



Government of Uganda

Ministry of Water and Environment

THE DISTRICT RURAL WATER SUPPLY AND SANITATION CONDITIONAL GRANT BUDGET AND IMPLEMENTATION GUIDELINES FOR LOCAL GOVERNMENTS

NDPIII Programme Areas:

1. NATURAL RESOURCES, ENVIRONMENT, CLIMATE CHANGE, LAND AND WATER MANAGEMENT
2. HUMAN CAPITAL DEVELOPMENT
3. COMMUNITY MOBILIZATION AND MINDSET CHANGE

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Foreword

The Ministry of Water and Environment has developed guidelines to provide information about the sector conditional grants and to guide local governments in the preparation of local government budget estimates for the Water and Environment sector. The guidelines provide details of (i) the national policies for the sector, (ii) the role and mandate of local governments in the sector, (iii) an overview of central government grants to local governments, (iv) an explanation of how these are allocated to each local government, (v) requirements that local governments must follow when planning and preparing the budget; and (vi) guidelines to follow during reporting and accountability of the grant.

The Ministry wishes to bring to your attention that the District Water Office will remain the focal point office for the implementation of these Grants.

Starting with Financial Year 2022/2023, the conditional Development Grant for Water and Sanitation to Local Governments was sub divided into two components; (i) the Rural Water and Sanitation sub grant and (ii) the piped water sub grant which is support from the UglIFT program. The two sub grants will continue to be used to provide safe water and sanitation facilities to the communities in Rural Areas.

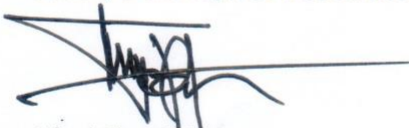
The Rural water and Sanitation sub grant will be used to implement appropriate water technologies at the discretion of the Local Government while the piped water sub grant will purely be used for the implementation of piped water technology only.

In light of the above, the Local Governments will explicitly be required to separate the investments implemented using the two sub grants.

These guidelines have been strengthened to enable Local Governments implement sound practices that minimize negative impacts on the environment, eliminate health risks and nuisances to communities where such investments are located. Relatedly, guidelines for addressing grievances encountered during the execution of Water Supply and sanitation services have been incorporated. All Local Governments are therefore encouraged to use these guidelines proactively during the delivery of Water Supply and Sanitation services.

My Ministry is therefore pleased to make these guidelines available for use by various stakeholders. They will enormously help and guide all the LGs mandated to deliver Rural Water Supply and Sanitation services to the communities.

I therefore urge all the Technical and Political Leaders to adhere to these Guidelines for optimal delivery of the required WSS Services to our Citizens.



Alfred Okot Okidi
Permanent Secretary

Abbreviations

AWP	Annual Work plan
BOQ	Bills of Quality
CAO	Chief Administrative Officer
CDO	Community Development Officer
DWO	District Water Officer
ESMP	Environment and Social Management Plan
LG	Local Government
MOLG	Ministry of Local Government
MoU	Memorandum of Understanding
NWR	Non-Wage Recurrent
O&M	Operation and Maintenance
PBS	Program Budgeting System
SAS	Sub-county Assistant Secretary
UGIFT-RP	Uganda Intergovernmental Fiscal Transfer Reform Program
WSC	Water and Sanitation Committee
WSS	Water Supply & Sanitation
o/w	Of which

1. GRANT INFORMATION

1.1 Structure and Objectives of the grants

The structure and purpose of the water and environment sector grants is summarized in the table below:

Grant	Purpose
Non-Wage Recurrent Grant	
o/w Rural Water and Sanitation District	<ul style="list-style-type: none"> a. Deliver sanitation and hygiene outreach and information dissemination around water points; operations of the district water office and community mobilization and sensitisation in water source development. b. To support community mobilization and capacity building towards maintenance of rural water sources by sub-county local governments.
o/w Natural Resources & Environment	Funds are meant for protection of natural resources, including forests and wetlands and monitoring compliance to Environmental and social standards in water source development.
Development Conditional Grant	
o/w Rural Water and Sanitation Sub Grant	Funds the development, rehabilitation and major repairs of rural water supply and sanitation infrastructure.
o/w Piped Water Sub grant	Funds development of piped water systems with not more than 100 connections.
Transitional and Support Services Grant	
o/w Support Services Non-Wage Recurrent - Urban Water	Funds the operation and maintenance of piped water systems in small towns within a district, bridging the gap between local revenue collection and operation costs.
o/w Transitional Development - Sanitation	This funds sanitation and hygiene activities in all the districts.

1.2 Linkage to the NDP III and expected Service Delivery Outcomes (Results)

In line with the National Development Plan 2021/22-2024/25 (NDP III) the water Sub programme efforts will be geared towards ensuring availability of adequate and reliable quality fresh water resources for all uses

Thus, rural water supply and sanitation falls under Human Capital Development programme.

Objective 3 under Human Capital development program is to improve population health,

safety and management. Under this objective, NDP3 sets out a 5-year target on water supply and sanitation as follows:

- I. Increase access to safe water supply from 70% to 85% in rural areas and from 74% to 100% in urban areas.
- II. increase access to basic sanitation from 19% to 40%;

Other programs linked to water supply and sanitation are:

- **Natural Resources, Environment, Climate Change, Land And Water Management:** Specifically under this program, NDP3 sets out to increase compliance to 80% by 2025 of water samples from water supplies and water collection points to national water quality standards.
- **Community Mobilization and Mindset Change**

Under Community Mobilization and Mindset Change, NDP3 sets out the target to increase the proportion of families, citizens and communities *informed* about national and community programs by 90% and also increase the participation of families, communities and citizens in development initiatives by 80%; critical under this is community participation in operation and maintenance of water and sanitation facilities.

1.3 Procedures and Guidelines for Allocating the respective Grants across LGs

The proposed grant allocation variables are outlined in the tables below. These are different for the three vote functions in recognition of the very different objectives they serve.

1.3.1 Allocation Formulae for Development Grants

The allocation formulae for the Development Grant-Water Supply and Sanitation has two components, namely;

- i) Component 1: Allocation based on a needs-based formulae
- ii) Component 2: Allocation based on the performance assessment results of the LG

The proposed water variables and weightings for use in the needs-based allocation formulae presented in the table below:

Table 1: Weighted Criteria for allocation of Development Grant

Variable	Weight	Justification
Fixed Allocation (District)	20	To provide a minimum investment allocation to LGs
Land Area	5	To cater for population patterns across the district.
Rural Unserved Population for SCs with Coverage below National 77 percent target capped at 50,000	25	A proxy for the need for services, with those with the lowest safe water coverage receiving higher allocations, prioritizing those LGs
Rural Population (including refugee	35	A proxy for the O&M requirements for existing facilities.

population)		
Poverty Head Count	15	Approximates need with high poverty levels getting a higher allocation.

