

**Ministry of Water and Environment,
The Republic of Uganda**

**The Project for Operation & Maintenance
for Rural Water Supply and Improved
Hygiene and Sanitation
in the Republic of Uganda**

**Project Completion Report
(Appendices)**

August 2022

Japan International Agency (JICA)

**Eight- Japan Engineering Consultants Inc.
CTI Engineering International Co., Ltd.
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Final Report (Appendix)

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Appendix 1: The Training Material

**Appendix 1-1 : Training Manual for the Training of Trainers (Tot)
at District Level in the District Direct Management
System and Community Based Management
System**



Ministry of Water and Environment
Directorate of Water Development

**THE PROJECT OF OPERATION AND MAINTENANCE FOR
RURAL WATER SUPPLY AND IMPROVED HYGIENE AND
SANITATION IN THE REPUBLIC OF UGANDA**

**Revitalization of Water and Sanitation Committees and Sanitation
Promotion for the New O&M System in Mubende**

February 2018

**TRAINING MANUAL FOR THE TRAINING OF TRAINERS (TOT) AT DISTRICT
LEVEL IN THE DISTRICT DIRECT MANAGEMENT SYSTEM AND
COMMUNITY BASED MANAGEMENT SYSTEM**



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THE PROJECT OF OPERATION AND MAINTENANCE
FOR RURAL WATER SUPPLY AND IMPROVED
HYGIENE AND SANITATION IN THE REPUBLIC OF
UGANDA

Revitalization of Water and Sanitation Committees
and Sanitation Promotion for the New O&M System
in Mubende
2017-18

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1 INTRODUCTION

This training manual is meant to guide District Water Officers (DWOs) as a key actor to train sub-county extension staffs in the proposed new Operation and Maintenance system for rural water supply and improved hygiene and sanitation. The new O&M system has been named “the District Direct Management System (DDMS)” proposed and piloted by JICA in the district of Mubende, Central Uganda. In this Project, the conventional approach called CBMS (Community Based Maintenance System) will be taken and strengthened in Kiboga, Mpigi and Butambala. If this pilot of DDMS is successful, MWE will expand this model to other districts not only Kiboga, Mpigi and Butambala but also other districts after this Project.

The DDMS is intended to improve on management of rural water supplies in the pilot districts in particular and the country in general when scaled up. The DDMS is expected to address challenges encountered under the current CBMS for Rural Water Supplies and Sanitation facilities.

This manual contains the various specific training procedures and content for DWOs to train sub-county extension staffs as key actors in the DDMS. The key actors in the DDMS include: Ministry of Water and Environment (MWE)/ Infrastructural Operation and Maintenance (IO&M) Division Staff, Technical Support Unit staff for the respective districts, Service Centre staff (to be created under the DDMS and will be situated at the district level), Sub-county extension officers, Hand Pump Mechanics (HPM), Water and Sanitation Committees (WSCs), Caretakers and Water Users. The new system involves Revitalization of Water and Sanitation Committees and Sanitation and Hygiene promotion starting with Mubende District Local Government.

1.1 BACKGROUND

In 2004, the Ministry of Water and Environment endorsed the CBMS as one of the best strategies for O&M of communal water supply facilities in rural areas. The CBMS since then has been used as the strategy for achieving sustainability of rural water services. The Water Policy stipulates an expected functionality rate at any one time of 80-90%, and promotes CBMS through a 3-tier system as the approach to ensure sustainable management and O&M of water supply facilities. All point water facilities are required to have WSCs with half the membership being women, and at least two caretakers.

However, the baseline survey carried out on O&M of water facilities in the four districts mentioned above by JICA in 2016, in addition to various studies such as

Water Aid, (2013), IRC (2015) and Mugumya F, (2013) among others, all point to various challenges in the CBMS system. These challenges include; legal status and voluntary nature of WSCs, willingness and ability of water users to pay for O&M, the supply chain of spare parts, vandalism of spare parts, political influence, full participation of Women among other challenges.

Given that background, the current JICA Project on “Operation and Maintenance of Rural Water Supply and Improved Hygiene and Sanitation in the Republic of Uganda” proposes a new system “the District Direct Management System (DDMS)” that is expected to replace the CBMS and hopefully will address and solve the challenges under the CBMS.

1.2 ESTABLISHMENT OF THE SERVICE CENTRE

The proposed DDMS is adopted from the CBMS; however, it creates a new independent structure at the district level called a “Service Centre”, which operates in a similar way like a private entity, with lower structures filled by a HPM and a Caretaker at Sub County and Water user level respectively as paid service providers. These are respectively supported at the district, Sub County, and community by the District Water Office, the Extension Workers and the WSCs.

1.3 THE MAIN PROJECT

The main project is “The Project for Operation & Maintenance for Rural Water Supply and Improved Hygiene and Sanitation in the Republic of Uganda”. Currently, the project is being implemented in four districts namely; Mubende, Kiboga, Buntamba and Mpigi Districts.

1.4 THE ASSIGNMENT

The current assignment under the main project is “To Revitalize Water and Sanitation Committees for Rural Water Supply and Improvement of Hygiene and Sanitation in Mubende District Local Government.

1.5 OBJECTIVES OF THE ASSIGNMENT

1.5.1 Overall objectives

The overall objectives for the assignment are:

1. To build capacity of each actor in the DDMS for improvement of water supply O&M.

2. To pilot the new system with trained officials.

1.5.2 Specific objectives

The specific objectives of the current assignment are:

1. Train the staff of infrastructural O&M /MWE and TSU staff, with knowledge and skills to train, support and monitor DWO and to understand the current situation and the proposed DDMS being piloted.
2. Train DWO officials in Mubende, with knowledge and skills to train, support and monitor CDO/HA, HPMs under the proposed DDMS to replace the CBMS.
3. To train extension workers with knowledge and skills for sensitization of water users, training of WSCs and Caretakers.
4. Develop capacity of extension workers (CDO/HA) and HPMs at sub-county level.
5. Generate and increase demand for water and sanitation services.
6. Promote participation in the new O&M system and hygiene behavior change.
7. Sensitize water users on their roles.
8. Enable the WSCs to fulfill their roles and responsibilities.
9. Monitor to see if WSCs/caretakers are functional and H&S promotion is conducted as required.
10. Make corrections and solve problems/challenges.

The problems encountered with the old CBMS system shall be addressed by the introduction of the new District Direct Management System (DDMS).

1.6 CONTENT OF THIS MANUAL

This manual provides the content on the CBMS and DDMS approach in O&M of rural water supplies, sanitation and hygiene promotion. It also provides procedures on how to train the sub-county extension staffs in the DDMS and the CBMS.

1.7 TRAINING DESCRIPTION

The training shall be conducted in form of a Training for Trainers (ToT) for the DWOs.

1.8 DURATION OF THE TRAININGS

The ToTs shall last for two days. Day one shall be for all the four participating districts i.e. Mubende, Kiboga, Butambala and Mpigi and shall focus on the CBMS. Day two shall be for Mubende DWOs and will focus on the DDMS.

1.9 TARGET GROUP

To ensure achievement of the objectives of the DDMS, it is recommended that the capacity for the DWOs as key actors at District level have their capacity built on the DDMS.

1.10 FACILITIES AND TRAINING MATERIALS

The ToT will be held in-house (in a hall) for purposes of protection from harsh weather and to create a conducive environment for the participants, that also optimizes concentration. The training materials for ToT shall include relevant documents on water facilities management, documentation on DDMS, news prints, markers and masking tapes.

1.11 METHODOLOGY/APPROACH

The training methods applied during the ToT shall be participatory to promote learning among all the target groups. The facilitators shall as much as possible encourage participation through:

- Group discussion and presentations in plenary
- Lecturing: There shall be limited lecturing that will be applied to new concepts

1.12 OUTLINE OF THE TRAINING PROGRAMME

The next section provides the training program for the ToT for DWOs in the CBMS and DDMS at District level.

2 TOT FOR DISTRICT WATER OFFICER (DWOs) ON CBMS AND DDMS

The ToT for DWOs in the participating districts shall be conducted in Mubende District.

2.1 TRAINING PROGRAM FOR TOT TO DWOs ON CBMS AND DDMS

DAY ONE- ALL THE DWOs FROM 4 DISTRICTS		
TIME	TOPIC	FACILITATOR
8:00am – 8:30am	ARRIVAL ®ISTRATION	CONSULTANT
8:30am – 8:45am	SESSION 1: INTRODUCTION (page8) <ul style="list-style-type: none"> • Self – Introduction • Participants Expectations • Challenges experienced by DWO under CBMS 	CONSULTANT
8:45am – 9:00am	Welcome Remarks	DWO/ACAO-WES
9:00am – 9:30am	PROJECT OVERVIEW <ul style="list-style-type: none"> • Project/Assignment Objectives • Areas To Be Covered • Target Group • Methodology/Approach Of The ToT • Expected Results <ul style="list-style-type: none"> ○ Day One 	CONSULTANT/MWE (IO&M)
9:30am – 10:00am	BREAK	ALL
10:00am – 10:30am	SESSION 2: ROLES AND RESPONSIBILITIES OF DWOS IN THE CBMS <ol style="list-style-type: none"> 1. Financial and technical back-up support to sub-counties 2. Plan for and co-finance training of HPMs, Plumbers, Masons 3. Plan and carry out rehabilitation of facilities. 4. Monitor the water quality 5. Stock spare parts not readily available in the local market and sell them to WSCs 6. Enact bylaws/ordinances on O&M 7. Provide O&M tool kits. 8. Supervise the sub-counties and Private Sector. 9. Budgeting, Reporting and Monitoring CDOs/HAs. 	
10:30am-11:00am	SESSION 3: WHAT EXTENSION WORKERS NEED TO KNOW UNDER THE CBMS SYSTEM <ol style="list-style-type: none"> 1. Take part in the General Planning 	

DAY ONE- ALL THE DWOS FROM 4 DISTRICTS		
TIME	TOPIC	FACILITATOR
	and Advocacy 2. Take part in the pre-construction 3. Take part in the construction stage 4. Take part in the post construction phase	
11:00am – 11:40am	SESSION 3: CHALLENGES EXPERIENCED BY DWOS IN THE FOUR DISTRICTS UNDER THE CBMS 1. Mubende 2. Kiboga 3. Butambala 4. Mpigi	CONSULTANT
11:40am – 12:30pm	Presentation of DWO challenges	CONSULTANT
12:30pm – 1:00pm	SESSION 4: RECOMMENDATIONS AND WAY FORWARD	CONSULTANT
1:00pm – 1:15pm	SESSION 5: CLOSURE, LUNCH AND DEPARTURE	
	DAY TWO – DDMS	
8:30am – 9:00am	Arrival and Registration	CONSULTANT
	SESSION 1: INTRODUCTION Self - Introduction and Expectations	
	SESSION 1.1: Welcome Remarks SESSION 1.2: Opening Remarks	CAO and MWE/IO&M
9:00am – 9:15am	SESSION 2: PROJECT OVERVIEW (Recap) • Project/Assignment Objectives • Areas To Be Covered • Target Group • Methodology/Approach Of The Tot • Expected Results • Day Two	CONSULTANT
9:15am – 9:30am	SESSION 3: DISCUSSION ON DDMS • What is DDMS • Background of DDMS • Aims of DDMS • Key Actors in DDMS	
9:30am – 10:15am	SESSION 4: ROLES & RESPONSIBILITIES OF DISTRICT WATER OFFICE IN DDMS • Responsible for the monitoring of function of Service Center. • Monitor activities of WSC training and awareness campaign conducted by the extension workers of District Local Government.	CONSULTANT
10:15am – 10:45am	BREAK	
10:45am – 12:45pm	Roles & Responsibilities of District	

DAY ONE- ALL THE DWOs FROM 4 DISTRICTS		
TIME	TOPIC	FACILITATOR
	Water Office under DDMS Cont'd. <ul style="list-style-type: none"> • Budgeting • Schedule and work under the project • Budgeting for support to the service centre. • Develop Monitoring plan • Monitor the water quality and promotion of sanitation by S/C • Enact bylaws/ Ordinances on O&M • Instruct and Monitor activities of Service Center • Report the plan and activities to MWE 	
12:45pm – 1:00pm	Revision of Water Charge <ul style="list-style-type: none"> • DLG/DWO may propose to JMC about the revision of water charge in the light of prevailing condition. • JMC shall review water charge and guide the Service Center accordingly. Monitoring of Services and Activities of Service Center. <ul style="list-style-type: none"> • JMC has a responsibility to evaluate the audit report submitted by the third party auditing organization and the monitoring report submitted by District Local Government. • District Local Government has a responsibility to follow-up on actions and recommendations by JMC in audit report and monitoring report regarding the activities of the Service Center. 	CONSULTANT
1:00pm – 2:00pm	LUNCH	
	SESSION 5: ROLES OF EXTENSION WORKERS UNDER THE DDMS	
2:00pm – 2:15pm	<ol style="list-style-type: none"> 1. Coordination of WSCs 2. Monitoring of support from Service Center 	
2:15pm – 2:35pm	SESSION 6: COMPOSITION AND ROLES AND RESPONSIBILITIES OF JMC <ul style="list-style-type: none"> • Members of the JMC. • Roles and Responsibilities of the JMC 	CONSULTANT
2:35pm – 3:00pm	SESSION 6: ISSUES ARISING AND DISCUSSION	CONSULTANT
3:00pm – 3:15pm	SESSION 7: PRESENTATION OF TOT/OJT PROGRAM AT SUB-COUNTY LEVEL	CONSULTANT
3:15pm – 3:35pm	SESSION 8: WAY FORWARD AND ACTION PLANNING	CONSULTANT
3:35pm – 3:50pm	SESSION 9: CLOSING REMARKS AND	L.C.V CHAIRPERSON

DAY ONE- ALL THE DWOs FROM 4 DISTRICTS		
TIME	TOPIC	FACILITATOR
	DEPARTURE	

3 DAY ONE – COMMUNITY BASED MANAGEMENT SYSTEM

3.1 SESSION 1: INTRODUCTION

3.1.1 SELF INTRODUCTION

Purpose: The main purpose for self-introduction is for the participants (DWOs) and Facilitators (Consultant- WE Consult) to know each other, their designations/titles and place of work.

Procedure: Participants (DWOs) and facilitators will mention their names, designation and place of work.

Duration: 10 Minutes

Methodology: Lecture

Materials: Attendance list

Procedure: Participants (DWOs) and facilitators will mention their names, designation and place of work.

3.1.2 WELCOME REMARKS

Purpose: This session is intended for the District Administration to welcome the participants to the training and to affirm their support to the DDMS project in their District.

Procedure: The Chief Administrative Office (CAO) will address the gathering and welcome them to the training.

Duration: 10 Minutes

Methodology: Lecture

Materials: N/A

3.1.3 OVERVIEW OF THE COMMUNITY BASED MANAGEMENT SYSTEM (CBMS)

Purpose: This is to review and discuss the CBMS with the participants.

Duration: 30 minutes

Methodology: Lecture

Materials: Masking tapes, markers

Procedure: The facilitator (WE Consult) will present the following:

Overview of the CBMS:

In 2004, the Ministry of Water and Environment endorsed the CBMS as one of the best strategies for O&M of communal water supply facilities in rural areas. The CBMS since then has been used as the strategy for achieving sustainability of rural water services.

The Water Policy stipulates promotes CBMS through a 3-tier system as the approach to ensure sustainable management and O&M of water supply facilities. All point water facilities are required to have WSCs with half the membership being women, and at least two caretakers.

The community of water users, including WSCs is the primary actor in effective CBMS. The effectiveness of a community to play its functions in the CBMS is dependent on a number of secondary stakeholders to also execute their mandates in the provision of safe and clean water as well as promoting sanitation.

		Current CBMS		New System
Central Gov.	MWE	1-1. Provide financial & back-up support to Districts 1-2. Ensure availability of spare parts in the country 1-3. Policy Regulation and Monitoring 1-4. Monitor water quality 1-5. Setting standards for O&M 1-6. Building the capacity of the districts through TSUs 1-7. Conducting studies and Reserch		1-1. Provide financial & back-up support to Districts 1-2. Ensure availability of spare parts in the country 1-3. Policy Regulation and Monitoring 1-4. Monitor water quality 1-5. Setting standards for O&M 1-6. Building the capacity of the districts through TSUs 1-7. Conducting studies and Reserch
District	DWO	2-1. Financial and Technical Back-up Support to S/C 2-2. Plan for and co-finance training of HPMs, Plumbers, Masons and Scheme attendants 2-3. Provide O&M Tool Kits and supervise S/C and the private sector 2-4. Plan and carry out rehabilitation of water facilities 2-5. Monitor the water quality and O&M 2-6. Stock spare parts not readily available in the local market and sell them to WSCs 2-7. Enact byelaws/ Ordinances on O&M 2-8. Report the plan and activities to MWE	DWO	2-1. Financial and Technical Back-up Support to S/C 2-5. Monitor the water quality and promotion of sanitation by S/C 2-7. Enact byelaws/ Ordinances on O&M 2-8. Report the plan and activities to MWE NEW. Instruct and Monitor activities of Service Center
			Water Service Provider	2-2. & 3-1. Plan and pay for training of HPMs and caretakers 2-3. Provide O&M Tool Kits and transport means for HPMs 2-4. Plan and carry out rehabilitation of water facilities 2-6. Stock and provide spare parts 3-3. Supervise and monitor the HPM & caretaker 3-4. Provide custody of O&M tool kits 3-5. & 5-1. Plan for and allocate resources to O&M 3-6. Monitor the functionality of water sources 5-3. Hire and pay HPMs 5-5. Set water user charges 5-6. Hire and pay caretakers NEW. Make basic rules and regulations on use of the sources NEW. Report activities to DWO and S/Cs NEW. Sign MOU with S/Cs
			HPM	4-1. Repair and preventive maintenance every six months 5-7. Promote safe water and sanitation in the community NEW. Train and instruct caretakers
			Caretaker	5-7. Promote safe water and sanitation in the community 6-1. Organise the community for orderly use and prevent free-ride 6-2. Clean surroundings of water facilities 6-3. Undertake regular maintenance 6-4. Protect the water catchment area 6-5. Maintain the fence around the source 6-6. Collect the water fees
Sub-County	Sub-County Council	3-1. Select/Pay for the training of HPM/Plumber 3-2. Train WSC & provide back-up support 3-3. Supervise and monitor the HPM 3-4. Provide custody of O&M tool kits 3-5. Plan and allocate resources to O&M 3-6. Monitor the functionality of water sources 3-7. Enact byelaws on O&M 3-8. Report activities to DWO	Sub-County Council	3-2. Train WSC & provide back-up support 3-7. Enact byelaws on O&M 3-8. Report activities to DWO 5-7. Promote safe water and sanitation in the community NEW. Monitor activities of Service Center NEW. Sign MOU with WSCs
	HPM	4-1. Repair and preventive maintenance every six months	HPM	under Water Service Provider
Village	WSC	5-1. Plan for and oversee O&M; report problems 5-2. Select caretakers together with users 5-3. Engage HPM/Plumber and pay for spares and repairs 5-4. Monitor WSC's own and external activities 5-5. Set water user charges 5-6. Hire and pay caretakers 5-7. Promote sanitation in the community 5-8. Make rules and regulations on use of the source	WSC	5-1. Oversee O&M; report problems 5-2. Select caretakers together with users 5-4. Monitor WSC's own and external activities 5-7. Support and coordinate with other actors in promotion of safe water and sanitation 5-8. Make specific rules and regulations on use of the source NEW. Sign MOU with water users
	Caretaker	6-1. Organise the community for orderly use 6-2. Clean surroundings of water facilities 6-3. Undertake minor service (and repairs) 6-4. Protect the water catchment area 6-5. Maintain the fence around the source 6-6. Collect the O&M funds	Caretaker	under Water Service Provider

There are several actors in the CBMS but with the community of water users as most important pillar.

3.1.4 ACTORS IN THE CBMS

Purpose: Identify the actors in CBMS

Duration:

Methodology: Brain storming on actors and roles

Materials: Flip chart, masking tape

Procedure: The facilitator should:

- Ask the participants to identify the players in the CBMS.
- The participants should also identify the roles played by each actor.

The facilitator should wrap up the session by presenting the following actors in the CBMS.

1. Central Government

- i. Ministry of Water and Environment
- ii. Line Ministries i.e. Ministry of Finance, Planning and Economic Development, Ministry of Health, Ministry of Gender, Labour and Social Development, Ministry of Local Government, among others
- iii. Development Partners

2. District Level

- i. District Water Office,
- ii. District Health Office,
- iii. Community Development Office.
- iv. NGOs.

3. Sub-county Level

- i. Sub-county Chief, Extension Workers
- ii. Sub-county Executive Council
- iii. Private Sector

4. Community Level

- i. Water and Sanitation Committee
- ii. Water Source Caretaker
- iii. Water User Community

It should be noted that each actor under the CBMS has specific roles and responsibilities to play in order to effect the CBMS and enable achievement of improved service provision for safe water and improved sanitation and hygiene in communities.

3.1.5 DURATION

Two Days

- Day One - CBMS: For all DWOs from all four project districts
- Day Two - DDMS: For only DWOs from Mubende District Water Office

3.1.6 DAY ONE OBJECTIVES

To equip the DWOs with knowledge and skills to train, support and monitor the CDOs and HAs under the CBMS.

3.1.7 AREAS TO BE COVERED

Day One – Community Based Management System (CBMS)

- I. Roles and Responsibilities of DWOs under the CBMS in the four target Districts.
- II. Challenges encountered under CBMS.
- III. Recommendations to challenges.

Day Two – District Direct Management System (DDMS)

- I. Roles and Responsibilities of DWOs in Mubende District under the DDMS.
 - Propose revision of water charges.
 - Follow up on actions and recommendations by JMC regarding activities of Service Center.
 - Develop Monitoring plan for Service Centre support
 - Reporting
 - Budgeting
- II. Composition of JMC
- III. Issues arising
TOT/OJT Program by Extension Staff

3.1.8 TARGET GROUP

Day One

- I. DWOs from Mubende, Kiboga, Butambala and Mpigi.
- II. IOM/MWE and TSU staff as resource persons.

Day Two

- I. DWOs from Mubende.
- II. IOM/MWE and TSU staff as resource persons.

3.1.9 METHODOLOGY/APPROACH

Lecture and brainstorming, slides, group work and discussions.

3.1.10 EXPECTED OUTPUT/RESULTS

- DWOs will be knowledgeable about responsibility of each actor in O&M.
- DWOs will have knowledge and skills to train, support and monitor CDOs, HAs and HPMs under the CBMS and DDMS.
- DWOs should know their roles and responsibilities under DDMS.
- DWOs should know Roles and Responsibilities of Extension staff in DDMS.
- DWOs should know the Roles and Responsibilities of JMS in the DDMS.
- DWOs should be able to train, monitor and support Extension staff on DDMS.

3.2 SESSION 2: ROLES AND RESPONSIBILITIES OF DWOs IN THE CBMS

Purpose:

- To discuss the roles and responsibilities of DWOs in the CBMS.
- To identify challenges encountered.
- To identify possible solutions to challenges identified.

Procedure: The facilitator shall introduce the topic and lead the discussion.

The roles and responsibilities for discussion shall include:

- FINANCIAL AND TECHNICAL BACK-UP SUPPORT TO SUB-COUNTIES.

The MWE charged the Districts (DWOs) with the role of financial and technical back-up support for O&M of water facilities in their respective districts and assisting communities to deal with problems beyond their control/ financial capacity.

- The follow up mechanism should be stretched from the lowest level (community and the WSC up to the sub-county level).
- Therefore communication lines between the District, the user communities, WSCs and the sub-county should be clear and well known to all for the success of follow-up mechanisms and technical back-stopping support.
- This means that at the planning stage, clear follow up activities below should be budgeted to ensure their implementation.

- The flow of communication between District level technical staff, Communities and the Sub County can be viewed in the chart below.

BACK-UP SUPPORT TO COMMUNITIES CAN BE PROVIDED THROUGH:

Technical support

- ✓ Regular follow up and monitoring visits to check progress and provide advisory services in the O&M system in general.
- ✓ The visits by the extension worker/ contracted NGO/CBO should be carried out quarterly. Districts can enter into contracts or MoUs with service providers such as NGOs or CBOs to carry out training and monitoring of communities in O&M.
- ✓ Trainings and other capacity building activities for various players should be carried as may be required. These trainings include; hygiene and sanitation, the roles of user communities, caretakers in the O&M chain, among others.
- ✓ Use of existing materials and tools under the CBM system at the different levels (water source, house hold, water chain, etc.) to maintain awareness and continuously advocate for good O&M practices.
- ✓ Facilitate linkage and contact between communities and external entities such as HPMs, CBOs and extension workers for advice and information.
- ✓ Putting in place enabling laws and regulations to reinforce community management.

Financial back up

- ✓ Financial back up to communities should be provided on the following activities:
- ✓ Rehabilitation of water sources beyond community repair capacity.
- ✓ Training of WSCs
- ✓ Provision of expensive O&M equipment/tools to HPMs to repair community water sources.

i. SPECIFIC AREAS THAT NEED TO BE ADDRESSED DURING BACK-UP SUPPORT MAY INCLUDE:

- Access to spare parts and equipment.

- Technical backstopping to establish technicians (HPMs, masons, plumbers etc.).
- Continued sensitization and mobilization of communities.
- Access to technicians and any other specialized support that may be required.
- Review of management structures and financial processes to ensure viability, functionality and transparency.
- Refresher training
- Water quality surveillance and monitoring
- Enforcement of by-laws and regulations as agreed upon by communities.
- Major repairs, rehabilitations and extensions and
- Adherence to national policies and guidelines by communities.
- At the sub-county, the extension staffs are expected to take lead follow up and maintaining contacts with the communities. Extension staffs are expected to report to the Council for remedial action.
- At the District level, the DWO and his/her Assistant shall report to the District Council for remedial action where need be. Reports and actions shall then feed into the district plans.
- The Central and Local Government as permanent institutions best suited for back up support to O&M should provide the required funds as on-going support to O&M.

ii. PLAN FOR AND CO-FINANCE TRAINING OF HPMS, PLUMBERS, AND MASONS

The District is charged with identification of capacity gaps for the DWO staff and organizes trainings and other capacity building activities accordingly.

Capacity building may be in areas such as:

- Planning and budgeting.
- Monitoring
- Water Quality monitoring
- Repair and Maintenance works
- Report writing

Among others

DWOs may recommend capacity building activities to the MWE and sector partners.

The capacity gaps can also be handled through the DWSSCG. Districts can plan and budget to fund training of extension workers on capacity gaps identified using the DWSCG.

iii. **PLAN AND CARRY OUT REHABILITATION OF FACILITIES**

- **Major repairs/Rehabilitation works:** Under the CBMS, Sub-Counties and Districts are required to budget for and contribute towards costs of major repairs when need arises. More so the DWSCG guidelines allow for meeting the some costs of major rehabilitations. Communities may seek assistance from the DLG/DWO towards undertaking major repairs. The DLG/DWO may carry out the rehabilitation or contract by mandate a contractor to carry out rehabilitation (District Implementation Manual, MWE, 2014).
- **Minor repairs:** However, minor repairs do not constitute borehole rehabilitation. Minor repairs are water user community responsibilities through use of community contributions towards O&M of their water facility.
- **Abuse of funds:** Unfortunately, this facility has been greatly abused due to inadequate details on utilization of these funds. More so, the rehabilitation targets mostly hard ware activities, thereby ignoring software and management aspects.
- **High Costs of repair:** The National O&M framework, (2nd edition, MWE, 2011) notes that Districts are facing problems of repairing water sources reported by communities as being beyond their capacity because of the costs to be spent on rehabilitation. As a result, some districts opt to construct new water sources instead of rehabilitating the old ones.

iv. **MONITOR THE WATER QUALITY**

Districts in liaison with Extension workers should:

- Coordinate to conduct quarterly water quality testing.
- Provide timely feedback to the community.
- Discuss with the community any appropriate remedial measures e.g. water treatment, environmental protection around the water source or conduct a sanitary survey.

Ref: MWE, 2013:Rural Water Supply and Sanitation handbook for extension workers, Volume 1 - Community Management handbook, Ministry of Water and Environment)

v. STOCK SPARE PARTS NOT READILY AVAILABLE IN THE LOCAL MARKET AND SELL THEM TO WSCS

- In order for HPMs and Caretakers to access spare parts, to replace the worn out or the lost parts, DWOs should encourage suppliers/agent to stock tools, buy expensive tools and lend them to the HPMs.
- Stocking of the spare parts shall ensure availability and easy accessibility of the required spare parts.

vi. ENACT BYLAWS/ORDINANCES ON O&M

Districts are expected to support communities and sub-counties to enact O&M by-laws that govern the water source and by-laws on sanitation and hygiene.

DWOs shall support the enactment of O&M bylaws through:

- Training the Extension workers on enactment of the by-laws.
- Conduct frequent visits to communities to monitor effectiveness of the by-laws.
- Support communities in the enforcement of the by-laws and handling culprits.

