

PROTOS ET L'APPUI A LA MAITRISE D'OUVRAGE

COUNTRY REPORT UGANDA



Shallow well at Nyarukoma primary school, Kyenjojo district.

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List of Acronyms

AWO	Assistant Water Officer
CAO	Chief Administrative Officer
CDA	Community Development Assistant
CDP	Community Development Promoter
CWO	County Water Officer
DDHS	District Director of Health Services
DDPs	District Development Plans
DWD	Department for Water Development
GoU	Government of Uganda
HEWASA	Health through water and Sanitation
HA	Health Assistants
LC1	Local Council 1 (Village Council)
LC2	Local Council 2 (Parish Council)
LC3	Local Council 3 (Sub-county Council)
LC5	Local Council 5 (District Council)
LG	Local Government
M&E	Monitoring and Evaluation
NA	Not Applicable
NETWAS	Network for Water and Sanitation
NGO	Non Government Organisation
O&M	Operation and Maintenance
RUWASA	Rural Water and Sanitation
PEAP	Poverty Eradication Action Plan
SNV	Netherlands Development Organisation
UWASNET	Uganda Water and Sanitation Network
VDC	Village Development Committee
WES	Water and Environmental Sanitation

1 INTRODUCTION TO THE ORGANISATION OF THE MISSION

This mission has been conducted as part of the global evaluation being undertaken to systematize and capitalize the PROTOS approaches of supporting the ‘maîtrise d’ouvrage’ in water and sanitation service delivery. The Uganda mission involved initial reviews of documents (starting with those provided by ACE Europe) to understand the context of PROTOS interventions and the setting of the water and sanitation sector at national and decentralised levels. Field work was undertaken in Kyenjojo district, where JESE, a local non governmental organisation (NGO) is implementing a project in Kyenjojo, supported by PROTOS.

The field mission was conducted in two phases: the first phase was exploratory – involved initial discussions with JESE officials, introduction and mobilisation; visits to a few water points constructed by JESE; and fixing appointments. The output of the first phase was summarised in the Aide Memoire, which was shared with ACE Europe. During the second mission, the consultant undertook detailed field visits including meeting with stakeholders at local government level; undertook preliminary data analysis and organised a stakeholders’ de-briefing session in Kyenjojo town.

Prior to field visits, a briefing meeting was held in Kigali with Ms Hester Kapur, the PROTOS Coordinator in the Great Lakes region.

The following projects were visited:

1. *Enhancement of community health through integrated water, environment hygiene and sanitation in Nyantungo sub-county, Kyenjojo district, Uganda.* This was the primary focus of the evaluation. The project is implemented by the Joint Effort to Save the Environment (JESE), with funding from PROTOS. JESE is a local NGO founded in 1992, and operates in two neighbouring districts of Kabarole and Kyenjojo. JESE works with individuals, local communities, community-based organisations and local governments. In the implementation of the current project, JESE is using an integrated approach that emphasises that good health cannot result from the provision of safe water alone but by integrating with other aspects such as health and community development.
2. *Mitoma Water and Sanitation project.* The project is implemented by Community Empowerment Initiative, an indigenous NGO. It was selected because of the similarity in the size of the NGO funding as well as the size of the project. Both JESE and CEI are implementing Water projects in only one sub-county each, within Kyenjojo district and, therefore operate under similar sociocultural, economic and political conditions.
3. *HEWASA (Health through Water and Sanitation)* is a program implemented by HEWASA an indigenous NGO, supported by the Catholic Diocese of Fortportal. The program has an annual budget of Shs 1 billion (approximately US \$ 550,000). The main funding agency is MISEREOR. Other funding agencies include SNV, UNICEF, DWD, UWASNET and the local governments of the four districts where projects are implemented. HEWASA is more of a service facilitator and not a direct service provider i.e. it implements her projects through other

local NGOs and CBOs. For this evaluation, it was selected because it is the funding agency of CEI another organisation that was visited in Kyenjojo. The mission wanted to establish the approach used by the organisation as a supervising agency.

4. *WaterAid*. This is an international UK based charity organisation with major operations in Uganda. In Uganda, WaterAid presently implements Water Environment and Sanitation (WES) projects through local 9 local partners. In the South Western region where Kyenjojo district is located, Water Aid had major interventions during which considerable impact on human resource and institutional capacity building for WES was developed¹. Water Aid operations provided insightful information to enable comparison between the PROTOS approach and other donor/ intervention agencies. Water Aid works more as a facilitator of mobilisation and service delivery NGOs and CBOs. Water Aid is developing the capacity of coordination and implementation NGOs. During October 2005, it organised training workshops on policy advocacy and monitoring for HEWASA and ACCORD and their partners, during which community based WES monitoring tools were developed and skills in budgeting and policy engagement developed.

2 CONTEXTUAL ELEMENTS THAT INFLUENCE THE SUPPORT OF MDO

2.1 Social economic realities

The district reports of Kyenjojo show that the rural safe water supply service level for the region as of June 2001 was 42.3% at an assumed function rate of 80%. This is well below the regional average for south western Uganda which is 51.4%. Most of the water sources in Kyenjojo district are unprotected springs. These are polluted partly by sewage from latrines, partly because of the drainage systems and the shallow nature of the pit latrines.

Furthermore it is estimated that half of the medical cases reported at health units are related to unsafe water. Examples of these are eye and skin infections, intestinal worms, diarrhoea and cholera. Unsanitary conditions and lack of clean water have contributed to particularly high morbidity and mortality rates in the region. The infant mortality rate is 136 for every 1000 live births.

With regard to behavioural practices, there is general lack of knowledge on hygiene and sanitation, which undermines the likely positive impact of safe water provision on primary health care and wellbeing. It is reported that those who have access to safe water, tend to contaminate it at the point of consumption (e.g. through handling, use of dirty containers, etc).

About 60% of the population in Kyenjojo district have no access to latrines and nearly half of those with latrines do not practice hygiene practices. Unlike safe water supply, there are very few interventions addressing the lack of latrines in homes. These include the Fort Portal

¹ This included training of a large number of water technicians (at least 50 per district) some of whose skills the JESE/ PROTOS Nyantungo project has depended upon.

Catholic Diocese (local NGO HEWASA), the German Technical Cooperation (GTZ) and the Government through the various programmes such as the Rural Water and Sanitation (RUWASA). GTZ is funding latrine construction at health centres.

Socio-culturally, Kyenjojo district constitutes a mix of tribes (Bakiga and Bafumbira immigrants, in addition to the indigenous Batooro). This reflects a convergence of cultural behaviours and norms. The majority of the population are poor and literacy levels are lower than the national average.

2.2 The Poverty Eradication Action Plan (PEAP)

The overriding policy of the GoU since 1997 is poverty reduction. This is elaborated in the poverty eradication action plan (PEAP) formulated in 1997. The PEAP has since been revised twice in 2000 and 2004, and the current in the PEAP. The revised PEAP 2004 has been largely aligned to the Millennium Development goals (MDGs), including on access to safe water and sanitation. The PEAP provides a framework which guides all sectoral and decentralised planning and within which public investment resources are mobilised and expenditure allocations made.

Access to Safe Water and Sanitation is one of the major priorities of the GoU, and has received considerable support in terms of financing; institutional capacity building; and infrastructure development. Apart from HIV/AIDS, there are, perhaps more NGOs working in the water sector but this is largely due to the amount of funding that the sector has attracted.

In terms of planning and implementation of service delivery under the PEAP, the GoU policy is to engage the private sector and civil society organisations in implementation, while Government agencies concentrate on planning; monitoring and ensuring quality. This has resulted in creation of institutional structures that bring together the different stakeholders in the sector.

2.3 Decentralisation

Since 1993, Uganda has been governed under a decentralised system. The Local Governments Act 1997 is the main law governing decentralised governance including planning; inter-governmental fiscal transfers and service delivery responsibilities. Under decentralisation policy, the District Council is the main decision making organ in the district, but must formulate and execute policies and plans within the framework of the national and sectoral priorities.

The Sub-county Local Government is responsible for planning and budgeting for service delivery at lower levels, a situation that reflects transfer of service delivery responsibilities closer to the people. The sub-county plans reflect the priorities identified from the village to parish levels, and constitute part of the district development plans (DDPs). At the sub-county level, the County Water Officer is responsible for water development activities including coordinating other initiatives in the sector, but this is rarely done, as they tend to concentrate on projects funded by the LG. A County Water Officer is based at the district level but is usually

responsible for more than one sub-county². Figure 1 below shows the administrative hierarchy and corresponding responsibilities in decentralised service delivery in the water sector.

In general, the level of responsibility in public service delivery differs with different administrative levels. As indicated in figure 1 below, the district is the highest administrative level (Local Council 5), while the cell/village level is the lowest (Local Council 1):

- **The district local government** (LC 5) is responsible for planning, resource mobilisation (including taxation and managing central government grants) and monitoring service delivery;
- **The county level** (LC 4) is more of a coordinating body which brings together representatives from various sub-counties. This was originally a very powerful level, but with the enactment of the 1997 Local Government law that recognised and empowered the sub-county as a local government³, this level now has no role, except in Municipalities. Sub-counties directly receive resources from and account to districts, which in turn account to the central government. Municipalities (such as Fort Portal) are at LC 4 level but are an exception in role because they are Local Governments with greater autonomy from district Local Governments than Sub-counties. For instance, Municipalities have urban tender boards which the sub-counties do not have.
- **Sub-county Local Government** (LC 3) is a lower local government functioning within the district local government. It is the lowest level at which technical services personnel are deployed to undertake public service delivery responsibilities (engineers, agricultural officers, ...).
- **Parish Level** (LC 2): the council is a coordinating body for village administrative entities and service delivery, but makes resolutions which are passed on to the Sub-county council for consideration in the budget. For instance, the Parish council can resolve that bridges or water in particular villages is the main priority issue, which is communicated to the Sub-county level in form of the parish development plan. This also helps to check whether the parish representatives in the sub-county council are effectively representing them. They, however, have more or less no budget of their own. The parish council is constituted of LC 1 executive members who elect an executive.
- **Village Committee** (LC 1): is constituted of all adult members of the community but all residents are allowed to attend general meetings. At this level, taxes and non tax revenue is collected, and some 25% is expected to be remitted. Communities are required to identify their development priorities and use the retained 25% on key development activities. The community work is mainly on community roads, repair of schools and water sources, etc.

² Usually there are 3-6 sub-counties in a county. For Kyenjojo district, there are 2 counties i.e. Kyaka and Kyegegwa, within which there are 6 Sub-counties.

