.
- Pool resources of Ministries, use staff, tasks PCU to Ministries.
- Increase commitment PMT, related to resources available for involved ministries.
- PCU has a role to play, especially support suspension to district, strongly voiced need by districts regionalisation of PCU which may also increase commitment staff of ministries at national level.
- We expect PCU to do many things yet above PCU are very heavy structures.
- Clarify WES programme vs. WES strategy
- Clarify on regionalisation vs. mainstreaming; add other alternative recommendations
- Look at WES as a sector.. formation of a WES AUTHORITY?
- Do we want WES as a sector or as a strategy?
- CMPT omitted?
- Development budget to be decentralised in next 2 years, implications for recommendations? structures may change. Need for contingent plans
- How do the districts and committees see WES as a main stream programme?
- DSC abolished.. may lead to disintegration? Acts as mini PCU?
- What's the alternative if abolish DSC

- Can anyone run WES programme? Admin vs. technical ACAO vs. DWO/DHI
- RUWASA: DISTRICTS select co-ordinator not necessarily CAO or ACAO but if another all are responsible and accountable to CAO.
- Need for a strong analysis of task, responsibilities and consequences of mainstreaming. National level institutions should no longer function as a black box.
- Which sectoral committee does WES fall under? and its implications? =works, health, community based services
- Include NGOs in DMT

OTHERS

- Distinguish between WES programme and UNICEF,.
- Use of Mid term review, should be use WES evaluation
- Need for an Executive summary and summary of Key findings and recommendations

8. Group discussions

Purpose: To analyse further the findings, conclusions and preliminary and recommendations.

* Group 1: Institutional Issues.

- (1) How can co-ordination among the various actors in the WES Programme be improved.
- (2) Identify the major obstacles for effective supervision and support in WES and give suggestions on how to overcome these.
- (3) What are the weakness in Financial Management at the various levels, and how can these be strengthened.

The Group came up with the following suggestions to each of the areas above:

(1a) Improvement of co-ordination among the various actors in the WES Programme

- Improve facilitation and motivation.
- Set up Desk Officers in respective line ministries.
- Accelerate Privatisation of Construction activities.
- Encourage feed back from centre to districts.
- Stop procurement of all construction materials for activities to be contracted out for construction.
- Introduce and enforce letters of understanding (LoU) among and between the various actors and levels.
- The WES Programme as supported by UNICEF should concentrate in fewer districts.
- The Government of Uganda shops around for additional donor support on the sector.

(2a) major obstacles for effective supervision and support in WES and suggestions to overcome these.

- Separation of roles and clarify responsibilities.
- Increase supervision and guidance.
- Enhance and enforce accountability.
- Improve facilitation at all levels.
- Regionalisation of PCU to include Directorate of Gender.

* Group 2: Demand Driven Approach.

- (1) How to Implement the Demand Driven Approach in the WES Programme.
- (a) **Basis for Demand Driven Approach.**
 - # Increase Internal resources within users community for capital and O& M Costs.
 - # Enhances the Management of facilities at the lowest Appropriate level.
 - # Increases commitment and sense of ownership.
 - # Ensures to large extent proper O & M.
- (b) **Working Definition:**
 - # Motivated, sensitised community make informed choices according to available options/costs/resources.
 - # Requests reflecting Gender concern.
 - # Willingness to contribute to capital costs and pay for recurrent costs (O& M).
 - # Clearly defined and Workable guidelines for extension staff.
 - # Criteria for responding to demands (negotiations)
- (c) **GAPS in DDA:**
 - (i) Understanding the Concept.
 - # Insufficient Political Support.
 - # Inadequate Common Understanding of DDA by extension staff.
 - # Lack of clearly defined guidelines/manuals on DDA from the National level to the District and lower levels.
 - # Fear to loose power especially National, District levels.
 - # Fear that DDA will not work (equity advocated).
 - # Reluctance to change.
 - # Unsure (lack of confidence) how much commitment to DDA exists at National level.
 - # Mixed messages emanating from National/District levels.
 - (ii)
 - # No system in place.
 - # No system in place to enable DDA take route.
 - # No clarity on who (political/Technical/Administrative) makes decision about what and subsequent feedback to the various levels.
 - # Political, Social, Technical overlap confusing expectations, requests and requirements.
- (d) **Recommendations.**
 - # Develop simple guideline on DDA and how to implement it.
 - # Produce and promote information materials that can be used at national, district, sub-county and village (user) levels e.g. on unit O&M costs at the various technologies.
 - # Orientation and sensitisation at all levels.
 - # Secure commitment to DDA from all actors/levels.
 - # Review regular on progress and adjust accordingly.
 - # Develop capacities at S/C level to support DDA after implementation especially for planning, Management and follow-up by user communities.
 - # Enhance the use of Participatory tools (training/materials).
 - # Devolve implementation to sub-county level and resource allocation/prioritisation to district level.
 - # Introduce and enforce checks and balances.
 - # For genuine DDA market sanitation to create demand.

GROUP 3: Sustainability of the facilities.