The by-laws may cover issues such as

- User fee collection modalities, usage, management and keeping.
- Community user meetings
- Sanitation and hygiene
- Water source surrounding cleanliness
- Discipline of water users

vii. PROVIDE O&M TOOL KITS

The CBMS survey established that O&M equipment/tools are not locally available in districts for HPMs to replace worn out parts. The study also discovered that most HPMs cannot afford to replace expensive tools because most HPMs were inadequately remunerated. It was noted that most HPMs do not have the relevant tool kits to handle issues of different technologies that exist in the sub-counties.

Based on the above challenges, the Ministry mandated the DWOs and Sub-counties to encourage suppliers/agents to stock tools and sell or lend them to WSCs or HPMs.

Districts and sub-counties should also buy expensive tools like installation equipment and own them.

viii. SUPERVISE THE SUB-COUNTIES AND PRIVATE SECTOR

The District Water Office in collaboration with the District Directorate of Health Services and the Community Based Services supervises activities undertaken by the Extension workers, Contractors and NGOs at the sub-county level.

ix. BUDGETING, REPORTING AND MONITORING CDOS/HAS

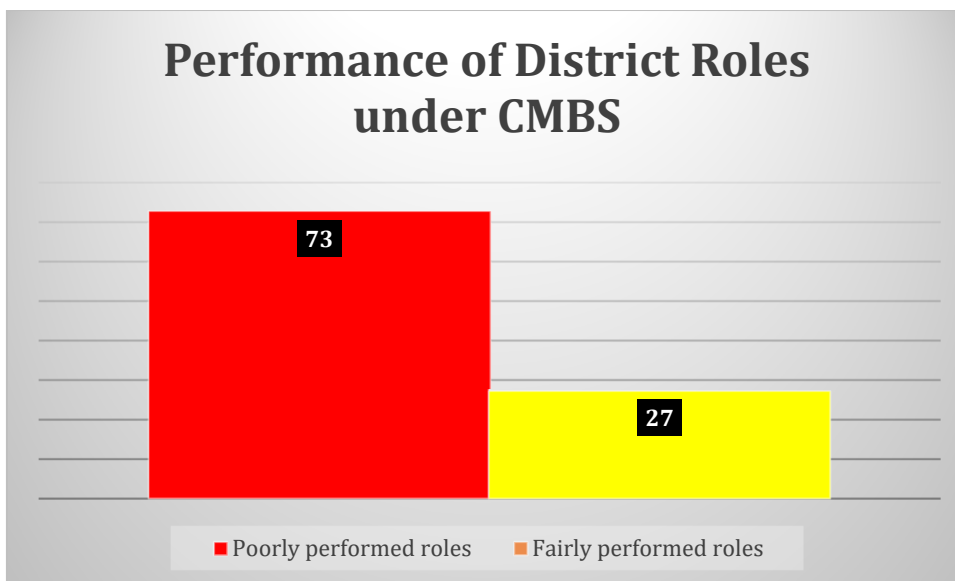
Through the use of the District Water Supply and Sanitation Conditional Grant (DWSCG), DWOs are expected to budget, report and monitor O&M activities by CDOs and HAS. DWOs are expected to budget, report and monitor for activities such as:

- Capacity building of extension workers on:
- Repairs and Rehabilitation
- Operation and Maintenance of water facilities
- Sanitation and Hygiene
- Formation and training water facility management structures such as WSCs
- Follow up support to WSCs, among others

3.3 District Level: Study findings on Functioning of CBMS for O&M

1. **Wholesale and retail distribution of parts in the district:** Most districts did not have spare parts shops/outlets for easy access by HPMs and User Communities/WSCs
2. **Monitor the function of maintained system:** There was lack of monitoring functionality of water facilities in rural communities.
3. **Undertake rehabilitation and repairs beyond the capacity of HPMs:** Although rehabilitation of water sources is budgeted for by DWOs, it was rarely/not done.
4. **Support of providing conditional grant:** Some districts were noted to provide financial support to sub-counties and communities in O&M of water sources.
5. **Financial and technical backup support to S/C**
6. **Plan for and co-finance training of HPMs, plumbers, masons and scheme attendants:** The study established that some DWOs planned and co-financed capacity building activities for water facility attendants.
7. **Provide O&M Tool Kits:** There was no provision of O&M tool kits noted.

8. Supervise S/Cs and private sector in O&M activities: DWOs do not supervise sub-counties and private sector with regard to O&M activities.
9. Monitor water quality and O&M: Majority of the DWOs were not doing water quality testing as required.
10. Stock spare parts not readily available in the local market and sell them to WSCs.
11. Enact bylaws/ordinances on O&M: DWOs were not supporting communities and sub-counties to enact bylaws/ordinances on O&M.



Interpretation of the graph

The graph indicates that most of the roles of the DWOs were poorly carried with a percentage of 73 of poor performance while 27 (%) percent indicates fair performance of the roles.

Note: The study did not register any role as best done by the DWO under the CBMS.

3.4 SESSION 3: WHAT EXTENSION WORKERS NEED TO KNOW UNDER THE CBMS SYSTEM

3.4.1 The WASH Implementation Cycle – Role of the extension worker

The implementation cycle of WASH activities comprise of four main stages; planning and advocacy, pre-construction, construction and post construction. The District Water Office has a role to ensure that extension workers at Sub County level (CDO and HA) know their role in each of these stages.

- i. General Planning and Advocacy Phase: Extension workers support communities in demand for services (water), provide information on need for

behavioral change, and the need to meet critical requirements before a water facility is built for the community.

- ii. Pre-construction phase: Extension workers have a role to screen community applications (for a water source) for approval and provide feedback to the communities, sensitization, formation and training of WSCs, and follow up on compliancy to the critical requirements.
- iii. Construction phase: Extension workers have a role to coordinate the actual construction of the hardware infrastructure in the selected communities, while supporting communities in daily monitoring of the service provider (private sector – contractor/consultant/CBO/NGO), explaining of community roles in the construction phase, and preparing them for O&M.
- iv. Post construction phase: Extension workers have a role in supporting the beneficiary communities, mainly the WSCs and caretakers in their respective roles in O&M, emphasizing ownership of the new facilities, effective O&M (payment of user fees, hygiene and sanitation, safe water chain, etc.).
- v. Cross-cutting issues:
 - HIV and AIDS. This has to be mainstreamed through-out all the stages of the project; ensuring communities are given key messages on HIV/AIDS at all interactions.
 - Gender. Issues of gender have to be considered in all stages of the project cycle; right from planning to post construction. For example: Women should participate in deciding location of the water facilities, should be given key leadership roles on the WSC, etc.

Other responsibilities of the Extension staff under the CBMS

- Select/pay for the training of HPMs.
- Train WSC and provide backup support.
- Supervisee and monitor the HPM
- Provide custody of O&M tool kits
- Plan and allocate resources to O&M
- Monitor the functionality of water sources
- Enact bye-laws on O&M
- Incorporation of cross cutting issues into their activities which include; human rights and governance.

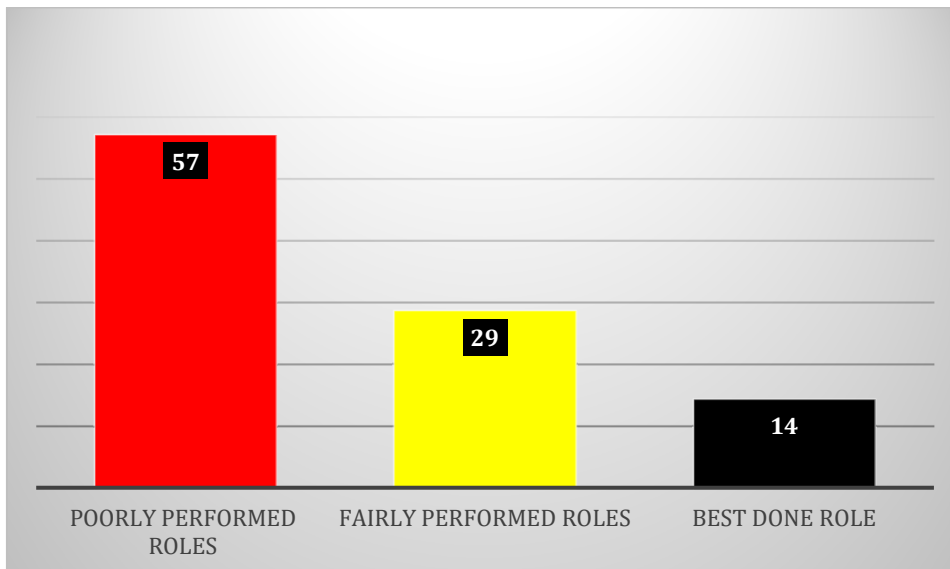
Sub-county Level: Study findings on Functioning of CBMS for O&M

- Select/pay for the training of the HPM/plumber: Sub-counties selected HPMs/Plumbers but did not fund their capacity building activities.
1. Train WSCs and provide backup support: Sub-counties were not training WSCs, neither did the sub-counties provide back up support to the WSCs.
 2. Supervise and Monitor HPMs: Works i.e. repair and maintenance works on the boreholes by the HPMs were not supervised by the sub-county.
 3. Provide custody of O&M tool kits: The custody of O&M tool kits was not streamlined by the sub-county hence the disappearance of most tools.
 4. Plan and allocate water facilities: Sub-counties made plans, identified communities in need of water and allocated water facilities.
 5. Monitor the functionality of water sources: Some sub-counties monitored functionality of water sources.
 6. Enact Bylaws on O&M: some Sub-counties supported communities/WSCs to enact bye laws for O&M of water facilities.

Hand pump mechanic

1. Repair and carryout half- yearly preventive maintenance of the HPs: some (were facilitated by DWOs) Hand Pump Mechanic carried out half-yearly preventive maintenance of the Hand pumps.

3.4.2 Graph 2: Performance of roles under CBMS by the Extension staff



Interpretation of the graph

The graph indicates that the Extension workers poorly carried out their roles under CBMS at 57 percent, those that were fairly carried out were at 29 percentage while the best performance on roles was recorded at only 14 percent.

3.5 SESSION 4: CHALLENGES ENCOUNTERED BY DWOS UNDER CBMS

Purpose:

- To identify the challenges faced by DWOs in the four districts.

- To suggest possible solutions to address the challenges.

Procedure: The facilitator will group the participants according to their districts of operation.

1. Mubende
2. Kiboga
3. Mpigi
4. Butambala

- The participants will be tasked to identify the O&M challenges they encounter in their districts.
- The challenges will be written down on newsprint and be presented in plenary.

3.6 SESSION 5: RECOMMENDATIONS ON CHALLENGES IDENTIFIED

Purpose: This session is to suggest and discuss the recommendations to challenges identified.

Procedure:

- Participants should identify the recommendations to the challenges identified.

3.7 SESSION 6: WAY FORWARD AND ACTION PLANNING

Purpose: To develop a way forward on how to train, support and monitor the CDOs HAs.

The DWOs will also support and monitor O&M activities in the sub-counties,

Procedure: The Facilitator shall do the following:

- Ask DWOs to respond to the following questions:
 1. **Train:** How will the DWOs train the Extension staff on O&M activities under CBMS?
 2. **Monitor:** How will DWOs monitor Extension workers' and Hand pump Mechanics activities on Operation and Maintenance of water facilities?
 3. **Support:** How will the DWOs support Extension workers' and HPMS in implementation of O&M activities?
- The facilitator shall note the responses by the DWOs.

- The responses on how to train, monitor and support DWOs shall be discussed to ascertain their practicability.
- The facilitator shall then introduce the structure on Action planning.
- The DWOs shall develop their action plans on how to train, monitor and support Extension staff on O&M activities under the CBMS and present it in plenary.

3.7.1 Structure of the Action Plan

Objective	Activity/Issue to be addressed	Where and When	Responsible person

3.8 SESSION 7: CLOSING REMARKS AND CLOSURE

THANK YOU FOR LISTENING – MWEBALE NNYO

4 DAY TWO – DISTRICT DIRECT MANAGEMENT SYSTEM

4.1 SESSION 1: INTRODUCTION

Main objectives of the TOT – DWO FOR MUBENDE DISTRICT

- i. To equip the target group with knowledge and skills to train, support and monitor CDOs and HAs.
- ii. To get knowledge about DDMS

4.1.1 SELF INTRODUCTION

Purpose: The main purpose for self-introduction is for the participants (DWOs – Mubende and IO&M staff, JICA staff) and Facilitators (Consultant- WE Consult) to know each other, their designations/titles and place of work.

Procedure: Participants and facilitators will mention their names, designation and place of work.

Duration: 10 Minutes

4.1.2 WELCOME AND OPENING REMARKS

Purpose: This session is intended for the District Administration to welcome the participants to the TOT-DDMS and to affirm their support to the project in their District.

This session is also intended to officially open the TOT for DWO on the DDMS.

Procedure:

The Chief Administrative Office (CAO) will address the gathering and welcome them for the training.

A brief on the aim of the DDMS shall be presented to the participants during this session.

Duration: 10 Minutes

4.2 SESSION 2: PROJECT OVERVIEW AND OBJECTIVES (RECAP)

Purpose: This is to explain to the participants the background and the purpose of the DDMS project.

Duration: 15 Minutes

Methodology: Lecture

Materials: Flip chart, makers

Procedure: The facilitator (WE Consult) will present and explain the following to the participants:

4.2.1.1 THE MAIN PROJECT

The main project is “The Project for Operation & Maintenance for Rural Water Supply and Improved Hygiene and Sanitation in the Republic of Uganda”. Currently, the project is being implemented in four districts namely; Mubende, Kiboga, Butambala and Mpigi Districts.

4.2.1.2 THE ASSIGNMENT

The current assignment under the main project is “To Revitalize Water and Sanitation Committees for Rural Water Supply and Improvement of Hygiene and Sanitation in Mubende District Local Government.

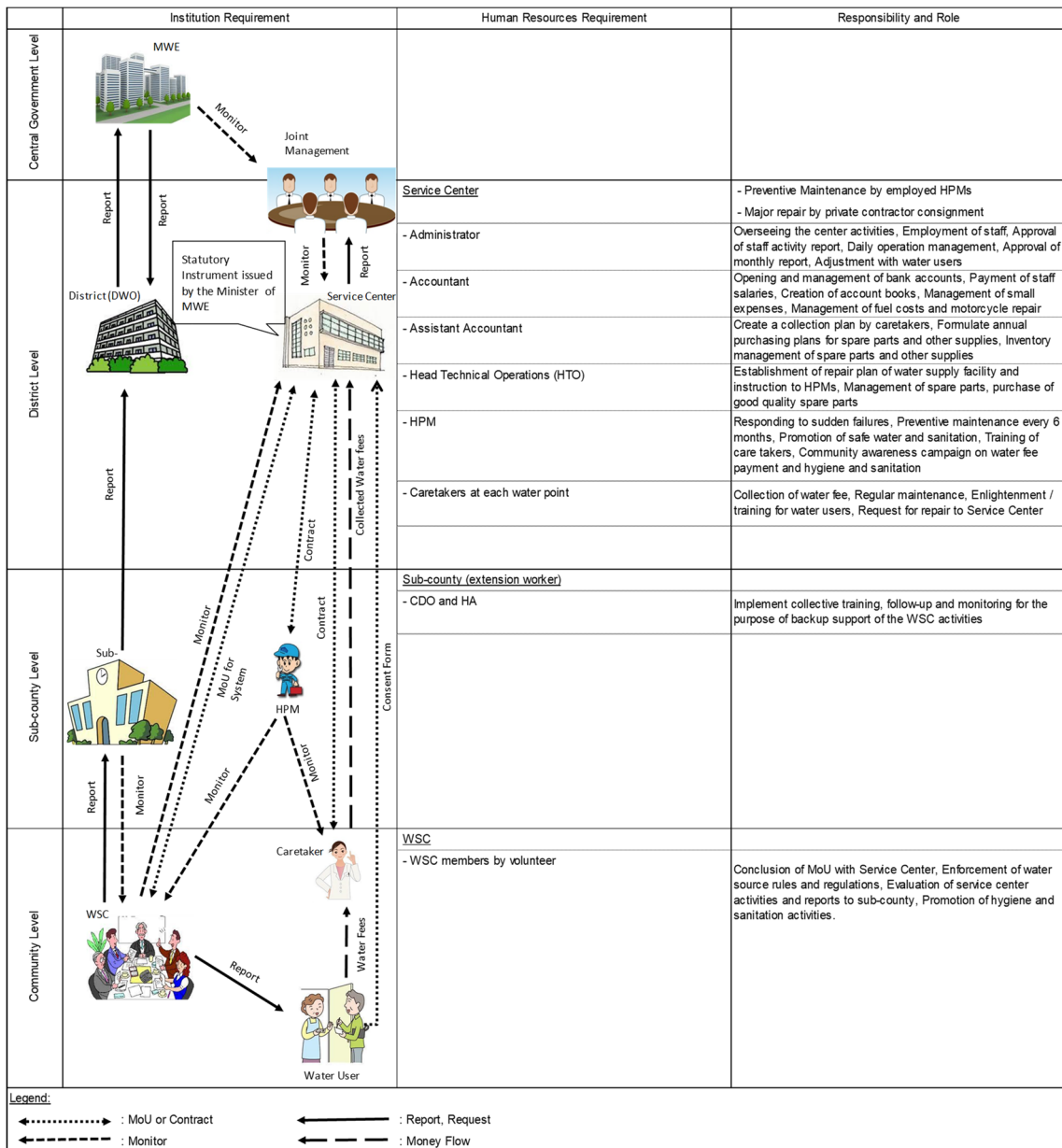
4.2.2 ASSIGNMENT OBJECTIVES

4.2.2.1 OVERALL OBJECTIVES

The overall objectives for the assignment are:

1. To build capacity of each actor in the DDMS for improvement of water supply O&M.
2. To pilot the new system with trained officials.

4.2.3 THE STRUCTURE AND OPERATIONS OF THE SERVICE CENTRE



4.3 SESSION 3: DISCUSSION ON THE DISTRICT DIRECT MANAGEMENT SYSTEM (DDMS)

Purpose: To explain to the DWOs the background of the DDMS and the need for the training of the DWOs on the new O&M system. This is to ensure that the Water Officers understand the essence of the proposed DDMS and be able to play their roles for the success of the new O & M system.

Duration: 15 Minutes

Methodology: Plenary discussion, Lecture.

Materials: Flip chart, Markers, DDMS flow chart.

Procedure:

4.3.1 WHAT IS THE DDMS

The “District Direct Management System (DDMS)” is the proposed new Operation and Maintenance system by JICA and will be piloted in the district of Mubende, Central Uganda under *the Assignment of Revitalization of Water and Sanitation Committees for Rural Water Supply and Improvement of Hygiene and Sanitation in Mubende District.*

4.3.2 AIM OF THE DDMS

The problems encountered with the old CBMS system are to be countered by the introduction of the new DDMS

4.3.3 ADVANTAGES OF THE DISTRICT DIRECT MANGEMENT SYSTEM – DDMS

NO.	Advantage	Why this is an advantage for water users?
1.	Continue to use safe water that is reliable	<ul style="list-style-type: none"> i. Stay healthy; avoid diarrhea and other water borne diseases. ii. It will help water users to save money (hospital, medicine...). iii. Besides, water users can work without stopping.
2.	"One Stop Service"	<ul style="list-style-type: none"> i. Water users can get every service through communicating with only one person (caretaker/WSC/extension worker/HPM/Service Center). ii. Water users don't have to contact with all relevant person.
3.	Quickly maintenance service	After broken borehole, Service Center handles with problem quickly.
4.	Always to be kept clean water source	<ul style="list-style-type: none"> i. Caretakers always clean the water source. ii. Water users can use water source comfortably.
5.	Reliable Water Supply Service	Timely response to repair and adequate water supply to communities
6.	Safe and Clean water for better health	<p>Routine water Quality checks to avert water diseases.</p> <p>Awareness creation and advocacies on better health.</p> <p>*This is the future plan of Service Center. After implementing Service Center, they will be able to consider gradually how to manage water quality.</p>
7.	Improved livelihood for	<ul style="list-style-type: none"> i. Trigger Cottage level income generating

	<p>rural communities</p>	<p>activities (Home-based IGA for goods and services)</p> <ul style="list-style-type: none"> ii. Time saving for productive work in household. iii. If water users can't afford to pay water user fees, water users of that particular water source shall form a group of farmers (Association) to carry out commercial agriculture of cash crops like tomatoes, carrots, maize, and beans vegetables etc. After selling these crops, this money helps for paying water user fees. <p>If there are profits after paying water user fees, they can divide it and use for H&S activities (constructing latrine, Hand washing facilities i.e. tippy taps, etc.).</p> <p>*If water users can't pay water user fees, this idea will be one of option among other ideas.</p> <p>Note: Before starting, they are required to decide rules, roles and payment plan etc. with all relevant people.</p> <p>*This is the future plan of Service Center.</p>
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4.3.4 ADVANTAGES OF THE DDMS FLOW CHART



4.3.5 KEY ACTORS IN THE DDMS

National/Ministry level

1. Operation and Maintenance (O&M) Division (MWE)

Regional level

2. TSU officials (MWE)

District Level

3. DWO officials

Sub-county Level

4. Senior Assistant Secretary (SAS)
5. Community Development Officer (CDO)

6. Health Assistant (HA)
Community Level
7. Hand Pump Mechanic (HPM)
8. Water users
9. Water & Sanitation Committees (WSCs)
10. Caretakers

4.3.6 AREAS TO BE COVERED

1. Project overview (the DDMS)
2. Roles and Responsibilities of DWOs in DDMS
 - Monitoring Plan development
 - Reporting
 - Budgeting and Planning
 - Revision of water charges
 - Monitoring support from the Service Centre
3. Scheduling and Working under the project.
4. Composition and Roles of JMC

4.4 SESSION 4: ROLES & RESPONSIBILITIES OF DWOs IN DDMS

Purpose: To identify and explain the roles and responsibilities of DWOs in the DDMS

Duration: 2 hours 45 minutes

Methodology: Plenary discussion, Lecture.

Materials: Documents, Flip chart, markers

Procedure: The facilitator will introduce the topic and lead the discussion. The following responsibilities shall be explained and discussed:

i. DEVELOP MONITORING PLAN

Monitor and report to JMC on monthly basis as follows.

1. Monitor income/expenditures (through cash book/bank account book).
2. Monitor Cash flow using user fee record sheet (See User Fees record)
3. Records on the use of the key.

ii. DEVELOP BUDGET AND PLAN FOR O&M

Budgeting and planning for support to O&M to sub-counties

District uses percentage allocation of software budget under DWSCG to budget for and plan for O&M monitoring in all sub-counties within the district.

The budget should cover activities on O&M which include: (Refer to session on; DEVELOP MONITORING PLAN)

iii. SCHEDULE AND WORK UNDER THE PROJECT

Districts should develop a work plan on how to monitor the DDMS project activities and incorporate it in the District Annual Work plans.

Activities to monitor under the DDMS may include: (Refer to session on; DEVELOP MONITORING PLAN)

iv. REVISION OF WATER CHARGES

DLG/DWO may propose to JMC about the revision of water charge in light of prevailing condition.

4.5 SESSION 5: ROLES OF EXTENSION WORKERS UNDER THE DDMS

The extension workers have a key role in the success of the DDMS. In general, the extension workers under the leadership of the Senior Assistant Secretary (SAS) have a role in coordination of WSCs, monitoring of support from Service Center, WSC training, sensitization of Water Users on O&M, including hygiene and sanitation activities. ToT manual for the extension workers has been developed.

- i. Coordination of WSCs. The extension workers will mobilize and sensitize communities on enrolling the community water source under the DDMS to be managed by the Service Centre. In addition, extension workers will have a role of endorsing applications by communities supported by the service center to upgrade their water facility if they meet certain set criteria. The criteria currently is:
 - If community has more than 200 households using a water supply facility,
 - If the community meets at least 95 % of monthly collections at the rate of water charges, and
 - water users have a will to upgrade their water supply facility

Monitoring of support from Service Center. The extension workers have a role to monitor the services provided by the Service Center from time to time, through the evaluation of the monitoring sheet submitted by the WSC. In addition, extension workers will occasionally advise the Service Center on the performance of the Caretakers and the HPMS in charge of the water facilities under their control. All reports regarding the Service Center shall be reported to the District Water Office.

4.6 SESSION 6: COMPOSITION AND ROLES OF THE JOINT MANAGEMENT COMMITTEE (JMC)/WATER SUPPLY AND SANITATION BOARD (WSSB)

Purpose: Identify the members and roles of JMC

Duration:

Methodology: Lecture

Materials: Flip chart, masking tape

Procedure:

District level

1. CAO – Ms. Nakamatte Lilian
2. L.C.V – Mr. Kibuuka Francis Amooti
3. Secretary for Social Services – Ms. Nanyanzi Diana
4. District Water Officer – Mr. Ssebyatika Fred

MWE level

5. Hydro Geologist – Mr. Mutiibwa Robert
6. Social Scientist – Ms. Nakasagga Jackline
7. Social Scientist – Mr. Paul Bisoborwa
8. Accountant – Mr. Turyatemba Fred

Others

9. Lawyer – Ms. Lelia Katusiime

4.6.1 ROLES AND RESPONSIBILITIES OF THE JMC

1. JMC has a responsibility to evaluate the audit report submitted by the third party auditing organization and the monitoring report submitted by District Local Government.
2. JMC shall review water charge and guide the Service Center accordingly.

4.7 SESSION 7: ISSUES ARISING AND DISCUSSION

Purpose: To identify issues that may affect effective implementation.

Duration: 15 Minutes

Methodology: Lecture.

Materials: OJT Program

Procedure:

- Participants identify and mention issues of concern.
- Issues mentioned shall be noted and written down for discussion.
- Recommendations to address issues should be solicited.
- Allow enough time for the discussion.

4.8 SESSION 8: PRESENTATION OF TOT/OJT PROGRAM FOR EXTENSION WORKERS (HA, CDO)

After the ToT, for the DWOs, the DWOs will be able to train, support and monitor the CDO, HA under the DDMS.

Purpose: The training will be intended to equip the target group with knowledge and skills to train, support and monitor CDO and HA under the DDMS.

The facilitator will also present the OJT program which shall be conducted by the Extension staff to the communities. The Consultant shall oversee and guide where necessary the OJT program implementation.

The TOT/OJT program will be for the Extension Staff (CDO and HA) and HPM

4.9 SESSION 9: WAY FORWARD AND ACTION PLANNING

Purpose: To develop a way forward on how to train, support and monitor the CDOs and HAs under DDMS.

Duration: 15 Minutes

Methodology: Lecture.

Materials: Document for Action Planning

Procedure: The Facilitator shall do the following:

- Ask DWOs to respond to the following questions:
 1. **Train:** How will the DWOs train the Extension staff on O&M activities under CBMS?
 2. **Monitor:** How will DWOs monitor Extension workers' and Hand pump Mechanics activities on Operation and Maintenance of water facilities?
 3. **Support:** How will the DWOs support Extension workers' and HPMS in implementation of O&M activities?
- The facilitator shall note the responses by the DWOs.
- The responses on how to train, monitor and support DWOs shall be discussed to ascertain their practicability.
- The facilitator shall then introduce the structure on Action planning.
- The DWOs shall develop their action plans on how to train, monitor and support Extension staff on O&M activities under the CBMS and present it in plenary.

Structure of the Action Plan

Objective	Activity/Issue to be addressed	Where and When	Responsible person

4.10 SESSION 10: CLOSING REMARKS AND CLOSURE:

THANK YOU FOR LISTENING – MWEBALE NNYO

5 ANNEXES

Annex 1 TRAINING PROGRAM FOR TOT TO SUB-COUNTY EXTENSION STAFFS AND HPMS FOR WATER USER SENSITISATION

TIME	TOPIC	FACILITATOR
8:00am – 8:15am	Arrival & Registration	CONSULTANT - WE Con- sult
8:15am – 8:30am	SESSION 1: INTRODUCTION <ul style="list-style-type: none"> • Self-Introduction and Expectations from the TOT. • Challenges experienced by Extension staff from Water Users on O&M of water sources.(boreholes)+ 	CONSULTANT - WE Con- sult
8:30am – 8:45am	Opening & Welcome Remarks	DWO/SAS
8:45am – 9:30am	PROJECT OVERVIEW <ul style="list-style-type: none"> • Project/Assignment Objectives • Areas To Be Covered • Target Group • Methodology/Approach Of The Tot • Requirements for water sources to qualify for DDMS • Expected Results 	CONSULTANT - WE Con- sult
9:30am – 10:00am	SESSION 2: DISCUSSION ON DDMS <ul style="list-style-type: none"> • What is DDMS • Background of DDMS • Aims of DDMS • Advantages of the DDMS • Key Actors in DDMS 	CONSULTANCY - WE Consult
10:00am – 10:15am	BREAK	
10:15am – 11:15am	SESSION 3: ROLES AND RESPONSIBILITIES OF WATER USERS IN THE DDMS. SESSION 3.1: WATER SOURCE MANAGEMENT <ul style="list-style-type: none"> • Pay water user fees. • Apply for DDMS • Select members of the WSC. 	