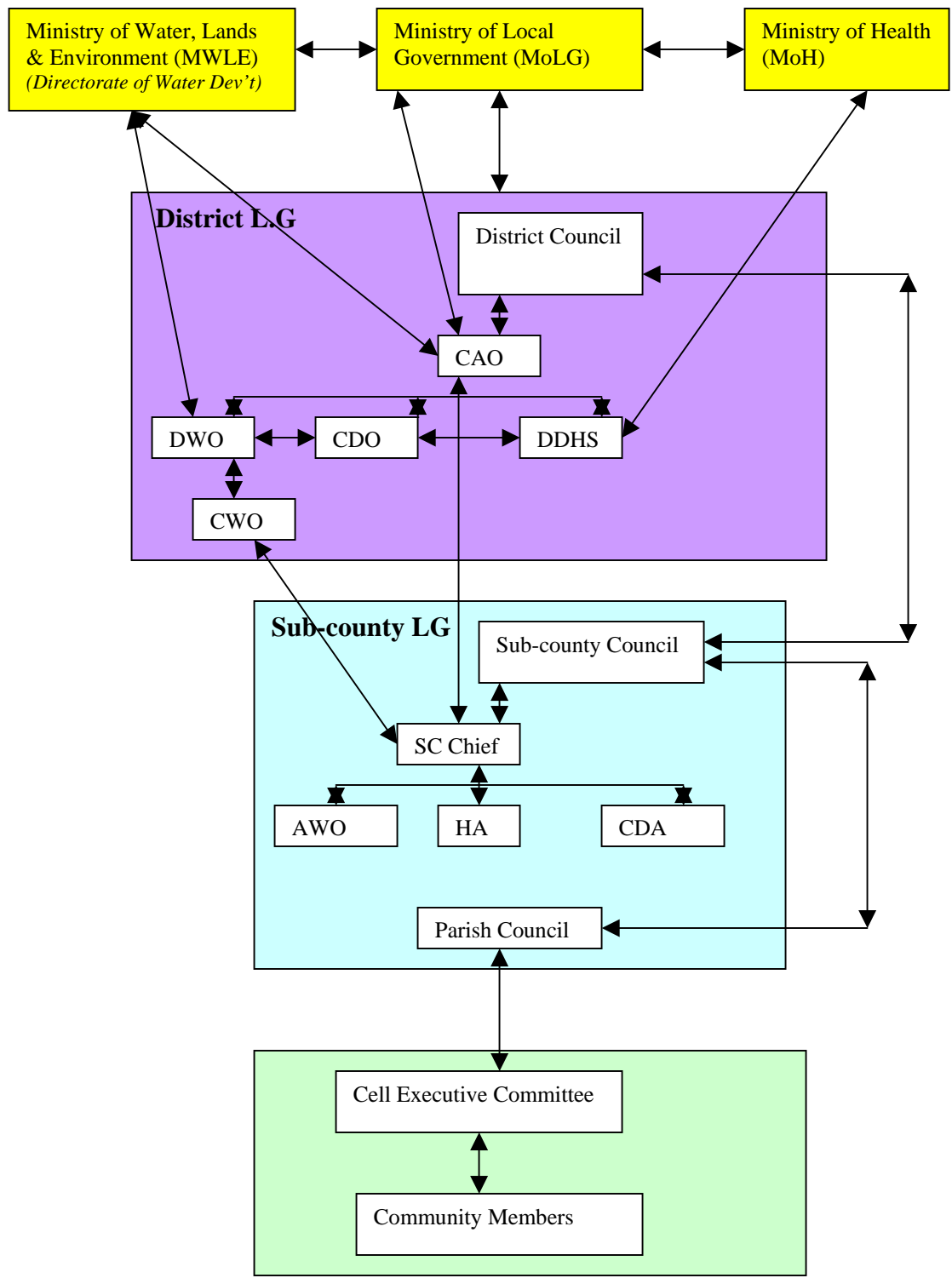
³ In a bid to improve service delivery and recognising the feeling that the district was still far from the people, the Local Government Act 1997 recognised the Sub-county as a Lower Local Government, with some minimal autonomy for planning, taxation and service delivery, but within the framework of the district. The Sub-counties have powerful councils which make resolutions, local policies and byelaws. They are even more powerful in city and municipalities where a lot of revenue is generated.

With the abolition of graduated tax (head tax) during 2004/05, the local governments complain that no more funds are retained or remitted back to lower levels.

At all the levels above, the leaders (councillors and executive committees) are elected. The Sub-county and District Chairpersons, who head the sub-county and district executives, respectively are currently elected by universal adult suffrage, by all the people in their constituencies.

Figure 1 below shows the administrative hierarchy and corresponding responsibilities in decentralised service delivery in the water sector. It will be noticed, however, that the County level is not reflected because they play no significant role in this respect. The County Water Officers do not work at the counties. They are based at the district and are in charge of specific counties, in which case they work with two or more sub-counties. Considering the size of a Sub-county compared to water points to be supervised, it was found uneconomical to recruit Water officers at Sub-county level but instead deploy assistant water officers, who are mainly technicians.

Fig. 1: Administrative Hierarchy of Decentralised Service Delivery in Uganda



2.4 Water and Sanitation

2.4.1 Situation of the sector

Despite the abundance of water from natural sources, domestic water supply in Uganda is still among the lowest in Sub Saharan Africa, although impressive results have been registered in the last 5 years, where national safe water coverage has risen from under 50% to 70% and 75% rural and urban areas respectively. The rural sanitation level is only at 45% on average.

In terms of institutional set up, the Ministry of Water, Lands and Environment (MWLE) is responsible for overall policy formulation, standards setting and monitoring, through its Directorate of Water Development (DWD). The urban water supply and sanitation is managed by the National Water and Sewerage Corporation (NWSC). The DWD manages sector planning and budgeting, and also coordinates projects and NGO activities related to water and sanitation in rural areas. Due to poor coverage in rural and urban areas, the GoU with donor assistance has embarked on a number of rural and urban sanitation projects. The ultimate goal is to raise the service level of rural water supply to 100% by the year 2015. To achieve this target, major activities are being undertaken including drilling of boreholes, shallow wells, spring protection, construction of gravity flow systems, technical assistance in the study and design of water systems. However, because of problems relating to institutional coordination, the aspects of sanitation have not received as much attention and support, as it falls both in health and water sectors.

The predominant source of large urban water supplies is surface water and for small towns, ground water (in some cases supplemented by surface water sources). In the case of rural areas, the predominant supply is from ground water including springs. Although earlier studies showed that surface water sources will be able to satisfy future urban and livestock demands, the distribution of surface resources implies that on a local scale, there will be competition for water.

Although surface water accounts for more than 50% of the population accessing safe water, ground water resources are increasingly becoming important representing 41.5% of those accessing safe water. Over 20 small to medium urban centres with a total population of over 500,000 are presently exploiting ground water. A number of institutions and private enterprises are using ground water. This is mainly through construction of bore-holes, shallow wells and protection of springs. The impact on the environment of exploiting ground water to supply large populations such as in urban centres is yet to be studied.

2.4.2 National Policy and Strategy Frameworks

Water and sanitation is one of the key strategies under Uganda's poverty eradication action plan (PEAP) that has received priority attention from the Government, donors and NGOs. This is largely due to the fact that preventable diseases linked to unsafe water and poor hygiene

(malaria, diarrhoea, dysentery) are the leading causes of morbidity and mortality especially among children and pregnant mothers.

The water and Sanitation (WES) sector operations are guided by a national water policy formulated in 1995 and the national health policy. The water policy recognises water as:

- A natural resource public good whose access must be guaranteed and which must be utilised in a sustainable way;
- An infrastructure issue, requiring complex hydrological monitoring and whose explanation requires infrastructures;
- A social service – which is central to attaining good primary health care, better education – sanitation in schools has been reported as one of the factors leading to school drop out among girl children even in Kyenjojo. Also, despite the efforts of the GoU and various NGOs and donors, water borne diseases (malaria, disentry, typhoid, diarrhoea, ...) remain the most common causes of morbidity and to mortality especially among children and women;
- An economic asset which facilitates production (irrigation, use in construction). Over the last 10 years, there have been attempts to strengthen the monitoring and sustainable utilisation of the water resources in production at small scale. This has been pursued through institutional, policy and regulatory capacity development.

Like any other local service sector in Uganda, the planning and implementation of WES programmes are undertaken within the context and framework of decentralisation. In this regard, the needs identification, budgeting and implementation are undertaken from village (cell), then reflected in sub-county development plans and budget, and further prioritised at district level.

At political level, the Sub-county Council (comprised of elected councillors) makes decisions to approve planned activities and pass the budget, and usually influence where the facilities should be established. It is noted that water and road infrastructures are the most affected by political influences because they easily translate into political votes. At technical level, there is a County Water Office who is responsible to the District Water Officer and works closely with Sub-county local authorities. The Water Officer is responsible for planning, implementation and maintenance of water infrastructure.

2.4.3 Main Actors in WES

In Uganda, the WES sector has received more commitment and active involvement of actors – local and international NGOs; donors; private service providers; Governmental agencies; - but this depends on the location. Kyenjojo district is located in South Western Uganda, where there has been a diversity of donors and NGO interventions in WES over the last 10 years, with varying approaches and areas of focus.

- The *Directorate of Water Development* (Central Government) which supports and executes projects through the Kyenjojo District Water Department. The district receives technical assistance from DWD through a technical support unit servicing several districts in the region. DWD is also responsible for setting up procedures and bye-laws

in the water sector. Among the direct outcomes of their work are the water resource committees through which user-management of water sources may be realised.

- **NGOs and CBOs** –Some 10 NGOs are working in the water and sanitation in Kyenjojo district – they are brought together in an umbrella grouping called Uganda Water and Sanitation Network (UWASNET) which is an NGO Forum for WES NGOs nation-wide.
- **Private Service providers** – (water technicians, masons, and contracting companies). In Kyenjojo, like in other districts in South Western Uganda, it is reported that there are very many water technicians previously trained under the Water Aid support and the project RUWASA. These, however, lacked organisational structures and setting, resulting in scattered and weak private service providers. The water technicians often work at small firms or free lance – many firms are involved in siting and drilling water facilities.

The WES sector is the most organised in terms of coordination. There are umbrella organisations/ networks that bring together civil society organisations; and also facilitate coordination between NGOs, Governmental and other actors. At national level, the Network for Water and Sanitation (NETWAS) coordinates various NGOs activities and provides a forum for policy advocacy and capacity building. In Kyenjojo district, there is a Kyenjojo district WES NGO Network, which is recognised by the District Local Government and is presently chaired by JESE. At lower levels, coordination activities tend to be limited.

The District WES Committee chaired by the Head of Department of Water and Sanitation, undertakes all planning, budgeting and monitoring for the WES sector in the district. NGOs are represented on the committee by JESE (as chair of WES NGO Forum). The private sector interests are, however, not represented reportedly because they are not organised and lack capacity to mobilise themselves.

2.4.4 The Role of Donors

The main donors intervening in the water and sanitation sector in Uganda are: DANIDA; UNICEF; IFAD; European Union; GTZ; French Cooperation; and SIDA. In addition, there are a number of national and international NGOs whose interventions are significant. It was noted that these organisations use different approaches and tend to support specific aspects of the sector. The different approaches used have tended to influence the needs and responses of the beneficiaries and other actors.

3 CONCLUSIONS RELATED TO THE ORGANISATION OF SUPPORT TO MDO

3.1 *Understanding the Concept of MDO*

According to the information provided on the MDO approaches in the inception report (Rapport de demurrage), the MDO concept primarily focuses on building sustainable institutional relationship with key actors and beneficiaries throughout the phases of water and sanitation service provision, which are:

- *Policy and planning* – to ensure that the planning process is participatory and it reflects the actual needs of the population
- *Budgeting and financing* – participatory budgeting and resource mobilisation;/ accountability
- *Conceptualisation and Design of interventions* – this addresses the concerns of appropriate technology in terms of technical adaptability/ compatibility, social acceptability and environmental sustainability; financially realistic, etc. Also, addressed are who selects the technology and who approves expenditure.
- *Implementation* – clarifying the roles of individual actors in the process, including intermediaries e.g. maitre d'oeuvre (delegated responsibilities).
- *Utilisation / operation* – organisation and regulation of users; operation and maintenance (O&M);

In the Nyantungu Water and Sanitation project, these linkages were analysed for the PROTOS/ JESE intervention while the approach used by HEWAPA, a facilitating NGO under Fort Portal Catholic Diocese, was analysed for comparative purposes.

3.2 *Qualitative elements in the approach of PROTOS*

PROTOS has a particular view on how to support the process of 'la maîtrise d'ouvrage' and reports to work along a number of principles (see the 'rapport de démarrage'), such as:

- *Institutionalisation* – the intervention must fit in the legal/ regulatory and policy framework; and create structures and systems that building on existing norms, policies and good practices including local informal arrangements.
- *Contracting* – emphasis is on strengthening the linkages with the local private sector while separating and clarifying roles e.g. NGOs which are direct service providers and those whose role is to facilitate service delivery.
- *Dialogue* – emphasis on creating dialogue between policy makers, service providers, beneficiaries (clients) and other actors, e.g. through forums, regular meetings and empowering communities and service providers to actively participate in the dialogue.