3.1.2 Allocation Formulae for the Performance Component

An annual performance assessment will be conducted for each local government and the results therefrom will be used to allocate 50 percent of the development grant. The performance component of the allocation formulae will be computed as a % of the Minimum Conditions met multiplied by the results of the performance measures, divided by 100 and then weighted with the basic formula.

For the Non-Wage recurrent grant, the proposed water variables and weightings for use in the allocation formulae are presented in the table below:

Table 2: Weighted Criteria for allocation of Non-Wage Recurrent Grant- Rural Water and Sanitation District

Variable	Weight	Justification
Fixed Allocation (District)	43	To Cover the fixed costs of a District Water Office
Land Area (Hectares - Districts)	10	Land area increases cost of managing water services
Rural Population(including refugee population)	44	Main indicator of demand for water and sanitation services. The higher the population the more people demanding services.
Population in Hard to Reach Hard to Stay Areas (District)	3	To cater for the varying costs of delivering services in local governments which are influenced by their geographical size and terrain.

For **Natural Resources** and environment, the proposed water variables and weightings for use in the **allocation formula** are presented in the table below:

Table 3: Weighted Criteria for allocation of Non-Wage Recurrent Grant-Natural Resources & Environment

Variable	Weight	Justification
Rural Population(including refugee population)	63	The target population is in rural areas.
Poverty Headcount Ratio (District)	10	Approximates need with high poverty levels getting a higher allocation.
Population in Hard to Reach Hard to Stay Areas (District)	2	Those areas which are hard to reach are given priority.
Wetland Area	15	Land area is considered a proxy for the scale of natural resources management activities.
Forest Area	10	Forest area is considered a proxy for the scale of natural resources management activities

Allocations under the **support services grant** would remain ad hoc, and not formula based. The support services grant is currently comprised of:

Table 4: Weighted Criteria for allocation of Transitional and Support Services Grant

Item	Allocation Basis
o/w Support Services Non-Wage Recurrent - Urban Water	2022/2023 allocations
o/w Transitional Development - Sanitation	2022/2023 allocations

The above formulae will be phased in over the medium term. This formula itself and the **medium term allocations and phase in plan** for the allocation formulae is available on the budget website: www.budget.go.ug/fisca1_transfers. An individual local government's allocation can also be found on the site.

2. MINIMUM SERVICE DELIVERY STANDARDS/ CONDITIONS

There are two minimum service delivery conditions that are set out for all LGs to achieve in order to ascertain improved delivery of water and environment services these include;

- i.) Staffing Requirements in the Water and Environment Offices
- ii.) Environmental and Social Management Aspects

2.1 Staffing Requirements

Each DLG shall have an office allocated for District Water office staff and the minimum staff required in place include the District Water Officer (DWO), Assistant Water Officer Mobilization (ADWO Mobilization), Assistant Engineering Officer (AEO) or Borehole Maintenance technician (BMT).

For DLGs that have seconded the ADWO-Mobilization from the community department, the accounting officer shall be required to issue a deployment letter for the afore mentioned officer.

All DLGs shall be required to annually report on their staffing and ensure that the critical positions are duly filled up.

Wage provision have been made for 31 Local governments to recruit Borehole maintenance technicians to support the operations of the District Water Office.

DLGs that have been paying the District water office staff on contract for over 3 years are required to formalize the appointment of these offices to ensure that they are absorbed into the mainstream DLG system so as to be able to free funds to handle other activities.

2.1 Environmental and Social Management Requirements

In order to ensure climate resilient projects and protection of the environment against weather and climate change vagaries, LGs are expected to adhere to the environmental management guidelines. These guidelines when adhered to, clearly show the steps to be followed from inception to final completion of the development projects. Based on the above,

- a) DLGs shall ensure that environmental management safeguards that include climate change screening, producing an environmental Brief or conducting Environment and

Social Impact Assessment are carried out for all development projects using the 3% provision in the development grant guidelines and from the investment servicing costs as also stated in the water and sanitation development guidelines.

- b) DLGs are also required to acquire abstraction permits prior to commencement of the civil works for piped water supply projects that abstract water from surface or ground water sources
- c) For Borehole drilling, all Local Governments are required to use registered hydrogeologist, and drilling firms/ drillers with drilling permits who are registered annually by the Ministry of Water and Environment. The list of registered drillers and consultants can be accessed on the Ministry of Water and Environment website.
- d) DLGs shall ensure that quarterly and annual environmental management reports for the development projects are produced in time and shared with MWE quarterly.

3. NON WAGE RECURRENT GRANT

3.1 Budgeting for NWR Grant

In order to access the Non-Wage Recurrent (NWR) grant funding, local governments are required to adhere to a number of specific requirements relating to the budget allocation and utilization guidelines, these are highlighted below:

3.1.1 Use of NWR Grant

The NWR grant is intended to fund the following areas:

- i. Monitoring, management and administration of service delivery
- ii. Promotion of sanitation, hygiene and community mobilization (Higher Local Services).

The grant should be allocated as presented in the table below:

Table 5: Use of the Non-Wage Recurrent Grant

Area	Summary of Requirements
Higher Local Services (Promotion of sanitation , hygiene and community mobilisation)	<ul style="list-style-type: none"> • A minimum of 40% of the non-wage recurrent budget for rural water and sanitation should be allocated to: <ul style="list-style-type: none"> o Promotion of sanitation and hygiene o Mobilisation and promotion of community-based maintenance of water sources o Environmental and social safe guard activities • All LGs should make additional allocations in the development budget to sanitation activities
Monitoring, management and administration of	<ul style="list-style-type: none"> • A maximum of 40% of the non-wage recurrent budget of for rural water and sanitation should be allocated to: <ul style="list-style-type: none"> o The operational costs of District Water Offices o Coordination activities o Routine monitoring of water sector activities

Area	Summary of Requirements
service delivery	<ul style="list-style-type: none"> Overall wage, non-wage recurrent and development management, monitoring and administration of service delivery should not exceed 14% of the sector recurrent grant and GoU development budgets combined.

3.1.2 Minimum Service Delivery Standards

- Proof of ownership of land or consent for offer of land (e.g. land title, agreement, formal consent, MoUs) and ensure that there is no encumbrances for any planned WSS projects.
- Proof of community contribution to the projects as per the sector guidelines.

3.1.3 Approach to transition and integrate NGO refugee facilities into the LG service delivery system.

Uganda has thirteen (13) officially recognized Refugee host Local Governments; Yumbe, Arua, Adjumani, Isingiro, Kamwenge, Kikuube, Kyegegwa, Kiryandongo, Lamwo, Koboko, Moyo, Tergo and Madi Okollo that are expected to carry out transition planning and integration of NGO refugee facilities into the LG service delivery system.