TIME	TOPIC	FACILITATOR
	<ul style="list-style-type: none"> • Identify domestic users and commercial users • Identify vulnerable people • Monitor the Caretaker • Support Caretaker and HPM on O&M of water source i.e. during repairs to lift heavy pipes out of the source, fence repair. • Help improve service by the Service Centre. • Preserve the surrounding of the water facility. • Propose rules and regulations of community for the water source to WSC. • Select 3 candidates of caretakers • File claims about O&M of the water source. 	
11: 15am – 11:45am	SESSION 3.2: HYGIENE AND SANITATION <ul style="list-style-type: none"> • Clean and Safe water – <ul style="list-style-type: none"> ○ Safe Water Chain. ○ Water treatment at household level 	CONSULTANT- WE Consult
11:45am – 1:00pm	SESSION 4: COMMUNITY MOBILISATION SKILLS AND COMMUNITY DIAGNOSIS SESSION 4.1: Community Mobilization approached SESSION 4.2: Community Diagnosis	CONSULTANT - WE Consult
1:00pm – 2:00pm	<ul style="list-style-type: none"> • LUNCH 	
2:00pm – 2:30pm	SESSION 5: ISSUES ARISING AND DISCUSSION	CONSULTANT - WE Consult /Project Team
2:30pm – 3:00pm	SESSION 6: OJT TO SUB COUNTY EXTENSION WORKERS AND HPMS ON WATER USER SENSITISATION	CONSULTANT - WE Consult
3:00- 3:30pm	SESSION 7: WAY FORWARD	CONSULTANT - WE Consult
3:30pm – 4:00pm	SESSION 8: CLOSING REMARKS & CLOSURE	L.C.III /L.C.I CHAIRPERSON
4:00pm		

Annex 2 OJT PROGRAM ON WATER USER SENSITIZATION AND WILLINGNESS CONFIRMATION

TIME	TOPIC	FACILITATOR
8:00am – 8:15am	Arrival & Registration	CDO/HA/HPM
8:15am – 8:30am	SESSION 1: INTRODUCTION <ul style="list-style-type: none"> • Self-Introduction and Expectations • Challenges faced by water users in O&M of their water facility. 	CDO/HA/HPM/ADWO
8:30am – 8:45am	Opening & Welcome Remarks	DWO/SAS
8:45am – 9:00am	PROJECT OVERVIEW <ul style="list-style-type: none"> • Project/Assignment Objectives • Objectives of the OJT - Water User sensitization and willingness confirmation • Requirements for water sources to qualify for DDMS • Expected Results 	CDO/HA/HPM/ADWO
9:00am – 10:00am	SESSION 2: DISCUSSION ON THE DDMS <ul style="list-style-type: none"> • What is the DDMS? • Background of DDMS • Aims of DDMS • Advantages of the DDMS • Key Actors in DDMS 	CDO/HA /HPM/ADWO
10:00am – 10:15am	BREAK	
10:15am – 11:00am	SESSION 3: ROLES AND RESPONSIBILITIES OF WATER USERS UNDER THE DDMS. Water Source management <ul style="list-style-type: none"> • Pay water user fees to the Caretaker employed by the Service Centre • Apply to the DDMS and Sign consent form • Identify vulnerable people • Monitor the Caretaker • Help improve service by the Service Centre. • Preserve the surrounding of the water facility. • Support the Caretaker and • File claims about O&M of the water source. • Propose ideas to improve the service quality of Caretaker or Service Centre. • Propose Caretakers and select members of the WSC. 	CDO/HA/HPM/ADWO

	<ul style="list-style-type: none"> Propose Water Source Rules and Regulations 	
11:30am -12: 00noon	ROLES AND RESPONSIBILITIES OF WATER USERS CONT'D	CDO/HA/HPM/ADWO
12:00am – 12:30pm	SESSION 3.1: HYGIENE & SANITATION PROMOTION <ul style="list-style-type: none"> Clean and Safe water – <ul style="list-style-type: none"> Safe Water Chain. Water treatment at household level 	CDO/HA/HPM/ADWO
1:00pm – 1:15pm	SESSION 4: CLOSING REMARKS & CLOSURE	
1:15pm – 1:30pm	SESSION 5: Obtaining signature for consent form by water users	L.C.III /L.C.I CHAIRPERSON
		CDO/HA/HPM

Annex 3 TRAINING PROGRAM FOR TOT TO SUB COUNTY EXTENSION WORKERS AND HPMS FOR WSCS TRAINING

TIME	TOPIC	FACILITATOR
8:00-8:15am	Arrival & Registration	CONSULTANT
8:15am- 8:20am	SESSION 1: INTRODUCTION <ul style="list-style-type: none"> • Self-Introduction and • Expectations from the TOT • Challenges faced by Extension staff from WSCs on O&M of the water facilities. 	CONSULTANT
8:20am- 8:30am	Opening & Welcome Remarks	DWO/SAS
8:30 am- 8:40am	PROJECT OVERVIEW <ul style="list-style-type: none"> • Project/Assignment Objectives • Objectives of the TOT- WSC training • Areas To Be Covered • Target Group • Methodology/Approach Of The Tot • Requirements for water sources to qualify for DDMS • Expected Results 	CONSULTANT
8:40am – 9:00am	SESSION 2: DISCUSSION ON DDMS <ul style="list-style-type: none"> • What is DDMS • Background of DDMS • Aims of DDMS • Advantages of the DDMS • Key Actors in DDMS 	CONSULTANT
9:00am- 10:00am	SESSION 3: ROLES & RESPONSIBILITIES OF WSC IN DDMS <ol style="list-style-type: none"> 1. Coordinate Water Users. 2. Monitoring role. 3. Nomination and Recommendation of candidate Caretakers 4. Make rules/bylaws on the usage of their water point. 5. Preparation of Customer List 6. Record keeping. 7. Reporting 8. Sanitation and Hygiene Promotion 	CONSULTANT
10:00am – 10:15am	BREAK	
10:15 am – 1:00pm	DISCUSSION AND EXPLANATION ON ROLES AND RESPONSIBILITIES OF WSC- CONT'D	CONSULTANT
1:00pm – 2:00pm	LUNCH	
2:00 pm – 2:45pm	SESSION 5: ISSUES ARISING AND DISCUSSION	CONSULTANT

TIME	TOPIC	FACILITATOR
2:45pm – 3:15pm	SESSION 6: PRESENTATION OF OJT PROGRAM FOR WSC	CONSULTANT
3:15pm-4:00pm	SESSION 7: WAY FORWARD ON HOW TO TRAIN, SUPPORT AND MONITOR WSCs AND WATER USERS ON DDMS	CONSULTANT
4:00pm	SESSION 8: CLOSING REMARKS AND CLOSURE	L.C.III /L.C.I CHAIRPERSON

Annex 4 OJT TRAINING PROGRAMME FOR WSC TRAINING

TIME	TOPIC	FACILITATOR
8:00-8:15am	Arrival & Registration	CDO/HA/HPM
8:15am- 8:30am	SESSION 1: INTRODUCTION <ul style="list-style-type: none"> • Self-Introduction and • Expectations from the OJT • Challenges faced by WSC in O&M of water facilities (boreholes). 	CDO/HA/HPM/ADWO
8:30am- 8:45am	Opening & Welcome Remarks	CDO/HA/HPM
8:45 am- 9:30am	PROJECT OVERVIEW <ul style="list-style-type: none"> • Project/Assignment Objectives • Objectives of the OJT – Water and Sanitation Committee training • Areas To Be Covered • Target Group • Methodology/Approach Of The Tot • Expected Results 	CDO/HA/HPM/ADWO
9:30am –10:00am	SESSION 2: DISCUSSION ON THE DDMS <ul style="list-style-type: none"> • What is the DDMS? • Background of DDMS • Aims of DDMS • Advantages of the DDMS • Key Actors in DDMS 	CDO/HA/HPM
10:00am -10:15am	BREAK	
10:15am-1:00pm	SESSION 4: ROLES & RESPONSIBILITIES OF WSC <ol style="list-style-type: none"> 1. Coordinate Water Users, 2. Enforce Water Source Rules and Regulations on the usage of their water point, 3. Monitor the Caretaker and Service Center support activities. 4. Reporting activities of Service Centre to the Sub-county. 5. <i>Roles of the Secretary Finance:</i> 6. Preparation of water user list: 7. Record keeping: 8. Promote sanitation in the community: 	CDO/HA/HPM/ADWO
1:00pm – 2:00pm	LUNCH	
2:00pm-2:30pm	SESSION 6: ISSUES ARISING AND DISCUSSION	CDO/HA/HPM/ADWO
2:30pm – 3:00pm	SESSION 7: WAY FORWARD	CDO/HA/HPM/ADWO
3:00pm	SESSION 8: CLOSING REMARKS AND CLOSURE	L.C.III /L.C.I CHAIRPERSON

Annex 5 TRAINING PROGRAM FOR TOT TO HAND PUMP MECHANICS FOR CARETAKER TRAINING

TIME	TOPIC	FACILITATOR
	DAY ONE	
8:00am – 8:15am	Arrival & Registration	CONSULTANT
8:15am – 8:20am	SESSION 1: INTRODUCTION <ul style="list-style-type: none"> • Self-Introduction • Expectations from the TOT • Challenges faced by HPMS in O&M of the water facilities. 	CONSULTANT
8:20am – 8:30am	Opening & Welcome Remarks	DWO/ACAO-WES
8:30am – 8:40am	PROJECT OVERVIEW <ul style="list-style-type: none"> • Project/Assignment Objectives • Areas To Be Covered • Target Group • Methodology/Approach Of The Tot • Requirements for water sources to qualify for DDMS • Expected Results 	CONSULTANT
8:40 am – 9:15am	SESSION 2: THE WATER SOURCE CARETAKER	CONSULTANT
9:15am – 10:00am	SESSION 3: ROLES AND RESPONSIBILITIES OF CARETAKER UNDER DDMS	CONSULTANT
10:00am – 10:15am	BREAK	
10:15am – 1:00pm	Roles and Responsibilities cont'd.	
1:00pm – 2:00pm	LUNCH	
2:00pm – 2:45pm	SESSION 4: REMUNERATION OF THE CARE-TAKER	
2:45pm – 3:15pm	SESSION 5: ROLES AND RESPONSIBILITIES OF HAND PUMP MECHANICS IN THE DDMS	CONSULTANT
3:15pm – 4:00pm	SESSION 6: CLOSING REMARKS FOR DAY ONE	CONSULTANT
	END OF DAY ONE	
	DAY TWO	
8:00am – 8:30am	Arrival and Registration	ALL
8:30am – 9:00am	SESSION 1: RECAP OF DAY ONE SESSIONS	CONSULTANT
9:00am – 10:30am	SESSION 2: FIELD VISIT PREPARATIONS	CONSULTANT
10:30am – 11:00am	BREAK	
11:00am – 1:00pm	FIELD VISIT	CONSULTANT
1:00pm – 2:00pm	LUNCH	
2:00pm – 3:00pm	SESSION 3: SANITATION AND HYGIENE	CONSULTANT
3:00pm – 3:15pm	SESSION 4: ISSUES ARISING AND DISCUS-SIONS	CONSULTANT
3:15pm – 3:45pm	SESSION 6: WAY FORWARD AND ACTION PLANNING ON HOW HPMS WILL TRAIN, CARETAKERS ON THE DDMS	CONSULTANT/DWO
3:45pm – 4:00pm	SESSION 7: CLOSING REMARKS AND CLO-SURE	L.C.V CHAIRPERSON

Annex 6 OJT PROGRAM FOR CARETAKERS TRAINING

TIME	TOPIC	FACILITATOR
	DAY ONE	
8:00am	Arrival & Registration	HPM/CONSULTANT
8:00am – 8:15am	SESSION 1: INTRODUCTION <ul style="list-style-type: none"> Self-Introduction and Expectations Challenges experienced by Caretakers (under the CBMS) 	HPM/ADWO/CONSULTANT
8:15am – 8:30am	Opening & Welcome Remarks	DWO/ACAO-WES
8:30am – 9:00am	Program Overview <ul style="list-style-type: none"> Project/Assignment Objectives Areas To Be Covered Target Group Methodology/Approach Of The Tot Expected Results 	HPM/ADWO/CONSULTANT
9:00am – 10:00am	SESSION 2: DISCUSSION ON DDMS <ul style="list-style-type: none"> What is DDMS Background of DDMS Aims of DDMS Advantages of the DDMS Key Actors in DDMS 	HPM/ADWO/CONSULTANT
10:00am – 10:15am	BREAK	
10:15am – 10:30am	SESSION 3: THE WATER SOURCE CARETAKER	HPM/ADWO/CONSULTANT
10:30 am – 1:00pm	SESSION 4: ROLES AND RESPONSIBILITIES OF THE CARETAKERS:	HPM/ADWO/CONSULTANT
1:00pm – 2:00pm	LUNCH	
2:00 – 2:30pm	SESSION 5: REMUNERATION OF THE CARETAKER:	HPM/ADWO/CONSULTANT/HPM
	SESSION 6: ROLES OF THE HAND PUMP MECHANICS	
3:30pm – 4:00pm	ISSUES ARISING DISCUSSION AND RECOMMENDATIONS On all sessions	
4:00pm	CLOSURE OF DAY ONE	

	DAY TWO	
8:00am	ARRIVAL AND REGISTRATION	
8:00am – 8:45am	SESSION 1: RECAP OF DAY ONE DISCUSSION	
8:45am – 9:30am	SESSION2: FIELD PREPARATION	
10:00am – 10:15am	BREAK	
10:15am – 1:00pm	SESSION 3.1: Field Visit	HPM/ADWO/CONSULTANT
1:00pm – 2:00pm	• LUNCH	
2:00pm – 2:45pm	SESSION4: FEEDBACK FROM FIELD VISIT AND PLENARY	HPM/ADWO/CONSULTANT
2:45pm -3:30pm	SESSION 5: SANITATION AND HY- GIENE (AT THE WATER SOURCE)	HPM/ADWO/CONSULTANT
3:30pm –4:00pm	SESSION 5: ISSUES ARISING , DIS- CUSSION AND RECOMMENDA- TIONS On all sessions for Day One and Day Two	HPM/ADWO/CONSULTANT
4:00pm – 4:15pm	SESSION 6: WAY FORWARD ON HOW CARETAKERS WILL DO THEIR ROLES	HPM/DWO/CONSULTANT
4:15pm	SESSION 7: CLOSING REMARKS & CLOSURE	L.C.V CHAIRPERSON

Annex 7 USER FEE RECORD SHEET- DOMESTIC USERS

No.1 Name: Jackline Nak- asaga Water user fee:2,000UGX

Date	Month	Paid amount	Balance	Sign	
				User	Caretaker
15	January	2000	0		
	January				
10	February	1000	1000		
15	February	500	500		
	March	0	2500		
	March				
13	April	1500	3000		
20	April	500	2500		
15	May	2500	0		
	May				
19	June				
	June				
12	July				
	July				
17	August				
	August				
16	September				
	September				
15	October				
	October				
18	November				
	November				
14	December				
	December				

Instruction to make format:

1. Write the user No. and user name according to the consent form. (1 user for 1page)
2. Draw the line as above and make format.(2 lines for 1 month, therefore make 24 lines)

At the payment:

1. Write the date and month when user pay water user fee to caretaker.
2. Write the payment in "Paid amount".

3. Calculate the balance and write it in "Balance".

*Balance = Balance of previous month + water user fee (2,000 UGX) - Paid amount of this month

4. Confirm "Paid amount" and "Balance" with user and caretaker, and they write the signature.

Annex 8 USER FEE RECORD SHEET- COMMERCIAL USERS

No. 1 Name: Grace Kajumba

Category: Brick maker Water user fee: 5,000UGX

Date	Month	Paid amount	Balance	Sign	
				User	Caretaker
15	January	5000	0		
	January	0	0		
10	February	3000	2000		
15	February	1000	1000		
8	March	2000	4000		
23	March	2500	1500		
13	April	6000	500		
20	April	0	500		
15	May	4000	1500		
	May	1500	0		
19	June	5000	0		
	June	0	0		
12	July				
	July				
17	August				
	August				
16	September				
	September				
15	October				
	October				
18	November				
	November				
14	December				
	December				

Instruction to make format:

1. Write the user No. and user name according to the consent form. (1 user for 1page)
2. Draw the line as above and make format.(2 lines for 1 month, therefore make 24 lines)
3. Write the category of commercial users and water user fee

according to bye-law decided by WSC.

At the payment:

1. Write the date and month when user pay water user fee to caretaker.
2. Write the payment in "Paid amount".
3. Calculate the balance and write it in "Balance".

*Balance = Balance of previous month + water user fee - Paid amount of this month
4. Confirm "Paid amount" and "Balance" with user and caretaker, and they write the signature.

Annex 9 COMPLAINT PROCESSING

1. Purpose

To ensure that all complaints from water users toward the water supply service by Service Center are effectively handled in a timely manner.

2. Responsibility

The administrator has the responsibility for complaint procedure. He/She shall be responsible for:

Recording all complaints received from water users.

Coordinate with relevant persons to ensure that all complaints from water users are investigated and resolved in a timely manner.

Closing the raised complaints and provide timely feedback to water users.

3. The procedure of handling complaints

A water user expresses complaints to Service Center by phone.

When Service Center receives complaints, administrator fills in the complaints form.

The administrator communicates with relevant persons who can handle the complaints and consider/solve the problems.

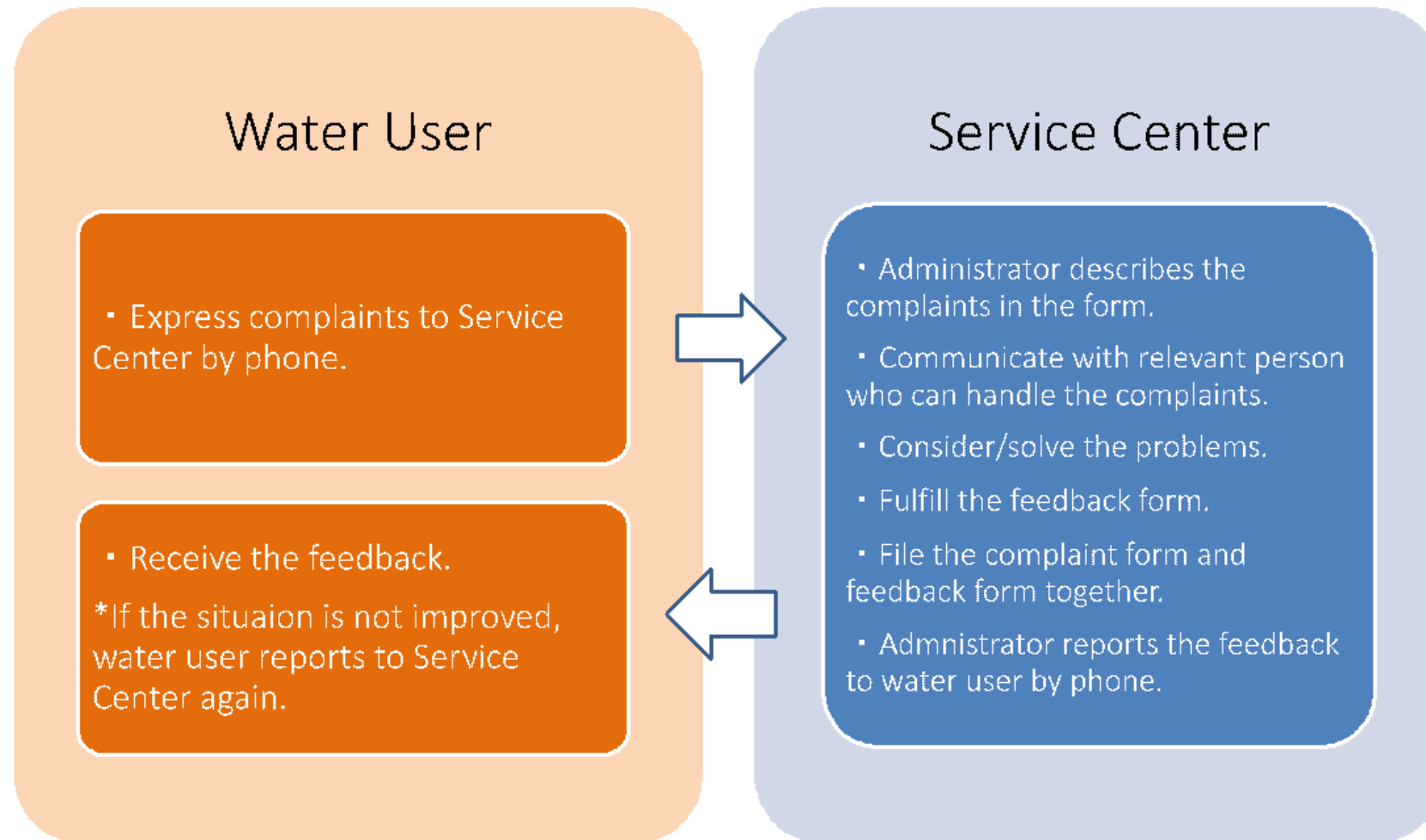
The feedback form shall be filled in by the administrator.

The complaint form and the feedback form shall be filed together.

The administrator reports the feedback to the water user and the caretaker at the water source in question by phone.

4. Any complaints that have legal implications shall be handled by legal counsel.

Annex 10 FLOW OF THE COMPLAINT PROCESSING



Annex 11 REGULAR MAINTENANCE CHECKLIST

	Regular Maintenance Check List
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Name of Caretaker	Name of HPM
Sub-county	Parish
Name of Well	Well No.
DWD No.	Tap/ GFS No.

	Description	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
1	Unlock the source by the start of supply time															
2	Clean drainage and hand pump surrounding before the supply time															
3	Check all flange bolts and nuts for tightness															
4	Check the handle axle nuts, chain bolt, and Nyloc nut are tight															
5	Check the water flow come during the first 5 strokes at the first use of the day															
6	Grease the chain if the handle does not work smoothly															
7	Repair wooden bar and fence (if applicable)															
8	Lock the source after the supply time															
	Other notices	(Comments)														

Annex 12 WSC MONITOR SERVICE CENTER (REPAIRS AND REHABILITATION)

1. How often (After one month from implementation of Preventive Maintenance)
2. Report to whom? Sub-county Government

Annex 13 DISTRICT WATER OFFICE MONITOR SERVICE CENTRE

1. How Often: Monthly
2. Report to who? JMC

Annex 14 FREQUENTLY ASKED QUESTIONS – DDMS

Qn1: What is DDMS?

Answer:

- DDMS means District Direct Management System. This is a new proposed (by JICA) Operation and Maintenance system for rural water facilities.
- Under DDMS, a Service Centre will be established as non-profit, semi-autonomous and independent agency of benefiting District Local Government with main purpose of providing water supply service to enhance public welfare, and ensure reliable access to safe water for the rural communities.
- The proposed operations of the DDMS intend to address the O&M challenges experience under the Community Based Management System (CBMS).

Qn2: How different is the DDMS from the CBMS?

Answer:

DDMS differs from the CBMS in various ways

- Under DDMS a Service Centre will be established as non-profit, semi-autonomous and independent agency of benefiting District Local Government with main purpose of providing water supply service to enhance public welfare, and ensure reliable access to safe water for the rural communities.
- A Caretaker shall be employed by the Service Centre to manage the water facility and shall be paid a commission from the user fee collection. Under the CBMS, the water facility is managed by unpaid caretaker, WSC, L.C.1 and in some cases by no one.
- The DDMS shall use User fee record sheets/books (For Domestic and Commercial users) to collect user fees and users will sign against money paid to caretaker to promote transparency and accountability unlike in the CBMS.

Qn3: What are the benefits of joining the DDMS?

Answer: Communities which join the DDMS shall benefit from the new system in the following ways:

- Continue to use safe water that is reliable
- One Stop Service
- Quickly maintenance service
- Always to be kept clean water source
- Reliable Water Supply Service
- Safe and Clean water for better health
- Improved livelihood for rural communities

Qn4: Why should the users pay 2000/= as water user fees (for Domestic water users) and not less or more than 2000/=?

Answer:

Surveys conducted on water user fees by MWE, JICA and other sector partners established the following:

- Most communities agreed to pay 2000/= per household per a month as maintenance fee for their water source.

Qn5: What will the money collected be used for?

Answer: The user fee collected will be used for the following activities:

- i. Purchase spare parts
- ii. Pay salary for Caretakers
- iii.
- iv. Labour fee and transport for HPM
- v. Pay salary for Service Centre staff
- vi. Upgrade the Water facility where necessary

Qn6: How will the user fee collected by the Caretaker be managed to avoid misuse?

Answer: The Assistant Accountant from the Service Centre will collect the money from the Caretaker every month and remit it to the bank account

Qn7: How will transparency and accountability be exhibited in the DDMS?

Answer:

- The Caretaker will use water user fee record sheets (both domestic and commercial user sheets) to collect the fees.
- The users will sign for the money paid to the caretaker.
- Each household user will have a page in the water user record sheet.
- The WSC (Secretary Finance) will share information on accountability of fees collected with the users in a users' meeting, if water user requests.

Qn8: What will be done to users who do not want to pay the user fees?

Answer:

- The Water Source Rules and Regulations should address issues such as how to handle unpaid users. This rule will be decided by water users during sensi-

tization and enforced by WSCs.

Qn9: What should be done to undisciplined water users i.e. users who insult caretakers, who fight at the water source, who refuse/ fail to pay user fees?

Answer: The WSC will have the mandate to enforce the developed The Water Source Rules and Regulations. If need arise, WSC can decide it.

Qn10: What will be done to water users who do not attend water users' meetings?

Answer: As above (previous)

Qn11: How can political interference be avoided in operation and maintenance of water facilities?

Answer:

The Water Users, WSCs, HPMs, etc. should identify the Politician in question and address the concern in a Council meeting at the Sub-county or District level with Political Heads such as Local Council V and other Councillors.

Qn12: Water users do not respect the Water Source Rules and Regulations because the Water Source Rules and Regulations are weak. How can the Water Source Rules and Regulations be effective?

Answer:

Penalty will be decided in the Water Source Rules and Regulations by WSC and executed on time. (e.g. Unpaid users can't use borehole.)

Qn13: Some HPMs are unethical in their work. i.e. vandalize the water facilities because they want to make money; install fake or old spare parts, exchange spare parts for different boreholes; over charge users for repair etc. What will be done to unethical HPMs?

Answer:

1. The Service Centre will sign a Contract with the HPMA. All HPMs are registered in HPMA and trained about repair on boreholes.
2. The Service Centre shall provide all the required spare parts for the borehole.
3. The HPMA will pay the HPM after submitting a repair report to the Association.

Qn14: Which boreholes should be included in the DDMS?

Answer:

- Boreholes where water users are willing to pay water user fees (2000/=) on time.

Qn15: Where will the safe box be located?

Answer: Caretaker will manage and keep it properly.

Qn18: Will the caretaker move house to house to collect the user fees or the money will be collected at the water source?

Answer: Users may bring the fees to the Caretaker at the water source as they come to fetch water.

**Appendix 1-2: Training Manual for Training of Trainers (TOT) of
Sub-County Extension Staffs and Hand Pump
Mechanics on Water User Sensitization**



Ministry of Water and Environment

Directorate of Water Development

THE PROJECT OF OPERATION AND MAINTENANCE FOR RURAL
WATER SUPPLY AND IMPROVED HYGIENE AND SANITATION IN
THE REPUBLIC OF UGANDA

Revitalization of Water and Sanitation Committees and
Sanitation Promotion for the New O&M System in Mubende

Training Manual for Training of Trainers (TOT) of Sub-County Extension Staffs and
Hand Pump Mechanics on Water User Sensitization

APRIL 2018



Revitalization of Water and Sanitation Committees and
Sanitation Promotion for the New O&M System in Mubende

Training Manual for Training of Trainers (TOT) of Sub-
County Extension Staffs and Hand Pump Mechanics on
Water User Sensitization

Project 201718
APRIL 2018

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1 INTRODUCTION

This training manual is meant to guide Sub-County Extension staffs and Hand Pump Mechanics (HPMs) on sensitization and willingness confirmation of water users under the proposed new Operation and Maintenance system for rural water supply and improved hygiene and sanitation. The new O&M system has been named “the District Direct Management System (DDMS)” proposed and piloted by JICA in the district of Mubende, Central Uganda. In this Project, the conventional approach called CBMS (Community Based Maintenance System) will be taken and strengthened in Kiboga, Mpigi and Butambala. If this pilot of DDMS is successful, MWE will expand this model to other districts not only Kiboga, Mpigi and Butambala but also other districts after this Project.