- *Apprenticeship process* – building capacity of actors at all levels to effectively undertake their roles e.g. private contractors to prepare bid contracts and negotiate; MDOs to demand quality services; and facilitating creation of grassroots based structures to manage water services on behalf of the communities (MDO delegated)
- *Advisory support* – providing advisory services to service providers, consultants and supervisors to create effective bridges between service providers (contractors) and communities. In the Nyantungo project, JESE often acts as a service provider and in some cases plays an advisory role, providing supervisory or quality assurance on behalf of the MDO.
- *Gender integration* – women and children feel the problems of water and sanitation more than any other group, through loss of time, sickness, etc. Thus, empowering them to actively participate in decision making regarding design, implementation, utilisation and maintenance of safe water projects, is extremely crucial. This is clearly articulated in the Millennium Development Goals (MDGs).

There was an attempt by JESE to follow the PROTOS principles and the results reflect differences in performance, as summarised further under 3.4.

3.3 Application of the support to MDO – The Nyantungo Project

3.3.1 Description of the process of supporting ‘la maîtrise d’ouvrage’

The Nyantungo Water and Sanitation Project where JESE is implementing the PROTOS approach, takes the following steps:

- **Needs identification** – JESE obtained data (secondary data on the profile of poverty and specifically on the situation of water and sanitation, and initial discussions with district officials through round tables), and identified that Nyantungo Sub-county had the most WES needs.
- **Baseline Survey** – After identifying Nyantungo as the intervention area, JESE officials carried out the baseline survey on the communities to identify and structure the problem; prioritise and design appropriate interventions, and select specific areas of intervention. It is however the view of the consultant that the baseline survey was too standard and could not capture the actual aspirations of the population. It would seem that the baseline was used to endorse preconceived ideas about the approach of the interventions and where the project would be implemented. In fact, the local population reported that JESE officials came and told them they were going to help them access safe water, implying that the prioritisation could have been done by JESE.
- **Project preparation and resource mobilisation.** After elaborating the project proposal, JESE mobilised funding and after PROTOS had approved the funds, the intended beneficiaries were informed. The capacity for resource mobilisation by way of project design does not seem to exist. This raises questions on whether technical expertise for project design at that time was sourced externally or the project was designed jointly with JESE. During the restitution meeting in Kigali, PROTOS confirmed that JESE had originally almost no technical capacity, especially in M&E which is very weak at JESE and this affected their ability to effectively mentor the Village Development Committees.
- **Community mobilisation and sensitisation on project implementation** – essentially all the villages within the sub-county were in need and therefore potential beneficiaries. However, priority was given to those who readily fulfilled the conditions agreed upon for implementation. In particular, if a village did not agree to provide community contribution, the project was withdrawn.
- **Setting up implementation and management structures:** JESE field staff organised mobilisation meetings to sensitise the intended beneficiaries about their roles in the implementation and contributions. JESE prepared guidelines for election of Village Development Committees (VDCs) who would manage the water facilities on behalf of the community. The community also appointed Community Development Promoters (CDPs).

- ***Orientation and capacity building of established structures:*** the VDCs and CDPs are then trained in a range of water facility management aspects including leadership development; basic book keeping; and mobilisation.
- ***Procurement and Construction of works*** – at first, JESE had own water masons who would construct facilities, but these were reportedly too costly to keep, so it opted to retain their services on call basis. The VDCs play no role in procurement of works and services but are asked to supervise the constructors in terms of recording daily attendance and monitoring the use of materials (mainly cement). JESE’ technical staff act as supervisors (consultants) to assure quality. The consultant found conflict of interest where JESE selected service providers (water contractors), paid them and supervised them on behalf of the MDO and community without active involvement of the beneficiaries, contrary to the principles of the MDO model/approach. The argument advanced by JESE for not involving the district or su-county officials or procuring through the local government tender board is that the existing systems are bureaucratic and corruption ridden. This is actually true and is largely blamed for the shoddy work in Government established social infrastructures including water points. This argument does not, however, address the concerns of not involving the beneficiaries. The consultant wants to add the observation that JESE also avoids working through LG structures because there is no transparency on the part of JESE; they do not submit monitoring and progress reports to local governments – preferring instead to deal with local communities directly. JESE could not answer to the question how JESE itself can procure technicians, supervise and pay them without any element of compromise.
- ***Participatory Monitoring and follow-up*** – After the construction of safe water facilities, JESE field staff together with VDCs and CDPs organise regular monitoring sessions (once a month and sometimes quarterly) to monitor how the sanitation practices are being adopted and whether the water sources are being maintained clean. JESE has designed formats for reporting on which and how many households are responding and how many are not. The sessions involve all households in the beneficiary villages. On particular positive element is the fact that JESE put the beneficiaries to supervise the works (mainly to ensure that contractors were actually working and checking some basic quality issues like sand/cement mix. As such JESE contributed to improved accountability. However, it was noted that concept of participatory monitoring is JESE driven and the communities do not seem to understand it.
- ***Exit strategy and sustainability*** – JESE staff feels no sufficient capacity has been established to enable the beneficiary communities take charge of the water source. They have designed a maintenance toolkit to handle repairs. In addition, JESE will support the services of a maintenance technician for another 2 years after the project end, after which the communities and LGs will be entirely responsible.

In its implementation, there was little evidence to suggest active involvement or collaboration with other actors, apart from the beneficiary communities. Perhaps, the only institutional arrangement for coordination is the WES NGO Forum which is chaired by JESE and which brings together all NGOs involved in the WES activities in the district.

3.3.2 Institutional framework

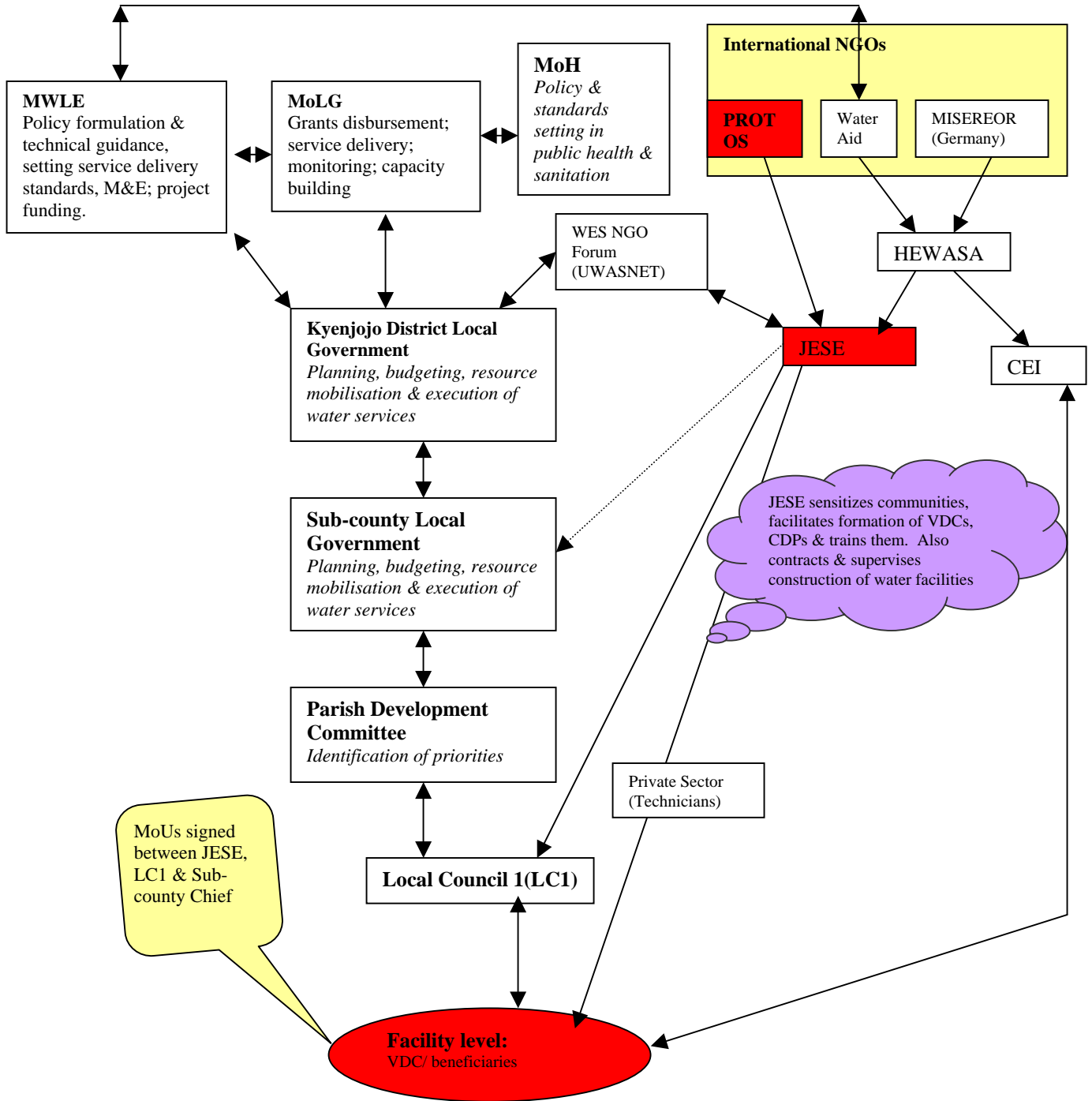
Figure 2 below shows the graphical illustration of the linkages between actors in the WES in Kyenjojo district and the intervention of PROTOS (marked in red).

As can be observed, the linkage between JESE and Local Government structures is very thin. Local authorities are generally only involved in signing the Memoranda of Understanding (MoUs) with JESE but the commitments are never followed up.⁴ The other area is inviting local officials for meetings and seminars but little is done in working with them.

<i>Table</i>	<i>Appreciation of institutional framework</i>	
	STRONG POINTS	WEAKER POINTS
<i>Private sector</i>		The private sector has much needed skills that are not tapped by JESE, instead masons are trained
<i>Networking</i>	The Forum of WES NGOs chaired by JESE could act as a good bridge between civil society & LG even though CSOs are still weak.	Ineffective networks between JESE & other WES NGOs undermines its ability to take advantage of existing potentials for dialogue & pulled capacities.
<i>Dialogue and communication mechanisms</i>	Appropriate mechanisms for a good flow of information from communities to the sub-county contribute to acquisition of government support, but this is not visible in reality.	Weak connection between WES project and health government structures makes it difficult for communities to appreciate importance of safe water, hygiene and sanitation
<i>Linkages with local government</i>	DWD has some capacity on which JESE builds: for instance no masons have been trained by JESE, they could pick from a pool of already trained ones.	Weak linkages between the District Local Government and JESE hinder the project from benefiting from skills existing there.
<i>Project management</i>	Existence of a field office with well equipped and motivated personnel keeps JESE on ground	Reliance by JESE on weak VDCs & CDPs for monitoring information, further exacerbates the problems of monitoring & reporting
<i>Grass roots structures</i>	VDCs and CPDs are future structures for sustainability	There are few incentives for local grassroots structures to work more effectively. Currently depend on volunteerism.

⁴ The staff member of PROTOS Belgium responsible for the follow-up of Eastern Africa insists on the fact that JESE sits together with Sub-county officials each year to draft the activity plan?