Transition planning under the refugee host communities under the water and environment refers to the process of Government/LGs taking over the management and ownership of the water, environment and sanitation facilities established in the refugee camps. The transition process will entail a detailed plan on how the transition will be done, when the transition will be done from start to end and how much it will cost for the transition process to be completed and who is involved.

Therefore, annual Work plans of all the thirteen (13) Refugee hosting LGs must include costed and integrated refugee response and transition plans for Water and Environment.

Each LG must clearly indicate the following;

- An inventory of all water schemes run by partners
- schemes to be transferred to LG management by year
- transition costs,
- set out planned sector investments from major on and off budget revenue sources

3.1.4 Incorporation into the AWP and Budget (performance contract on PBS)

DLGs are required to ensure that community mobilization activities intended to ensure that: i) communities participate actively in WSS activities; ii) construct/improve household sanitation and practice proper hygiene behaviors; and iii) properly manage constructed water and

sanitation facilities for a given financial year, are incorporated in the Annual Work Plan¹ and Budget allocation in the Program Budgeting System (PBS).

3.2 Implementation Guidelines

This section provides guidelines for implementing WSS investments:

3.2.1 Procedures for mobilization of beneficiaries

Prior to commencement of construction of WSS facilities, LGs are expected to mobilize and sensitize beneficiary communities on the water supply, hygiene and sanitation interventions to be undertaken and the requirements they are expected to fulfill to obtain rural water facilities and the various software steps.²

3.2.2 Procedures for monitoring and/or inspecting facilities

Each LG is expected to monitor all the water supply and sanitation facilities under jurisdiction of the district local government **at least once quarterly**. The key areas to be monitored include:

- i) functionality of water supply facility and public sanitation facilities;
- ii) functionality of Water & Sanitation Committees;
- iii) compliance to environment and social safeguards, among others.

The checklists to be used for monitoring of WSS facilities are:

- Form 1: for monitoring of new water sources and those missing in the MWE database;
- Form 2: to provide comprehensive data on piped water schemes
- Form 4: to provide data on functionality of all point water sources and their management structures.

¹ Refer to format provided for in the Local Government Development Planning Guidelines (Appendix 6), issued by NPA to LGs

² Refer to the Community Management Extension Workers' Handbook and Software Steps for guidance on awareness creation, capacity building, and provision of services and follow-up of communities in the water and sanitation sector.

4. DEVELOPMENT GRANTS

4.1 Budgeting for Development Grants

The District Water and Sanitation Development Grant is divided into two sub grants ; Rural Water and Sanitation Sub grant and Piped Water Sub grant.

In order to access the development grant funding, DLGs are required to adhere to a number of specific requirements relating to the budget allocation and utilization guidelines, these are presented below:

4.1.1 Use of Development Grant

With the New Policy shift that speaks to the new strategic direction taken the Ministry of Water and Environment; to move from construction of point water sources to construction of piped water systems, DLGs shall be expected to annually implement investments in line with piped water. Each piped water system should target not more than 100 connections because of the cost implications.

The DLGs shall also carry out construction of point water sources where the piped water can't be implemented as well as sanitation facilities. Rehabilitation of the broken down water sources should be an area that the DLGs should put emphasis using stainless steel materials as recommended by MWE.

The Sub Grant should be allocated as follows;

Table 6: Use Development Conditional Grant

Area	Allocation of the Rural Water and Sanitation Sub grant	Allocation of the Piped Water Sub grant
New capital developments that includes water and sanitation facilities	Minimum of 65% of the Rural Water and Sanitation sub grant (of which 3% is for catchment and source protection)	Minimum 85%- is used for Well development and construction of piped water systems (of which 3% is for catchment and source protection)
Rehabilitation of Water Facilities	Maximum 25% of the Rural Water and Sanitation sub grant	N/A
Investment Servicing costs	Up to 10% of the Rural Water and Sanitation sub grant environmental and social safeguards, designs and feasibility studies of piped water supply systems and land compensation	Up to 15% (this includes costs for environmental and social safeguards, designs and feasibility studies of piped water supply systems)

The table below provides an indicative list of **capital investments and other development activities** which may or may not be funded under the sector development budget from central government grants:

Table 7: Indicative List of allowable eligible and ineligible activities/ items under Development

Area	Indicative positive List (Eligible items)	Indicative Negative List(Ineligible items)
<i>Capital Investment</i>	<ul style="list-style-type: none"> • Water sources/points: <ul style="list-style-type: none"> ○ protected springs; ○ boreholes (hand pump, motorized) ○ piped water supply system (GFS, borehole pumped, surface water) ○ communal water harvesting systems • Public sanitation facilities & Handwashing facilities • Sewerage disposal facilities 	<ul style="list-style-type: none"> • Household toilets • Household water harvesting systems/tanks; • Drainage/storm water drains • Cross-district piped water systems • Valley tanks/dams • Household Hand washing Facilities
<i>Development Activities</i>	<p>Water & Sanitation</p> <ul style="list-style-type: none"> • Training Water User Committees for any water investment funded by the DDEG • Awareness raising in hygiene and sanitation <p>Natural Resources Management</p> <ul style="list-style-type: none"> • Restoration of degraded wetlands and forest reserves • Demarcation of wetland and forest reserves boundaries • Demonstration of wetland edge gardening, apiary farming, cottage industries from waste products such as cups from clay, crafts from papyrus, craft houses and community training centers, pottery groups • Training in environmental best practice (e.g. energy conservation, tree nursery establishment) • Other awareness campaigns and sensitization on environment and climate change activities • Surveying and titling institutional land • Land rights awareness training 	

4.1.2 Minimum Quality Standards (Infrastructure Standards)

All WSS facilities to be constructed and/or rehabilitated should comply with the minimum quality infrastructure standards presented below:

4.1.3 Construction standards

All water and sanitation facilities should be implemented following the water and environment sector guidelines/standards.

4.1.4 Water Quality testing

- i) All water supplies should have water quality complying with national standards for drinking water.
- ii) All DLGs that do not have water quality testing kits shall be required to purchase. The budget for the Water Quality Testing Kit can be included in the grant and this is to ensure the minimum acceptable standard of safe water supply to communities.
- iii) DLGs shall be required to test at least 20% of the already existing (old) water sources across the LG annually. However, **all** the new sources must be tested to ensure that the water being supplied is fit for human consumption.
- iv) The results of these tests are expected to be submitted to MWE clearly showing the parameters tested and the results

4.1.5 Quality of the pipes/construction Materials for Boreholes

All boreholes fitted with hand pumps should have a minimum yield of 500litres/hour. There has been concern pertaining the lifespan of boreholes being drilled and rehabilitated across the country. This has to do with the rampant breakdowns because of the use of GI pipes by the DLGs. This practice had escalated the costs of repairing the boreholes. Therefore, LGs should completely discontinue the use of GI pipes and concentrate on using stainless steel/uPVC for both rehabilitated boreholes and newly drilled boreholes.