The DDMS is intended to improve management of rural water supplies in the pilot districts in particular and the country in general when scaled up. The DDMS is expected to address challenges encountered under the current CBMS for Rural Water Supplies and Sanitation facilities.

This manual contains the training procedures and content for Sub-County Extension staffs and HPMs to sensitize Water Users as key actors in the DDMS. The key actors in the DDMS include: Ministry of Water and Environment (MWE)/ Infra-structural Operation and Maintenance (IO&M) Division Staff, Technical Support Unit staff for the respective districts, Service Centre staff (to be created under the DDMS and will be situated at the district level), Sub-county extension staffs, HPMs, Water and Sanitation Committees, Caretakers and Water Users. The new system involves Revitalization of Water and Sanitation Committees and Sanitation and Hygiene promotion starting with Mubende District Local Government.

1.1 BACKGROUND

In 2004, the Ministry of Water and Environment endorsed the CBMS as one of the best strategies for O&M of communal water supply facilities in rural areas. The CBMS since then has been used as the strategy for achieving sustainability of rural water services. The Water Policy stipulates an expected functionality rate at any one time of 80-90%, and promotes CBMS through a 3-tier system as the approach to ensure sustainable management and O&M of water supply facilities. All point water facilities are required to have Water and Sanitation Committees (WSCs) with half the membership being women, and at least two caretakers.

However, the baseline survey carried out on O&M of water facilities in the four districts mentioned above by JICA in 2016, in addition to various studies such as

Water Aid, (2013), IRC (2015) and Mugumya F, (2013) among others, all point to various challenges in the CBMS system. These challenges include; legal status and voluntary nature of WSCs, unwillingness of water users to pay for O&M, inadequate and undefined supply chain of spare parts, vandalism of spare parts, political influence, non or partial participation of Women among other challenges.

Given that background, the current JICA Project on “Operation and Maintenance of Rural Water Supply and Improved Hygiene and Sanitation in the Republic of Uganda” proposes a new system “the District Direct Management System (DDMS)” that is expected to replace the CBMS and hopefully will address and solve the challenges under the CBMS.

1.2 ESTABLISHMENT OF THE SERVICE CENTRE

The proposed DDMS is adopted from the CBMS; however, it creates a new independent structure at the district level called a “Service Centre”, which operates in a similar way like a private entity, with lower structures filled by a Hand Pump Mechanic (HPM) and a Caretaker at Sub County and Water user level respectively as paid service providers. These are respectively supported at the district, Sub County, and community by the District Water Office, the Extension Workers and the Water and Sanitation Committees.

1.3 THE MAIN PROJECT

The main project is “The Project for Operation & Maintenance for Rural Water Supply and Improved Hygiene and Sanitation in the Republic of Uganda”. Currently, the project is being implemented in four districts namely; Mubende, Kiboga, Buzumbura and Mpigi.

1.4 THE ASSIGNMENT

The current assignment under the main project is “To Revitalize Water and Sanitation Committees for Rural Water Supply and Improvement of Hygiene and Sanitation in Mubende District Local Government”.

1.5 OBJECTIVES OF THE ASSIGNMENT

1.5.1 Overall objectives

The overall objectives for the assignment are:

1. To build capacity of each actor in the DDMS for improvement of water supply O&M.
2. To pilot the new system with trained officials.

1.5.2 Specific objectives

The specific objectives of the current assignment are:

1. Train the staff of infrastructural O&M /MWE and TSU staff, with knowledge and skills to train, support and monitor DWO and to understand the current situation and the proposed DDMS being piloted.
2. Train DWO officials in Mubende, with knowledge and skills to train, support and monitor CDO/HA, HPMs under the proposed DDMS to replace the CBMS.
3. To train extension workers with knowledge and skills for sensitization of water users, training of WSCs and Caretakers.
4. Develop capacity of extension workers (CDO/HA/HPM) at sub-county level.
5. Generate and increase demand for water and sanitation services.
6. Promote participation in the new O&M system and hygiene behavior change.
7. Sensitize water users on their roles.
8. Enable the WSCs to fulfil their roles and responsibilities.
9. Monitor to see if WSCs/caretakers are functional and H&S promotion is conducted as required.
10. Make corrections and solve problems/challenges.

The problems encountered with the old CBMS system shall be addressed by the introduction of the new District Direct Management System (DDMS).

1.6 CONTENT OF THIS MANUAL

This manual contains procedures of Water Users sensitization and content for sub-county extension staffs and HPMs to sensitize Water Users.

1.7 TRAINING DESCRIPTION

The training shall be conducted as Training for Trainers (TOT) for Sub-County Extension staffs and HPMs on Water User sensitization.

1.8 DURATION OF THE TRAININGS

The TOT shall last for one day.

1.9 TARGET GROUP

To ensure achievement of the objectives of the DDMS, it is recommended that the capacity for the sub-county extension staffs and HPMS as Key actors in the new system have their capacity built on the DDMS.

1.10 FACILITIES AND TRAINING MATERIALS

The TOT will be held in-house (in a hall) for purposes of protection from harsh weather and to create a conducive environment for the participants, that also optimizes concentration. Outdoor, training shall be done to allow real on hands practice. The training materials for TOT shall include relevant documents on water facilities management, documentation on DDMS, Participatory Rural Appraisal tools, news prints, markers and masking tapes.

1.11 METHODOLOGY/ APPROACH

The training methods applied during the TOT shall be participatory to promote learning among all the target groups. The facilitators shall as much as possible encourage participation through:

- Group discussion and presentations in plenary.
- Participatory Rural Appraisal approaches.
- Lecturing: There shall be limited lecturing that will be applied to new concepts.

1.12 OUTLINE OF THE TRAINING PROGRAMME

The next sections provide specific training programs for the TOT/OJT for extension workers and HPMS.

This training manual guides extension staff and HPMS on how to train water users on the new O&M system under the DDMS.

2 TOT TO EXTENSION STAFFS AND HPMS FOR WATER USER SENSITISATION

The TOT for sub county extension staffs and HPMS for water user sensitization will take place in a venue in one of Extension Staffs and HPMS for Water User Sensitization the participating sub-counties identified by the District and Sub-county extension staff and will last one day. This TOT will target Community Development Officers (CDOs), Health Assistants (HAs) and HPMS from the benefiting district.

Table 1: Training program for TOT to extension staff and HPMS for water user sensitisation

TIME	TOPIC	FACILITATOR
8:00am- 8:15am	Arrival & Registration	CONSULTANT - WE Consult
8:15am- 8:30am	SESSION1: INTRODUCTION <ul style="list-style-type: none"> Self-Introduction and Expectations from the TOT. Challenges experienced by Extension staff from Water Users on O&M of water sources.(boreholes) 	CONSULTANT - WE Consult
8:30am- 8:45am	Opening & Welcome Remarks	DWO/SAS
8:45am- 9:30am	SESSION2: PROJECT OVERVIEW <ul style="list-style-type: none"> Project/Assignment Objectives Areas To Be Covered Target Group Methodology/Approach Of The TOT Requirements for water sources to qualify for DDMS Expected Results 	CONSULTANT - WE Consult
	SESSION3: LEGAL AND POLICY FRAMEWORK FOR O&M FOR RURAL WATER FACILITIES <ol style="list-style-type: none"> National Water Statute, 1995. National Water Policy, 1999 Local Government Act 	
9:30am- 10:00am	SESSION 4: BACKGROUND AND DISCUSSION ON DDMS Session 3.1: Brief on the CBMS Session 3.2: Performance assessment	CONSULTANT - WE Consult

	<p>of roles of Water Users under CBMS</p> <p>Session 3.2: Introductions and Discussion on DDMS</p> <ul style="list-style-type: none"> • What is DDMS • Aims of DDMS • Advantages of the DDMS • Key Actors in DDMS 	
10:00am- 10:15am	BREAK	ALL
10:15am- 11:15am	<p>SESSION 5: ROLES AND RESPONSIBILITIES OF WATER USERS IN THE DDMS</p> <p>SESSION 4.1: WATER SOURCE MANAGEMENT</p> <ul style="list-style-type: none"> • Pay water user fees. • Join DDMS (The new O&M system) • Select members of the WSC. • Identify domestic users and commercial users • Identify vulnerable people • Monitor the Caretaker • Support Caretaker and HPM on O&M of water source i.e. during repairs to lift heavy pipes out of the source, fence repair. • Help improve service by the Service Centre. • Preserve the surrounding of the water facility. • Propose rules and regulations of community for the water source to WSC. • Select 3 candidates of caretakers • File claims about O&M of the water source. 	
11: 15am- 11:45am	<p>SESSION 5.2: HYGIENE AND SANITATION</p> <ul style="list-style-type: none"> • Safe water chain 	CONSULTANT- WE Consult
11:45am- 1:00pm	<p>SESSION 6: COMMUNITY MOBILISATION SKILLS AND COMMUNITY DIAGNOSIS</p> <p>SESSION 6.1: COMMUNITY MOBILISATION SKILLS</p> <p>SESSION 5.2: COMMUNITY DIAG</p>	CONSULTANT - WE Consult

	NOSIS Session 6.2.1: Pair wise Ranking Matrix and Comparison	
1:00pm- 2:00pm	• LUNCH	
2:00pm- 2:30pm	SESSION 7: ISSUES ARISING AND DISCUSSION	CONSULTANT - WE Consult
2:30pm- 3:00pm	SESSION8: ROLE PLAY <ul style="list-style-type: none"> • How to explain to Water Users about DDMS. • Advantages of the DDMS • How to teach Water Users the Safe Water Chain. 	CONSULTANT - WE Consult
3:00- 3:30pm	SESSION 9: OJT TO SUB COUNTY EXTENSION WORKERS AND HPMS ON WATER USER SENSITISATION AND WILLINGNESS CONFIRMATION	CONSULTANT - WE Consult
3:30pm- 4:00pm	SESSION 10: CLOSING REMARKS & CLOSURE	L.C.III /L.C.I CHAIRPERSON

3 SESSION 1: INTRODUCTION

TRAINING OVERVIEW FOR TOT TO EXTENSION STAFFS AND HPMS FOR WATER USER SENSITISATION

Main objectives of the TOT - Water User sensitization

To equip the target group (CDO, HA) and HPM with knowledge and skills for water user sensitization.

3.1 SELF INTRODUCTION

Purpose: The main purpose for self-introduction is for the participants (Extension staff and HPMS) and Facilitators (Consultant- WE Consult) to know each other, their designations/titles and place of work.

Procedure: Participants and facilitators will mention their names, designation and place of work.

Duration: 10 Minutes

3.2 WELCOME REMARKS

Purpose: This session is intended for the District Administration/Sub-county Administration to welcome the participants to the training and to affirm their support to the DDMS project in their District.

Procedure: The District Water Officer/Senior Assistant Secretary will make a presentation to the gathering and welcome the participants to the meeting.

Duration: 10 Minutes

4 SESSION 2: PROJECT OVERVIEW AND OBJECTIVES

Purpose: This is to explain to the participants the background and the purpose of the DDMS project.

Procedure: The facilitator (WE Consult) will present and explain the following to the participants:

4.1 THE MAIN PROJECT

The main project is “The Project for Operation & Maintenance for Rural Water Supply and Improved Hygiene and Sanitation in the Republic of Uganda”. Currently, the project is being implemented in four districts namely; Mubende, Kiboga, Butambala and Mpigi Districts.

4.1.1 The Assignment

The current assignment under the main project is “To Revitalize Water and Sanitation Committees for Rural Water Supply and Improvement of Hygiene and Sanitation in Mubende District Local Government.

4.2 ASSIGNMENT OBJECTIVES

4.2.1 Overall Objectives

The overall objectives for the assignment are:

1. To build capacity of each actor in the DDMS for improvement of water supply O&M.
2. To pilot the new system with trained officials.

4.2.2 Specific Objectives

The specific objectives of the current assignment are:

1. To train extension workers with knowledge and skills for sensitization of water users, training of WSCs and Caretakers.
2. Develop capacity of extension workers and HPs at sub-county level.
3. Generate and increase demand for water and sanitation services.
4. Promote participation in the new O&M system and hygiene behaviour change

5. Sensitize water users on their roles under the DDMS.
6. Enable the WSCs to fulfil their roles and responsibilities.

Areas to be covered in TOT

- The DDMS
- Roles and Responsibilities of sub-county extension staffs and HPMS on water user sensitization
- Roles and Responsibilities of Water Users
- How to conduct water user sensitization
- Schedule for water user sensitization

Methodology/ Approach

Lecture and brainstorming, group work and discussions.

Materials required for TOT

- User Fee Record book (Domestic and Commercial users)
- Consent Form
- Water Source Rules and Regulations
- Water user list
- Illustration tools for DDMS
- Illustration tools for Sanitation and hygiene
- Safe box
- Criteria sheet for selection of caretaker

Duration

The TOT shall last for one day.

4.2.3 Expected Outputs

Expected output/results shall be:

- i.* Extension workers and Hand Pump Mechanics should be able to ***explain the DDMS***
- ii.* Extension staff and HPMS should be knowledgeable about their ***roles and responsibilities under the DDMS***
- iii.* Extension staff and HPMS should be to explain the ***roles and responsibilities of Water Users*** under the DDMS.

- iv. Extension staff and HPMS should have knowledge and skills train ***Water Users on their duties under DDMS***

5 SESSION 3: THE WATER AND ENVIRONMENT POLICY AND LEGAL FRAMEWORK ON OPERATION AND MANAGEMENT OF RURAL WATER FACILITIES

i. *Water Statute, 1995:*

- ✓ The Water Statute **provides for use, protection and management of water resources and supply by communities.**
- ✓ In support of community management, it provides for the ownership and management of water supplies by users through the **creation of management structures such as WSCs and Water Source Caretakers.**
- ✓ The Management structures are (**WSCs and Caretakers**) **are responsible for planning and management of water facilities and collection of water user fees**
- ✓ The WSCs and Caretakers are to operate under Direction of the Ministry of Water and Environment who shall guide and approve water user fees.

ii. **The National Water Policy, 1999**

- ✓ This policy promotes an integrated approach to managing water resources in a way that is sustainable and beneficial to all people in Uganda.
- ✓ It provides for **capacity building at all levels** aimed at sustainable water facilities management.
- ✓ The policy requires **all water facilities to have WSCs and Caretakers** with half the membership being women.
- ✓ The policy calls for **Sub-county leadership to support collection of Community Contributions towards Capital Costs for facilities (CCCC) and Water User fee collection (O&M fees).**
- ✓ It provides for women's involvement at all stages in water supply provision.

iii. **Local Government Act, 1997**

- ✓ This Act defines roles for different levels of Government in management of water and sanitation related activities.
- ✓ The Act empowers the different levels of Government (District and Sub-county) to plan and implement WASH development interventions according to identified local priorities. i.e.

- i. Planning and allocation of resources to O&M support activities,
- ii. Monitoring and follow-up support to established community structures.
- iii. Support in making bye-laws subject to certification by higher Council.

In this context a WSC may propose to be adopted by a village Council regarding the management and maintenance of their water facility.

5.1 BACKGROUND AND DISCUSSION OF THE DISTRICT DIRECT MANAGEMENT SYSTEM (DDMS)

Purpose: To explain to the participants the background of the DDMS and the need for the training of the Caretakers on the new O&M system. This is to ensure that the participants understand the purpose of the proposed DDMS.

Procedure: The facilitator shall explain to the participants the background next.

5.1.1 SESSION 3.1: BRIEF OVERVIEW OF THE COMMUNITY BASED MAINTENANCE SYSTEM (CBMS)

In 2004, the *Ministry of Water and Environment endorsed the CBMs as one of the best strategies for O&M of communal water supply facilities* in rural areas.

The *CBMs since then has been used as the strategy for achieving sustainability* of rural water services.

The Water Policy stipulates an expected functionality rate at any one time of 80-90%, and promotes CBMS through a 3-tier system as the approach to ensure sustainable management and O&M of water supply facilities.

All point water facilities are required to have Water and Sanitation Committees (WSCs) with half the membership being women, and at least two caretakers.

However, the baseline survey carried out on O&M of water facilities in the four districts mentioned above by JICA in 2016, in addition to various studies such as Water Aid, (2013), IRC (2015) and Mugumya F, (2013) among others, all point to various challenges in the CBMS system.

These challenges include;

1. Unclear (legal) status and voluntary nature of wscs,

2. Unwillingness of water users to pay for O&M,
 3. Inadequate and undefined supply chain of spare parts,
 4. Vandalism of spare parts,
 5. Political influence,
 6. Non or partial participation of Women
- Among many more other challenges

Given that background, the current JICA Project on “Operation and Maintenance of Rural Water Supply and Improved Hygiene and Sanitation in the Republic of Uganda” proposes a new system “*the District Direct Management System (DDMS) that is expected to replace the CBMS and hopefully will address and solve the challenges under the CBMS*”

5.1.2 SESSION 3.1.2: PERFORMANCE ANALYSIS OF ROLES AND RESPONSIBILITIES OF WATER USERS UNDER CBMS

Purpose:

This is to explain the background of the DDMS to Extension staff and the HPMS to enable them conduct a discussion on DDMS during the OJT for Water Users.

Procedure 1: The Facilitator (Extension staff and HPMS) will task participants to answer the following questions on CBMS and will lead the discussion as below:

- Ask participants to identify the roles and responsibilities of water users in the O&M of their water facility.
- Let Water users identify the roles that they always play and those that they rarely or do not play.
- The facilitator should ensure that Water Users mention the roles highlighted under section 4.1.1.
- Water Users should also give reasons and challenges why some of their roles are not played.

Note: The facilitator should wrap the session by presenting and explaining the CBMS study findings on roles of water users as indicated next:

The facilitator should explain meaning of different colours in the roles. Participants should be informed that a study on Functionality of the CBMS, by the Ministry of Water and Environment in 2011, established that the roles coloured **RED**

were most poorly done, roles coloured **YELLOW** were fairly done, and roles coloured **BLACK** were well done by the water users.

5.1.3 Roles and Responsibilities of Water Users (under CBMS):

(Refer to Annex 10)

1. Water Users pay water fee to care taker
2. Water users attend O&M meetings for their water sources
3. Participate in planning and decision making
4. Elect water and Sanitation Committee with women members on the committee holding key positions.
5. Participate in site selection.
6. Improving sanitation, clean source surrounding
7. Build/ maintain fence around the borehole
8. Make rules and regulations on the use of the source

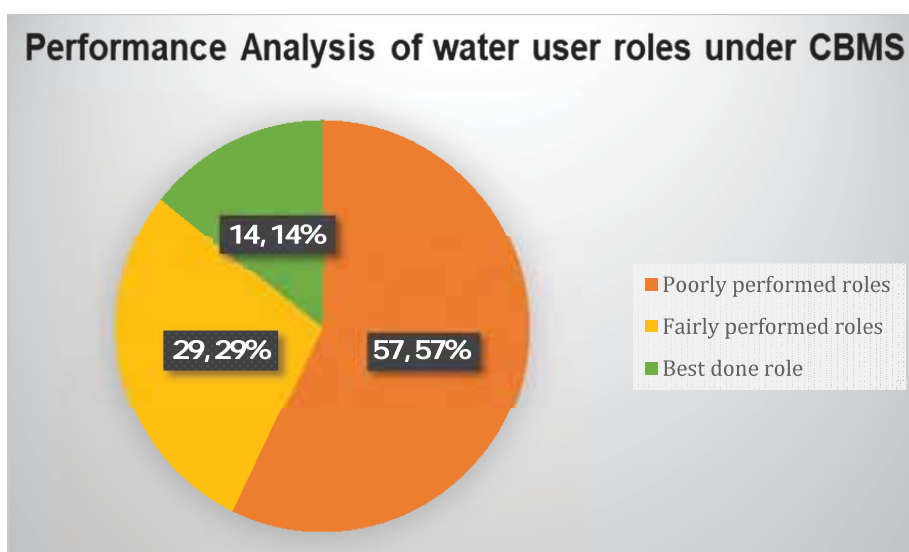
5.1.4 BASIS FOR MEASUREMENT OF THE PERFORMANCE ON ROLES OF WATER USERS

5.1.4.1 GOLDEN PERFORMANCE INDICATORS

Performance of roles and responsibilities is also measured against MWE Golden Performance Indicators. In this case the functioning of the Water User roles was measured against the following golden performance indicator:

- Golden indicator 9; Management; percentage of Water points with actively functioning WSCs: An active WSC should be doing the following:
 - Collect O&M fees
 - Should hold water users' meetings
 - Should do minor repairs.

The graph below indicates the performance analysis of roles and responsibilities of water users in the O&M of their water facilities.



Source: Operation and Maintenance System- Uganda Experience, Ministry of Water and Environment, 2011.

Interpretation of the Graph

The facilitator should explain that most of the water user roles were poorly performed at 50 percent, those that were fairly done were recorded at 20 percent while the roles that were recorded as best done were at 30 percent only. This performance certainly affected the proper functioning of the CBMS.

- Let participants identify and mention the results/consequences of water users not playing the expected roles in the O&M of their water facilities.

The facilitator should ensure that water users mention the following consequences:

- i. Outbreak of wash-related diseases such as diarrhoea, typhoid, cholera etc.
- ii. Gender violence: This may fighting between married couples due to delays in fetching water from far source.
- iii. Loss of time for production work: This may result from drinking unsafe water which may cause diseases and one spends time at healthy centre treating the sick instead of attending to a productive activity i.e. gardening, shop keeping etc.
- iv. Poor education performance at school among children: This may result from frequent missing of classes due to sickness got from drinking dirty water.
- v. Death: this may be due to water and sanitation diseases i.e. typhoid, cholera, diarrhoea.

- vi. Rape and defilement of women and girls. This can happen if women and girls have to pick water from far distances and at awkward time i.e. at night or late in the evening.
- vii. Poverty: This may be due to a number of reasons such as:
 - Spending time to take care of the sick at the health center instead of doing productive work.
 - Diverting resources i.e. money from productive work to paying health/treatment bills.
- viii. Community conflicts especially from community members from another village in search for water.

Among many more

5.1.5 SESSION 3.2: INTRODUCTION AND DISCUSSION ON THE DDMS

Procedure 2: The facilitator shall present and explain of DDMS the following to the Water Users:

Duration: 30minutes

- What is the DDMS?
- Aims of the DDMS
- Advantages of the DDMS (Shall be explained with reference to section 4.7.)
- Key Actors in the DDMS

The facilitator shall also explain:

- i. How the DDMS intends to address the O&M challenges identified under the CBMS.
- ii. The roles and responsibilities of Water Users in the DDMS as indicated session 3.

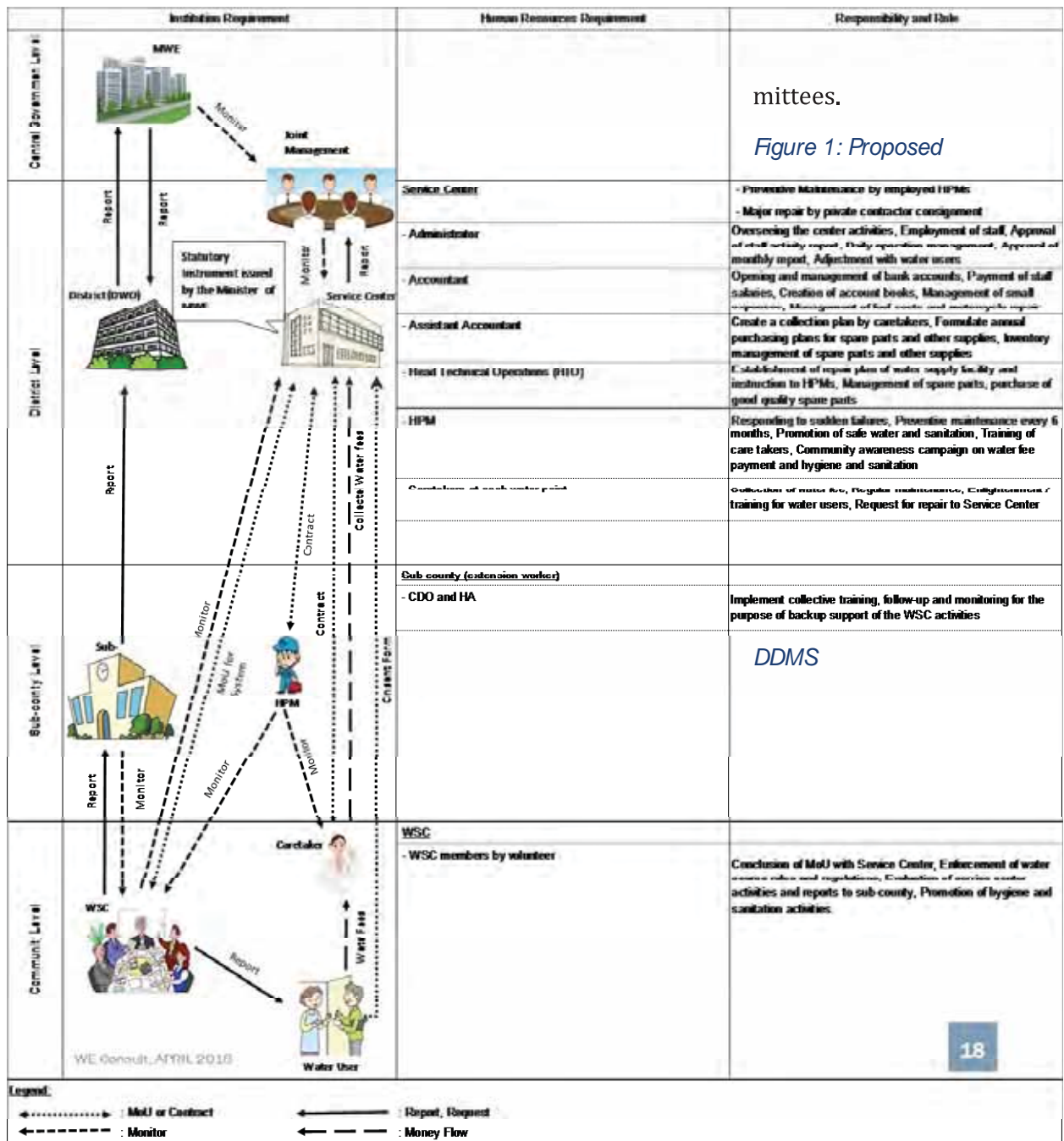
5.2 WHAT IS THE DDMS

The District Direct Management System (DDMS)" is the proposed new Operation and Maintenance system by JICA and will be piloted in the district of Mubende,

Central Uganda under *the Assignment of Revitalization of Water and Sanitation Committees for Rural Water Supply and Improvement of Hygiene and Sanitation in Mubende District*

5.3 ESTABLISHMENT OF THE SERVICE CENTRE

The proposed DDMS is adopted from the CBMS; however, it creates a new independent structure at the district level called a “Service Centre”, which operates in a similar way like a private entity, with lower structures filled by a HPM and a Caretaker at Sub County and Water user level respectively as paid service providers. These are respectively supported at the district, Sub County, and community by the District Water Office, the Extension Workers and the Water and Sanitation Com-



5.4 AIM OF THE DDMS

The problems encountered with the old CBMS system are to be countered by the introduction of the new District Direct Management System (DDMS).

5.5 ADVANTAGES OF THE DISTRICT DIRECT MANGEMENT SYSTEM – DDMS

Note: Visual Aids/Picture illustrations shall be used to explain the Advantages of DDMS to the Water users during the OJT

Table 2: Advantages of DDMS

NO.	Advantage	Why this is an advantage for water users?
1.	Continue to use safe water that is reliable	<ul style="list-style-type: none"> i. Stay healthy, avoid diarrhea and other water borne diseases. ii. It will help water users to save money (hospital, medicine...). iii. Besides, water users can work without stopping.
2.	"One Stop Service"	<ul style="list-style-type: none"> i. Water users can get every service through communicating with only one person (caretaker/WSC/extension worker/HPM/Service Center). ii. Water users don't have to contact with all relevant person.
3.	Quickly maintenance service	After broken borehole, Service Center handle with problem immediately
4.	Always to be kept clean water source	<ul style="list-style-type: none"> i. Caretaker always clean the water source. ii. Water users can use water source comfortably.
5.	Reliable Water Supply Service	Timely response to repair and adequate water supply to communities
6.	Safe and Clean water for better health	Routine water Quality checks to avert water diseases. Awareness creation and advocacies on better health. *This is the future plan of Service Center. After implementing Service Center, they will be able to consider gradually how to manage water quality.