Figure 2: Schematic Illustration of the Linkages between Actors in WES Service Delivery



3.3.3 Contextual Influences

The contextual influences are related to:

1. Government policies
2. NGO interventions
3. the district Kyenjojo

Government policies - It should be recalled that the current trends in Water and Sanitation in Uganda, is a pro-active reflection of the lessons learnt from sector investments and performance over the past decade. The high percentage of non-functional water facilities persistently reported in evaluations throughout the country was a strong signal that the issue of sustainability has not been adequately addressed. And it was established that this was due to the fact that previous programmes emphasised technical aspects and neglected issues of community mobilisation, sensitisation, active participation and involvement of men and women, financial management and institutional development.

In this regard, the GoU decided to direct her efforts to meet high implementation targets set for the rural water and sanitation sector, and accordingly designed a long term strategy (2000-2015) to focus on stakeholders involvement and cooperation, by establishing dialogue with community based organisations (CBOs), NGOs, private service providers, and empowering local communities to work with them.

This is the spirit under which programmes have been implemented.

NGO intervention - There are umbrella organisations and Forums for NGOs, private sector and other actors in nearly all districts, through which non state actors influence policy, strategy and public investment allocations for the water and sanitation sector. This underlies the importance attached to the software (institutional aspects) component of the programmes, The water policy provides clear guidelines for WES interventions such as that implemented by JESE. The political environment however influences the participation of NGOs as water resources may easily be politicised. The power of an NGO at the LG level depends on its budget as well as its strategies for influencing the local sector environment. The WES sector has attracted many donors and NGO interventions. In Kyenjojo, some 10 NGOs including JESE are intervening in water and sanitation

Water Aid was the main donor intervention which covered Kyenjojo and other Western Uganda districts. The project, however, wound up. Apart from the 10 local NGOs and the Kyenjojo Local Government, there are no WES donor interventions in Kyenjojo. HEWASA, a local NGO supported by MISEREOR is supporting and supervising several local NGOs in WES. This NGO is implementing the so-called Gravity Flow Scheme (GFS) in Kicwamba sub-county. In this project, HEWASA's principle task was to mobilise and sensitise the community on water and sanitation and to build and strengthen the community's capacity in managing and sustaining the water and sanitation facilities, so that they remain functional.

A national coalition of NGOS working in WES (UWASNET) has been formed. This helps in training members for efficient dissemination of WES interventions.

Kyenjojo district - The JESE project primarily targets rural poor communities. More specifically, JESE targets to build 44 safe water facilities to cover 2,500 households (benefiting over 7,500 persons) in 18 villages of Kibira and Buraro parishes, Nyantungo sub-county, Kyenjojo district (according to the information in the project formulation). Of the 44 water facilities, 42 facilities (or 95%) have been constructed, and 2 more are to be constructed before the end of the project.

The beneficiary villages are those which experience severe shortage of safe water and where incidences of water borne diseases are high. In addition, the project targeted communities where sanitation coverage and awareness about hygiene practices was lowest.

High levels of poverty and low literacy levels among target communities influence the speed of behaviour change. Hence hygiene and sanitation utilities are improved using cheap locally available materials. Also since the contribution of communities to water sources is limited by poverty, WES projects bear at least 70% of the total cost of construction and installation.

3.3.4 Support to local actors

Support to local governments- The main weakness observed in the approach, from the analysis of the Nyantungo project, is the narrow focus on the water source/ sanitation facility and beneficiary communities, with little analysis and support to the entire process of policy, planning, budgeting and implementation. While it was recognised that the LGs at all levels are weak, JESE project invested considerable amount of time and resources in mobilising communities, establishing water management structures, and constructing water facilities. But no support, beyond invitation to meetings and workshops, has been provided to develop institutional capacity of LG levels to take up responsibility for maintenance of established water facilities, and continue guiding and supporting grassroots structures. JESE's attempts to address O&M sustainability issues through a spare parts kit has also been found unfeasible and it is currently being debated how best to implement it. But the local government officials are not actively taking up initiative and are not responding to initiatives taken by JESE.

Support to the communities – Clearly, the emphasis in this project is on the communities. JESE supports communities in the following processes:

- ***Determination of the agenda for the water sector:*** Through training in safe water and hygiene, JESE enabled communities to appreciate water as a priority and therefore demand for clean water. In addition, through the vigorous training and mentoring of established water management structures (VDCs, CDPs and LC1 Chairpersons), JESE has helped transfer some basic skills in community based monitoring to some members of the local community. Indeed, it was observed that some people were able to assess their hygiene and sanitation situation but not yet able to analyse them and forward them to local governments for incorporation in the sector budget, or develop their own ways of solving them. The capacity of communities to influence the district or sub-county water sector plan is, however, still non existent, eventhough LC 1 officials are part of the VDCs.
- ***Mobilisation and Management of funds for maintenance of water points:*** VDCs have reportedly been trained in book keeping, financial mobilisation and management. Local

Council 1 (LC 1) Chairpersons also serve as Advisors to the VDCs to assist in mobilisation of the people, formulate byelaws and ensure compliance in enforcement of rules for the water facilities. The other idea behind involvement of LC1 Chairpersons was to create a link with local government structures up to Sub-county level, but this does not seem to have worked yet. JESE provided exercise books to facilitate book keeping although the consultant observed that much of the information kept in the books was related to attendance of meetings; visitors records, with no record of financial book keeping. It was reported that the majority of members find documentation difficult and there is need to develop simple formats for monitoring and book keeping. None of the VDCs had a clear procedure for collection of funds and lacked transparent systems for keeping the money.

- ***Monitoring water sources and hygiene and sanitation in homes;*** VDCs have been trained to monitor water sources and hygiene and sanitation in homes. They have however questioned the purpose of hectic participatory M&E sessions. JESE should provide a feed back of their project so that communities understand the purpose of monitoring. Although JESE has developed easy monitoring formats, clear schedules should also be set-up by JESE if the exercise is to be regular and therefore meaningful. JESE also needs to consider motivating the VDCs and CPDs if they are to work satisfactorily. This is because other community projects offer payment to local administrative agents in the project.
- ***Planning of works on WES:*** JESE is empowering VDCs and CDPs to mobilise community members to clean at water points and establish hygiene and sanitation utilities. These include tippy-taps, dish racks and latrines in demonstration homes. This is achieved through guidelines on “roles and responsibilities” of various players in WES as established by JESE. However Women’s time is taken up by domestic chores which explain their limited participation in such plans even though they are the key users of water and overseers for hygiene and sanitation in homes.
- ***Support to schools:*** JESE has only started to implement WES projects in schools and only 1 school has benefited so far i.e. Nyarukoma Primary School. The school was selected in order to solve conflicts over a village water source. There was however reluctance by parents to contribute materials for the well. Parents have also refused to pay maintenance funds for the well. The reluctance of the community members to contribute to the school water facility and yet use it, is an indicator that many local communities not yet appreciate the need for safe water, hence a lot of effort is still needed in behavioural change.
- ***Participatory design and implementation:*** Communities participate in site selection by identifying sites where water is available in both wet and dry seasons. JESE provides technical expertise in selecting appropriate technologies (shallow or spring wells). Cheaper technologies, namely spring wells, are promoted over shallow wells. The selection process could also be used by JESE to point out true costs of safe water sources so that they can value them. Currently communities are only aware of the value of materials contributed by them which account for only 34% and 17% of the total cost in shallow and spring wells respectively.
- ***Ensuring functionality of water sources:*** JESE has trained local masons and pump attendants to undertake minor repairs on the established water points. The rationale followed is the belief that these are closer to the communities and therefore could have vested interests and are more

cost effective. There is at least 1 mason for every 3 villages. Communities are expected to use the funds collected from users to cater for minor repair costs e.g. paying for the masons. It is not clear how this will work since no breakdowns have been reported yet as all the water points constructed by JESE are still new. There is, however, scepticism even among some local people who argue that this may not work due to resistance and poverty of the population. JESE is relying on the durability of the works made – it was projected that shallow and spring wells were likely to experience major break downs at most once in 10 years, which is sufficiently long to enable VDCs to have developed the needed financial and organisational strength.

3.3.5 Appreciation of the support by different stakeholders

Beneficiaries -The most felt appreciation of the PROTOS intervention is at beneficiary level. The people interviewed clearly felt the safe water facilities provided by PROTOS / JESE have addressed their needs and tremendously improved the quality of life.

The other aspect widely appreciated is the quality of works – JESE has used reliable and appropriate technology, and there is strict adherence to quality standards in the construction. Beneficiaries are also involved in supervision of the contractors, albeit at a smaller scale. The JESE project has insisted on the condition that beneficiary communities contribute at least 20% of the cost of constructing the water source, without any compromising. This has helped in mobilisation and enlisting greater commitment of beneficiaries.

The integrated approach which the project has followed i.e. linking safe water to behavioural practices in sanitation, etc, is one way of ensuring the interventions focus on the impact, i.e. water borne diseases are not just a result of lack of access to safe water but are associated with poor sanitation and hygiene.

Institutional actors – Notwithstanding the positive appreciation there are concerns (mainly formulated by the institutional actors) that:

- the creation of VDCs rather than working to strengthen existing structures further complicates the problem of capacity building and operations of grassroots based structures. There are several committees at grassroot levels, some of which are legitimate, e.g. Environment Committees – which could have handled the issues of WES.
- there might be an incompatibility with existing institutional structures for water management. The Water policy of the GoU envisages establishing Water User Committees (WUCs) throughout the country; train them and empower them to maintain the facilities. And these are supported irrespective of the project/ programme under which the water source has been established. However, the structure, composition and functioning of the VDCs is not foreseen in the government structures and mechanisms, and this makes it difficult to integrate them within the GoU's operations. For instance, Kyenjojo District has received support from UNICEF to train 600 WUCs of which only about 200 have been trained. There is a likelihood of VDCs being left out.
- the PROTOS programme did not have sufficient time and resources to mobilise and bring on board local government structures, so that they can takeover the management of facilities after the project has ended.

- There was need to build on the interventions of other programmes. For instance, Water Aid, RUWASA, UNICEF and other programmes had trained a large number of technicians and basically left them on their own after project closure; pump attendants and WUCs but the organisation of private contractors was still weak. While this was the main area of weakness in Kyenjojo WES Sector, the PROTOS programme appears to have under-looked this. Part of the reasons could be the fact that the preparatory project identification phase did not include sufficient consultations, if any, with local government authorities and other district level stakeholders.

Weak communication mechanisms - There are concerns that JESE has been unable to share information and feedback on their activities and approaches, so that many prospective stakeholders were not aware of what actually happened. The participatory M&E results are not fed back to the communities, and the progress reports on the project activities are only shared with PROTOS. As a result, the LGs and other stakeholders do not seem to follow the progress. This explains, in part, why the local communities have questioned the purpose of hectic participatory M&E sessions. The consultant observed that part of the problem could be due to lack of capacity for monitoring; data analysis and reporting at JESE. All the JESE field staff seemed to be inexperienced in issues of project management.

3.3.6 Conclusions about the support to MDO in practice

The PROTOS concept of MDO envisages a situation where the local communities (as the ‘Maitre d’ouvrage’) are empowered to plan, budget and manage water facilities; to have competences and clear separation of roles between service direct providers (whether NGOs and private enterprises); and facilitators (consultants, capacity building NGOs, donors,..) and the Government as the regulator. While this is what the Water and Sanitation (WES) policy encourages, field findings suggest that this is not how the JESE project supported the MDO. The focus of the project was on establishing the water source and hastily putting in place management structures. JESE management also acknowledged this during the de-briefing session but argued that there was no sufficient time. Some key observations to support this conclusion are summarised below, and these were raised during the de-briefing meeting:

(i) ***Procurement and Financial Management***: Local masons are recruited by JESE without the beneficiaries of the local governments. After they have been contracted, they sign contracts with JESE to whom they report.⁵ JESE procured the services of Water Technicians/ contractors without involvement of the beneficiary communities or their representatives (VDCs, CDPs); and the VDCs have not been involved in budgeting and financial management. While this would have been a way of transferring skills in procurement, financial management and budgeting, there was no opportunity for them to learn and appreciate the process, as JESE acted as a facilitator and client at the same time. In fact, JESE officials reported that previously they used own technicians until it was proved expensive to maintain them. This put JESE in a difficult position as an implementer instead of a facilitator. The argument put forward was that the procedures used by the Local government tendering are too bureaucratic and corrupt and JESE tried to avoid this through direct selection.