4.1.6 Operation and Maintenance Arrangements

DLGs are expected to establish Operation and Maintenance Arrangements for all the water supply and sanitation infrastructure constructed. These O&M arrangements are clearly stipulated in the National Framework for Operation and Maintenance of Rural Water Infrastructure in Uganda. These can be accessed from the ministry of water and environment website.

4.1.7 Designs for the construction of piped water supplies

All piped water supply systems being constructed in the DLG must have Approved engineering designs. Approval of the designs of the piped water systems must be sought from the Ministry of Water and Environment.

DLGs are expected to plan the design of these systems not less than a year before planned implementation such as to allow sufficient time for approval processes to take place.

4.1.8 Maintaining the Assets Register

LGs are required to maintain an updated WSS assets register covering details on water infrastructure, buildings, vehicles, computers, printers, furniture, among others, as per the format prescribed in the Accounting Manual. Also, to facilitate prudent management of the stock of assets and investments, DLGs should make use of their Board of Survey reports to inform decisions on asset management e.g. the choice to procure new assets, to dispose old assets and the priority for this.

5.0. Principles for selection and prioritization of investments (including access to land)

5.1 Prioritization of investments

During the allocation of the water grant, LGs should prioritize water supply investments for:

- i) sub-counties that have water coverage rates below the district average;
- ii) provision of water to seed schools and health centre III that have been upgraded; and
- iii) Villages without safe water source
- iii) rehabilitation of non-functional water facilities.

5. 2 Provision of Water to Schools and Health Centres.

With the additional financing to the water and environment grant coming from the UGIFT program, as a complementary service to Health and Education sub programs, all DLGs shall be required to provide water to the seed schools that are being constructed and the Health Centres III (HCIII's) that are being upgraded from Health centre II and the surrounding communities.

5.3 Land Ownership

Before commencement of construction works, LGs should have proof of land ownership or consent of land offer (e.g. land title, agreement, formal consent, MoUs) and ensure that there are no encumbrances for any planned WSS projects. In addition, land for piped watersupply systems(major installations) should be acquired in the preceding financial year with evidence of consent or land agreements from land owners or estate administrators.

5.4 Conducting Desk and Field Appraisals

Prior to commencement of construction of WSS facilities (November of each Financial Year), LGs should conduct a desk and Field appraisal.

a) Desk Appraisal

The desk appraisal is intended to determine whether:

- i. The proposed investments were derived from the approved LG Development Plan and included in the AWP and budget of the LG
- ii. The prioritized investments are eligible for funding as per the sector guidelines
- iii. Financial feasibility-checking the cost of the proposed investments against the Water grants available to the LG in the financial year (and realistic projection if phased in a multi-year manner)
- iv. Project profiles for the proposed investments, with costing have been developed as per the LG planning guidelines.

b) Field Appraisal

LG Planners and District Environment Officers should undertake field appraisals. The field appraisal entail visiting the areas where the proposed investments are to be located and examining them against the following criteria, short of which they do not qualify to be constructed:

Technical feasibility-this involves checking among others, whether:

- i. The proposed investment aims to satisfy the needs envisaged at conception
- ii. Whether the proposed WSS investments can be delivered using the available materials whether in the locality or the market within the budget resources provided.

*Environmental and social acceptability*³ screening checklist which includes:

- i. Environmental screening and proposed mitigation measures for identified risks by the LG Environment Officer involving:
 - Project site selection-involving checking if the generic designs for WSS investments must be customised to suit site conditions
 - Planning and screening (including screening for climate change)
 - Preparation and implementation of Environmental and Social Management Plans
 - Waste management in an environmentally safe manner
 - Scope for proper drainage of wastewater
 - Scope for protection of beneficiaries and catchment area from pollution
 - Feasibility for post construction sites management e.g. re-vegetate eco-systems

- iii. Social, health and safety screening and proposed mitigation measures for identified risks by the CDO and/or Labour Officer, involving:
 - Ascertaining land acquisition and proof of ownership, access and availability
 - Appraise if the target community are positively responsive to the proposed intervention (community engagement procedures were followed in selection)
 - Training of workers on health and safety
 - Social, health and safety reporting checklist for LGs completed.

6.0. Incorporation of investments into the AWP and Budget (performance contract)

LGs are required to ensure that the prioritized WSS investments for a given financial year are in the Annual Work Plan⁴ and Budget allocation in the Program Budgeting System (PBS). This is done by isolating out the identified priorities for the financial year that have been planned for from the LG five-year rolling-development plan.

6.1. Preparation of the Procurement Plan

Local government District Water departments are required to submit all their WSS investments and other procurement requests to the PDU by the **30th April** of the year the investments are planned to be implemented. This is to enable the LG Procurement and Disposal Unit (PDU) and the District Planning Unit PDU incorporate the requests into the LG annual workplan, budget and procurement plans.

6.2 Preparation of Bills of Quantities (BoQs) and standard bidding documents

The District Water Office will prepare the bidding documents by end of May of every FY, including development of evaluation criteria, bills of quantities and contract documents. LGs should ensure that the Environmental and Social Management Plans (ESMPs) are incorporated in the BoQs, bidding and contract documents for all WSS investments.

³ Refer to detailed guidelines on Environmental Safeguards and Social, Health and Safety issued by MoWE/NEMA & MoGLSD respectively; checklists for screening of subprojects for environmental and social safeguards

⁴ Refer to format provided for in the Local Government Development Planning Guidelines (Appendix 6), issued by NPA to LGs

7.0 GUIDELINES FOR IMPLEMENTATION OF INFRASTRUCTURE INVESTMENTS

LGs must follow the steps presented below during implementation of WSS investments:

7.1 Procedures for carrying out: Environmental, Social and Climate Change Screening or Environmental Social Impact Assessment (ESIA) and developing costed ESMP

LGs should undertake measures to avoid, minimize, rectify, reduce and offset environmental, social, climate change, health and safety (ESHS) risks and impacts. In case a project has serious environmental impacts, LGs should prepare costed Environmental and Social Management Plans.

Refer to the Simplified Environmental Guidelines to Local Governments for Strengthening Compliance with Safeguards in Development Projects (Dated November 2020).

7.2 Procurement procedures

LGs should follow the procurement procedures in the prevailing PPDA guidelines. The advert should be made in the end of the last quarter of the preceding financial year and contract awards should be made by 31st of October.