NO.	Advantage	Why this is an advantage for water users?
7.	Improved livelihood for rural communities	<ul style="list-style-type: none"> i. Trigger Cottage level income generating activities (Home-based IGA for goods and services) ii. Time saving for productive work in household. iii. If water users can't afford to pay water user fees, water users of that particular water source shall form a group of farmers (Association) to carry out commercial agriculture of cash crops like tomatoes, carrots, maize, beans vegetables etc. After selling these crops, this money helps for paying water user fees. <p>If there are profit after paying water user fees, they can divide it and use for H&S activities (constructing latrine, Hand washing facilities i.e. tippy taps, etc).</p> <p>*If water users can't pay water user fees, this idea will be one of option among other ideas.</p> <p>Note: Before starting, they are required to decide rules, roles and payment plan etc with all relevant person.</p> <p>*This is the future plan of Service Center.</p>

5.6 ADVANTAGES OF THE DDMS FLOW CHART



5.7 KEY ACTORS IN THE DDMS

- Operation and Maintenance (O&M) Division (MWE)
- TSU officials (MWE)
- DWO officials
- Community Development Officer (CDO)
- Health Assistant (HA)
- Hand Pump Mechanic (HPM)
- Water users

- Water & Sanitation Committees (WSCs)
- Caretakers

6 SESSION 4: ROLES AND RESPONSIBILITIES OF WATER USERS UNDER THE DDMS

6.1 SESSION 4.1: ROLES AND RESPONSIBILITIES OF WATER USERS IN WATER SOURCE MAINTENANCE

- **Pay water user fees to the Caretaker employed by the Service Centre.**
- **Join DDMS and Sign the consent form**
- Signing of water user list
- Monitor the Caretaker
- Help improve service by the Service Centre.
- Preserve the surrounding of the water facility.
- Support the Caretaker and
- File claims about O&M of the water source.
- Propose ideas to improve the service quality of Caretaker or Service Centre.
- Select members of the WSC.
- Select 3 candidates of caretaker
- Propose the Water Source Rules and Regulations at the water source.

6.2 SANITATION AND HYGIENE PROMOTION UNDER DDMS

1. Keep clean around borehole, not throw away rubbish
2. Stop both human and animal activities at and within surrounding of the water source
3. Keep clean jerry can

6.3 SESSION 4.1: WATER SOURCE MANAGEMENT

NOTE: The facilitator (Extension Staff and HPM) should discuss this session with aid of visual aids on DDMS during the OJT.

6.3.1 Payment of Water Charges

Purpose:

- i. To educate water users on the purpose of payment of water user fees.
- ii. To inform the users on how the user fees shall be collected and kept.

Training Material:

1. User fee records books(domestic users and commercial users)
If need arises, other record book which is used for water users who pay water user fee every fetching.
2. Water user fee collection flow chart
3. Safe Box

Duration: 30 minutes

Procedure:

- Introduce the Domestic User fee book (see Annex 4)
- Explain to the Water users the layout of the sheet.
- Explain to the water users how the user fees shall be paid and recorded using the user fee collection book
- Introduce the Commercial user fee record sheet/book to the participants.
- Repeat the same explanation as above.
- Show the safe box
- Inform the estimation of starting of service date (When caretaker starts to collect water user fee)

Note:

1. Water users should take the fees to the caretaker at the water source.
2. Water user has to pay water user fee within 1 month from every service date. (i.e. Starting service date: 1st April. Water users have to pay 2,000 UGX by 31st April. After this duration, next service term will start from 1st May. Each water source can decide how to pay like installments or non-installments)
3. The facilitator should inform the participants that the user fees shall be kept for collection in a safe box and will be picked by the Assistant Accountant and remit it to the Service Centre.

6.3.1.1 User Fees Records Book- Domestic Users

(Refer To Annex 4)

6.3.1.2 User Fees Records Book- Commercial Users

(Refer to Annex 5)

NOTE The facilitator should wrap the session by mentioning the following.

1. User fee shall be 2000/= per a household for DOMESTIC Users.
2. User fees for Commercial users shall be decided by water users and described in Water Source Rules and Regulations enforced by the Water and Sanitation Committees.
3. For transparency and accountability, the following will be done
 - User fee record sheets (both Domestic and Commercial) will be used to collect money to promote transparency and accountability
 - Water Users will also sign against amount paid.
 - Each Water Users shall be recorded on a page to track each household payment records.

6.3.2 Join DDMS, Sign the Consent form and Water User list (managed by WSC)

Purpose:

- i. To ensure that the Community/Water Users confirm their willingness to join the DDMS.
- ii. To ensure that water users register to DDMS.

Procedure: The facilitator shall explain the details of the Consent form and water user list.

At the end of the water user sensitisation, the facilitators will ask the community whether they would like to apply to DDMS.

- If they apply to DDMS, facilitators provide attached consent form (Refer to Annex 1) and Water user lists (created and managed by the WSC) and obtain their signature.
- Then, LC1 chairperson will sign to the consent form and check all categories

Note: This water user list (domestic, commercial and vulnerable) is completed by WSC till WSC training. After selection of WSC members, explain about it to them. They have to bring the completed water user list at WSC training.

6.3.3 : Membership to Water and Sanitation Committee

Purpose: To enable proper selection and formation of the WSC.

Duration 30 Minutes

Procedure: The facilitator will explain formation of the WSC as follows.

In a village meeting, a committee of 6-8 members is selected.

At least 50% of the members must be Women.

The Committee should consist of:

- Chairperson -1
- Secretary-1
- Treasurer- 1
- Committee Member 1-2

Representatives i.e. for Institutions, youth and Business community at a minimum

Note: After this water user sensitization, the facilitator has to explain that the water user list should be completed and brought at WSC training.

6.3.4 : Identify Domestic Water Users and Commercial Users

Purpose: To identify domestic water users and commercial users.

Procedure: The facilitator shall ask the participants to identify water users in the following categories:

i. Domestic water users

Domestic water users are users who use water for domestic purposes such as:

- Drinking
- Cooking,
- Washing
- Cleaning
- Among other activities at home.

ii. Commercial users are:

1. Water Vendors
2. Brick Makers
3. Irrigation Purposes
4. Watering Animals
5. Construction Works
6. Vehicle Washing
7. And other categories as deemed necessary by WSC, caretaker and users
8. Participants should suggest the water charge modalities for the commercial user group i.e. amount to be paid

6.3.5 : Identify Vulnerable People in the User Community

Purpose: To promote social justice in water service delivery to vulnerable groups

Duration: 15 Minutes

Procedure:

- The categories of vulnerable people that may be exempted from paying user fees shall include:
- The elderly and poor persons (60 and above)
- People with Disabilities i.e. the blind, lame
- Chronically Sick
- Child headed families

However, the WSC in a water users' meeting shall identify the domestic users, commercial users and vulnerable people in the community.

6.3.6 : Help Improve Surrounding of the Water Source

Purpose: To enable water users identify and discuss the role of the users in maintaining the water source.

Duration: 30 minutes

Procedure: The sub-county extension staffs and HPMs will introduce the topic and ask participants the following questions:

- Ask water users whether it's important for users to support the caretaker to maintain the surrounding water facility.
- Let water users identify the activities they can do to maintain the surrounding of the water source clean. Some of the activities should be:
 - Planting/ erecting a fence around the water source.
 - Stop/ control children from playing on the pump.
 - Prevent animals from coming near the water facility.

6.3.7 : File Claims about O&M of the Water Source to the Service Center if they find the following situations (Refer to the Complaint processing in Annex 7)

Purpose: To enable proper functioning of the water facility.

Procedure: The sub-county extension staffs and HPMs shall explain the process of complaint handling as below:

- i. A water user expresses complaints to Service Center by phone.

- ii. When Service Center receives complaints, administrator fills in the complaints form.
- iii. The administrator communicates with relevant persons who can handle the complaints and consider/solve the problems.
- iv. The feedback form shall be filled in by the administrator.
- v. The complaint form and the feedback form shall be filed together.
- vi. The administrator reports the feedback to the water user and the caretaker at the water source in question by phone.

The water users shall raise complaints to the Service Center by phone in case there is a breakdown of their water facility. The facilitator shall explain the repair process below:

6.3.7.1 The repair flow process (See Annex 10)

1. "Once a handpump is broken, the caretaker or water user will inform the Service Center (SC) about the nature of the breakdown.
2. SC will contact HPMA to assign HPM who will undertake the repair.
3. SC through HTO will prepare the required spare parts and toolbox and take them to the broken source.
4. Along the way they would pick the HPM who is to do the repair and travel together to the broken source.
5. HPM will repair the handpump and upon completion will be paid 90% of the repair fee at the source by the HTO.
6. The remaining 10% will be aggregated for all repairs done in the month and paid to the HPMA at the end of the month as HPMS' contribution to the association."

6.3.7.2 Other complaints about the water source

Water Users can also raise complaints to the Service Centre about the following concerns at the water source.

- The function of water supply becomes worse.
- The hygiene and sanitation condition around the water supply facility becomes worse.
- The surrounding environment of the water supply facility is in not good.
- The service quality by the Caretaker and /or Service Centre becomes worse.
- The corruption by the Caretaker and/or Service Centre found.

- Other unusual situation, etc.

6.4 Propose candidates of caretaker

Purpose: This session is intended to guide on the selection of 3 candidates of caretaker

- Material: Criteria sheet for selection of caretaker(see Annex 9)

6.4.1 Nomination of Caretakers

Nominate Caretakers Water users in water user sensitization shall nominate three candidates for the Caretaker and recommend them to the Service Center.

Immediately after the OJT, the Service Centre shall interview them, and the Service Center or District Water Office shall decide a person as a caretaker among them and contract with him/her.

6.4.2 Criteria on selection of the caretaker

Procedure: The facilitator (Sub-county extension staffs and HPMS) shall present and explain the following criteria on selection of the candidates for Caretakers.

The three candidates of Caretakers are selected using the following criteria.

After 3 candidates of caretakers are selected, the facilitator shall write their name and tick in each cells. The facilitator has to submit this sheet to Service Center immediately after water user sensitization.

Criteria		Check	Remarks
1)	Ability to read and write		
2)	Have basic arithmetic skill		
3)	Someone living within the village		
4)	Trust worthy and honest (Back ground checks)		
5)	Women are encouraged		

Annex 8 shows a criteria sheet for selection of Caretaker

6.5 : The water source caretaker

Purpose: This session is intended to discuss and explain the Water Source Caretaker and his/her roles and responsibilities in O&M of the water source under the DDMS.

Procedure: The facilitator shall explain the following to the participants:

- i. The Service Center shall contract with the Caretakers at each of registered water point.
- ii. Water users shall select three candidates for the Caretaker position and recommend them to the Service Center.
- iii. The Service Center may cancel a contract with the Caretaker due to the following condition;
 - Illegal procedure by the Caretaker is detected,
 - Unserious work behavior of the Caretaker is found, and
- iv. WSC recommends the Service Center to change the Caretaker.
- v. In case the Service Center detects above situation, the Service Center shall investigate the situation of Caretaker and report the result to JMC. JMC shall resolve the decision to caution or suspend the Caretaker.

HPM should confirm each caretaker's working time and contents of the water source rules and regulation at OJT.

6.6 : Roles & responsibilities of caretakers under the DDMS

Purpose: To explain the importance of Caretaker in O&M of the water facility.

Procedure: Lecture, question and answer.

Contract employee The Service Center shall contract with the Caretakers at each of registered water point.

Selected during water user sensitization Three candidates for the Caretaker will be selected at the water user sensitization and recommend them to the Service Center.

The Service Center may cancel a contract with the Caretaker due to the following condition;

- Illegal procedure by the Caretaker is detected,
- Unserious work behavior of the Caretaker is found, and
- WSC recommends the Service Centre to change the Caretaker.

- In case the Service Center detects above situation, the Service Center shall investigate the situation of Caretaker and report the result to JMC. JMC shall resolve the decision to caution or suspend the Caretaker.

Purpose: To identify the roles and responsibilities of Caretakers

Methodology: Lectures, Group Discussion and Caretaker's operation manual

Duration: 30 Minutes

Procedure: The facilitator shall present and discuss the following roles and responsibilities for the Caretaker under the DDMS.

1. Collect water charges from Water Users and record the accounting book,
2. Transfer the collected water charges to the Service Center,
3. Stay and control the water usage at his/her managed water point at the appointed time by WSC every day,
4. Alert unpaid Water Users to pay a water charge,
5. Conduct the regular (daily) maintenance at his/her managed water point,
6. Conduct community sensitization, and
7. Report to the Service Center about the condition of water point and others.
8. Action plan for O&M
9. Regular maintenance & cleaning
10. Catchment protection
11. Book keeping and Accountability
12. Conflict management
13. Reporting

Other working rule of Caretaker shall be depended on the contract condition between the Service Center and Caretaker.

Note: HPM provides caretaker's operation manual to caretaker. At the cover page, caretakers fill the sub-county, parish, village, water source name and his/her name. To mention that caretaker always keep and refer this manual during working.

6.6.1 Propose water source rules and regulations

Purpose: To enable proper functioning of the water facility.

Duration: 30 Minutes

Procedure: The facilitator will explain to the water users the contents of Water Source Rules and Regulations. This is decided water users and confirmed in WSC training:

- i. Open time of borehole
- ii. Amount of payment for commercial users
- iii. How to handle unpaid users. (e.g. Unpaid users can't use borehole)
- iv. How to handle uncontracted users (e.g. Pay XX Ush by fetch)
- v. Water charge for vulnerable groups
- vi. Starting service date for water user fees payment
- vii. Other rules as arise (Consider/include the existing rules and regulations of community, if they have.)

(Extension worker and HPM guide water user to discuss the contents according to this format at water user sensitization. Therefore, please keep flip chart. At the WSC training, all contents are described by WSC)

6.7 SESSION 4.2: SANITATION AND HYGIENE PROMOTION

6.7.1 Session 4.2.1: Safe Water Chain

Purpose: To prevent contamination of water (drinking water) from point of collection to consumption especially within the home.

To equip extension workers and HPMs with how to explain the importance of safe water and encourage participating in DDMS for water users.

Specific objectives

1. Analyse good and bad drinking water handling/storage practices
2. Identify solutions
3. Develop an action plan to promote selected practices.

Materials: Picture set of good (8 pictures) and bad (8) water collection and storage practices

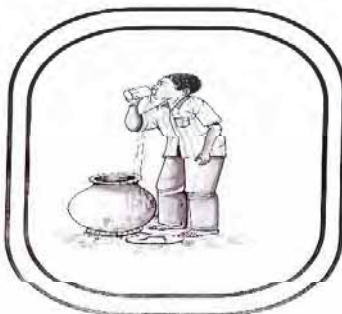
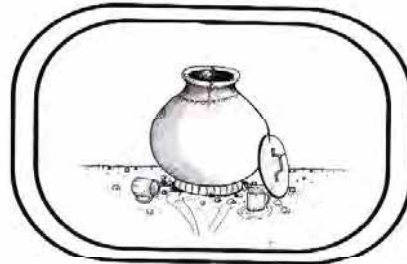
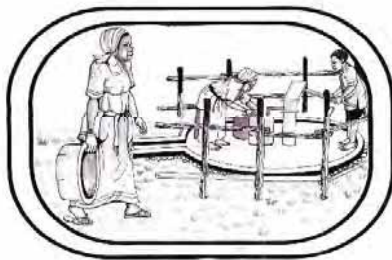
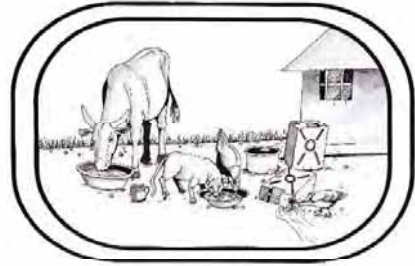
Duration: 30 Minutes

Procedure:

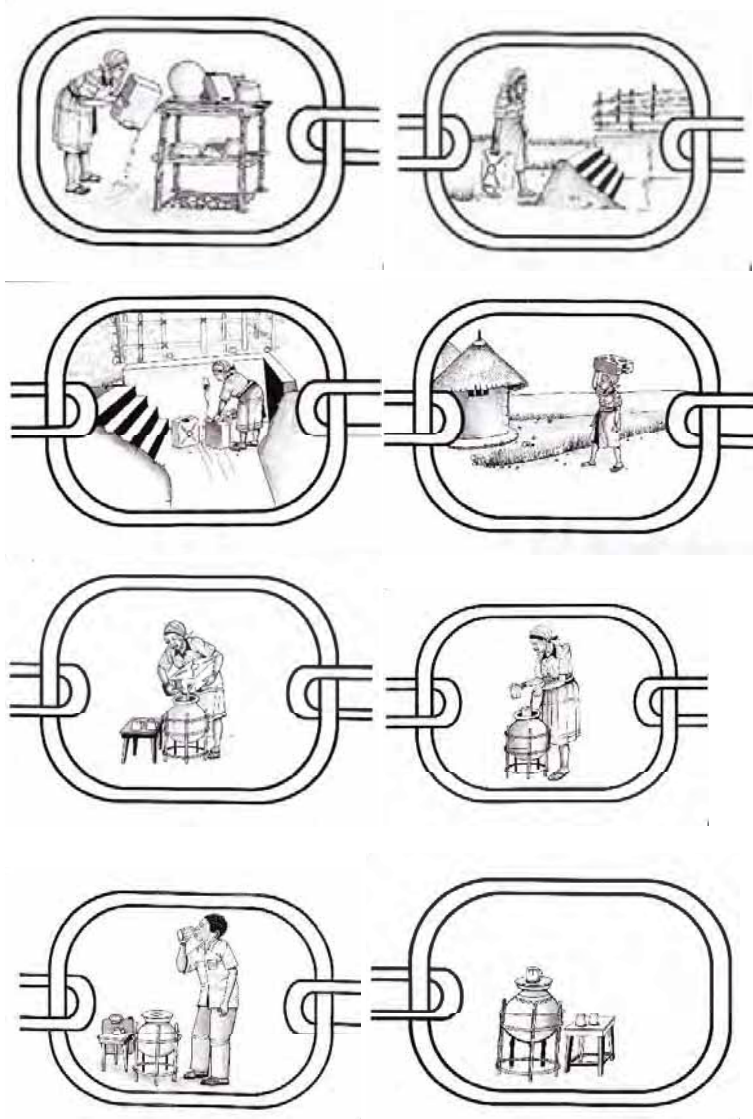
1. Give water users pictures of bad practices of water collection, storage and consumption:
 - During water collection,
 - During water storage
 - At consumption
2. Ask the water users to study the pictures and explain what they see in the pictures.
3. Ask the water users to arrange the pictures to form a chain from the water source to storage to consumption.
4. Ask participants to comment on the pictures at every stage.
5. List the comments down.
6. Give participants pictures of good practices of water collection, storage and consumption and ask them to arrange the pictures in a form of a chain.
7. Ask participants to comment on the pictures at every stage.
8. List the comments down.
9. Then ask them to tell you which set of pictures they would select to be practiced in their homes.
10. Ask them to give you reasons why they have chosen the preferred set.
11. List down the reasons
12. Help them to make a plan to promote the selected practices as indicated in the selected set of pictures.

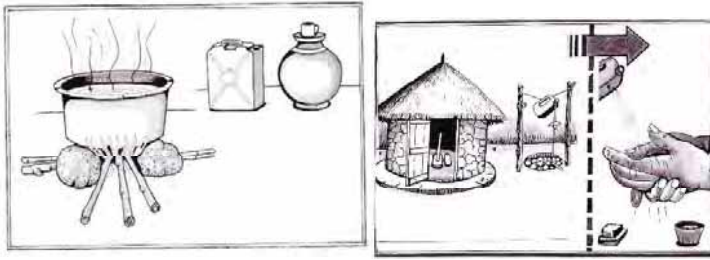
7 ILLUSTRATIONS OF WATER HANDLING PRACTICES

BAD PRACTICES THAT CONTAMINATE WATER



7.1 GOOD PRACTICES THAT PREVENT CONTAMINATION OF WATER (SAFE WATER CHAIN)





SESSION 5: COMMUNITY MOBILIZATION SKILLS/ COMMUNITY DIAGNOSIS

Purpose:

- i. To equip extension workers and HPMS with community mobilization skills and approaches to be able to mobilise communities.
- ii. To equip extension staff with community diagnosis skills to be able identify most pressing community concerns.

Duration: 1 hour

Procedure: The facilitator shall do the following:

7.2 COMMUNITY MOBILISATION SKILLS AND APPROCHES

- i. Introduce the topic on Community Mobilisation skills and approaches.
- ii. Ask participants (Extension staff and HPMS) to brain storm on the meaning of “ Community”
- iii. Ask participants (Extension staff and HPMS) to brain storm on the meaning of “Community Mobilisation”.
- iv. Ask the participants to mention the community mobilisation skills and approaches they use in their work
- v. Let participants discuss the impact and the challenges experienced in the approaches they use.

The facilitator shall wrap the session by presenting the following on Community Mobilisation skills and approaches.

1. What is a Community?

A community is a group of people living in the same place or a having particular characteristic in common.

2. What Community Mobilization?

Community mobilization is an attempt to bring both human from different sectors of the community and non-human resources together to undertake developmental activities in order to achieve sustainable development.

It involves creating partnerships, disseminating information in order to focus on and ultimately address a pressing issue.

7.2.1 Community Mobilisation Skills

Community Mobilisation skills is the ability, knowledge and capacity to organise/mobilise communities for common cause. Community Mobilisation skills required by the Extension staff and HPM include the following:

i. Community leadership engagement and participation skills:

- Secure strong leadership within the community i.e. Use the services of the L.C.I Councillor responsible for information to move house to house to disseminate information.
- Hold preliminary meetings with community leaders and enlist their support to mobilise community participation.
- Engage diverse, community leaders and stakeholders who are most likely to support the efforts i.e. religious leaders, business community, policy makers, media personalities, opinion leaders who have significant influence on the community.

Strong leaders can be individuals who take the work and organisations that spearhead collaborative efforts about the program/project being implemented.

ii. General Community engagement and community participation skills

This can be done through:

- Hold community meetings to elect local representation to coordinate program activities.
- Establish formal key structures such as committees and sub-committees that can effectively lead community to achieving the program objective and efforts.
- The key structures will facilitate coordination of community-wide efforts through formation and approval of bye-laws/rules of operation, handle communications, coordinate community outreach and mobilise funding, organize and participate in community-wide effort.
- Ensure authentic participation in all aspects of the program from planning, development, implementation and evaluation of the activities and shared decision making.

- Support a sense of commitment and ownership of vision and plan for the community-wide effort by establishing clear roles and responsibilities.

iii. Community Assessment skills:

Conduct a needs assessment/situation analysis of the community to build a solid understanding of the current state of water and sanitation in the community.

You can use a variety of techniques such as:

- Surveys; develop survey questionnaires (close ended questions; with Yes or No with some explanation where necessary, for easy analysis) on issues of interest and administer them to the respondents to collect information on the concern. The questionnaires can be applied to more than 100 respondents.
- Focus group discussions: Develop a Focus Group Discussion guide on issues of interest, organise a group of 10-13 members (homogenous or heterogeneous), seat the group somewhere and conduct the FGD as required. Let each member participate freely and allow time for discussion as you take notes.
- Interviews with resident and key stakeholders: Develop some interview guide or checklist on issues of concern, identify the respondents at different levels, make appointments and conduct the interviews then analyse the data.
- A transect walk in the community. This is a walk across the village with the community to establish and observe the situation on issues of concern i.e. water and sanitation facilities situation.
- Conduct a Community Mapping of WASH resources and facilities. This is a map drawn by the community members to show boundaries of the village, and features (physical, natural resources) in their community.

The map should indicate issues of concern and where they are located within the village. This map helps to establish the physical and natural resources and facilities and where and how they are located within the community.

- i. Compile and analyse the data collected. Collect data from the community, organise it accordingly and study it to make sense and conclusions from it. The conclusions may act as starting points for actions to be taken.

iv. Communication and Capacity building skills/ activities:

Establish effective communication channel with communities to ensure constant flow of information by adopting formal communication strategies. Consider educating the community and inspire them through:

- Local media: They can use local radio stations, loud speakers for the village etc.,
- Designing public service announcements,
- Creating campaigns,
- Community sensitisation meetings and trainings,
- Organise drama groups to pass on/disseminate water supply, hygiene and sanitation messages.
- Distribute flyers and other promotional materials.
- Place informative posters in strategic places where the community can be able to view them.
- Make announcements on village (community) public address system, places of worship, funerals, speech days etc.

This is to generate awareness, motivate action, encourage funding and keep community focused on the issue at hand.

v. Community Action Planning skills

- Create a strategic plan that lays out the partnership goals and objectives
- Decide on the activities that communities/water users will undertake to support the goals and objectives of the program/project.
- Identify a key range of strategies aimed at achieving common objective of the program/project.

vi. Community Mobilisation efforts evaluation

Evaluate the community mobilisation efforts and approaches. Conduct an evaluation to help determine the impact of the mobilization effort. Evaluate the community by looking at the level of community participation in the project/program activities.

7.3 COMMUNITY DIAGNOSIS SKILLS

7.3.1 Tool 1: Pairwise ranking matrix and comparison

Purpose: To facilitate discussion, enable critical thinking, identify and make best choice/alternative solution to most pressing community concerns.

Duration: 1-2 hours

Procedure: The facilitator shall lead the discussion as follows:

- Participants will identify 5 to 6 water, sanitation and hygiene concerns in their community
- Participant shall be asked to draw a matrix on the ground/newsprint.
- Ask participants to give the matrix headings
- The headings should be placed in the first line of the matrix vertically and horizontally in the same order.
- Ask participants to discuss, through comparison, which problems are more important and why.
- Note that same concerns/issues e.g. poor latrines cannot be compared with poor latrines. Hence same things cannot be compared. Different things such as poor latrines and lack of hand washing facilities should be compared while giving reasons.
- Rank the concerns/issues that have appeared more frequently than the others.

An example of Pairwise Ranking Matrix is as below:

Issues

1. Poor Latrine coverage - PLC
2. No willingness to pay water user fees –WUF
3. Dirty Jerry can -DJ
4. No water source rules – WSR
5. Non Functional Water and Sanitation Committees - WSC

	PLC	WUF	DJ	WSR	WSC	FREQUENCY	RANKING
PLC	///// /////	PLC	PLC	PLC	DJ	7	1 ST
WUF	PLC	///// /////	WUF	WUF	WUF	6	2 ND
DJ	PLC	WUF	///// ////	DJ	DJ	4	3 RD
WSR	PLC	WUF	DJ	///// ////	WSR	1	5 TH

	PLC	WUF	DJ	WSR	WSC	FREQUENCY	RANKING
WSC	PLC	WUF	DJ	DJ	//// ///	2	4 TH

Interpretation of the Matrix: According to ranking analysis, Poor Latrine Coverage (PLC) is the most pressing concern followed by No willingness to pay Water Users Fees (WUF).

Therefore, community mobilization efforts should be more on improving latrine construction and payment of water user fees among other activities.

Duration: 1 hour

Presentation: The participants should present their findings in plenary using the Matrix developed (In case of group work).

8 SESSION 6: ISSUES ARISING AND DISCUSSION

Purpose: To identify issues of concern on the areas discussed.

Methodology: Brain storming and discussion

Procedure: The facilitator shall ask participants to identify issues/concerns on the topics discussed:

1. The concept of DDMS
2. Roles and Responsibilities of Water Users on DDMS
3. Community Mobilization skills/ Community Diagnosis
4. Sanitation and Hygiene sessions/tools

Duration: 30 Minutes

9 SESSION 7: ROLE PLAYS

Purpose: To enable Extension staff and HPMS acquire practical skills on how to conduct the OJT.

Duration: 45 minutes

Procedure: The following shall be done by the Consultant (WE consult) during the role play.

1. Facilitator present the following:
 - i. Introduction of the OJT
 - ii. Establish Financial practices and approaches to access and management of the water facility in that community.
 - i.e.
 - ✓ Do they pay water user fees? If so, how much?, if not why?
 - ✓ Do they buy water? If yes, how much is a jerrican? How many jerricans do they use per a day?
 - ✓ If the borehole breaks down, how much does each user contribute to repair it?
 - ✓ How often does the borehole breakdown in a year?
 - iii. Challenges experienced when the boreholes breaks down.
 - iv. Introduction and Discussion of the DDMS project,
 - v. Establishment of the Service Centre
 - Explain the Structure of Service Centre/DDMS
 - Explain roles of different Key actors as SC with emphasis on
 - ✓ District,
 - ✓ Sub-county and
 - ✓ Community level.
 - vi. Advantages of the DDMS with reference to Visual Aids (translated into local language)
 - Quick Maintenance under DDMS

- Transparency in Collection and Management of User fees (Domestic and Commercial) under DDMS
 - One stop centre for O&M
 - Regular flow of clean and safe water.
- vii. **Sanitation and Hygiene promotion** Safe water chain to encourage participating to DDMS using visual aids

The HPMS and Extension staff shall perform the role play after the Consultant to quality assure and assess the level of DDMS knowledge acquisition.

The Consultant shall advise the HPMS and Extension staff accordingly for better performance.

After role play, pls confirm facilitator has to do the following contents

- 1) Select the 3 candidates of caretakers,
- 2) Select WSC member,
- 3) Obtain signed consent forms,
- 4) Provide and explain water user list,
- 5) Propose water source rules and regulations in OJT.