⁵ At first, JESE used their own staff.

(ii) ***Private sector has not been supported.*** JESE argued that previous programmes had supported training of water technicians and pump repairers/ attendants, and so it was not necessary to train more. But there was a problem of organisational capacity. Unlike NGOs which are mobilised through the umbrella, the private sector service providers (technicians, traders, distributors, etc) did not have such, and as a result, they are scattered, weak, lack the professional conduct needed to guarantee quality services. The question is of course, whether PROTOS should take this up, or whether other umbrella type organisations, such as HEWASA are better placed to do so.

(iii) ***Clarification of roles:*** In the memoranda of understanding (MoUs), JESE clearly appeared to dominate and influence everything, contrary to its established role as facilitators. Although the Sub-county Chief signs the MoU, there was no evidence that the LGs are committed to playing their roles and JESE appeared not to put in effort to get them on board. This created a perception, among some LG officials who demand allowances, that JESE had more vested interests in enforcing the implementation than the actual beneficiaries, and that the project was theirs. Further, a concern about too many community based structures was voiced by a district official who pointed out that there was a tendency for each project to create own structures using the same people, a situation that had resulted in inefficiency and unclarity of roles. He added that the district authorities were thinking of ways to harmonise them.

(iv) ***Integration into local institutional arrangements:*** JESE relied almost entirely on its own staff. The entire field office in Kyenjojo was dedicated to the project and there were no involvement of local government officials. Incidentally, district officials claimed that LG officials at sub-county level are available and redundant but only need facilitation. As a result, there is limited possibility of the activities being followed up once the project closes.

(v) ***Generally, the involvement of the local government machinery is low,*** and becomes even more minimal up the ladder. For instance, the project involved LC 1 Chairpersons on the VDCs as advisors; at sub-county level, the Chief signs MoUs, but at district level, LG officials only mentioned that the closest they have participated is to attend some meetings and workshops. This makes it difficult to consider the facilities established in the LG budgets for O&M.

(vi) ***Monitoring and evaluation (M&E) tools*** developed are appropriate for participatory monitoring but in content, it seems that they cannot capture the right indicators (e.g. on water users, walking distance to water source, impact on health, user satisfaction, etc).

(vii) The issue of ***O&M does not seem to be taken seriously*** perhaps it is because the water points are new and maintenance problems have not yet arisen. There are no adequate mechanisms put in place to ensure O&M, apart from training local pump attendants and VDPs for mobilisation, who are expected to work voluntarily. JESE presented the M&E tools to the communities and asked them to collect data without even explaining why data are important and what it can be used for.

Unlike other areas where voluntarism has worked, most of the population in Kyenjojo district are resistant to community development activities. This is due to a multiplicity of factors, including: cultural mix – many are immigrants from various tribes; poverty and ignorance are high and many people do not appreciate the value of safe water; the local government structures are ineffective in community mobilisation and empowerment; and there are very few grassroot based organisations to catalyse attitudinal and behavioural change. Besides, women are the most interested groups yet

they remain suppressed by men. In Bénin, for instance, the scheme on the implementation of the project Haadi-Sud (see country report Bénin) shows that there are many active actors and interventions at grassroots levels working to empower local communities and the local government structures are better linked to and more sensitive to community needs.

(viii) ***Down-ward accountability to beneficiaries is evidently lacking***: JESE prepares budgets and financial accounts but reports to its management, board of trustees and to PROTOS, the donor. Information about project performance is gathered through routine and periodic monitoring in the field involving local communities. However, there is no feedback to inform the beneficiaries about the progress made or what is not going on well. In addition, beneficiaries never receive information on the value or cost of the water project, as the total cost is not disclosed to them and the community contribution is not monetised even though it is estimated at 20-40%. This makes it difficult for beneficiaries to appreciate the value of the water source and protect it vigorously.

(ix) ***Inadequate institutional capacity at JESE for participatory planning, monitoring and evaluation***: it was noted that JESE does not have sufficient capacity to plan and implement participatory planning and monitoring

It was observed that involving local governments in project planning and implementation especially for funding which is disbursed outside the government machinery is difficult and tedious but it is the right thing to do. The impact created at facility level cannot be sustained if the facilities developed are not integrated into the existing service delivery framework. One of the areas in which the PROTOS / JESE project should have supported the MDO is to empower the local communities to demand for quality services using the facilities developed as a demonstration; and to create functional linkages with service providers. This should be the focus of the remaining period of the project.

3.4 Qualitative description of the elements in the PROTOS system

The national policy on water and sanitation emphasises demand driven service delivery, with local ownership developed through a process of participatory planning; building strong community based water services management; and linkages between service providers and clients through enhancing public-public partnerships.⁶ PPPs are to be created through dialogue and support to central and local government agencies; private sector agencies in water and sanitation either as direct providers or advisors; NGOs and other non state actors. The PROTOS system application in the Nyantungo project has embraced the basic elements summarised in the following table;

Table	Summary of the Qualitative Elements
Characteristic	What has been done by the Project?
Institutionalisation	<p>JESE has spearheaded the establishment of grassroots structures (the VDCs) and organisation of the civil society at district level (WES NGO umbrella). This is expected to strengthen the local civil society in advocacy in the areas of policy, capacity building and pro-poor resource allocation in the WES sector. There is also potential for building public-private partnerships if other WES NGOs can be actively mobilised and supported.</p> <p>It should be noted however, that these structures are not yet formally recognised by the local government, who is not used to work with development committees in the sector of water. Further, the roles of VDC's are not very clear to the participants either and there only experience at the moment is in the sector of water (and sanitation)</p>
Contractual process	Little has been done in this area, as JESE handled the contracting without involvement of beneficiaries and their delegated representatives (VDCs)
Dialogue	Dialogue has been established at community level through regular meetings; emphasising that record should be taken for all meetings. At NGO level, JESE is an active member of the Local Forum for NGOs involved in WES and is currently the chair. It is through this Forum that dialogue with LG and other NGOs is established. There is, however, little to indicate that LGs have been engaged right from lower levels to district levels. It would appear that only LC 1 Chairpersons (not all executive committees) are involved with operations of VDCs.
Apprenticeship process	VDCs & CDPs have been trained and mentored in monitoring and community mobilisation; and leadership skills although the training provided appears to have been insufficient. However, the problem remains with the Service providers who have not received organisational support
Advisory support	Advisory support was provided during the formation of VDCs – encouraging women to participate; advising on criteria to use in selecting committee members; and providing guidance and training, in addition to guidelines for functioning. However, there was no support extended to existing CBOs and private sector agencies (it appears they don't

⁶ The funding provided to WATSAN Forums at district level and the provision that they debate and comment on district water sector budgets are evidence of Government's policy shift since around 2000, to promote public-private partnerships. For instance, it is a standing guideline that Government water departments should not dig boreholes or any other infrastructure, but should instead tender out to private contractors. As a result, water departments do not purchase water equipment any more because all work service delivery activities are in the hand of the private sector (except water resource monitoring which is a regulatory function not delegated to the private sector). As a result, many private sector providers/companies have come up and some senior water experts resigned from the Government to work independently. The initiative to encourage public-private partnership has, however, been engineered and technically supported by donors, such as DANIDA, DFID, World Bank and the EU.

	exist).
Gender	Gender concerns have been mainstreamed in the process of establishing grassroots structures but there does not seem to have been a vigorous advocacy programme for women empowerment. Women are visibly still inactive – and are reluctant to participate where decision processes are involved. When it comes to actual decision making even those attending the meetings cannot contribute largely due to a lack of self-confidence. Women and children have, however, been reported to be the major contributors of local materials/ inputs for construction and maintenance work, while others have been elected to head VDCs. JESE developed guidelines to ensure that at least one third (about 30%) of the positions on the VDCs were women.

3.5 Appreciation of the PROTOS support to JESE

Because PROTOS was not present in Uganda, it is worthwhile to assess to which extent JESE was supported to put into practice the qualitative elements of the PROTOS approach. The general appreciation of the PROTOS support to JESE is that it has been enormous. JESE received all the funding for the project including administrative budget to support field staff. It was reported that JESE was institutionally weak with even no capacity to prepare budgets or write attractive project proposals. During the last three years, some visible attempts have been made to transform JESE into an NGO with some capabilities to manage water service delivery.

However, the situation on the ground seems to indicate that JESE was more or less left on its own. Unlike other facilitating agencies such as Water AID (UK) and SNV who provide capacity building support and vigorously monitor and follow-up progress, PROTOS was not able to mentor JESE or to monitor their performance continuously and from near by (‘appui de proximité’). PROTOS seems to have relied on reports submitted, and this explains why JESE concentrated more on accountability reports (not including the input and appreciation from local stakeholders) to their donors (PROTOS) and not so much on developing the level where it is able to facilitate and coordinate WES service delivery. PROTOS also did not seem to have effectively oriented JESE to focus on the qualitative elements, i.e. building relationships between water sector actors, and empowering grassroots based actors to manage services but also to demand accountability in the water sector from the public sector. So that the outputs – well maintained safe water points, behavioural change in WES practices, etc. would be lasting outcomes of the institutional structures developed. At the moment, the focus seems not to be on the approach but on the outputs (so many water points established, number of VDCs established, etc.)

In a nutshell, the PROTOS approach is a very much appreciated in the water sector. But this would make more impact if PROTOS makes a strategic shift from providing just funding and minimal technical backstopping and actually go on the ground. Greater value would be added, especially as no single NGO (little attempts by SNV, Water Aid, ACCORD, ...) has essentially focussed on building accountability relationships at local level, primarily aiming at the client/water users.

3.6 Comparison with other donors/organisations

Although a number of projects were visited, it is about the HEWASA programme that the consultant managed to get sufficient information to enable comparison. Besides, the

representatives of HEWASA were the only other NGO that participated in the de-briefing workshop in Kyenjojo town.

<i>Table</i>	<i>Comparison between JESE/ PROTON and HEWASA Interventions</i>	
	JESE/ PROTON	HEWASA
Participatory Planning, Implementation & Monitoring	Focus was on community level actors. LGs are only invited to meetings & workshops.	Involved the whole LG machinery from cell to Sub-county to district level in all aspects of the project. For instance, the construction verification team included the District Water officer, Scheme attendant, HEWASA staff and WATSAN committee members. This team toured the whole scheme checking on structures put up by hardware contractor and functionality of WATSAN committees.
Framework for monitoring	Sector indicators are missing in the tools used.	Followed national sector guidelines & indicators
Training & Capacity Building	Targeted beneficiary communities & grassroots structures	Targeted beneficiaries, local CBOs, private sector agencies & LGs.
Gender integration	Designed written rules on the proportion of women on VDCs. Proportion of women in committees are about 30%.	No written rules on gender. All WATSAN committees comprised of 50% women.
Post construction work	No formal hand over. Continued to support the beneficiaries with sensitisation & monitoring.	Hand over report with detailed guidelines and MoUs on shared responsibilities. MoU signed with LG structures from LC 1 to LC 3 and DWD.
General Implementation approach	Used demonstration approaches – model homes, etc. Emphasised appropriate technology and use of existing structures e.g. latrines in homes - On sight mobilisation through direct visits.	Constructed demonstrations latrines Used a range of media for advocacy & mobilisation. Advocacy and awareness raising has been undertaken through radio messages, village meetings and community functions, such as LC meetings and religious functions. The results have been promising (see summary in annex 2)

In both projects, however, there appears to have been a tendency to focus on activities rather than on results. This perhaps has to do with accountability to donors, whose accountability demands tend to lean more to what has been done with the funds (how the funds have been used) rather than on the achievements and impact created.