7.3 Composition and roles of the Project Implementation Team

LG Project Implementation Teams for WSS investments shall be comprised of: the Contract Manager who shall be the District Water Officer; (ii) the Project Manager who shall be the District Engineer; (iii) Clerk of Works; (for large projects such as piped water supply projects) (iv) Environment Officer; (v) Community Development Officer; and (vi) Labour Officer. The roles of the Project Implementation Team are:

- i. The Project Manager, shall be responsible for supervising the site at least at the key stages of works, prior to being considered for payment and issue payment certificates for satisfactorily executed works
- ii. the Contract Manager (i.e. the head of the user department for the District) has a major role to ensure smooth implementation of the WSS investments.
- iii. The LG Environment Officer shall ensure that the LG has proof of ownership or access of land by the LG for the investment and environment screening, as well as the proposed mitigation measures to minimize the negative impacts. Where ESIA/ESMPs are applicable, s/he is responsible to check that these are costed and incorporated into the designs, bidding, and contractual documents as per guidelines
- iv. The Community Development Officer, in close collaboration with the Environment Officer ensures social screening is done and requisite mitigation measures incorporated prior to commencement of all civil works; conduct support supervision and monitoring to ascertain compliance with ESMPs and provide monthly reports.
- v. The Labour Officer conducts support supervision and monitoring to ensure aspects of health and safety are complied with at WSS construction sites.

7. 4 Procedures for conducting site meetings

Site meetings shall be held monthly at the project sites. For the sake of multiple sites such as for those for borehole drilling, site meetings shall be held at any of the active drilling sites.

Local governments should constitute a project site committee for each WSS investment, chaired by the CAO and comprising the Sub-county Chief (SAS), the designated contract and project managers and chairpersons of Water & Sanitation Committees. Monthly site meetings should be held with all key stakeholders including LCIII chairperson, LC1, parish chief, and area councilor. The supervisor should always prepare minutes of site meetings and the minutes should be shared with all the participants.

The contractors should be represented by a capable member of their team.

A minimum of three site meetings shall be conducted, the inception site meeting, intermediary site meetings of which the number of meetings shall depend on the project duration and the final site meeting. During the site meetings, the contract manager and the contractor shall update the meeting about project progress in terms of quality, time and scope of works. During site meetings, physical verification of works shall be conducted.

7. 5 Procedures for supervision of WSS projects including ascertaining compliance to ESMPs

For the case of springs and public sanitation facilities, technical supervision should be undertaken at least monthly, by the relevant technical officers including the District Water Officers, LG Engineers, Environment Officers, and Community Development Officers and Labour Officers, among others. Supervision and monitoring reports should later form part of the agenda for site meetings. The purpose of construction supervision shall be, among others, to ascertain compliance with the following:

- i. Technical Requirements: conformity to technical designs; conformity to the required specifications; timeliness; and cost control
- ii. Environmental guidelines: e.g. Proper siting and location of water and sanitation facilities so as not to affect environmentally sensitive locations (e.g. pit latrines should be located at least 100 feet away from the source to avoid contamination of underground water)

For the case of pumped water supplies and for some GFS supervision of construction is contracted out to a private consultant. The DWO is responsible for managing supervision contracts.

Social safeguards: schedule transporting of materials and other noisy activities outside beneficiary community active hours to minimize risk of accidents, road dust and traffic noise at the sites; HIV awareness within the surrounding community and workers; all workers should have appropriate safety gear and latrines should be safely dug on firm ground.

7. 6 Procedures for Certification of Works/ Services/ Supplies

DLG Project Managers should check that works/Services/ Supplies have been completed as reported by the contractor/Consultant/ Supplier and ascertain that the WSS investments are constructed/provided as per specification. Thereafter, the Project Manager shall confirm with the LG Environment and Community Development Officer that the environmental and social safeguard guidelines have been adhered to. Following this, the Project manager will issue payment certificates for works satisfactorily executed and these shall be endorsed by: Environment Officer, the Internal Auditor; Chief Finance Officer and Contract Manager.

7.7 Payment of contractors

LGs should ensure that interim and completion certificates are issued for all projects based on the technical supervision reports, and that payment of contractors and suppliers is done within the contract specified timeframes, once certification of works has been duly done.

8.0 PREPARATION OF QUARTERLY REPORTS

Local government are required to prepare quarterly reports in the format provided by MWE to the DLGs. The report should be submitted to MWE on the 10th Day of the first month of the preceding quarter.

The deadlines for submission of Quarter one report is 10th October 2023, Quarter 2: 10th January 2024, Quarter 3: 10th April 2024 and 10th July 2024 for Quarter four.

The report should be prepared in the format provided to the DLGs and should be submitted in 3 copies to MWE. The district should submit other copies to: MoFPED, MoLG, CAO, LCV, RDC, District Planner, and CFO.

9.0 PROCEDURES FOR RECORDING, INVESTIGATING, RESPONDING TO AND RECORDING GRIEVANCES

Grievances arising out of implementation of WSS investments will follow the normal grievances address mechanism in Government as outlined below:

The purpose of the grievance redress mechanism is to:

- Provide affected people with avenues for making a complaint or resolving any dispute that may arise during implementation of WSS facilities funded using the Water or other grant(s)
- Ensure that appropriate and mutually acceptable corrective actions are identified and implemented to address complaints;
- Verify that complainants are satisfied with outcomes of corrective actions;
- Avoid the need to resort to judicial (legal court) proceedings unless it is warranted.

There are several types of grievances (highlighted in the table below), and several stakeholders who may be the source of grievance - these may include:

- Members of the beneficiary community for the project/investment; their families;
- Neighbours or those affected in any way by the intervention (Project Affected Persons);
- Employees of the contractors or suppliers.
- Members of the surrounding community.
- Other people.

9.1 List of avenues for different types of Grievances

Wherever possible, the first port of call for Grievances should be at the CAO /Town Clerk level, but other avenues must also be available to those with grievance and there must be appropriate referral processes. The main avenues and their purpose are set out below:

Table 8: Grievance redress channels

Avenue	Type of Grievance
Project site level	

Avenue	Type of Grievance
Beneficiary/those affected	<ul style="list-style-type: none"> • Quality of supplies delivered by suppliers etc • Lack of responsiveness of contractors/ supplier(s) to agreed actions • Other issues relating to behaviour of LG/LLG staff etc.
LG LEVEL	
LG Councillors	<ul style="list-style-type: none"> • Prioritisation of investments not in line with guidelines • Violence against and abuse of community members by contractor/supplier or teammates, etc.
LG User Department	<ul style="list-style-type: none"> • Quality of works or parts delivered by contractors/suppliers • Corruption and misuse of funds • Other issues relating to behaviour of User department staff, etc.
District Land Board	<ul style="list-style-type: none"> • Complaints about land associated with infrastructure
NATIONAL INSTITUTIONS	
Police	<ul style="list-style-type: none"> • Violence against and abuse of community members by contract staff, contracted labour (including defilement, rape, child labour, etc.)
Uganda Child Helpline	<ul style="list-style-type: none"> • Emotional, physical or sex abuse, etc.
Uganda Budget Hotline	<ul style="list-style-type: none"> • Quality of works delivered by contractors/ suppliers • Missing and misuse of funds
IGG Hotline	<ul style="list-style-type: none"> • Corruption and misuse of funds
MoLG	<ul style="list-style-type: none"> • Unsatisfactory action against grievances taken because of channelling grievances via avenues above.
Respective MDAs	<ul style="list-style-type: none"> • Various sector specific issues
Contractors/Suppliers	<ul style="list-style-type: none"> • Issues regarding contract management prior, during or after completion e.g. contracts, interim and final certification of works, payment etc.