10 SESSION 8: ON-JOB TRAINING PROGRAM ON WATER USER SENSITIZATION AND WILLINGNESS CONFIRMATION

Purpose:

1. To conduct OJT to CDO/HA/HPM and develop their capacity to train, support and monitor water users.
2. To generate and increase demand for water and sanitation services
3. To promote participation in the new O&M system and hygiene behaviour change.
4. To sensitize water users about their roles.

Procedure: The facilitator (Sub-county extension staffs and HPM) will conduct water user sensitization and willingness confirmation to the Water Users.

This OJT to the CDOs, HAs and HPMs for Water User sensitization and willingness confirmation will take place at the community level. The facilitators together with the participants will spend half day (approximately 3 hours) in each water user community.

Materials required for OJT

- User Fee Record book (Domestic and Commercial users)
- Consent Form
- Water Source Rules and Regulations
- Water user list (WSC has to prepare this water user list by WSC training)
- Illustration tools for DDMS
- Illustration tools for sanitation and hygiene
- Safe box
- Criteria sheet for selection of caretaker

Methodology/ approach: Lecture and Brainstorming, Group work and Discussion

Duration of training: Half a Day

10.1 OJT PROGRAM ON WATER USER SENSITIZATION AND WILLINGNESS CONFIRMATION

TIME	TOPIC	FACILITATOR
------	-------	-------------

TIME	TOPIC	FACILITATOR
9:00am- 9:30am	Arrival & Registration	CDO/HA/HPM
9:30am-9:45am	SESSION1: INTRODUCTION <ul style="list-style-type: none"> • Water Users' introduction <ul style="list-style-type: none"> □ By villages that use the water source □ Community Leaders and WSC members should introduce themselves only □ And their Expectations from the OJT 	CDO/HA/HPM/ADWO
9:45am- 10:00am	Opening & Welcome Remarks	DWO/SAS
10:00am- 10: 30am	SESSION2: CHALLENGES EXPERIENCED BY WATER USERS UNDER CBMS I.E <ul style="list-style-type: none"> • Establish Financial situation/approach to accessing safe water. • Consequences of broken water source • Consumption of dirty/unsafe water • Lack of management structures (Care-taker, WSC, bye-laws, etc) for the source. Etc.	
10:30am-11:00am	SESSION3: INTRODUCTION OF THE DDMS <ul style="list-style-type: none"> • What is the DDMS? • Aims of DDMS • Advantages of the DDMS (Using DDMS illustrations) • Key Actors in DDMS • Expected Results from the OJT • Requirements for water sources to qualify for DDMS 	CDO/HA/HPM/ADWO/CO NSULTANT

TIME	TOPIC	FACILITATOR
11:00am- 11:30am	<p>SESSION 3: ROLES AND RESPONSIBILITIES OF WATER USERS UNDER THE DDMS</p> <p>Water Source management</p> <ul style="list-style-type: none"> • Pay water user fees to the Caretaker employed by the Service Centre • Join DDMS and Sign consent form and water user list • Identify domestic users , commercial users and vulnerable people • Monitor the Caretaker • Help improve service by the Service Centre. • Preserve the surrounding of the water facility. • Support the Caretaker and • File claims about O&M of the water source. • Propose ideas to improve the service quality of Caretaker or Service Centre. • Select Three Candidates of Caretakers and select members of the WSC. • Propose Water Source Rules and Regulations 	CDO/HA/HPM/ADWO/CONSULTANT
11:30am-11: 45am	<p>Explain the payment method of Water Charge (using the User Fee Collection illustration chart):</p>	CDO/HA/HPM/ADWO/CONSULTANT
11:45am- 12:15pm	<p>SESSION 3.2: HYGIENE & SANITATION PROMOTION</p> <ul style="list-style-type: none"> • Safe Water Chain 	CDO/HA/HPM/ADWO/CONSULTANT
12:15pm- 12:30pm	<p>SESSION 5: CLOSING REMARKS & CLOSURE</p>	CDO/HA/HPM/L.C.III /L.C.I CHAIRPERSON
12:30pm- 1:00pm	<p>SESSION6: ACTIONPOINTS</p> <ul style="list-style-type: none"> • Make water user list. • Obtain signatures of water users. • Water users will sign the <ol style="list-style-type: none"> 1. Consent form 2. Water user list. • WSC shall bring the Water User list to WSC training to confirm it. 	CDO/HA/HPM/ADWO/CONSULTANT

11 SESSION 9: CLOSING REMARKS AND CLOSURE



THANK YOU FOR LISTENING – MWEBALE NNYO

ANNEX 1 APPLICATION/ CONSENT FORM FOR DDMS

■ ENGLISH VERSION

CONSENT
 TO JOIN DISTRICT DIRECT MANAGEMENT SYSTEM (DDMS)

Sub-county _____ Parish _____ Village _____

Name of Water Source: _____ DWD No. _____

Deep /Shallow No. _____ Tap/ GFS No. _____

Contact person: _____ Tel: _____

Date	Sensitization Activity	Signature (Extension Worker)	Community Leader Signature

- We agree to join to DDMS with _____ subscribers.
- We agree to organize WSC by the date scheduled for WSC training.
- We agree to select 3 caretaker candidates for an interview.
- We agree to pay the water user fee of 2,000 Ush per month per household.

We are fully informed about the District Direct Management System (DDMS) and understand the above. By signing this consent form, we agree to follow the necessary steps as above and the Service Center will manage the water source, and we shall use the above water source.

- We don't participate in DDMS.

Community chairperson name

Signature

Date

APPLICATION CONSENT FORM FOR DDMS			
No.	NAME OF HOUSEHOLD HEAD	NO. OF MEMBERS IN HOUSEHOLD	SIGNATURE
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			
15			
16			

- **LUGANDA VERSION (check PDF file attached)**

ANNEX 2 CONSENT FORM (DOMESTIC WATER USER LIST)

- ENGLISH VERSION (see attachments in PDF)

- LUGANDA VERSION

ANNEX 3 CONSENT FORM (COMMERCIAL WATER USER LIST)

- ENGLISH VERSION (SEE ATTACHMENT IN PDF)
- LUGANDA VERSION (SEE ATACHMENT IN PDF)

ANNEX 4 BOOK FOR USER FEE RECORDS – DOMESTIC USERS

No. 1 Name : Jackline Nakasaga Water user fee : 2,000UGX

Service Date: 15th

Date	Month	Paid amount	Balance	Sign	
				User	Caretaker
		Payment amount	2000		
15	January	200	1800		
20	January	100	1700		
22	January	100	1600		
24	January	200	1400		
29	January	300	1100		
2	February	200	900		
5	February	100	800		
8	February	200	600		
11	February	100	500		
14	February	200	300		
	Total	1700	300		
		Payment amount	2300		
15	February	300	2000		
17	February	200	1800		
20	February	100	1700		
25	February	200	1500		
28	February	200	1300		
1	March	200	1100		
4	March	100	1000		
6	March	200	800		
10	March	300	500		
13	March	100	400		
	Total	1900	400		

Instruction to make format:

1. Write the user No. and user name according to the water user list
2. Draw the line as above and make format.(add lines below in every payment for 1 month)
3. After finish 1 month, add the balance of previous month and water user fee for this month in next month

At the payment:

1. Write the date and month when user pay water user fee to caretaker.
2. Write the payment in "Paid amount".
3. Calculate the balance and write it in "Balance".

*Balance = Balance of previous line - Paid amount of today

4. Confirm "Paid amount" and "Balance" with user and caretaker, and they write the signature.

Date	Month	Paid amount	Balance	Sign	
				User	Caretaker
		Payment amount	2400		
15	April	200	2200		
20	April	100	2100		
22	April	100	2000		
24	April	200	1800		
29	April	300	1500		
2	May	200	1300		
5	May	100	1200		
8	May	200	1000		
11	May	300	700		
14	May	700	0		
	Total	2400	0		
		Payment amount	2000		
15	May	300	1700		
17	May	200	1500		
20	May	100	1400		
25	May	200	1200		
28	May	200	1000		
1	June	200	800		
4	June	100	700		
6	June	200	500		
10	June	300	200		
13	June	200	0		
	Total	2000	0		

ANNEX 5 BOOK FOR USER FEE RECORD – COMMERCIAL USERS

No. 1 Name : Jackline Nakasaga Category:
Water user fee : 5,000UGX

Service Date: 15th

Date	Month	Paid amount	Balance	Sign	
				User	Caretaker
		Payment amount	5000		
15	January	2000	3000		
20	January	100	2900		
22	January	100	2800		
24	January	200	2600		
29	January	300	2300		
2	February	200	2100		
5	February	100	2000		
8	February	1500	500		
11	February	100	400		
14	February	200	200		
	Total	4800	200		
		Payment amount	5200		
15	February	300	4900		
17	February	200	4700		
20	February	100	4600		
25	February	1000	3600		
28	February	200	3400		
1	March	200	3200		
4	March	100	3100		
6	March	2000	1100		
10	March	300	800		
13	March	100	700		
	Total	4500	700		

Instruction to make format:

1. Write the user No. and user name according to the water user list
2. Draw the line as above and make format.(add lines below in every payment for 1 month)
3. After finish 1 month, add the balance of previous month and water user fee for this month in next month

At the payment:

1. Write the date and month when user pay water user fee to caretaker.
2. Write the payment in "Paid amount".
3. Calculate the balance and write it in "Balance".

*Balance = Balance of previous line - Paid amount of today

4. Confirm "Paid amount" and "Balance" with user and caretaker, and they write the signature.

Date	Month	Paid amount	Balance	Sign	
				User	Caretaker
		Payment amount	5700		
15	April	200	5500		
20	April	100	5400		
22	April	700	4700		
24	April	200	4500		
29	April	300	4200		
2	May	200	4000		
5	May	100	3900		
8	May	200	3700		
11	May	3000	700		
14	May	700	0		
	Total	5700	0		
		Payment amount	5000		
15	May	300	4700		
17	May	200	4500		
20	May	1000	3500		
25	May	2000	1500		
28	May	200	1300		
1	June	200	1100		
4	June	100	1000		
6	June	200	800		
10	June	300	500		
13	June	500	0		
	Total	5000	0		

ANNEX 6 : BOOK FOR USER FEE RECORD – LUGANDA VERSION

No. 1	Name : Jackline Nakasaga										
	Sente ez'okusasula : 2,000UGX										
Service Date: 15th											
Olunaku	Omwezi	Sente ezisasulibwa	Sente ezisigadde yo	Omukono		Olunaku	Omwezi	Sente ezisasulidwa	Sente ezisigaddeyo	Omukono	
				Omukozesa	Kalinda Luzzi					Omukono	Kalinda Luzzi
		Payment amount	2000					Payment amount	2400		
15	January	200	1800			15	April	200	2200		
20	January	100	1700			20	April	100	2100		
22	January	100	1600			22	April	100	2000		
24	January	200	1400			24	April	200	1800		
29	January	300	1100			29	April	300	1500		
2	February	200	900			2	May	200	1300		
5	February	100	800			5	May	100	1200		
8	February	200	600			8	May	200	1000		
11	February	100	500			11	May	300	700		
14	February	200	300			14	May	700	0		
	Total	1700	300				Total	2400	0		
		Payment amount	2300					Payment amount	2000		
15	February	300	2000			15	May	300	1700		
17	February	200	1800			17	May	200	1500		
20	February	100	1700			20	May	100	1400		
25	February	200	1500			25	May	200	1200		
28	February	200	1300			28	May	200	1000		
1	March	200	1100			1	June	200	800		
4	March	100	1000			4	June	100	700		
6	March	200	800			6	June	200	500		
10	March	300	500			10	June	300	200		
13	March	100	400			13	June	200	0		
	Total	1900	400				Total	2000	0		
Ebyokugoberera ng'okola omweso ogwo waggulu:											
1. Wandika ennamba y'Omukozesa n'erinnya nga bwe kiri ku Foomu y'Okukkiriza. (Omukozesa 1 ku muko 1)											
2. Kuba layini nga bwe kiri waggulu okole omweso. (Layini 2 ku mwezi 1, awo nno kuba layini 24)											
Mu kiseera ky'okusasula:											
1. Wandika ennaku z'omwezi n'omwezi umukozesa w'asasulidde ssente z'amazzi eri ababirira ekifo.											
2. Sente ezisasuddwa ziwandiike mu "Omwendo ogusasuddwa".											
3. Bala ezisigaddeyo oziwandiike mu "Ezisigaddeyo".											
*Ezisigaddeyo = Ezaasigala omwezi oguwedde + ebisale by'okukozesa amazzi (2,000 UGX) - Sente ezisasuddwa omwezi guko											
4. Kakasa nti "Omwendo ogusasuddwa" ne "Ezisigaddeyo" z'ezo omukozesa n'alabirira ekifo ze bamanyi era bateekako omukono.											

ANNEX 7 COMPLAINT PROCESSING

1. Purpose

To ensure that all complaints from water users toward the water supply service by Service Center are effectively handled in a timely manner.

2. Responsibility

The administrator has the responsibility for complaint procedure. He/She shall be responsible for:

- Recording all complaints received from water users.
- Coordinate with relevant persons to ensure that all complaints from water users are investigated and resolved in a timely manner.
- Closing the raised complaints and provide timely feedback to water users.

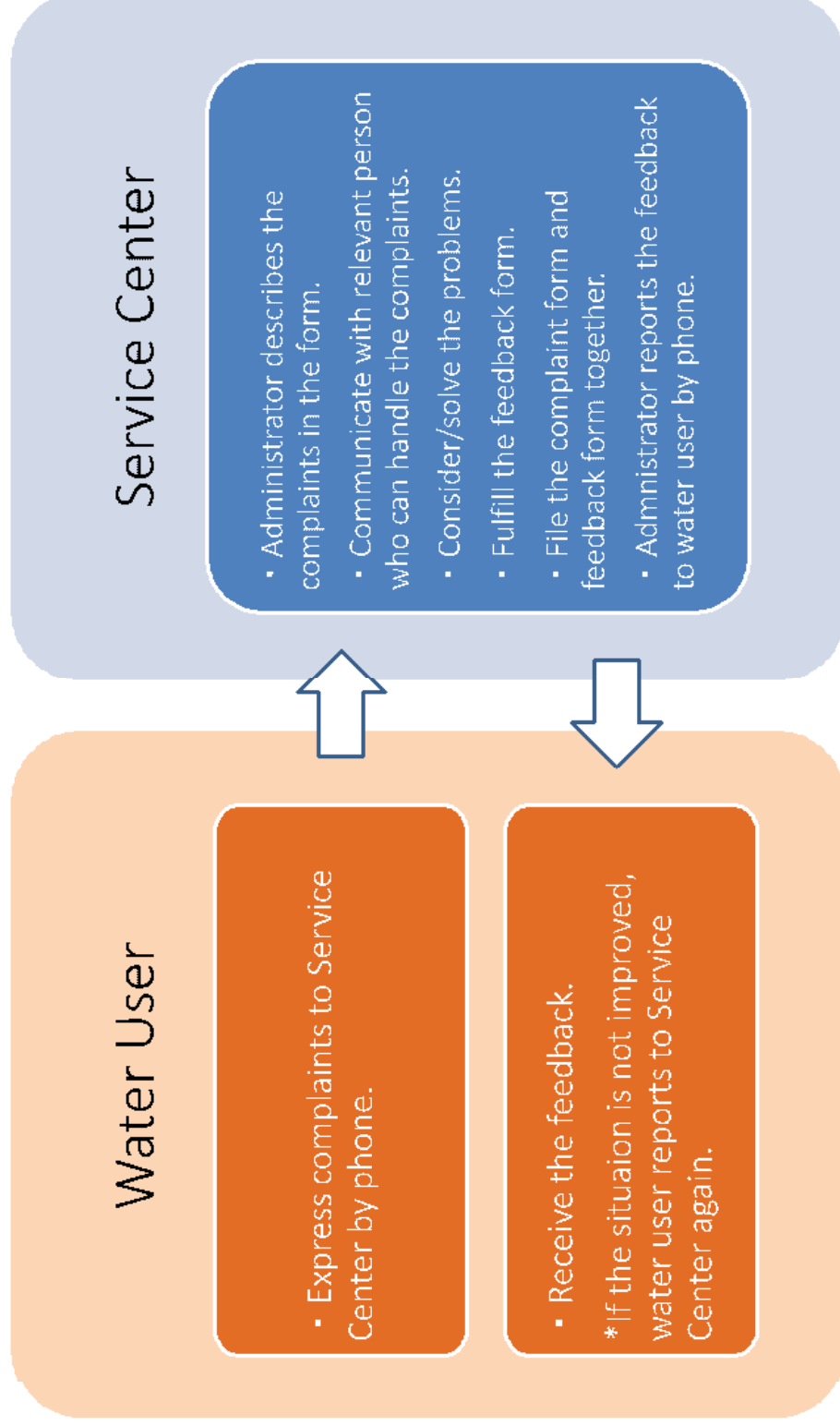
3. The procedure of handling complaints

- A water user expresses complaints to Service Center by phone.
- When Service Center receives complaints, administrator fills in the complaints form.
- The administrator communicates with relevant persons who can handle the complaints and consider/solve the problems.
- The feedback form shall be filled in by the administrator.
- The complaint form and the feedback form shall be filed together.
- The administrator reports the feedback to the water user and the caretaker at the water source in question by phone.

4. Any complaints that have legal implications shall be handled by legal counsel.

(End)

ANNEX 8 COMPLAINT FLOW PROCESS



ANNEX 9 CRITERIA FOR SELECTION OF CARETAKER

Criteria for selection of Caretaker					
Sub-county: Kibalinga		Parish: Nakawa		Name of water source: Kisoro	
Village: Kisoro					
1. Nomination of three candidates of caretaker at water user sensitization					
Criteria	Name of candidates: 1 Francis Abedkane		2 Nakasagga Jackline3 Grace Kajumba		Remarks
	Tick	Tick	Tick	Tick	
1) Ability to read and write	✓	✓	✓	✓	
2) Possession of basic arithmetic skills	✓	✓	✓	✓	
3) Someone living within the village	✓	✓	✓	✓	
4) Trustworthy and honest (Background checks)	✓	✓	✓	✓	
5) Women are encouraged	✓	✓	✓	✓	
2. Selection of Caretaker by Service Center					
Service Center interviews each candidates according to the criteria laid down below:					
Criteria	Points	No.	Score	Score	Score
1) Women are encouraged	2 yes	1-0 no	1	2	2
2) Ability to read	3 yes, but not fluently	2 yes, but not fluently	3	3	3
3) Ability to write	3 yes, but not fluently	2 yes, but not fluently	3	2	3
4) Possession of basic arithmetic skills	3 yes	1 yes, but not so much	1	1	3
5) Oral communication skills in local languages	3 yes, and can speak English also	2 yes, but local languages only	3	3	2
6) Permanent resident in the area	3 yes	0 no	3	3	3
7) Good Communicator	3 good	2 2 fair	2	3	2
Total			16	17	18

ANNEX 10 CHECKLIST FOR TRAINERS (EXTENSION WORKERS AND HPM) – OUT ON WATER USER SENSITISATION AND WILLINGNESS CONFIRMATION

NO.	TOPIC/ SESSION	DONE	NOT DONE/ REMARKS
i.	Registration of Participants		
1.	INTRODUCTION		
1.1	Self-Introduction		
1.2	Participants' Expectations		
1.3	Challenges experienced on O&M of water sources under CBMS (by Water Users)		
2.	Opening and welcome remarks		
3.	PROJECT OVERVIEW		
3.1	The Main Project		
3.2	The Assignment		
3.3	Overall Project/Assignment Objectives		
3.4	Specific Objectives (Water Users) i. Generate and increase demand for water and sanitation services. ii. Promote participation in the new O&M system and hygiene behaviour change iii. Sensitize water users on their roles under the DDMS. iv. Enable the Water Users to fulfil their roles and responsibilities		
3.5	Areas to be covered i. Discussion on DDMS ii. Roles of Water Users in the DDMS		
3.6	Project Background		
4.	DISCUSSION ON DDMS		
4.1	What is DDMS?		
4.2	Background of DDMS		
4.3	Aims of DDMS		
4.4	Advantages of the DDMS		
4.5	Key Actors in the DDMS		
5.	ROLES AND RESPONSIBILITIES OF WATER USERS IN THE DDMS		
5.1	<i>Water Source Management</i>		
5.1.1	Pay water user fees. (1. Discuss user fee collection sheets- Domestic and Commercial 2. Use flow charts on usage of user fees by the Service Centre)		

NO	TOPIC/ SESSION	DONE	NOT DONE/ REMARKS
5.1.2	Signing consent form (Filling of consent/Application form and water user list should be done at the end of the training) - expected output of the OJT		
5.1.3	Select three candidates of Caretakers and members of the WSC. (Explain selection criteria) – Expected output of the OJT		
5.1.4	Identify domestic users, commercial users and vulnerable people		
5.1.5	Monitor the Caretaker		
5.1.6	Help improve service by the Service Centre.		
5.1.7	Preserve the surrounding of the water facility. (use visual aids)		
5.1.8	Explain and discuss the contents of the Water Source Rules and Regulations to water users		
5.1.9	File claims about O&M of the water source. (Discuss complaint and feedback forms)		
5.1.10	Support Caretaker and HPM on O&M of water source i.e. during repairs to lift heavy pipes out of the source, fence repair.		
5.2	<i>Sanitation and Hygiene promotion</i> Safe water chain (use visual aids)		
6.	Issues arising and Discussion		

ANNEX 11 ROLES AND RESPONSIBILITIES OF WATER USERS (WU) IN THE DISTRICT DIRECT MANAGEMENT SYSTEM – DDMS (FLOW CHART)

- **ENGLISH VERSION**
- **LUGANDA VERSION**

ANNEX 12 ILLUSTRATIONS

ANNEX 13 FREQUENTLY ASKED QUESTIONS – DDMS

Qn1: What is DDMS?

Answer:

- DDMS means District Direct Management System. This is a new proposed (by JICA) Operation and Maintenance system for rural water facilities.
- Under DDMS, a Service Centre will be established as non-profit, semi-autonomous and independent agency of benefiting District Local Government with main purpose of providing water supply service to enhance public welfare, and ensure reliable access to safe water for the rural communities.
- The proposed operations of the DDMS intend to address the O&M challenges experience under the Community Based Management System (CBMS).

Qn2: How different is the DDMS from the CBMS?

Answer:

DDMS differs from the CBMS in various ways

- Under DDMS a Service Centre will be established as non-profit, semi-autonomous and independent agency of benefiting District Local Government with main purpose of providing water supply service to enhance public welfare, and ensure reliable access to safe water for the rural communities.
- A Caretaker shall be employed by the Service Centre to manage the water facility and shall be paid a commission from the user fee collection. Under the CBMS, the water facility is managed by unpaid caretaker, WSC, L.C.1 and in some cases by no one.
- All repairs both minor and major shall be done by the Service Centre. Under the CBMS, both minor and major repairs are left to the user communities.
- The DDMS shall use User fee record books (For Domestic and Commercial users) to collect user fees and users will sign against money paid to caretaker to promote transparency and accountability unlike in the CBMS.

Qn3: What are the benefits of joining the DDMS?

Answer: Communities which join the DDMS shall benefit from the new system in the following ways:

- Continue to use safe water that is reliable
- “One Stop Service”
- Quickly maintenance service
- Always to be kept clean water source
- Reliable Water Supply Service

- Safe and Clean water for better health
- Improved livelihood for rural communities

Qn4: Why should the users pay 2000/= as water user fees (for Domestic water users) and not less or more than 2000/=?

Answer:

Surveys conducted on water user fees by MWE, JICA and other sector partners established the following:

- Most communities agreed to pay 2000/= per household per a month as maintenance fee for their water source.

Qn5: What will the money collected be used for?

Answer: The user fee collected will be used for the following activities:

- i. Purchase spare parts
- ii. Pay salary for Caretakers
- iii. Minor and Major repairs
- iv. Labour fee and transport for HPM
- v. Pay salary for Service Centre staff
- vi. Upgrade the Water facility where necessary

Qn6: How will the user fee collected by the Caretaker be managed to avoid misuse?

Answer: The Assistant Accountant from the Service Centre will collect the money from the Caretaker every month and remit it to the bank account

Qn7: How will transparency and accountability be exhibited in the DDMS?

Answer:

- The Caretaker will use water user fee record sheets (both domestic and commercial user sheets) to collect the fees.
- The users will sign for the money paid to the caretaker.
- Each household user will have a page in the water user record sheet.
- The WSC (Secretary Finance) will share information on accountability of fees collected with the users in a users' meeting, if water user requests.

Qn8: What will be done to users who do not want to pay the user fees?

Answer:

- The Water Source Rules and Regulations should address issues such as how to handle unpaid users. .

Qn9: What should be done to undisciplined water users i.e. users who insult caretakers, who fight at the water source, who refuse/ fail to pay user fees?

Answer: The WSC will have the mandate to enforce the developed The Water Source Rules and Regulations. If need arise, WSC can decide it.

Qn10: What will be done to water users who do not attend water users' meetings?

Answer: As above (previous)

Qn11: How can political interference be avoided in operation and maintenance of water facilities?

Answer:

The Water Users, WSCs, HPMS, etc. should identify the Politician in question and address the concern in a Council meeting at the Sub-county or District level with Political Heads such as Local Council V and other Councillors.

Qn12: Water users do not respect the Water Source Rules and Regulations because the Water Source Rules and Regulations are weak. How can the Water Source Rules and Regulations be effective?

Answer:

Penalty will be decided in the Water Source Rules and Regulations by WSC and executed on time. (e.g. Unpaid users can't use borehole.)

Qn13: Some HPMS are unethical in their work i.e. vandalize the water facilities because they want to make money, install fake or old spare parts, exchange spare parts for different boreholes; over charge users for repair etc. What will be done to unethical HPMS?

Answer:

1. The Service Centre will sign a Contract with the HPMA. All HPMS are registered in HPMA and trained about repair on boreholes.
2. The Service Centre shall provide all the required spare parts for the borehole.

3. The HPMA will pay the HPM after submitting a repair report to the Association.

Qn14: Which boreholes should be included in the DDMS?

Answer:

- Boreholes where water users are willing to pay water user fees (2000/=) on time.

Qn15: Will the caretaker move house to house to collect the user fees or the money will be collected at the water source?

Answer: The water users will pay their fees through the following ways:

Users may bring the fees to the Caretaker at the water source as they come to fetch water.

**Appendix 1-3: Training Manual for Training of Trainers (TOT) of
Sub-County Extension Staffs and HPMs on Water
and Sanitation Committee (WSC) Training**



Ministry of Water and Environment
Directorate of Water Development

**THE PROJECT OF OPERATION AND MAINTENANCE FOR
RURAL WATER SUPPLY AND IMPROVED HYGIENE AND
SANITATION IN THE REPUBLIC OF UGANDA**

**Revitalization of Water and Sanitation Committees and Sanitation
Promotion for the New O&M System in Mubende**

February 2018

**Training Manual for Training of Trainers (TOT) of Sub-County Extension
Staffs and HPMS on Water and Sanitation Committee (WSC) Training**



**Training Manual for Training of Trainers (TOT) of Sub-County
Extension Staffs and HPMS on Water and Sanitation Committee
(WSC) Training**

THE PROJECT OF OPERATION AND MAINTENANCE
FOR RU-RAL WATER SUPPLY, AND IMPROVED
HYGIENE AND SANI-TATION IN THE REPUBLIC OF
UGANDA

Revitalization of Water and Sanitation Committees
and Sanitation Promotion for the New O&M System
in Mubende
2017-18

February 2018

Client: JICA

Prepared by: CB

Quality Control: VB - LN



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1 INTRODUCTION

This training manual is meant to guide Sub-county Extension staffs and Hand pump Mechanics to train the Water and Sanitation Committee(WSC) in the proposed new Operation and Maintenance system for rural water supply and improved hygiene and sanitation. The new O&M system has been named “the District Direct Management System (DDMS)” proposed and piloted by JICA in the district of Mubende, Central Uganda. In this Project, the conventional approach called CBMS (Community Based Maintenance System) will be taken and strengthened in Kiboga, Mpigi and Butambala. If this pilot of DDMS is successful, MWE will expand this model to other districts not only Kiboga, Mpigi and Butambala but also other districts after this Project.

The DDMS is intended to improve management of rural water supplies in the pilot districts in particular and the country in general when scaled up. The DDMS is expected to address challenges encountered under the current CBMS for Rural Water Supplies and Sanitation facilities.

This manual contains the training procedures and content for Sub-county Extension staff and Hand Pump Mechanics to train WSC as key actors in the DDMS. The key actors in the DDMS include: Ministry of Water and Environment (MWE)/ Infrastructural Operation and Maintenance (IO&M) Division Staff, Technical Support Unit staff for the respective districts, Service Centre staff (to be created under the DDMS and will be situated at the district level), Sub-county extension officers, Hand Pump Mechanics, Water and Sanitation Committees, Caretakers and Water Users. The new system involves Revitalization of Water and Sanitation Committees and Sanitation and Hygiene promotion starting with Mubende District Local Government.