Comparison with other intervention approaches:

- **Water Aid** was premised on the need to create a critical mass of technicians with the skills to maintain the facilities put in place. It was believed that having many trained water technicians in the locality would result in relatively affordable services.
- **The EU micro-projects programme** established water sources, and attempted to develop the capacity of sub-county and district local governments in planning, budgeting priority setting, monitoring and O&M, through training and provision of facilities- each district received a vehicle for the water department. It also used this as an incentive to reward those LGs that had undertaken the practice.

4 EVALUATION (PRELIMINARY CONCLUSIONS)

4.1 Conclusions on impact

With respect to provision of safe water facilities, JESE project has achieved impressive results in a considerably short period of time. However, the consultant concludes there has been overall focus on establishing facilities rather than on the process of building sustainable grassroots institutions and relations.

Box 1: Some conclusions on Impact

- Improved access to safe water
- Some degree of behaviour change towards hygiene and sanitation.
- Some degree of ownership of the water infrastructures built
- Awareness about government strategies for O&M.

Some concrete observations

Improved access to safe water

JESE has so far constructed 42 water sources making it possible for nearly 10,000 people to have access to safe water. Only villages where there were no safe water points were provided with water points. This means that although some people still have to walk at distances of up to 2km before reaching such sources, there is improved accessibility in comparison to the baseline situation.

There is some degree of behaviour change towards hygiene and sanitation.

One important innovation that has resulted in behavioural change is formation of a WES and hygiene club in Nyarukoma Primary School, Buraro parish. The school has received a shallow well constructed by JESE. JESE has also trained the teachers in hygiene and sanitation practices. As a result households of school children have had behavioural change started by the trained children.

Behavioural change in households has also been the result of model homes where good hygiene and sanitation utilities have been installed. It was found that for every model home, there was at least one neighbouring household that had adopted good hygiene and sanitation practices.

There is some degree of ownership of the water infrastructures built:

- Readiness by communities to bring local materials for construction of facilities shows community ownership.
- Communities have adopted a participatory monitoring and evaluation system introduced by JESE. Matrix formats developed by the project are used.
- In areas where LC 1 officials are actively involved in the operations of the VDC's, byelaws on water and sanitation have been developed and there are attempts to mobilise

the communities to contribute to the O&M for water facilities. One such bye-law is the mandatory repair of a well by a household if one of its members damages the well.

- 2 out of 42 villages have started collecting maintenance funds. The monthly user fees are minimal (Sh.100 to 300) and affordable by all households. However poor methods of collection have hindered collection of fees. JESE has come up with more efficient methods of collection including door to door collection by VDCs (care-takers) and collection during water source maintenance meetings.

Awareness about government strategies for O&M:

- Collection of user fees
- Collection of materials for construction of water facilities

4.2 Conclusions on effectiveness

The JESE/ PROTOS intervention was somewhat effective with regard to mobilising target communities into organised groups (VDCs); training and sensitising them on resource mobilisation; etc. Despite this, evidence on the ground suggests that the structures created at the grassroots level, are shaky and comparatively weak.

The main manifestation of the ineffectiveness is in the failure to work with and or support local government structures. Service delivery under decentralisation in Uganda is enormously challenging, especially regarding skilled personnel; low revenue collection and inadequate inter-governmental fiscal transfers; as well as inadequate capacity of elected leadership in planning and supervision of service delivery. Hence, JESE/ PROTOS intervention has certainly not been effective by not extending support to LGs.

4.3 Conclusions on efficiency

In general, the Nyantungo project was efficient when materials deployment is considered - Emphasis was on use of local materials (especially in construction and hygiene practices) and the local contribution by beneficiary communities, made the project all the more efficient.

However, JESE appeared to have hired too many personnel and provided too much facilitation – A total of 8 technical staff (6 permanent and two volunteers) each with a motorcycle, to work on one intervention in one sub-county, was, in the view of the consultant, inefficient utilisation of human, financial and logistical resources. Moreover, their counterparts in LGs are hardly adequately facilitated. In fact, this situation that could have resulted in alienation of JESE personnel and observed perception that JESE had been given a lot of funds for the people. There appears to have been little effort in mobilising and working through established local government systems including requesting the sub-county or District Local Government to provide counterpart personnel. Moreover, the LG officials met reported that most LG staff at district and sub-county level was ‘redundant’ and therefore available to work as counter-part personnel to the project. It was, however, stressed that they needed to be facilitated as well (vehicle, petrol).

A summary of quick observations on efficiency are presented in box 2 below:

Box 2: Summary of observations on efficiency:

- Installation of water points is efficiently done.
- There is timely implementation of works.
- Flow of information between the field office and the LG is inefficient.
- VDC plans are not well written
- Management of maintenance funds is inefficient.
- Lack of efficiency in monitoring
- Community training is poorly done

Some concrete observations

Installation of water points is efficiently done.

- Skilled masons trained by WaterAid are contracted to install the equipment.
- Local masons are contracted to build the surrounding structure.
- There is efficient mobilisation of communities for construction of water points therefore contributions are brought in time

Timely implementation.

- Clear budgets are prepared in time
- Timely release of funds by JESE secretariat

Flow of information between the field office and the LG is inefficient

- The sub-county local government receives reports from JESE only once a year. This is inadequate.

VDC plans are not well written

- VDC plans for water source maintenance should be standardised if they are to be used at higher local government level.
- VDCs find it difficult to organise their plans.

Management of maintenance funds in the VDCs is inefficient.

- There is no agreement on keeping of the funds.

Lack of efficiency in monitoring system

- Absence of pre-set monitoring schedules for VDCs and CPDs creates late reporting and untimely redress of matters arising. This affects project implementation.

Community training is poorly done

- Training materials used are poor and limited to small cards.

4.4 Conclusion on sustainability

Sustainability was assessed from the following perspectives:

4.4.1 Identification of priorities and local ownership

Establishing community priorities is critical to the success and sustainability of water infrastructures and services. The PROTOS/ JESE approach to undertake sufficient beneficiary mobilisation and participatory implementation planning has helped strengthen beneficiary ownership, as has been the insistence on beneficiary contribution. JESE did not sign any memorandum of understanding (MoU) for any water source before it was clear that the intended beneficiaries were aware of the importance of the facility and committed themselves to maintenance and other responsibilities. An example is one village where the local residents refused to provide counterpart contribution and JESE withdrew the project and offered it to a school which was needy.

4.4.2 Strong and sustainable systems and structures

From the consultant's observation and JESE officials' own assessment, the water management structures established are shaky and weak, and hence there are concerns that they may not be sustainable. Moreover, only 2 out of 42 VDCs have been able to put in place funding mechanisms for maintenance of the water facilities.

4.4.3 Integrating within the local government systems

Water and sanitation are still a primary responsibility of the public sector – with local Governments having to plan, budget and implement Water and Sanitation projects, in accordance with the nationally set targets. This notwithstanding, safe water facilities are a property of the user communities, and the day to day maintenance is the responsibility of the users. For most districts (like Kyenjojo), the capacity to reach all needy areas is still low even with the water sector conditional grants and non conditional grants under Poverty Action Funds (PAF) from the central government. It is argued that for project interventions to be sustainable, they should be integrated in the LG system. This is because the government system retains the overall responsibility of service delivery, compared to projects which have a fixed life time. Thus, there are expert personnel, legal/ regulatory framework for maintenance, and budget provision.

4.4.4 Strategies for operation and maintenance (O&M)

Attempts have been made to put in place measures for O&M, as the Nyantungo project winds up:

- the training of local masons and pump attendants (the target is to train at least 1 mason for every 3 water sources/ villages) is an interesting strategy for ensuring low cost and reliable maintenance services. However, the spirit of volunteerism on which the training was based appears untenable, and yet there is no plan to empower user groups to collect maintenance funds (either by way of byelaws, fundraising,...);
- a spare parts kit was designed by JESE to be managed jointly by the Sub-county officials; JESE and representatives of beneficiary villages (VDCs), with the project providing initial

stocking. Lessons from experience suggest that this is not sustainable as neither the communities nor the LG have the capacity and motivation to sustain the kit through replenishment. The private sector is missing in the link and JESE seems to have realised this and has decided to review the strategy. There are inconclusive discussions on how the spare parts kit will be managed.

JESE officials and stakeholders seem to be convinced that (what follows are there opinions!):

(a) *Establishing community priorities will contribute to project sustainability.*

- JESE only establishes water sources in accordance with community demands. Such demands are expressed through the sub-county (LG) plans.
- Where communities have needs for safe water but they do not demand for services, JESE sensitizes them on hygiene and sanitation as a means of stimulating demand. On the basis of this, the project is designed.

(b) *Use of Standard procedures established within the water sector will not create sustainability if there is no motivation*

- Water source committees (VDCs) and CDPs are not motivated. According to the officials, JESE should begin to provide lunch and means of transportation for these agents if they are to work. Note that other projects are facilitating their monitoring agents. The consultant feels that this is an inappropriate incentive that is not sustainable.
- Water source committees (VDCs) and CDPs have not been trained to follow pre-determined schedules for efficient monitoring.

(c) *Project sustainability is constrained by the delay in signing of an MoU between JESE and the sub-county local government for the maintenance of water points.*

- LGs to make meaningful commitments prior to receiving interventions as opposed to after. Similar MoUs between other CSOs and LGs are signed at the beginning of the project which secures commitment by the local government to monitor and play a role in water source O&M by contributing to the project budget.

(d) *Planned Spare-parts kit will promote sustainability.*

- JESE will initially stock the kit with all necessary spare parts.
- The Sub-county LG as the local head of the water sector will administer the kit.
- VDCs are to purchase spare parts from their O&M funds at prices quoted by JESE.
- Based on its mandate to provide safe water, the sub-county is expected to pay for the spare parts whenever communities cannot meet the costs from their O&M funds.
- The sub-county, through village authorities is to make sure that communities continue to contribute to the O&M fund.
- JESE plans to support 2 technicians who will offer services in the target area for two years after the project has ended. It is expected that during this period, these technicians will assist to undertake complex repairs which the local pump attendants will not manage, until such a time that users and sub-county LG have developed capacity to take charge of full O&M issues.
- Masons (1 for every 3 villages), pump attendants and water source care takers (1 for every water source) have been trained, and sensitisation and facilitation will continue.

But the consultant is of the view that sustainability will be conditional to the active involvement of the private sector. The conviction is based on the observation of previous experience with RUWASA and UNICEF where local governments were given equipment after the project close and only exhausted them without replenishment. There is certainly no way an inactive LG now can manage a spare parts kit whose replenishment will require cost recovery management mechanisms. Replenishing would also imply good financial management, marketing and strong motivation on the part of technicians. From previous experience, government entities cannot effectively manage such ventures which need to be run on a commercial cost recovery basis. Moreover, it is government policy to divest such service delivery responsibility to private providers. JESE itself admitted to feel this would not work, because there are no mechanisms to regulate the management of equipment.

(e) Local authorities do not have capacity to plan and manage in a sustainable way the water sector although sustainability of WES activities heavily depends on them.

- JESE has concentrated on training VDCs and CPDs only in planning and management.
- Capacity of village authorities has only been built in the making of bye-laws for O&M.
- Local governments do not undertake baseline surveys to identify community needs. LGs do not budget for baseline surveys.
- LG officials tend to politicise the development programmes (e.g. influencing where safe water source should be located). This leads to poor planning in the sector.

(f) Cost sharing builds ownership of community utilities by all users and therefore sustainability.

- Communities contribute about 18% and 34% on the costs of construction of shallow and spring wells respectively. The contribution is lower where required parts are very expensive since community contribution is limited to cheaper sometimes locally available materials such as hardcore, sand, clay and bricks necessary for installing well equipment.
- Communities meet some of the requirements for training and monitoring sessions such as venue and seats.