Process for a grievance to proceed at the LG level

The implementation of infrastructure projects will require establishing a simple Grievance Redress Committee (GRC) at each institution with the involvement of the LC I, Project Affected Persons, relevant staff of the institutions and the implementing agency, MoLG, and other appropriate actors.

The general steps for a grievance redress process are as follows:

1. **Receipt of complaints** - Is the first step when a verbal or written complaint from a complainant is made, received, and recorded in a complaints log by the GRC within 5 working days of receipt of the complaint
2. **Determining and implementing the redress action** - If in his/her view, a grievance can be solved at this stage, the GRC will determine a corrective action in consultation with the aggrieved person. Grievances will be resolved and the status reported back to complainants within 5 working days. If more time is required this will be communicated clearly and in advance to the aggrieved person.
3. **Verifying the redress action** - The proposed corrective action and timeframe in which it is to be implemented will be discussed with the complainant within 5 days of receipt of the grievance. Consent to proceed with corrective action will be sought from the complainant and witnessed by the area's local council chairperson (LC Chairman).
4. **Amicable mediation and settlement** - Agreed corrective action will be undertaken by the project or its contractor within the agreed timeframe. The date of the completed action will be recorded in the grievance log.

5. **Dissatisfaction and alternative actions** - To verify satisfaction, the aggrieved person will be asked to return and resume the grievance process, if not satisfied with the corrective action.

In the event that there is no resolution to the grievance, then: (a) The GRC at the given level of LG and the aggrieved Projected Affected Person(s) shall refer the matter to the relevant District Authorities; (b) An Appeal to Court - Ugandan laws allow any aggrieved person the right to access courts of law. If the complainant remains dissatisfied with the District's Decision, the complainant has the option to pursue appropriate recourse via a judicial process in Uganda. Courts of law will be a "last resort" option, in view of the above mechanism.



Government of Uganda

Sanitation and Hygiene

**SPECIFIC
OPERATIONAL GUIDELINES
FOR
DISTRICT SANITATION AND HYGIENE
CONDITIONAL GRANT**

2023/24

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1 Introduction and background

Allocation, flow and use of public resources for sanitation and hygiene take place within the context of the broader fiscal decentralization framework.

In the past, the main sources of on-budget finance for sanitation were the District Water and Sanitation Conditional Grant (DWSCG); Primary Health Care Grant (PHCG), and the School Facilities Grant (SFG). The utilization of these grants is based on guidelines prepared by the respective responsible Ministries.

The Ministry of Finance, Planning and Economic Development (MoFPED) created a budget line for sanitation and hygiene to address low prioritization of hygiene and sanitation activities. Although the budget line was created in 2009, government started allocating funds to this code in the FY 2011/12 and has since disbursed UGX. 2 Billion annually to district local governments. This money is called the District Sanitation and Hygiene Conditional Grant.

2 Sector Policies roles and responsibilities

2.1 Policy Objectives

The mission statement for the sanitation and hygiene sub-sector is drawn from the National Environmental Health policy: *“the achievement and maintenance of healthy living conditions in rural and urban areas.”*

The overall policy objective of the Government for sanitation according to the National Development Plan (NDP III) is to increase access to basic sanitation from 19% to 45% and access to hand washing facilities from 34% to 50% by 2025.

The Sustainable Development Goals (SDG) targets are even more ambitious and aim to achieve universal access to safely managed sanitation and hygiene by 2030.

2.2 Roles and Responsibilities

2.2.1 Main sector players: Government

The Ministry of Health (MoH) is the lead agency that takes responsibility for development of policy on sanitation and hygiene promotion and ensuring its implementation by concerned stakeholders. The Environmental Health Department of the MoH is responsible for the development of strategies and for the provision of support to the decentralised structures. The role of the Environmental Health Department (EHD) of the MoH is to:

- Advise on the development and revision of relevant standards, technical guidelines and legislation.
- Support the coordination of national sanitation activities,
- Provide technical support and operational guidance to local government environmental health services,
- Advocate for sanitation to receive due attention in the national planning and resource allocation,
- Monitor progress towards environmental sanitation goals,
- Conduct sanitation related studies to fill knowledge gaps.

The Ministry of Water and Environment (MoWE), through the **Directorate of Water**

Development (DWD) is the lead agency responsible for developing and managing water resources, as well as coordinating, regulating and monitoring all water and **sanitation activities** and providing support services to local Governments and other service providers through the Rural Water and Sanitation Regional Centres (RWSRCs), formerly, the Technical Support Units (TSUs). At the district level, the District Water and Sanitation Coordination Committee is the focal coordinating body for water and sanitation activities in the districts. District Water Officers, District Health Officers or Assistant District health officers/District Health Inspectors are key members of this committee.

District Water and Sanitation Coordination Committee (DWSCC): - This is an important organizational structure that brings together key sector players from the various relevant district departments (health, water development, community development, education, administration) and NGOs in planning and implementing water, sanitation and hygiene activities in the district. Coordination of sanitation and hygiene promotion activities within the district is under the oversight of the DWSCC.

Districts, sub-counties and urban councils are encouraged to set up District, sub county and Town Water and Sanitation Committees (DWSCC/TWSCC), Sub- County Water and Sanitation Coordination Committees (SWSCC) to oversee and provide effective coordination of water sector activities in the respective Local Governments.

The Ministry of Education and Sports (MoES) is responsible for hygiene promotion and sanitation in primary schools. It works to ensure that schools have the required sanitation facilities and provide hygiene education to the pupils, including handwashing with soap after latrine use.

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

The Ministry of Local Government (MoLG) has the mandate of establishing, developing and facilitating the management of self-sustaining, efficient and effective decentralized government systems capable of delivering the required services to the people. It aims to foster good governance and integrated social and economic development. Key service delivery responsibilities of local governments include primary education, (and some services at the secondary and tertiary levels), primary health care and district hospitals, rural water services, as well as provision of sanitation and hygiene related services.

The Ministry of Finance, Planning and Economic Development (MoFPED) mobilizes funds, allocates them to the sub-sector and coordinates development partner inputs. MoFPED reviews sector plans as a basis for allocation and release of funds, and reports on compliance with sector and national objectives.