1.1 BACKGROUND

In 2004, the Ministry of Water and Environment endorsed the CBMS as one of the best strategies for O&M of communal water supply facilities in rural areas. The CBMS since then has been used as the strategy for achieving sustainability of rural water services. The Water Policy stipulates an expected functionality rate at any one time of 80-90%, and promotes CBMS through a 3-tier system as the approach to ensure sustainable management and O&M of water supply facilities. All point water facilities are required to have Water and Sanitation Committees (WSCs) with half the membership being women, and at least two caretakers.

However, the baseline survey carried out on O&M of water facilities in the four districts mentioned above by JICA in 2016, in addition to various studies such as Water Aid, (2013), IRC (2015) and Mugumya F, (2013) among others, all point to various challenges in the CBMS system. These challenges include; legal status and voluntary nature of WSCs, unwillingness of water users to pay for O&M, inadequate and undefined supply chain of spare parts, vandalism of spare parts, political influence, non or partial participation of Women among other challenges.

Given that background, the current JICA Project on “Operation and Maintenance of Rural Water Supply and Improved Hygiene and Sanitation in the Republic of Uganda” proposes a new system “the District Direct Management System (DDMS)” that is expected to replace the CBMS and hopefully will address and solve the challenges under the CBMS.

1.2 ESTABLISHMENT OF THE SERVICE CENTRE

The proposed DDMS is adopted from the CBMS; however, it creates a new independent structure at the district level called a “Service Centre”, which operates in a similar way like a private entity, with lower structures filled by a Hand Pump Mechanic (HPM) and a Caretaker at Sub County and Water user level respectively as paid service providers. These are respectively supported at the district, Sub County, and community by the District Water Office, the Extension Workers and the Water and Sanitation Committees.

1.3 THE MAIN PROJECT

The main project is “The Project for Operation & Maintenance for Rural Water Supply and Improved Hygiene and Sanitation in the Republic of Uganda”. Currently, the project is being implemented in four districts namely; Mubende, Kiboga, Butambala and Mpigi Districts.

1.4 THE ASSIGNMENT

The current assignment under the main project is “To Revitalize Water and Sanitation Committees for Rural Water Supply and Improvement of Hygiene and Sanitation in Mubende District Local Government”.

1.5 OBJECTIVES OF THE ASSIGNMENT

1.5.1 OVERALL OBJECTIVES

The overall objectives for the assignment are:

1. To build capacity of each actor in the DDMS for improvement of water supply O&M.
2. To pilot the new system with trained officials.

1.5.2 SPECIFIC OBJECTIVES

The specific objectives of the current assignment are:

1. Train the staff of infrastructural O&M /MWE and TSU staff, with knowledge and skills to train, support and monitor DWO and to understand the current situation and the proposed DDMS being piloted.
2. Train DWO officials in Mubende, with knowledge and skills to train, support and monitor CDO/HA, HPMs under the proposed DDMS to replace the CBMS.
3. To train extension workers with knowledge and skills for sensitization of water users, training of WSCs and Caretakers.
4. Develop capacity of extension workers (CDO/HA) and HPM at sub-county level.
5. Generate and increase demand for water and sanitation services.
6. Promote participation in the new O&M system and hygiene behaviour change.
7. Sensitize water users on their roles.
8. Enable the WSCs to fulfil their roles and responsibilities.
9. Monitor to see if WSCs/caretakers are functional and H&S promotion is conducted as required.
10. Make corrections and solve problems/challenges.

The problems encountered with the old CBMS system shall be addressed by the introduction of the new District Direct Management System (DDMS).

1.6 CONTENT OF THIS MANUAL

This manual contains training procedures and content for Sub-county Extension Staffs and HPMs to train WSCs.

1.7 TRAINING DESCRIPTION

The training shall be conducted in phases; the Training for Trainers (ToT), and On-Job Trainings (OJTs).

1.8 DURATION OF THE TRAININGS

The ToT and the OJT shall last for one day, each.

1.9 TARGET GROUP

To ensure achievement of the objectives of the DDMS, it is recommended that the capacity for Sub-county Extension staff (the CDO, HA) and WSCs as key actors in the new system have their capacity built on the DDMS.

1.10 FACILITIES AND TRAINING MATERIALS

The ToT and OJT will be held in-house (in a hall) for purposes of protection from harsh weather and to create a conducive environment for the participants, that also optimizes concentration. OJTs at community level might inevitable be held outside, as the situation will demand, as well as allow real hands on practice. The training materials for ToT and OJT shall include relevant documents on water facilities management, documentation on DDMS, Participatory Rural Appraisal tools, news prints, markers and masking tapes.

1.11 METHODOLOGY/APPROACH

The training methods applied during both the ToT and the OJT shall be participatory to promote learning among all the target groups. The facilitators shall as much as possible encourage participation through:

- Group discussion and presentations in plenary
- Participatory Rural Appraisal approaches
- Lecturing: There shall be limited lecturing that will be applied to new concepts

1.12 OUTLINE OF THE TRAINING PROGRAMME

The next section provides training programs for the ToT for Sub-county Extension staff and HPM for WSC training.

The training manual is to guide the extension workers and HPMs on how to train Water and Sanitation Committees on the new O&M system under the DDMS.

2 TOT TO SUB COUNTY EXTENSION WORKERS AND HPMS FOR WSC TRAINING

The ToT for sub county extension workers and HPMS for the training of WSCs will take place at the venue within a participating sub-county identified by the Sub-county Extension staffs , HPMS and shall last one day. This ToT will target CDOs, HAs and HPMS from the benefiting district.

2.1 TRAINING PROGRAM FOR TOT TO SUB COUNTY EXTENSION WORKERS AND HPMS FOR WSCS TRAINING

TIME	TOPIC	FACILITATOR
8:00-8:15am	Arrival & Registration	CONSULTANT
8:15am- 8:20am	SESSION 1: INTRODUCTION <ul style="list-style-type: none"> • Self-Introduction and • Expectations from the TOT • Challenges faced by Extension staff from WSCs on O&M of the water facilities. 	CONSULTANT
8:20am- 8:30am	Opening & Welcome Remarks	DWO/SAS
8:30 am- 8:40am	PROJECT OVERVIEW <ul style="list-style-type: none"> • Project/Assignment Objectives • Objectives of the TOT- WSC training • Areas To Be Covered • Target Group • Methodology/Approach Of The Tot • Requirements for water sources to qualify for DDMS • Expected Results 	CONSULTANT
8:40am – 9:00am	SESSION 2: DISCUSSION ON DDMS <ul style="list-style-type: none"> • What is DDMS • Establishment of Service Centre. • Background of DDMS • Performance Analysis of roles of WSC under CBMS • Aims of DDMS • Advantages of the DDMS • Key Actors in DDMS 	CONSULTANT
9:00am- 10:00am	SESSION 3: ROLES & RESPONSIBILITIES OF WSC IN UNDER DDMS <ol style="list-style-type: none"> 1. Coordinate Water Users. 2. Monitoring role. 3. Recommend nominated candidate Caretakers 4. Approve and enforce rules/bylaws 	CONSULTANT

TIME	TOPIC	FACILITATOR
	on the usage of their water point. 5. Preparation of Customer List 6. Record keeping. 7. Reporting 8. Sanitation and Hygiene Promotion	
10:00am – 10:15am	BREAK	
10:15 am – 1:00pm	DISCUSSION AND EXPLANATION ON ROLES AND RESPONSIBILITIES OF WSC- CONT'D	CONSULTANT
1:00pm – 2:00pm	LUNCH	
2:00 pm – 2:45pm	SESSION 5: ISSUES ARISING AND DISCUSSION	CONSULTANT
2:45pm – 3:15pm	SESSION 6: PRESENTATION OF OJT PROGRAM FOR WSC	CONSULTANT
3:15pm-4:00pm	SESSION 7: WAY FORWARD ON: HOW TO CONDUCT THE OJT	CONSULTANT
4:00pm	SESSION 8: CLOSING REMARKS AND CLOSURE	L.C.III /L.C.I CHAIRPERSON

3 SESSION 1: INTRODUCTION

3.1 TRAINING OVERVIEW FOR TOT TO SUB-COUNTY EXTENSION STAFFS AND HPMS FOR WSC TRAINING.

Main objectives of the Training:

- To equip Sub-county Extension staffs and HPMS with knowledge and skills for WSC training.
- To explain to Sub-county Extension staffs and HPMS the background of the DDMS and the need for the training of the WSCs on the new O&M system. This is to ensure that the participants understand the essence of the proposed DDMS.

3.2 SELF INTRODUCTION

Purpose: The main purpose for self-introduction is for the participants (Sub-county Extension staffs and HPMS) and Facilitators (Consultant- WE Consult) to know each other, their designations/titles and place of work.

Procedure: Participants and facilitators will mention their names, designation and place of work.

Duration: 15 Minutes

3.3 WELCOME REMARKS

Purpose: This session is intended for the District Administration/Sub-county Administration to welcome the participants to the training and to affirm their support to the DDMS project in their District.

Procedure: The District Water Officer/Senior Assistant Secretary will make a presentation to the gathering and welcome the participants to the meeting.

Duration: 10 Minutes

3.4 PROJECT OVERVIEW AND OBJECTIVES

Purpose: This is to explain to the participants the background and the purpose of the DDMS project.

Procedure: The facilitator (WE Consult) will present and explain the following to the participants:

3.4.1 THE MAIN PROJECT

The main project is “The Project for Operation & Maintenance for Rural Water Supply and Improved Hygiene and Sanitation in the Republic of Uganda”. Currently, the project is being implemented in four districts namely; Mubende, Kiboga, Butambala and Mpigi Districts.

3.4.2 THE ASSIGNMENT

The current assignment under the main project is “To Revitalize Water and Sanitation Committees for Rural Water Supply and Improvement of Hygiene and Sanitation in Mubende District Local Government.

3.4.3 ASSIGNMENT OBJECTIVES

3.4.3.1 OVERALL OBJECTIVES

The overall objectives for the assignment are:

1. To build capacity of each actor in the DDMS for improvement of water supply O&M.
2. To pilot the new system with trained officials.

3.4.3.2 SPECIFIC OBJECTIVES

1. To train extension workers with knowledge and skills for sensitization of water users, training of WSCs and Caretakers.
2. Develop capacity of extension workers (CDO/HA) and HPM at sub-county level.
3. Generate and increase demand for water and sanitation services.
4. Promote participation in the new O&M system and hygiene behaviour change
5. Sensitize water users on their roles under the DDMS.
6. Enable the WSCs to fulfil their roles and responsibilities.

3.4.4 PROJECT BACKGROUND

Purpose: This is to explain to the participants the background and the purpose of the DDMS project.

Procedure: The facilitator (WE - Consult) will present and explain the following to the participants:

Purpose: To explain to the participants the background of the DDMS and the need for the training of the Caretakers on the new O&M system. This is to ensure that the participants understand the purpose of the proposed DDMS.

Procedure: The facilitator shall explain to the participants the background next.

3.4.4.1 Background of the DDMS project

In 2004, the **Ministry of Water and Environment endorsed the CBMs as one of the best strategies for O&M of communal water supply facilities** in rural areas.

The **CBMS since then has been used as the strategy for achieving sustainability** of rural water services.

The Water Policy stipulates an expected functionality rate at any one time of 80-90%, and promotes CBMS through a 3-tier system as the approach to ensure sustainable management and O&M of water supply facilities.

All point water facilities are required to have Water and Sanitation Committees (WSCs) with half the membership being women, and at least two caretakers.

However, the baseline survey carried out on O&M of water facilities in the four districts mentioned above by JICA in 2016, in addition to various studies such as Water Aid, (2013), IRC (2015) and Mugumya F, (2013) among others, all point to various challenges in the CBMS system.

These challenges include;

1. Unclear (legal) status and voluntary nature of WSCs,
2. Unwillingness of water users to pay for O&M,
3. Inadequate and undefined supply chain of spare parts,
4. Vandalism of spare parts,
5. Political influence,
6. Non or partial participation of Women

Among many more other challenges

Given that background, the current JICA Project on “Operation and Maintenance of Rural Water Supply and Improved Hygiene and Sanitation in the Republic of Uganda” proposes a new system “**the District Direct Management System (DDMS)**” that is expected to replace the CBMS and hopefully will address and solve the challenges under the CBMS.

3.4.5 AREAS TO BE COVERED IN TOT

1. The DDMS
2. Roles and Responsibilities of Sub-county Extension Staffs and HPMS
3. Roles and Responsibilities of WSC

4. Job duties of WSC (What and how WSCs are supposed to do?)
5. How to conduct training to WSC
6. Planning and Scheduling for WSC training

3.4.6 TOOLS TO BE USED

- MoU- WSC and Sub-county
- Monitoring sheets:
 - WSC monitor Caretaker (through complaint forms)
 - WSC monitors Service Centre services (Repair and Rehabilitation)
 - WSC monitors Hand Pump Mechanic
 - WSC monitors Caretaker through Regular maintenance sheet.
 - WSC (Finance Secretary) monitors Caretaker using User fee record book.
 - Summary of water fee collection.
 - WSC monitors Water Users.

3.4.7 METHODOLOGY/APPROACH

Lecture and brainstorming, group work and discussions.

3.4.8 DURATION

The TOT shall last for one day.

3.4.9 EXPECTED OUTPUT/RESULTS

Expected output/results shall be:

- Sub-county Extension staffs and HPMS has knowledge and skills to train, lecture and facilitate group work on areas covered to WSC.
- Extension workers and Hand Pump Mechanics should be able to ***understand and explain the DDMS.***
- Extension staff and HPMS should be to ***know and understand the roles and responsibilities of Water and Sanitation Committees*** under the DDMS.

4 SESSION 2: DISCUSSION AND BACKGROUND OF THE DISTRICT DIRECT MANAGEMENT SYSTEM (DDMS)

Purpose:

- i. To explain to the sub-county staff and HPMs the new O&M system known as the DDMS to understand it and also explain it (the DDMS) to the Community in the OJT.
- ii. To enable the Extension staff and the HPMs conduct a discussion on OJT and be able to train Water and Sanitation Committees on the DDMS.

Procedure 1: The Facilitator (Extension staff and HPMs) will task participants to answer the following questions and will lead the discussion as below:

- Ask participants to identify the roles and responsibilities of Water and Sanitation Committees in management of the water facility.

The facilitator should ensure that Water Users mention the following roles:

4.1.1.1 Roles and Responsibilities of the WSC (under CBMS)

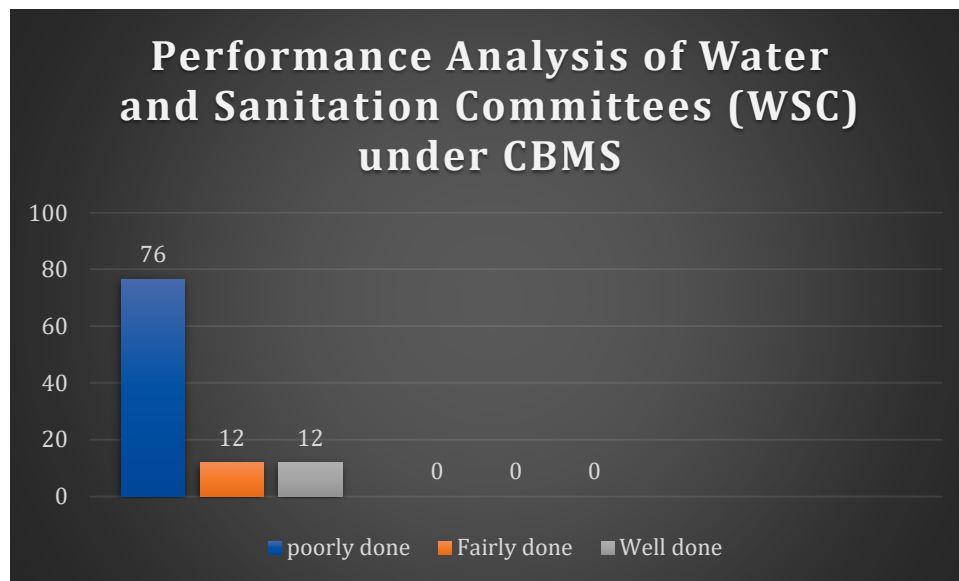
1. Plan for an oversee O&M; report problems
 2. Form WSC. At least two members of the committee holding key positions must be women
 3. Engage HPM/plumber and pay for spares and repairs
 4. Monitor own and external activities
 5. Set water user charges
 6. Together with users select caretakers(at least two for each source)
 7. Hire and pay caretakers
 8. Promote sanitation in the community
 9. Make rules and regulations on use of the source
 10. Put in place proper arrangements including the use of bank accounts to safe guard maintenance funds
 11. Ensure Caretaker is trained for each water source
 12. Organize the community for orderly use
 13. Clean surroundings of water facilities
 14. Undertake minor service and repair(Preventive)
 15. Protect the water catchment area
 16. Maintenance the fence around the source
 17. Collect the O&M funds
 18. Among others
2. Let participants identify the roles that they always play and those that they rarely or do not play.

3. Water Users should also give reasons and challenges why some /most of their roles are not played.

The facilitator (Extension Staff and HPMS) should also present the findings in section 4.1.1.1 above on the performance of roles of the WSC under the CBMS.

The facilitator should also explain the graph (next) findings on the WSC roles.

4.1.2 Graph showing analysis of performance of WSC roles under CBMS



Interpretation of the graph

The facilitator should explain that most of the water user roles were poorly performed at 70 percent. Roles that were fairly and well done were only 2 out of 17 hence being recorded at 12 percent only.

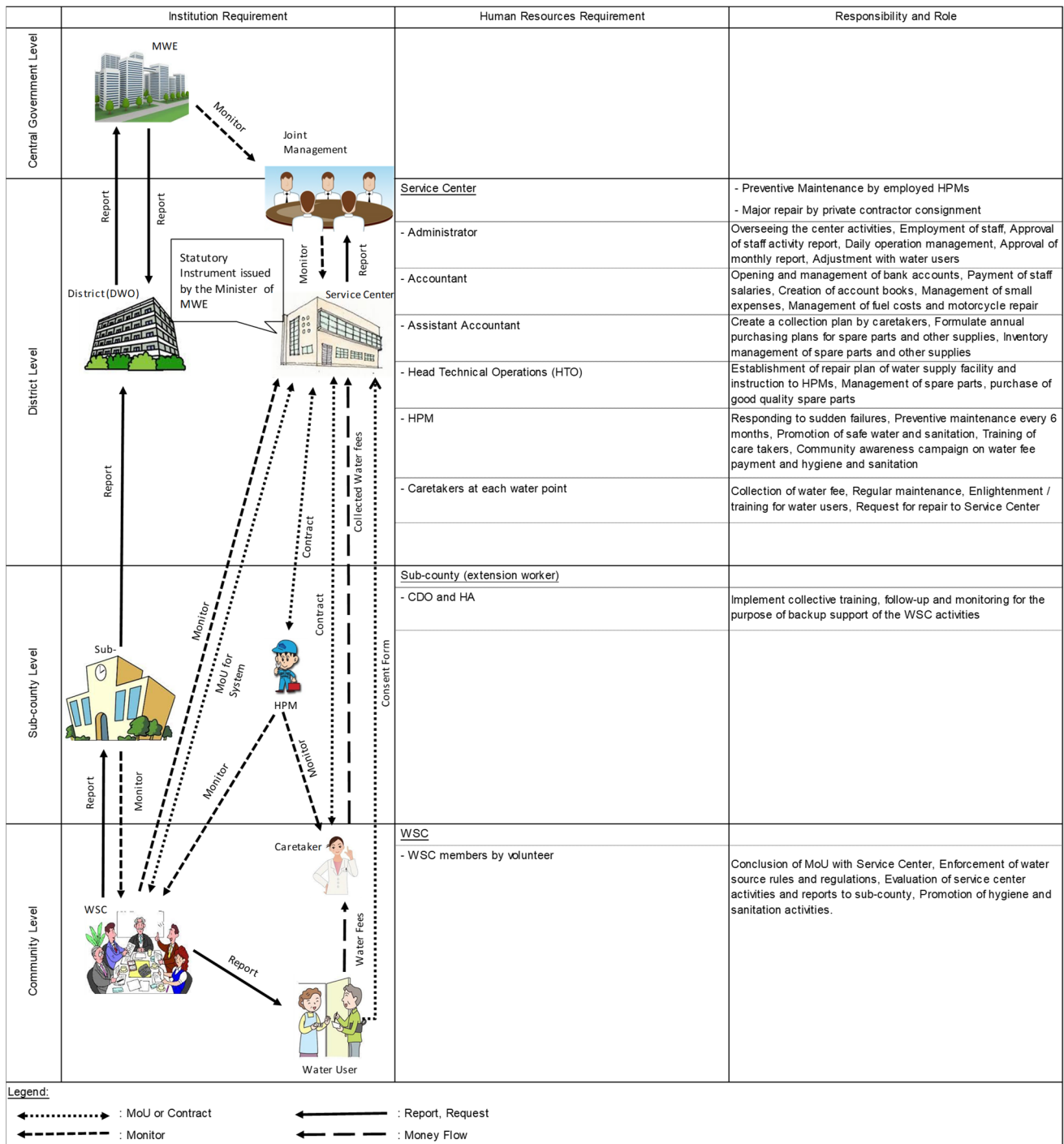
This performance certainly affected the proper functioning of the CBMS.

4.2 WHAT IS THE DDMS

The District Direct Management System (DDMS) is the proposed new Operation and Maintenance system by JICA and will be piloted in the district of Mubende, Central Uganda under *the Assignment of Revitalization of Water and Sanitation Committees for Rural Water Supply and Improvement of Hygiene and Sanitation in Mubende District*.

4.3 ESTABLISHMENT OF THE SERVICE CENTRE

The proposed DDMS is adopted from the CBMS; however, it creates a new independent structure at the district level called a “Service Centre”, which operates in a similar way like a private entity, with lower structures filled by a Hand Pump Mechanic (HPM) and a Caretaker at Sub County and Water user level respectively as paid service providers. These are respectively supported at the district, Sub County, and community by the District Water Office, the Extension Workers and the Water and Sanitation Committees.



4.4 AIM OF THE DDMS

The problems encountered with the old CBMS system are to be countered by the introduction of the new District Direct Management System (DDMS)

4.5 ADVANTAGES OF THE DISTRICT DIRECT MANGEMENT SYSTEM – DDMS

Note: Visual Aids/Picture illustrations shall be used to explain the Advantages of DDMS to the Water users during the OJT

NO.	Advantage	Why this is an advantage for water users?
1.	Continue to use safe water that is reliable	<ul style="list-style-type: none"> i. Stay healthy, avoid diarrhea and other water borne diseases. ii. It will help water users to save money (hospital, medicine...). iii. Besides, water users can work without stopping.
2.	"One Stop Service"	<ul style="list-style-type: none"> i. Water users can get every service through communicating with only one person (caretaker/WSC/extension worker/HPM/Service Center). ii. Water users don't have to contact with all relevant person.
3.	Quickly maintenance service	After broken borehole, Service Center handle with problem within 24 hours.
4.	Always to be kept clean water source	<ul style="list-style-type: none"> i. Caretaker always clean the water source. ii. Water users can use water source comfortably.
5.	Reliable Water Supply Service	Timely response to repair and adequate water supply to communities
6.	Safe and Clean water for better health	Routine water Quality checks to avert water diseases. Awareness creation and advocacies on better health. *This is the future plan of Service Center. After implementing Service Center, they will be able to consider gradually how to manage water quality.
7.	Improved livelihood for rural communities	<ul style="list-style-type: none"> i. Trigger Cottage level income generating activities (Home-based IGA for goods and services) ii. Time saving for productive work in household. iii. If water users can't afford to pay water user fees, water users of that particular

NO.	Advantage	Why this is an advantage for water users?
		<p>water source shall form a group of farmers (Association) to carry out commercial agriculture of cash crops like tomatoes, carrots, maize, beans vegetables etc. After selling these crops, this money helps for paying water user fees.</p> <p>If there are profit after paying water user fees, they can divide it and use for H&S activities (constructing latrine, Hand washing facilities i.e. tippy taps, etc.).</p> <p>*If water users can't pay water user fees, this idea will be one of option among other ideas.</p> <p>Note: Before starting, they are required to decide rules, roles and payment plan etc. with all relevant person.</p> <p>*This is the future plan of Service Center.</p>

4.6 ADVANTAGES OF THE DDMS FLOW CHART



4.7 KEY ACTORS IN THE DDMS

(Emphasis shall be put on Key Stakeholders at community and sub-county levels)

- Operation and Maintenance (O&M) Division (MWE)
- TSU officials (MWE)
- DWO officials

- Community Development Officer (CDO)
- Health Assistant (HA)
- Hand Pump Mechanic (HPM)
- Water users
- Water & Sanitation Committees (WSCs)
- Caretakers

5 SESSION 3: ROLES & RESPONSIBILITIES OF WSC IN THE DDMS

Objective: To identify the roles and responsibilities of WSCs

Methodology: Lectures and Group Discussion

Duration: 1 hour

Procedure: The facilitator shall present and discuss the following roles for WSC:

5.1 SESSION 3.1: COORDINATION OF WATER USERS

1. **Prepare Users' List/Form:** WSC shall encourage all water users to enter into DDMS. This will be done through filling and signing a domestic users list, commercial users list and vulnerable people list.
2. **MoU between WSC and Sub-county:** WSC shall contract with area Sub-county Government on the usage of water supply maintained by the Service Centre. A MoU between the WSC and Sub-county shall be signed and presented to the Service Centre. (See MOU attached)

5.1.1 SUPPORT THE CARETAKERS TO COLLECT USER FEES FROM WATER USERS

WSC shall ensure that water users pay water charges promptly in order to increase the collection rate of water charges. (See User fee collection sheet/book attached under Session 3.2.1).

WSC shall also alert un-contracted water users with WSC and non-payment users not to use a water supply facility maintained by the Service Centre without payment.

5.2 SESSION 3.2: THE MONITORING ROLE OF WSC

1. *Monitoring of cash flow by secretary finance*

Monitor cash flow: The secretary Finance is responsible for monitoring cash flow between water users, the caretaker and the Service Centre to secure transparency and accountability of the collected water charges using Annex i and ii- **User Fee collection sheets.**

2. **Witness delivery of collected water charges:** The secretary finance shall witness the delivery of collected water charges from the caretaker to staff of Service Centre monthly and check the account book with the caretaker and staff of the Service Centre.
3. **Record balance:** The secretary finance shall record the actual collection of water user fees, planned collection and deficit/surplus of certain month in **the Record of user fee collection**. This Record of user fee collection shall be signed by caretaker, assistant accountant and secretary finance when assistant accountant visits community to collect water user fees. Then 3 persons will share each and keep it as evidence.
4. The WSC shall confirm the balance and approve it if WSC validates it.
5. **Disclose cash flow monitoring sheets:** WSC has a responsibility to disclose the monitoring sheets for Water Users after every monitoring activity.

5.2.1.1 USER FEES RECORDS/ COLLECTION SHEET/BOOK- DOMESTIC USAGE

USER FEES RECORDS- DOMESTIC USAGE (Refer to attachment –Annex i)

5.2.1.2 USER FEES RECORDS BOOK- COMMERCIAL USERS (Refer to attachment- Annex ii)

5.2.2 WSC MONITORS CARETAKER

5.2.2.1 USING THE REGULAR MAINTENANCE SHEET (Refer to attachment – Annex iv)

1. How often? Every Month

2. Report to whom? Sub-county Government

- a) Is the caretaker implementing the Regular Maintenance every day according to the Regular Maintenance checklist?
 - a. If No, write the current problems below.

5.2.3 MONITORING SUPPORT PROVIDED BY THE SERVICE CENTER AND REPORTING (REPAIRS AND REHABILITATION – PREVENTIVE MAINTENANCE)

Monitor and Evaluate support: WSC shall monitor and evaluate the support from the Service Center every 6 month in accordance with the monitoring sheet provided by MWE.

Submit Monitoring sheet: WSC shall submit the monitoring sheet next to area sub-county government to improve the service quality from the Service Center.

Provide feedback: WSC shall monitor and give feedback to water users on the payment of water charges, sanitation and hygiene regularly.

- **Record keeping:** Keep records of important activities done at the water source i.e. repairs done. How often (After one month from implementation of Preventive Maintenance)
- Report to whom? Sub-county Government

ACTIVITIES TO BE DONE BY SERVICE CENTRE	Yes	No	Are the activities done within the time schedule		If No, why?
			Yes	No	
1. Does the Service Centre repair of damaged parts outside routine service – Emergence maintenance?(If required)					
2. Does the Service Centre replace damaged slow wearing parts? (handle, chain, rods, cylinder, pipes etc.) (If required)					
3. Does the Service Centre repair cracks on platform, drainage? (If required)					
4. Is periodic checking and service of the hand pump done?					
5. Does the Sub-County do periodic replacement of fast wearing parts (buckets, valves, ball bearings, nuts etc.)?					