(g) JESE eliminates politicisation of water sources to create sustainability.

- JESE dissociates WES projects from politics by explaining right from the beginning of the project the origin and purpose of the project.

(h) Absence of adequate participation by women as key users of water sources and promoters of hygiene and sanitation challenges sustainability of water points and behaviour change

- Active participation of women is still limited by cultural norms that have prohibited their effective participation in water WES. This has resulted in women missing out on many WES activities and therefore by the end of the project will be less able to plan, manage and maintain these water points. This has a negative impact since men, who have been trained in larger numbers by JESE may not necessarily prioritise access to safe water which may lead to neglect of water sources.

4.5 Recommendations

4.5.1 Identified Risks in the PROTOS Approach

A number of risks were identified in implementing the PROTOS Approach. These relate to the following:

- **Structural limitations of the implementing agencies** – JESE’s capacity is still low. the personnel who were involved do not seem to have sufficient experience, and others are fresh from school. Yet working with communities and mobilising local governments require sufficient understanding of the techniques of dealing with the institutional complexities and socio-political relations.
- **Timelines provided** – 3 years was arguably too short, first to reach all beneficiaries and actors, and to build viable institutional structures which would take charge of the water facilities.
- **Legacies created by previous projects** – implementing projects through provision of attractive incentives have made it difficult for LGs to play their roles. LG officials reported that their staff are redundant because they are not facilitated but if the NGOs are willing to motivate them, they could work with them.
- **Too many grassroots based structures which are not coordinated** – there are too many committees, units, and other structures which all seem to be doing almost similar work, and yet there are no clear guidelines for them to operate. Although the LG officials in Kyenjojo reported that the authorities are working out a mechanism to harmonise them, it is unlikely to happen soon, as these tend to be influenced by external interventions (either by Government, donor or NGO operations). In these circumstances, it is unlikely that the VDCs and CDPs will continue to function properly after the project end unless the institutional environment in which community based structures is streamlined.
- **Unorganised private service providers** – who would readily take up the task and Maitre d’oeuvre.
- **Slow rate of behavioural change** due to low levels of literacy, extreme poverty and cultural complexities.
- **Resistance of some communities** – many people especially in rural areas strongly believe that water, like any other utility, is a public service which is free and any improvement must be done by Government. Hence, they are reluctant to participate in mobilising local contributions and in O&M activities. This was incidentally more experienced in an area (Buraro parish) where there is severe shortage of water and where support for the project should normally have been expected to be high.
- There **was tendency to use “quick fix” methods** – where the implementing agency, JESE, goes round the problem rather than work through it and find a solution. It is not clear whether the project met difficulties in working with LGs or JESE wanted to use the quickest way, which resulted in creating structures at the community level that are visibly not appreciated and owned by LGs.
- **Terrain difficulties** – soils in Kyaka for instance are not favourable for pit latrine construction and siting water facilities requires sophisticated technology and constant monitoring. This is made worse by the fact that the LGs have limited capacity for water resource monitoring.

4.5.2 Formulation of Recommendations

1. ***Involvement of Local Governments from the highest level*** down wards is very crucial if the project interventions are to be owned and integrated in the LG activities. In the HEWASA GFS scheme in Kichwamba, the District Water Office and the Sub-county office was involved from the beginning. While this could have been easy because the funding came through DWD, PROTOS should put in place mechanisms to engage in dialogue with LGs to assure their commitment and participation before hand. The relations with the LG government structures need to be revised, for example through meetings with these structures to evaluate existing arrangements and chart out how best to improve it instead of ‘leaving things’ (focussing on establishment of water facilities and not building sustainable institutional relations).
2. There is ***need to harmonise the approaches with those of existing interventions***. One area in which is needed urgently is the role of VDCs vis à vis the WUCs in other areas.
3. ***There is need to emphasise the active participation of the VDCs (MDO) in the entire procurement process*** including decisions on the contractor for the water source. This will boost the client power of the VDCs over the contractors, and provide them with opportunity to appreciate the cost of the facilities provided as well as learn to negotiate and manage the procurement process.
4. ***Down ward accountability should be emphasised*** – to avoid the tendency for implementing partners to focus on providing good accountability reports to donors at the expense of the beneficiaries, there should be mechanisms to encourage or oblige them to provide technical and financial accountability to the beneficiaries and other key actors. This will promote transparency in the facility development process and enhance dialogue which is one of the principles of the PROTOS approach.
5. ***Before engaging in the project***, it is recommended that one of the conditions to be included in the MoUs should be legitimacy of the local structures to be created (VDCs), to empower and motivate them to lead processes of planning and implementation.
6. ***The implementing agency (JESE) needs capacity building support, to strengthen its capacity in participatory planning, monitoring and evaluation***. As a development facilitator, there is need for special skills in organisational development; initiating and motivating dialogue; and mentoring grassroots structures.
7. ***The time allocated to the project needs to be reviewed***. It was considered that 3 years is so short a time for any meaningful work on mobilisation, establishment and capacity building of grassroots structures for water facility management.

5 ANNEXES

1. Description of the JESE Project in Nyantungo
2. Description of the HEWASA Gravity Flow Scheme Project in Kichwamba
3. Some Tools & Instruments used by JESE in the Implementation Process
4. Program of Field Visit

Annex 1

5.1 Description of the JESE Project in Nyantungo

<p>Country and name of the programme: Uganda - <i>Enhancement of community health through integrated water, environment hygiene and sanitation in Nyantungo sub-county, Kyenjojo district, Uganda</i> Duration : 2003-2006 Budget and donor: PROTOS, Belgium</p>		
Region		
<p>General objectives To improve the health & living conditions of the people in Nyantungo Sub-county, Kyenjojo district, through improved coverage of safe water & sanitation.</p>	<p>Strategic level Ensure that 2500 households in 18 communities of Kibira and Buraro parish have sustainable access to safe drinking water</p>	<p>Operational level</p> <ul style="list-style-type: none"> - Construct (or protect) 44 safe water facilities in 18 villages by the end of the project - Establish local structures for the maintenance of safe water facilities;
Specific objectives		<ul style="list-style-type: none"> - 42 safe water facilities have been established ; - VDCs have been formed & trained in all the -communities & equipped with tools for M&E; CDP identified and trained
Results		<ul style="list-style-type: none"> - there is reduced incidences of malaria & other water borne diseases; - There is increase behavioural change
Target group	Kibira & Buraro parishes, Nyantungo Sub-county	
beneficiaries	More than 7000 people in 2500 households	
Indirect beneficiaries	- Elected leaders, who are using the positive developments of the PROTOS project to their credit.	
Overview of stakeholders	The key stakeholders are the Kyenjojo LG, Nyantungo Subcounty LG; PROTOS JESE; Local Communities; DWD; UNICEF; and the Church.	
Other organisations implied	There are some limited functional linkages with other NGOs through the WES NGO Umbrella. LGs participate only in meetings & workshops	

General approach	Participatory bottom-up identification of priorities; beneficiary involvement in construction; and management of water facilities.
Maître d'ouvrage	Community members, Nyarukoma P/S
Maître d'ouvrage délégué	Village Development Committee; Community Development Promoters; School Administration
Maître d'œuvre	None. JESE contracted and supervised the Masons
Institutional framework	MoUs are signed for the construction; Materials Monitoring forms are provided by JESE to VDCs to monitor materials usage during construction; M&E tools developed for hygiene. There are also guidelines for selection of CDPs. Sanitation toolkits provided to households in beneficiary communities.
Execution (team)	JESE field officers constituted of 2 sociologists; Water technicians; O&M personnel These work with community representatives who are trained i.e. VDCs, CDPs, Pump attendants, and LC1 Chairpersons who are Advisors to the VDCs.

The JESE/ PROTOS Nyantungo project : phases of execution

Preliminary remark: on paper and reported there is a clear role for local governments (for example LC 3), for instance in identifying priorities for projects, In reality, JESE did not work with the needs identified through the LG structure. This mechanism was not used: instead, JESE went to the ground and started working with communities directly. Although Memoranda of Understanding were signed, they are not working because LG's are not very active. There is a clear need to review the relations with the LG structures.

Phase : policies and planning				
Objectives :				
Changes noticed: None				
Changes that could not be witnessed:				
Activity	Actors :	Responsibilities	Method of support	Instrument of Support
Determination of agenda and definition of sectoral plan	Sub-county LG But not in relation to this project (only on paper)	Analyse community needs	None	NA (not available)
	JESE	Identify priority needs of the communities in WES	Facilitating planning meetings at village level; & workshops to define action plans	Experts in WES technologies, social workers.

	VDCs	Identification of community water and sanitation	Training in planning, community mobilisation & Monitoring.	Training cards on safe water and hygiene Household and water-source Monitoring forms
Le maître d'ouvrage (Beneficiaries) – but in reality substituted by JESE	Communities and schools	Report their needs to VDCs, LGs	None	NA
The delegation of la maîtrise d'ouvrage - this is not really happening in this project	SC Health Assistant County water Officer (They are not Involved in the Project in reality?)	Sensitize communities on need to maintain water points as users	Train VDCs in maintenance strategies (collection, budgeting and banking of user fees) Train VDCs and CPDs in making of work plans for water maintenance Provide checks and balances with regard to bye-laws for water point management and household hygiene Train community masons at least every 3 villages Train VDCs and CDPs in monitoring water and sanitation	None None None Training cards Monitoring forms
The contractualisation of the maître d'œuvre	LG (district) (when district is funded directly) In reality JESE Is taking up this role	Assess ability of implementing agencies/firms	None	NA

The contractualisation for the social intermediation	LG (district) (when district is funded directly) See the remark in the above	Assess ability of implementing agencies/firms	None	NA
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Phase : financing				
Objectives : to mobilise adequate funding for the project implementation.				
Changes noticed: Communities were able to contribute between 20-40% of the cost in kind.				
Changes that could not be witnessed:				
Activity	Actors :	Responsibilities	Method of support	Instrument of Support
Put the necessary funds in place	⁷ Schools management committees	Gather necessary materials Mobilise parents and children	Sensitize schools on community contribution	Guidelines on roles and responsibilities in WE
2. control the usage of the finances	Sub-county LG (but not in practice)	Budgeting for Water and Sanitation	None	NA
3. manage the income from the sale of water	VDCs, Community	Collect , budget and keep money for water source maintenance	Train in book keeping	Discussions

⁷ Head teacher, prominent parents, teachers

Phase : conception of infrastructure and identification of villages				
Objectifs :				
Changes noticed:				
Changes that could not be witnessed:				
1. Identification of villages	Parish and Village Authorities (but not in reality in this project)	Forward needs assessments	Assess extent of need for Water and Sanitation as identified by communities	Baseline survey
	Communities Schools	Forward their needs to Parish and Village authorities		
2 Feasibility study and choice of technology	Community	Identification of reliable water sites	Sensitization in water technologies promoted by JESE	Training sessions with village(s)
3. Planning of works	Sub-county LG Village and Authorities (but not in reality in this project)	Mobilise people to work during construction of water points	Include Sub-county village authorities in community meetings	Guidelines on roles and responsibilities in WES
	JESE	Mobilise households		Guidelines on division of labour including gender mainstreaming Seasonal calendar Notices of work schedule at wells

	Schools management committees	Mobilise children and parents to work Make work schedule for construction of water point	Sensitize school ma on required materials ⁸ and time required to construct the water source.	Guidelines on roles and responsibilities in WES Training Cards on water technologies promoted by JESE.
contractualisation of works	JESE	Identify contractors	Technical staff supervise contractors	Funds Technical expertise

Phase : Realisation of infrastructure				
Objectifs :				
Changes noticed:				
Changes that could not be witnessed:				
Activity	Actors :	Responsibilities	Method of support	Instrument of Support
Execution and follow up of works	Sub-county LG (not in reality in this project) village authorities (see the remark above)	Mobilise people to work during construction of water points	Include Sub-county LG and village authorities in community meetings	Guidelines on roles and responsibilities in WES
	Schools Communities	Collect stones, dig trenches,	Sensitization on required materials ⁹	Training Cards on water technologies promoted by JESE.