The National Water and Sewerage Corporation (NWSC), an autonomous parastatal entity established in 1972, is currently mandated to provide water and sewerage services in 23 large urban centres across the country. NWSC's activities are aimed at expanding service coverage, improving efficiency in service, delivery and increasing labour productivity. Service users connected to the piped sewerage network pay a proportion of the cost of this service to the NWSC.

The National Environment Management Authority (NEMA) is the body charged with overall responsibility for coordinating and monitoring all environmental management issues in the country. The National Environmental Statute is a framework law. Its effective implementation depends on its operations relating to other laws. These include, among others, the Public Health Act, the Water Statute, the Local Governments Act, and the Factories Act,

which have provisions related to the environment and specifying the lead agencies. NEMA however is mandated to co-ordinate and monitor, and may propose policies, strategies, guidelines and standards. Where the lead agencies have failed in their responsibilities, NEMA is further mandated to enforce the law (e.g. close a factory, stop dumping of waste at a given site) and take remedial measures as in ordering the culprit to make good the damage done to the environment.

2.2.2 Other sector players: NGOs and Private Sector Organizations

NGOs/CBOs are active in the provision of improved sanitation and hygiene services, creating demand, construction of facilities, training of community leaders, and promotion of technology options, social marketing of sanitation products and technologies as well as advocacy and lobbying. The NGOs working in the water and sanitation sector are registered with the NGO umbrella organization called Uganda Water and Sanitation NGO Network (UWASNET). The aim of the network is to improve access to safe water and better sanitation through strengthening the contributions of NGOs and CBOs. The key strategy, is information/knowledge sharing, advisory services, organizational strengthening and improvement of technical and management skills for better service delivery, Through UWASNET, NGOs are represented on key policy fora such as the National Sanitation Working Group.

Private Sector Groups are involved in construction of water sources and latrines, soap manufacturing, supply of parts and materials, capacity building, and consultancy services for supervision of construction. Private individuals and companies also provide a range of sanitation-related services ranging from pit digging to the production of sanitary products like san plats and slabs for pit latrine construction; traders who stock sanitary fittings for waterborne toilet facilities and plumbers who install them. In urban areas, they are also involved in the provision of services such as cesspool emptying.

3 District Annual Work Plans, Budgets and Reports

3.1 Workplans and reporting requirements

At the beginning of each financial year, Local Governments shall submit an annual work plan and budget to MOFPED with a copy to MWE for the activities to be carried out under the District Sanitation and Hygiene Conditional Grant (DSHCG). Local Governments subsequently submit quarterly progress reports to MWE.

In line with the implementation of the Fiscal Decentralisation Strategy (FDS), LGs will use the FDS format for preparation of the annual work plans, budgets and for the quarterly progress reports. The formats are given in Appendix 1 and 2.

All LGs are required to submit the quarterly reports to the Ministry of Water and Environment /MOFPED by **2nd of the Month following the quarter.**

All LGs are requested to use the attached formats (Appendix 1 & 2) in the preparation of the annual work plans and budgets and for progress reporting respectively. These can be filled using Microsoft Excel, or in the FDS format. The activities pre-specified (called model activities) are the most commonly used.

3.1.1 Selection of Sub-counties

- The sanitation coverage of the sub-counties should guide the selection of the sub-counties to be worked in.
- Focus on the underserved sub-counties/populations

- Baseline and population data⁵ from the existing sources should be used.
- Take into account facilities to be replaced or improved

⁵ The average household size is 6 persons

3.1.2 Setting targets

- Work in a minimum of **4 villages in 1 sub-county** over a period of one year.
- Establish baseline data from existing sources (UNBS/Annual health inspectors' assessment reports).
- Each district should set a target to achieve per quarter.
- Targets should be presented in the district work plans as exemplified below;

3.1.3 Latrine coverage, hand washing facilities and population targets

NO.	Sub-county	Pop	Tot HHs	Lat. Cov'ge (%)	HWF coverage (%)	Un-served HHs (%) without latrine	Un-served HHs (%) without HWF	lat. Target (No)	HWF Target (No)	Quarterly targets for New latrines and new HWFs				Target New Pop with access
										1	2	3	4	New lat. *6 New HWF *6
1	X													

3.2 Reporting requirements

The quarterly progress reports state progress against the annual work plan and budget. However, they do not allow for inclusion of all data required by the sector. LGs will be required to submit the additional data as an attachment to the quarterly reports. The format and content of the attachment are attached to the reporting formats.

In addition, the Districts will be asked to submit an Improved Sanitation Hygiene (ISH) status on an annual basis. This is referred to as the “Annual Situation Analysis” and accompanies the progress report for the final Quarter of the Financial Year.

Every year the MoWE compiles a Sector Performance Report (SPR), to measure the sector’s performance, including the sanitation sub-sector. The report is used as a guide in planning for the subsequent year. Information from the Districts serves as a basis for the analysis of the sector performance.

In order to enable monitoring and mentoring of LGs, MWE may require additional information. Copies of LG internal reports should be made available to the MWE, the Area Support Teams and the Rural Water and Sanitation Regional Centres teams on request.

4 Approach/ Methodology

The DSHCG shall primarily be used to build on existing efforts that have proven successful, rather than initiating new programs. Interventions shall target excreta management related to improved sanitation and hygiene.

During FY 2022/23 each district has been allocated between 14 - 15 million only and districts should concentrate on a few activities so as to realize impact. The DSHCG shall support two major types of interventions:

1. *Creating demand for improved sanitation and hygiene.*

There is a wide range of existing work programmes that target creating demand for improved sanitation and hygiene, but due to limited resources, during FY 2022/23, these are to be limited to:

i. A market-based sanitation (MBS) approach (as laid out in the recently approved National Sanitation Market Guidelines - NSMG), by districts with the requisite capacity –i.e., districts that have already been trained on MBS; this should be done through:

1. Identifying relevant value chain actors (e.g., masons, hardware stores, VHTs who can act as sanitation promoters) who need to be trained on the MBS approach
2. Training the identified VHTs on their role as MBS sanitation promoters
3. Conducting baseline surveys to map the sanitation status at household level
4. Conducting MBS pre-triggering and triggering meetings
5. Incentivizing the trained SPs to conduct door-to-door visits in the triggered communities
6. Supporting and supervising the trained value chain actors; conducting all-actor meetings to promote collaboration between the different value chain actors; and administering endline surveys to map the sanitation improvement made by the households

[Note: Any district looking to utilize a part of the DSHCG for MBS activities should consult with the Rural Water and Sanitation Regional Centres regional team before finalizing their annual work plan and budget]

ii. The use of Community-Led Total Sanitation (CLTS) approach by districts with the requisite capacity; this should be done through:

- ✓ Triggering of communities/Villages/Manyattas

- ✓ Follow up on triggered communities till declared Open Defecation Free (ODF) communities.
 - ✓ Promotion of Handwashing
- iii. (If there is no capacity to implement MBS/ CLTS) Home improvement campaigns and competitions to achieve 100% sanitation coverage for target communities, including promotion of handwashing.
- iv. Sanitation week activities. The sanitation week should not be looked at as a one-time activity separate from everyday sanitation activities that have been ongoing. The budget should not exceed **3.5 million shillings**. The rest of the funds should be for activity follow-ups during the year. The activities selected during sanitation week should be a culmination of ongoing activities i.e. part of the CLTS or home improvement campaigns leading into recognition and awards to the best performers.
2. ***Establishing an enabling environment for improving sanitation and hygiene*** The DSHCG will support activities designed to create an enabling environment at the District and local government level. These include:
- i. Monitoring and support supervision
 - ii. Coordination activities
 - iii. Support to formulating and enforcing bye-laws.