1. How can the CBMS be strengthened to increase the sustainability of water supply facilities?

2. How can the Promotion of Sanitation be involved?

(1a) Aspects of CBMS

- Strengthen the Water User Committees
- Improve physical access to spare parts and advise on costs
- Regular upgrading of skills for WUC (management skill) Caretaker (skills for Preventive maintenance, Handpump mechanics (skills for repairs)
- Support community through Community Workers (Health) to strengthen "Community Finances" especially putting into operation the concept of user charge (Note Examples from else where show that communities:-
 - * Can contribute at time of Harvesting crops
 - * Monthly flat rate
 - * Yearly flat rate
 - * Or agree on other terms that are applicable to the local condition e.g. Paying for water when collecting. This particular method complicates accountability a it if not practical (to issue receipts for every 20 litres or withdrawn).
- District/extension staff to guide communities on the "probable levels of O&M costs per year".
- Optimism use of the Private sector in the spare parts.
- Increase transparency and accountability (provision of support to develop, "community Bylaws" relating to the use and management of the water systems is an urgent need"
- Demand Institutional accountability.
- Many communities/users have "Apathy"
- Volunteerism (Caretaker, committees) not sustainable
- Provide for at District/Regional level for repairs that are beyond community level e.g. Physical access to heavy equipment and skills on cost sharing basis e.g. District, sub-county, community (users) pay proportionate to the costs.
- Sharing with other Programmes e.g. Ruwasa LWF, WATER, ACTION AID etc.

Q2: How can the promotion of Sanitation be involved

- Through school Sanitation Programmes Hygiene lessons incorporated in curriculum of Primary level.
- Provide facilities in scales thus creating a positive habit in school children using latrines.
- Take advantage of the Current Cholera Programme and keep the enthusiasm going.
- Diversify messages through Drama, Music, Radio, Print media (newspapers)on T.V
- Avoid promotion of technology at the expense of promoting safe excreta disposal e.g.. cat method where appropriate.
- Introduce sanitation into other Programmes e.g. Malaria Control, gender etc.

POINTS FROM PLENARY

Institutional issues

National

- people too busy, too many other activities, priorities are set according to who is paying most.
- people from gender do not feel involved. They are only called for meetings, no vehicles, no office equipment, no sitting allowance from WES programme
- they have money but they don't request for it. they make work plan. Phoebe does everything alone. No one specific allocated to WES programme =shortage of staff.
- Don't feel part of WES, PCU calls upon them to come and assist WES. They is no focal point. They feel marginalised in decision making on budget allocations. Gender should have a desk officer in the Ministry.

district -national

- no feedback on reports, work plans get changed without explanation
- new development is to give a budget ceiling and allow flexibility within that.
- imbalance in materials and money available: Luzira stores have supplies for non moving materials and fast moving materials like cement stores are not there.
- accelerate privatisation
- programme should stop procurement.
- team selects Chairperson DMT to co-ordinate activities reporting to CAO
- team building DMT
- people don't meet because they don't get allowances and there is no bus available .
- UNICEF should look for more than funding government.
- programme should scale down, otherwise it is only lip services
- roles accounting and supervision should be separated; PCU should work on supervision
- supervision should be facilitated at all levels, regionalisation and a 5th member to strengthen PCU

DDABasis of the DDA:

- ownership
- appropriateness
- use and maintenance

Working Def.: > sensitised community makes informed choices according to what is available options/cost/resources.

>Formal requests reflecting gender concerns

>communities should be willing to contribute to ensure response

>criteria for response to demand (negotiation)

We first have to establish a system, then we can implement.

Gaps

misunderstanding concept

people fear
that system will
collapse

mixed messages

people do not
know what to do

no commitment
among actors

no system in place

= no avenues for communities procedures
= decision making and practical commitment at parish and village level problematic cold
confessing

1. We have to understand concept
2. System to be developed
3. Implementation system.

1. develop concept
2. guidelines
3. production information materials
4. sensitisation at all levels
5. training and reorientation
6. extension staff must be involved in process who are willing to work/assist communities

at community level

1. map other participatory tools
2. design system to address distribution/allocation of resources in communities and in
procurements
3. Checks and balances needed for assess genuine demands
4. market sanitation to increase demand

Sanitation and Water

implement scaling down through DDA: districts can demand for WES support if they can put
in matching funds: LoU?:

Sanitation

- Take advantage of cholera
- Increase HE through drama, music, radio, TV
- reduce over fixation on promoting pit latrine, rather safe excrete disposal appropriateness.
- Finding is that poor people in dry areas are more willing to pay for water than rich
people who have alternatives. Thus DDA does not automatically marginalise the poor

Water

Aspects CBMS: WUC, Committees, access to spare parts, skills

- Break the public sector monopoly - liberalise sales of spares, regionalise supplies.
- provide information on cost and availability.

Organisational issues

1. Lack of transparency and accountability
2. Apathy - increase sensitisation
3. Voluntary nature - give in kind incentives.
4. Drilling - stream line co-ordination

Replenishment of skills

- Monitoring drop out (district)
 - Network among community workers
 - Train senior/Junior mechanics for capacity building.
 - Repairs beyond community
 - Cost sharing - D, S/C, C
 - Privatised
 - Regular user charge
 - Information sharing e.g. RUWASA & UNICEF
- * Clarify PCU do members include UNICEF staff?
- * BHs legally owned by director DWD - something should be done, e.g. LoU.

Appendix 18: Literature list

Appendix 18: Literature list

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