⁸ See annex on community contribution

⁹ See annex on community contribution

	VDCs	Collection of materials	Sensitize community on requirements for water point establishment	Transport Village sensitisation meetings
	Local authorities (LC1)	Collection of materials	Sensitize them Train in use of bye-laws for effective WES interventions	Guidelines on roles and responsibilities in WES
3.Reception of infrastructure (site)	Sub-county LG and village authorities, county water office (not in reality in this project)	Ensure non-existence of disputes with regard to land to be used for a water point	Confirm feasibility of site	Technical expertise

Phase : Utilisation and maintenance				
Objectives : To put in place mechanisms for sustainable operation and maintenance (O&M).				
Changes noticed: - VDCs have established schedule to regularly clear and clean around the water sources				
Changes that could not be witnessed: - Community response to O&M activities is still low and hardly any Village has mobilised resources for O&M.				
Activity	Actors :	Responsibilities	Method of support	Instrument of Support
Functioning of the water infrastructure	VDCs	Sensitize community water sources	Training for VDCs	Build technical expertise of local masons and technicians
		Monitoring water sources	Training in monitoring	Monitoring forms
		Monitoring household hygiene and sanitation		Model homes for good hygiene and sanitation
		Carry out training sessions for 3 to 4 households	Training VCDs in community techniques	Training cards in hygiene and sanitation
Maintenance	Masons	Contract mason ¹⁰	Training of masons	¹¹ Tool-kit to be put in place
	VDC	Schedule for maintenance Supervise monthly cleaning activities by community	Sensitization on district water maintenance strategy	Guidelines on Roles and responsibilities of VDCs

¹⁰ Community technicians for shallow wells trained by JESE masons ; one for every 2 to 3 villages while technicians for spring wells exist at districts or as private firms

¹¹ Future plans

	Sub county	Restock tool-kit at sub-county	Sensitize community on district water maintenance strategy	Guidelines on Roles and responsibilities of VDCs
	Local authorities (LC1)	Community mobilisation	Sensitize them Train in use of bye-laws for effective WES interventions	Guidelines on roles and responsibilities in WES
Management of income	VDCs CDPs	Budgeting Planning Book keeping Guidance to VDCs	Training Training in Budgeting Planning Book keeping	Monitoring meetings for JESE and VDCs Transport (¹² Bicycle) and lunch

¹² Future plans

Summary of the Observations on Effectiveness of the Nyantungo Project

<p>Phase: Policies and planning</p> <p><i>Objective:</i></p> <ol style="list-style-type: none"> 1. To enhance JESE's capacity to influence and work with other actors especially the three districts in developing the WES sectors over a two year period. 2. To enhance community knowledge and awareness about hygiene and sanitation issues, reaching 20,000 in the program area <p><i>Changes noticed:</i></p> <ul style="list-style-type: none"> • Communities are aware of hygiene and sanitation and are demanding for JESE's intervention through the LG. • Training cards developed for awareness creation. <p><i>Changes that could not be witnessed:</i></p> <ul style="list-style-type: none"> • No evidence of JESE's ability to influence and work with other actors in the sector
<p>Phase: Financing</p> <p><i>Objective:</i></p> <ol style="list-style-type: none"> 1. To enhance JESE's resource mobilisation capacity in order to enhance sustainability of JESE as an organisation over a one year period. 2. <p>Changes noticed: None</p> <p>Changes not noticed</p> <ul style="list-style-type: none"> • There is no funding mechanisms for O&M either from community or LG budgets
<p>Phase: Conception of infra structure and identification of villages</p> <p><i>Objective:</i></p> <ol style="list-style-type: none"> 1. To improve access to safe water by constructing and installing appropriate options that may be required and prioritised by beneficiaries over a two year period. 2. To ensure that 20,000 people in the program area of the three districts have access to effective sanitation over a period of two years. <p><i>Changes noticed:</i></p> <ul style="list-style-type: none"> • 42 villages where there were no safe water points now have access to safe water according to LG records. • There are records of community requests for safe water at the LG quarters. • Communities are mobilised and a good number are willing to work and contribute materials for installation of water sources. <p><i>Changes that could not be witnessed:</i></p> <ul style="list-style-type: none"> ▪ Ability of local communities to plan & number the households practicing good hygiene and sanitation.
<p>Phase: Realisation of infra structure</p> <p><i>Objectives:</i></p> <ol style="list-style-type: none"> 1. To strengthen the capacity of local communities to develop effective hygiene and sanitation facilities.

Changes noticed:

- Village authorities mobilise people to work and contribute materials for construction.
- Communities make contributions in form of labour and materials amounting to 17 to 32% of total cost of safe water facilities.
- Communities understand their role in development of hygiene and sanitation facilities.

Changes that could not be witnessed:

- Monetisation of local contribution.

Phase: Exploitation and maintenance

Objectives:

1. To strengthen the capacity of local communities to manage and maintain water and effective environmental hygiene and sanitation facilities in good working condition in the program area over a period of five years.

Changes noticed:

- VDCs have work plans for maintenance of infrastructure but these are limited to cleaning schedules.
- VDCS are monitoring water resources.
- VDCs are carrying out training sessions in villages

Changes that could not be witnessed:

- Capacity of Villages to manage water sources through mobilisation of funds 7 communities to participate in maintenance activities.
- Capacity to set and enforce bye-laws on water sources.

Annex 2

5.2 Description of the HEWASA Gravity Flow Scheme Project in Kichwamba

<p>Country and name of the programme: Uganda - Kicwamba gravity flow scheme: Pilot software component project – Kicwamba, Sub-county, Uganda Duration : February 2004- April 2005</p>		
<p>Budget and donor: UShs. 32.95 million (USD 18, 830): Directorate of Water Development/ GoU-PAF.</p>		
<p>Region: South Western Uganda.</p>		
<p>General Objectives The objectives of Kicwamba Pilot Software project were to:</p> <ul style="list-style-type: none"> - improve on the hygiene and sanitation situation in Kihondo Parish; - put in place adequate O&M systems for the water, hygiene and sanitation facilities constructed, including monitoring systems for O&M of the scheme as well as hygiene and sanitation monitoring. - sensitize and mobilize the community on water and sanitation; - build and strengthen the community's capacity to choose the kind of water facility they need and manage it in a sustainable way. 	<p>Strategic level - Ensure that 1,167 households in 13 villages of Kihondo parish, Kicwamba Sub-county have sustainable access to safe drinking water</p>	<p>Activities carried out</p> <ol style="list-style-type: none"> 1. Construction of 13 hygiene demonstration sites 2. Construction of 13 latrine demos 3. Conducting community hygiene and sanitation education 4. Establishment and training of 24 water and sanitation committees (WATSAN) 5. Establishment and training of the central GFS committee. 6. Conducted two home visitations. 7. Development of O&M plan for the scheme. 8. Verification with tap stands committees. 9. Fencing of tap stands & Marking the GFS line
<p>Results</p>	<p>- Latrine coverage increased from 65% to 96% in the 1,167 beneficiary households. 286 homes adopted the better latrine</p>	

	<p>technologies;</p> <ul style="list-style-type: none"> - Hand washing after visiting latrines and cleaning babies has increased from 2% to 23%; bathing shelter coverage increased from 10% to 46% and this has reportedly encouraged regular bathing. - Rubbish pit coverage was almost zero but has increased from 2% to 32%. 	
Target group	29 villages of Kihondo Parish, Kicwamba Sub-county	
Beneficiaries	Approx. 6,000 people (of whom 2900 are female) in 1,167 Households, in 13 villages.	
Overview of stakeholders	<i>The key stakeholders included: DWD; IFAD; UWASNET; Kabalore District Local Gov't; Fort portal Catholic Diocese; maintenance technicians & hardware suppliers in Fort portal town; local communities of Ruhondo parish.</i>	
Other organisations involved	There are strong linkages with LGs at Sub-county & district level, as well as IFAD which financed the hardware component.	
General approach	Followed 5 steps as follows: Preparatory; Mobilization and sensitisation; Capacity building; Construction; & Post construction maintenance.	
Maître d'ouvrage	Kihondo community	
Maître d'ouvrage délégué	Central GFS Committee; WATSAN Committee; Local Council 2 Executive Committee	
Maître d'œuvre (contractors)	None. HEWASA staff undertook the mobilisation & capacity building activities.	
Institutional framework	DWD provided funding to UWASNET which contracted HEWASA to undertake the project.	
Execution (team)	HEWASA staff, which consisted of	

Annex 3

5.3 Some Tools & Instruments used by JESE in the Implementation Process

(separate file)

- Participatory Monitoring Matrix for WES
- Materials Monitoring Matrix (for construction)
- Memorandum of Association for Management of the Water Facility
- Local Bye laws for O&M of the Water Facility

Annex 4

5.4 Program of Field Visit

Date	Place	Interview with (name, function, organisation)
	Kigali	Briefing with Hester Kapul
09/11/05	Kampala	Meetings with DWD; Water Aid
10/11/05	Fort Portal	Travel & fixing meetings with JESE – Fort portal
11/11/05	Fort portal	Patrick Baguma, Programme Coordinator - JESE
	“	Fred Mugerwa, Water Technician
11/11/05	Kyenjojo	Kahunde Erina – M&E Officer, JESE
		Katarangi Jackline, Field Officer, WES
		Musabe Betty, Field Officer, WES
		Kobusinge Lilian, Social Worker
		Bonabana Grace, Social Worker
		Mugisa Richard, WES
		Buhikire Africana, O&M Officer
	Buraro	Agaba B. Samuel, Headmaster, Nyarukoma P/S
		Bacywa Peter, Senior Man teacher, Nyarukoma P/S
		Bonabana Peruth, Senior Woman Teacher, Nyarukoma P/S
	Buraro B.	Ms Happy Kaganda, Chairperson VDC & Pump attendant
		Augustin Byaruhanga, VDC, Chairman
		Joseph Baguma, Chairman LC1/ Treasurer, VDC
		Mrs Byaruhanga Abwoli,
12/11/05	Kyenjojo – K’la	Travel back to Kampala
24 th November	Nyantungo Sub-county	Kaboha Kalyebala (sub-county Chief)
	do	Kitalibala Jonathan (LC3 Chairperson)
24 th November	Nyarukoma Primary School	Kobusinge Edith, Deputy Headmistress
24 th November	Ihamba Village (Shallow well)	Baguma Joseph, VDC Chairperson Asiimwe Monday, VDC Secretary Doviko Rwaheru. VDC Caretaker, monitoring
24 th November	Ndama Village	Spring well

		<p>VDC1and VDC2 Kunihira Robert (Secretary) Katuramu Abdu (Chairman) Baguma K. Musa (Member) Kasangaki Sarah(Member) Annet Birungi (Care-taker) Katwesiime S (Secretary) Kabacwezi Tereza Evanisi Joyce Asimwe</p> <p>CDP Byaruhanga W</p>
25 ^h November	JESE Kyenjojo Field Office	Erina Kahunde (Monitoring and Evaluation Officer) Jackie Kataranji (Water and Sanitation Extension Officer) Richard Mugisa (Acting Program Officer WES) Fred Mugerwa (Water Technician)
25 th November	Kyenjojo District Headquar	Tusiime Samuel, CDO attached to water department
	Kichwamba,	HEWAPA
		Meeting with CEI
		meeting with Fort portal Diocese
	Kyejonjo	De-briefing Workshop
	Kampala	Meetings with EU Microprojects Programme