Note

- Any option chosen for intervention 1 should focus on demand activation and fulfillment through locally available service providers, while limiting the use of enforcement.
- Where NGOs exist and are doing some work in some sub counties, these areas should be clearly indicated so that the districts concentrate in other sub counties to avoid duplication and ensure cost effective utilization of meager public resources.
- DWOs are encouraged to coordinate planning and implementation with the DWO/ADHO-EH to maximize synergies with the Primary Health Care Grant, of which up to 30% can be used for sanitation and hygiene promotion.
- The no subsidy policy for household sanitation shall be upheld.
- Technical standards shall be respected.

4.1 Guiding principles

4.1.1 Support people-centered and demand-driven programs

The grant shall support activities that concentrate on creating demand for improved sanitation and hygiene and creating an environment and conditions that are conducive to improved service delivery.

4.1.2 Targeting the poor, unserved, and underserved communities

The grant shall contribute to improved sanitation and hygiene for people who currently lack basic sanitation. The grant shall further target communities whose sanitation and hygiene coverages are far below the district average. Similar effort put on sanitation promotion should be accorded to hygiene promotion especially targeting uplifting the improving handwashing practices.

4.1.3 Alignment of the DSHCG with other sectoral policies and guidelines

The DSHCG shall operate within the government policies and guidelines. The DSHCG-supported work programs shall fulfill national sanitation-related policies being part of the ongoing initiatives for improved sanitation and hygiene. Supported work programs shall be consistent with and be part of well-coordinated National or Local Government strategies owned by the people and the corresponding government authorities.

4.1.4 Promoting sustainable services

The DSHCG shall aim to support safe and sustainable services, i.e. those that protect and promote human health and at the same time do not contribute to environmental degradation or depletion of the resource base; are technically and institutionally appropriate, economically viable, and socially acceptable. The grant shall support work programs that seek to work with existing grass-root structures such as the Village Health Teams, Water User committees, health workers, extension workers including Parish Chiefs, and local council leaders.

4.1.5 Mainstreaming gender considerations

Women and girls play a central role in community and domestic hygiene and sanitation improvement. The Sustainable Development Goals emphasize the need to pay special attention to the needs of vulnerable groups, girls and women in sanitation and hygiene service delivery. Sanitation and hygiene have very strong gender links, especially with respect to the safety, privacy, and dignity of women and girls. The DSHCG support shall require that due gender considerations are made at all levels of the sanitation and hygiene delivery system.

4.1.6 Promoting learning and cooperation

The DSHCG shall support programs that generate learning and cooperation among communities and both state and non-state sector actors to improve the quality of all their work and to share experiences gained, as well as avoid duplication of efforts.

4.1.7 Transparency

Transparency shall be emphasized in all procedures, processes and decisions relating to the planning, utilization and accountability of the DSHCG.

4.1.8 Results-based management

All work supported by DSHCG should have clearly defined beneficiary groups, objectives, methodology and timelines. Monitoring and evaluation systems should be put into place to allow comparison of the planned activities to the actual results after implementation.

5 Grant Management

The following modalities shall be used in the management of the DSHCG during FY 2023/24;

- i. **Management of funds:** The District Water Officer (DWO) shall be the custodian of the fund.
- ii. **Planning and implementation:** Where there is an ADWO/sanitation, he/she shall be responsible for planning and implementation of the activities in partnership with the Assistant District Health Officer – Environmental Health (ADHO - EH). **All** work plans and activities are to be approved (counter-signed) by the ADHO-EH. If the district does not have an ADWO/sanitation, then the ADHO -EH is responsible for the planning and implementation of activities. The activity holder

in whichever case shall work closely with the extension workers at the lower levels such as the Health Assistant, Community Development Officer, and Parish Chiefs during the implementation of the sanitation and hygiene improvement programs using the DSHCG.

- iii. **Requisition of funds:** Where there is an ADWO/sanitation, he/she shall requisition for the funds from the CAO through the DWO and the ADHO - EH. Where there is no ADWO/sanitation, the ADHO –EH shall requisition for the funds through the DWO. At the end of an activity, the ADWO/Sanitation or ADHO – EH, whatever the case may be, shall write a report and submit accountability approved by the DWO or both the DWO and the ADHO-EH in the case when the ADWO/Sanitation is the activity holder.
- iv. **Reporting:** Annual and quarterly workplans and budgets for this grant should be submitted to the Ministry of Water and Environment as a separate report attached to the report for the District Water Conditional Grant. (Appendix 1).
- v. Annual and quarterly reports for this grant shall be submitted to the Ministry of Water and Environment as a separate section of the Report for the District Water Conditional Grant. (Appendix 2).

7. PERFORMANCE INDICATORS

The key performance Indicators to be reported on are as follows:

	Key Performance Indicators (to be reported in Annual Performance Report)	<u>Objectives/ targets</u>
	OUTCOME	
1	% population access to sanitation facilities.	To raise sanitation coverage from..... to... by the end of the year
	% population access to basic sanitation facilities.	To raise sanitation coverage from..... to... by the end of the year
2	% of Households with access to and using hand washing facilities after using the latrine	To raise proportion of population with access to household HWFs at the latrine from to... by the end of the year
3	% of leaders with 100% sanitation coverage	To promote exemplary leadership
4	Number of villages that have achieved Open Defecation Free (ODF) status.	To reduce the number of villages practicing Open Defecation by... the end of the year

8. APPENDICES

Appendix 1-6 provide the planning and reporting templates that can be accessed in the excel sheet shared with the narrative of the guidelines.

Appendix 1 : Information Definitions

Appendix 2 : Unit Cost Details of Workplan

Appendix 3 : Annual Work Plan Area

Appendix 4 : Format For Annual Workplan And Budget

Appendix 5 : Format For Quarterly Progress Reports

Appendix 6 : Format For Attachments To Quarterly Reports