5.2.4 WSC MONITORS HPM

REPAIR (minor and major repair) WORKS TO BE DONE BY HPM	Yes	No	Are the activities done within the time schedule		If No, why?
			Yes	No	
Minor repair					
1. Does the HPM repair damaged parts outside routine service?(If required)					
2. Does the HPM replace damaged slow wearing parts (handle, chain, rods, cylinder,					

pipes etc.)?(If required)					
3. Does the HPM repair cracks on platform, drainage? (If required)					
Major repair (if required)					
4. Were the dropped in pipes and rods fished out of the borehole?(If required)					
5. Desilting of the borehole(If required)					
6. Replacement of raising mains. (If required)					
7. Does the HPM prepare the completion report and require the signature of WSC?					
8. Does HPM prepare the consumption report of spare parts and require the signature of the WSC?(If required)					

5.2.5 WSC MONITORS WATER USERS

- How often? Regularly
- Report to whom? Water Users, Sub-county

ACTIVITIES TO BE DONE BY WATER USERS	Yes	No	Are activities done within schedule?		If No, why?
			Yes	No	
1. Are all water users paying their charges?					
2. Do all water users sign after paying?					
3. Do all water users attend water meetings?					
HYGIENE AND SANITATION					
1. Do all water users keep clean surrounding borehole?					
2. Do all water users prevent animals to close animals around borehole?					
3. Do all water user keep jerrycan clean?					

5.2.6: SUB-COUNTY MONITORS WATER AND SANITATION COMMITTEES

1. How often: Quarterly
2. Report to whom? DWO and WSC

3. Required tools: Record of WSC for checking Regular maintenance record, Record of water user fee collection, Water user list, Water source rules and regulation, Record of community meeting

ACTIVITIES TO BE MONITORED	Yes	No	Are activities done within schedule?		If No, why?
			Yes	No	
1. Does WSC monitor caretaker's work by referring to Regular Maintenance check list?					
2. Does WSC monitor caretaker's work by referring to Record of water user fee collection?					
3. Does WSC manage water user list?					
4. Does WSC manage water source rules and regulation and circulate to water users?					
5. Does WSC call for community meeting and keep the record of it?					
6. H&S					

5.3 SESSION 3.5: ENFORCE WATER SOURCE RULES AND REGULATIONS

Purpose: This is to ensure that the WSC are able to make Water Source Rules and Regulations for proper management of the water source at the end of the training.

Procedure:

1. The facilitator confirm the contents which is decided at water user sensitization to WSC.
2. Let the WSC identify and mention the aspects, if required. .
3. WSC fills in the format of Water Source Rules and Regulations.

Water Source Rules and Regulations include these contents as follows.

1. Open time of borehole
2. Water charge for commercial users
water vendors, brick makers, irrigation purposes, watering animals, construction works, vehicle washing and other categories as deemed necessary by WSC, Caretakers and Water Users
3. How to handle unpaid users. (e.g. Unpaid users can't use borehole)
4. How to handle un-contracted users (e.g. Pay XX USH by fetch)
5. Water charge for vulnerable groups

6. Due date for water user fees payment
7. Other rules as arise (Consider/include the existing rules and regulations of community, if they have.)

The WSCs shall approve and enforce the Water Source Rules and Regulations on the aspects identified by the water users.

5.4 SESSION 3.7: RECORD/BOOK KEEPING, TRANSPARENCY AND ACCOUNTABILITY

1. Keep records of important activities done at the water source i.e. repairs done.
2. The secretary Finance is responsible for monitoring cash flow between water users, the caretaker and the Service Centre to secure transparency and accountability of the collected water charges.
3. ***Witness delivery of collected water charges:*** The secretary shall witness the delivery of collected water charges from the caretaker to staff of Service Centre monthly and check the account book with the caretaker and staff of the Service Centre.
4. ***Record balance:*** The secretary shall record the balance of water charges and sign the user fee collection sheet
5. ***Disclose user fee records/cash flow monitoring sheets:*** WSC has a responsibility to disclose the monitoring sheets for Water Users after every monitoring activity.
6. **For transparency and accountability, the following will be done**
 - User fee record sheets (both Domestic and Commercial) will be used to collect money to promote transparency and accountability
 - Water Users will also sign against amount paid.
 - Each Water Users shall be recorded on a page to track each household payment records.

5.5 SESSION 3.8: PROMOTE SANITATION AND HYGIENE AT THE WATER SOURCE

Purpose: To improve sanitation and hygiene at the water source

Duration: 30 Minutes

Procedure: The facilitator (Sub-county extension staffs and HPMS) will present and discuss the following responsibilities of WSC in sanitation and hygiene:

- Keep cleanliness around borehole, not throw away rubbish
- Not bring animals to closer the boreholes
- **Dirty containers:** Discourage usage of dirty containers to fetch water. WSC and the Caretaker may enact a bylaw discouraging usage and bringing dirty containers/jerrycans to fetch water.
- **Meetings:** Organize sanitation and hygiene meetings. WSC schedule for community meetings and enact bylaw on attendance of the meetings.

6 SESSION 4: ISSUES ARISING AND DISCUSSION

Purpose: To establish the issues, challenges on topics discussed.

Procedure:

- Let participants identify and mention issues arising/concerns on the topic discussed.
- List down the concerns mentioned.

Duration: 30 Minutes

7 SESSION 5: ON-JOB TRAINING (OJT) TO SUB COUNTY EXTENSION STAFFS AND HPMS ON WSCTRaining

After the ToT, the Sub-county extension staff and HPM will train the WSCs on the DDMS and their roles and responsibilities under the new O&M system. This is expected to last for one day. The Consultant (WE-Consult) will monitor and oversee the OJT as it takes place.

This OJT to the CDOs, HAs and HPMS for WSCs training will take place at the Sub County level. At least three WSC groups, comprising 7-10 members each will be gathered at their respective sub county for the OJT. The facilitators together with the participants will spend one day for each group training. Efforts will be made to ensure that, the grouping of the WSCs ensures closeness of the WSCs to enable real learning from one another, agree on how to solve joint issues that cut across the WSC groups in each water user community.

8 SESSION 6: OJT TRAINING PROGRAMME FOR WSC TRAINING

TIME	TOPIC	FACILITATOR
8:00-8:15am	Arrival & Registration	CDO/HA/HPM
8:15am- 8:30am	SESSION 1: INTRODUCTION <ul style="list-style-type: none"> • Self-Introduction and • Expectations from the OJT • Challenges faced by WSC in O&M of water facilities (boreholes). 	CDO/HA/HPM/A DWO
8:30am- 8:45am	Opening & Welcome Remarks	CDO/HA/HPM
8:45 am- 9:30am	PROJECT OVERVIEW <ul style="list-style-type: none"> • Project/Assignment Objectives • Objectives of the OJT – Water and Sanitation Committee training • Areas To Be Covered • Target Group • Methodology/Approach Of The Tot • Expected Results 	CDO/HA/HPM/A DWO
9:30am –10:00am	SESSION 2: DISCUSSION ON THE DDMS <ul style="list-style-type: none"> • What is the DDMS? • Establishment and structure of the Service Centre. • Background of DDMS • Analysis of performance of the WSC roles under CBMS • Aims of DDMS • Advantages of the DDMS • Key Actors in DDMS 	CDO/HA/HPM
10:00am -10:15am	BREAK	
10:15am-11:30am	SESSION 4: ROLES & RESPONSIBILITIES OF WSC <ol style="list-style-type: none"> 1. Coordinate Water Users, 2. Make Water Source Rules and Regulations on the usage of their water point, 3. Monitor the Caretaker and Service Center support activities. 	CDO/HA/HPM/A DWO
11:30am – 12:00noon	Monitoring Support from Service Center and Reporting <ol style="list-style-type: none"> 1. WSC shall monitor and evaluate the support from service center every 6 months in accordance with the monitoring sheet provided by MWE. 2. WSC shall submit the monitoring sheet to area Sub-county Government to improve the service quality from the Service Center 	CDO/HA/HPM/A DWO

TIME	TOPIC	FACILITATOR
	<p>3. WSC shall monitor and provide feedback to the Water Users on the payment, sanitation and hygiene regularly.</p> <p>Roles of the Secretary Finance:</p> <p>4. The secretary finance is responsible for the monitoring of cash flow between Water Users, the Caretaker and the Service Center to secure the transparency and accountability of the collected water charges.</p> <p>5. The secretary finance shall witness the delivery of collected water charges from the Caretaker to staff of Service Center monthly and check the account book with the Caretaker and staff of Service Center</p> <p>6. The secretary finance shall record the balance of water charges in accordance with the monitoring sheet provided by MWE and submit it to WSC</p> <p>7. WSC shall confirm it, and approve it if WSC validates it.</p> <p>8. WSC has a responsibility to disclose the monitoring sheets for Water Users after every monitoring activity.</p>	
12:00 – 1:00pm	<p>Specific Water Source Rules and Regulations for the water source committee: Approve and enforce Water Source Rules and Regulations on use of the source. I.e. on payment of water user fees, O&M of the water source, attendance of water meeting, sanitation and hygiene promotion.</p>	CDO/HA/HPM/A DWO
	<p>Preparation of water user list: Keep lists of users with whom they contracted to use the water sources managed by the service center.</p>	CDO/HA/HPM/A DWO
	<p>Record keeping: Keep records of important activities done at the water source i.e. repairs done.</p>	CDO/HA/HPM/A DWO
	<p>Promote sanitation and hygiene at the Water source.</p>	CDO/HA/HPM/A DWO
1:00pm – 2:00pm	LUNCH	
2:00pm-2:30pm	SESSION 6: ISSUES ARISING AND DISCUSSION	CDO/HA/HPM/A DWO
2:30pm – 3:00pm	SESSION 7: WAY FORWARD	CDO/HA/HPM/A DWO
3:00pm	SESSION 8: CLOSING REMARKS AND CLOSURE	L.C.III /L.C.I CHAIRPERSON

8.1 SESSION 6.1: OVERVIEW OF THE OJT TO SUB-COUNTY EXTENSION STAFFSS AND HPMS FOR WSC TRAINING

Purpose of the training

1. To conduct OJT to CDO/HA/HPM and develop their capacity
2. To enable WSC know and fulfill its roles and responsibilities

Target Group: Sub-county Extension Staffs and HPMs

Methodology/Approach: Lecture and Brainstorming, Group work and Discussion,

Training Materials:

- i. Flip chart,
- ii. Format of Water Source Rules and Regulations,
- iii. Monitoring sheets,
- iv. Record of water user fee collection

Duration of training: One Day

Facilitators: Community Development Officers, Health Assistants and Hand Pump Mechanics will facilitate the training with guidance and support from the Consultant.

8.1.1 AREAS TO BE COVERED IN OJT

1. WSC's roles and responsibilities
 - Coordination of Water Users
 - Make Specific Water Source Rules and Regulations
 - Preparation of water user list
 - Record keeping
 - Monitoring
 - Reporting
2. Promotion of Sanitation and Hygiene

8.1.2 EXPECTED OUTPUT/RESULTS

1. The WSC is equipped with knowledge and skills to fulfil their roles and responsibilities.
2. The WSC should be able to approve specific Water Source Rules and Regulations.
3. The WSC should present a user list for their water sources.

9 SESSION 7: WAY FORWARD

Purpose: This is intended for Extension staff to develop an action plan on:

- i. Train, Support and Monitor WSCs in their sub-counties.
- ii. How to address the challenges/issues mentioned in session 4.

The action plan shall include the challenge to be addressed, location; the vil-
lage/water source, responsible persons, time frame, etc.

Structure of the Action Plan

Objective	Activities to be done	When and where	Persons respon- sible

10 SESSION 8: CLOSING REMARKS AND CLOSURE



THANK YOU FOR LISTENING – MWEBALE NNYO

11 ANNEXES

Annex 1 USER FEE RECORD SHEET- DOMESTIC USERS

No.1 Name: Jackline Nak-
 asaga Water user fee:2,000UGX

Date	Month	Paid amount	Balance	Sign	
				User	Caretaker
15	January	2000	0		
	January				
10	February	1000	1000		
15	February	500	500		
	March	0	2500		
	March				
13	April	1500	3000		
20	April	500	2500		
15	May	2500	0		
	May				
19	June				
	June				
12	July				
	July				
17	August				
	August				
16	September				
	September				
15	October				
	October				
18	November				
	November				
14	December				
	December				

Instruction to make format:

1. Write the user No. and user name according to the consent form. (1 user for 1page)
2. Draw the line as above and make format.(2 lines for 1 month, therefore make 24 lines)

At the payment:

1. Write the date and month when user pay water user fee to caretaker.

2. Write the payment in "Paid amount".
3. Calculate the balance and write it in "Balance".
*Balance = Balance of previous month + water user fee (2,000 UGX) - Paid amount of this month
4. Confirm "Paid amount" and "Balance" with user and caretaker, and they write the signature.

Annex 2 USER FEE RECORD SHEET- COMMERCIAL USERS

No. 1 Name: Grace Kajumba

Category: Brick maker

Water user fee:
5,000UGX

Date	Month	Paid amount	Balance	Sign	
				User	Caretaker
15	January	5000	0		
	January	0	0		
10	February	3000	2000		
15	February	1000	1000		
8	March	2000	4000		
23	March	2500	1500		
13	April	6000	500		
20	April	0	500		
15	May	4000	1500		
	May	1500	0		
19	June	5000	0		
	June	0	0		
12	July				
	July				
17	August				
	August				
16	September				
	September				
15	October				
	October				
18	November				
	November				
14	December				
	December				

Instruction to make format:

1. Write the user No. and user name according to the consent form. (1 user for 1page)
2. Draw the line as above and make format.(2 lines for 1 month, therefore make 24 lines)

3. Write the category of commercial users and water user fee according to bye-law decided by WSC.

At the payment:

1. Write the date and month when user pay water user fee to caretaker.

2. Write the payment in "Paid amount".

3. Calculate the balance and write it in "Balance".

*Balance = Balance of previous month + water user fee - Paid amount of this month

4. Confirm "Paid amount" and "Balance" with user and caretaker, and they write the signature.

Annex 3 COMPLAINT PROCESSING

1. Purpose

To ensure that all water users complaints toward the water supply service by Service Center are effectively handled in a timely manner.

2. Responsibility

The administrator has the responsibility for this handling procedure. He/She shall be responsible for:

- Recording all complaints received from water users through caretaker.
- Coordinate with relevant departments/person to ensure that all water users complaints are investigated and resolved in a timely manner.
- Closing the raised complaints and provide timely feedback to water users.

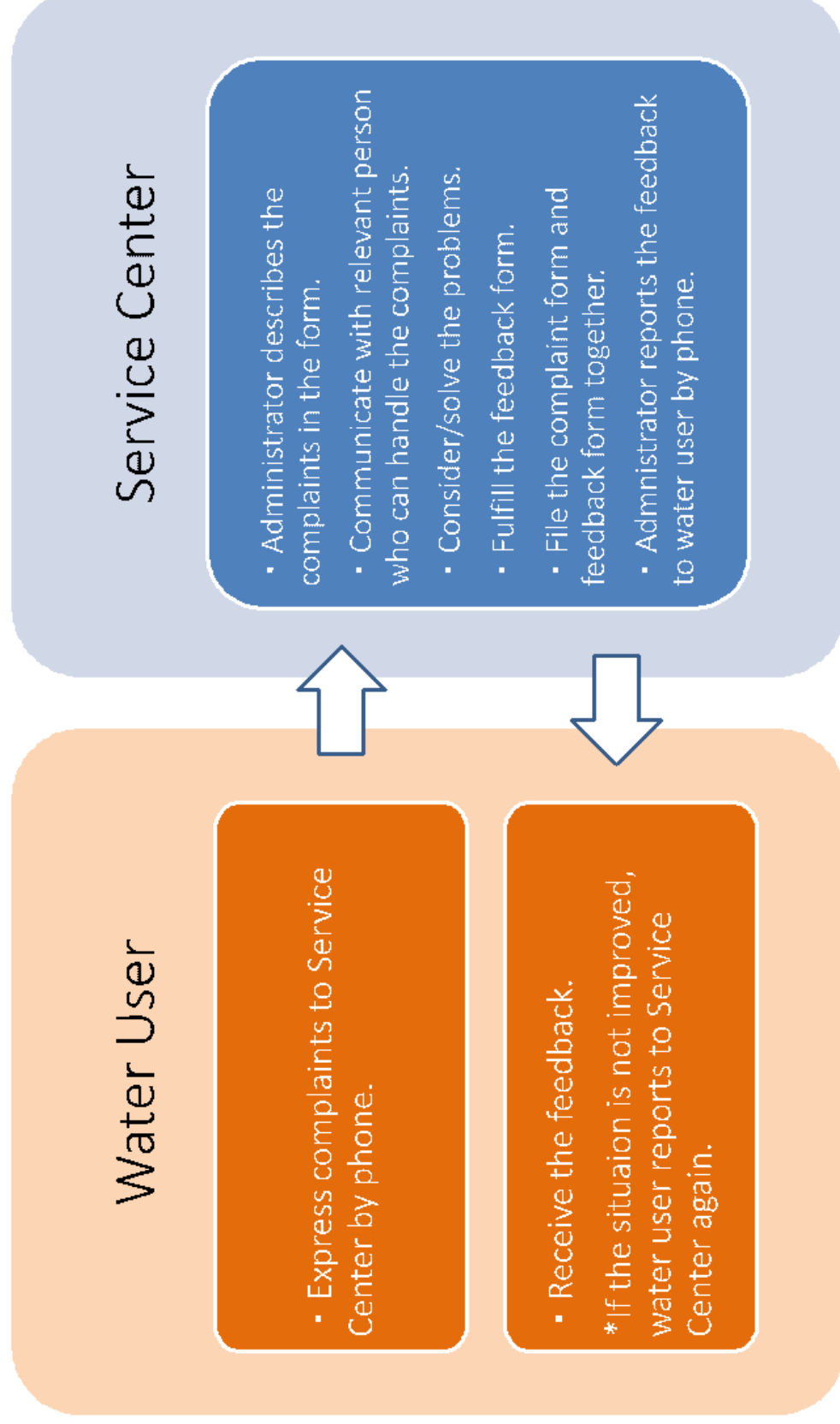
3. The procedure of handling complaints

- Water users express complaints to caretaker in phone or verbally. Caretaker shall be in a complaint window for water users.
- Caretaker receives complaints from water users and reports to Service Center by phone immediately.
- After Service Center receives complaints through caretaker, he/she fulfill the complaints form.
- The administrator communicates with relevant person who can handle the complaints and consider/solve the problems.
- The feedback form shall be fulfilled by the administrator.
- The complaint form and the feedback form shall be filed together.
- The administrator reports the feedback to caretaker by phone.
- Caretaker reports the feedback to water users immediately.

4. Any complaint that has legal implications shall be handled by JMC.

(End)

Annex 4 FLOW OF THE COMPLAINT PROCESSING



Annex 6 CHECKLIST FOR OJT TO SUB - COUNTY EXTENSION STAFFS AND HPM ON WSC TRAINING

NO.	TOPIC/SESSION	DONE (Tick)	NOT DONE/REMARKS
i.	Registration of Participants		
1.	INTRODUCTION		
1.1	Self-Introduction		
1.2	Participants' Expectations		
1.3	Challenges experienced on O&M of water sources under CBMS (by WSC)		
2.	Opening and welcome remarks		
3.	PROJECT OVERVIEW		
3.1	The Main Project		
3.2	The Assignment		
3.3	Overall Project/Assignment Objectives		
3.4	Specific Objectives for the OJT-WSC <ol style="list-style-type: none"> 1. Generate and increase demand for water and sanitation services. 2. Promote participation in the new O&M system and hygiene behaviour change 3. Enable the WSCs to fulfil their roles and responsibilities 		
3.5	Project Background		
3.6	Areas to be covered		
4.	DISCUSSION ON DDMS		
4.1	What is DDMS?		
4.2	Background of DDMS		
4.3	Aims of DDMS		
4.4	Advantages of the DDMS		
4.5	Key Actors in the DDMS		
5.	ROLES AND RESPONSIBILITIES OF WATER AND SANITATION COMMITTEES IN THE DDMS (use translated flow charts on responsibilities of WSC)		
5.1	Coordination of Users: <ol style="list-style-type: none"> i. Preparation/Approve customer/water user list: ii. MoU between WSC and Water Users: (Discuss consent/application form for DDMS) – Expected output of the OJT iii. MoU between WSC and Sub-county iv. (Discuss Contract for Usage of water facility by Service Centre) –Expected 		

	output of OJT		
5.2	Support the caretakers to collect user fees from water users – Roles of the Secretary Finance- WSC (Discuss user fee collection sheets- Domestic and Commercial)		
5.3	Book keeping, Transparency and Accountability (use flow charts on usage of user fees by the Service Centre)		
5.4	The Monitoring role (Discuss monitoring forms) i. WSC monitor Caretaker (through complaint forms) ii. WSC monitors Service Centre services (Repair and Rehabilitation) iii. WSC monitors Hand Pump Mechanic iv. WSC monitors Caretaker through Regular maintenance sheet. v. WSC (Finance Secretary) monitors Caretaker using User fee record book. vi. Summary of water fee collection. vii. WSC monitors Water Users.		
5.5	Approval and Recommendation of selected Caretakers – (Discuss selection criteria)		
5.6	Enforce bylaws and penalties for the water source: Enforcement strategies should be discussed during OJT.		
5.7	Promote sanitation in the community		
7.	Issues arising and Discussion		
8.	Way forward on Issues noted and Recommendations		

Annex 7 FREQUENTLY ASKED QUESTIONS – DDMS

Qn1: What is DDMS?

Answer:

- DDMS means District Direct Management System. This is a new proposed (by JICA) Operation and Maintenance system for rural water facilities.
- Under DDMS, a Service Centre will be established as non-profit, semi-autonomous and independent agency of benefiting District Local Government with main purpose of providing water supply service to enhance public welfare, and ensure reliable access to safe water for the rural communities.
- The proposed operations of the DDMS intend to address the O&M challenges experience under the Community Based Management System (CBMS).

Qn2: How different is the DDMS from the CBMS?

Answer:

DDMS differs from the CBMS in various ways

- Under DDMS a Service Centre will be established as non-profit, semi-autonomous and independent agency of benefiting District Local Government with main purpose of providing water supply service to enhance public welfare, and ensure reliable access to safe water for the rural communities.
- A Caretaker shall be employed by the Service Centre to manage the water facility and shall be paid a commission from the user fee collection. Under the CBMS, the water facility is managed by unpaid caretaker, WSC, L.C.1 and in some cases by no one.
- All repairs both minor and major shall be done by the Service Centre. Under the CBMS, both minor and major repairs are left to the user communities.
- The DDMS shall use User fee record sheets/books (For Domestic and Commercial users) to collect user fees and users will sign against money paid to caretaker to promote transparency and accountability unlike in the CBMS.

Qn3: What are the benefits of joining the DDMS?

Answer: Communities which join the DDMS shall benefit from the new system in the following ways:

- Continue to use safe water that is reliable
- “One Stop Service”
- Quickly maintenance service
- Always to be kept clean water source
- Reliable Water Supply Service

- Safe and Clean water for better health
- Improved livelihood for rural communities

Qn4: Why should the users pay 2000/= as water user fees (for Domestic water users) and not less or more than 2000/=?

Answer:

Surveys conducted on water user fees by MWE, JICA and other sector partners established the following:

- Most communities agreed to pay 2000/= per household per a month as maintenance fee for their water source.

Qn5: What will the money collected be used for?

Answer: The user fee collected will be used for the following activities:

- i. Purchase spare parts
- ii. Pay salary for Caretakers
- iii. Minor and Major repairs
- iv. Labour fee and transport for HPM
- v. Pay salary for Service Centre staff
- vi. Facilitate WSC meetings
- vii. Upgrade the Water facility where necessary

Qn6: How will the user fee collected by the Caretaker be managed to avoid misuse?

Answer: The Assistant Accountant from the Service Centre will collect the money from the Caretaker every month and remit it to the bank account

Qn7: How will transparency and accountability be exhibited in the DDMS?

Answer:

- The Caretaker will use water user fee record sheets (both domestic and commercial user sheets) to collect the fees.
- The users will sign for the money paid to the caretaker.
- Each household user will have a page in the water user record sheet.
- The WSC (Secretary Finance) will share information on accountability of fees collected with the users in a users' meeting, if water user requests.

Qn8: What will be done to users who do not want to pay the user fees?

Answer:

- The Water Source Rules and Regulations should address issues such as how to handle unpaid users. .

Qn9: What should be done to undisciplined water users i.e. users who insult caretakers, who fight at the water source, who refuse/ fail to pay user fees?

Answer: The WSC will have the mandate to enforce the developed The Water Source Rules and Regulations. If need arise, WSC can decide it.

Qn10: What will be done to water users who do not attend water users' meetings?

Answer: As above (previous)

Qn11: How can political interference be avoided in operation and maintenance of water facilities?

Answer:

The Water Users, WSCs, HPMs, etc. should identify the Politician in question and address the concern in a Council meeting at the Sub-county or District level with Political Heads such as Local Council V and other Councillors.

Qn12: Water users do not respect the Water Source Rules and Regulations because the Water Source Rules and Regulations are weak. How can the Water Source Rules and Regulations be effective?

Answer:

Penalty will be decided in the Water Source Rules and Regulations by WSC and executed on time. (e.g. Unpaid users can't use borehole.)

Qn13: Some HPMs are unethical in their work. i.e. vandalize the water facilities because they want to make money; install fake or old spare parts, exchange spare parts for different boreholes; over charge users for repair etc. What will be done to unethical HPMs?

Answer:

1. The Service Centre will sign a Contract with the HPMA. All HPMs are regis-

- tered in HPMA and trained about repair on boreholes. t
2. The Service Centre shall provide all the required spare parts for the borehole.
 3. The HPMA will pay the HPM after submitting a repair report to the Association.

Qn14: Which boreholes should be included in the DDMS?

Answer:

- Boreholes where water users are willing to pay water user fees (2000/=) on time.

Qn15: Where will the user fee collection box be located?

Answer: The user fee collection box will be kept at the caretaker's home.

Qn16: Who will keep the complaint form?

Answer: The Forms will be kept at with the Service Center.

Qn17: What is the procedure for submitting a filled complaint form and feedback?

Answer: The Caretaker or the WSC members may receive a filled form and hand it over to the Assistant Accountant when he/she comes to pick the user fees.

Qn18: Will the caretaker move house to house to collect the user fees or the money will be collected at the water source?

Answer: The water users will pay their fees through the following ways:

Users may bring the fees to the Caretaker at the water source as they come to fetch water.

**Appendix 1-4: Training Manual for the Training of Trainers
(TOT) of Hand Pump Mechanics on Caretaker
Training**



Ministry of Water and Environment Directorate of Water Development

THE PROJECT OF OPERATION AND MAINTENANCE FOR RURAL
WATER SUPPLY AND IMPROVED HYGIENE AND SANITATION IN
THE REPUBLIC OF UGANDA

Revitalization of Water and Sanitation Committees and Sanitation Promotion for the New O&M System in Mubende

**Training Manual for the Training of Trainers (TOT) of Hand
Pump Mechanics on Caretaker Training** April, 2018



**Revitalization of Water and Sanitation Committees and
Sanitation Promotion for the New O&M System in Mubende**

Training Manual for the Training of Trainers (TOT) of
Hand Pump Mechanics on Caretaker Training

Project 201718

April, 2018

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1 INTRODUCTION

This training manual is meant to guide Hand Pump Mechanics who will train Caretakers as key actors in the proposed new Operation and Maintenance system for rural water supply and improved hygiene and sanitation. The new O&M system has been named “the District Direct Management System (DDMS)” proposed and piloted by JICA in the district of Mubende, Central Uganda. In this Project, the conventional approach called CBMS (Community Based Maintenance System) will be taken and strengthened in Kiboga, Mpigi and Butambala. If this pilot of DDMS is successful, MWE will expand this model to other districts not only Kiboga, Mpigi and Butambala but also other districts after this Project.

The DDMS is intended to improve management of rural water supplies in the pilot districts in particular and the country in general when scaled up. The DDMS is expected to address challenges encountered under the current CBMS for Rural Water Supplies and Sanitation facilities.

This manual contains training procedures and content for Hand Pump Mechanics to train Caretakers as key actors in the DDMS. The key actors in the DDMS include: Ministry of Water and Environment (MWE)/ Infrastructural Operation and Maintenance (IO&M) Division Staff, Technical Support Unit staff for the respective districts, Service Centre staff (to be created under the DDMS and will be situated at the district level), Sub-county extension officers, Hand Pump Mechanics, Water and Sanitation Committees, Caretakers and Water Users. The new system involves Revitalization of Water and Sanitation Committees and Sanitation and Hygiene promotion starting with Mubende District Local Government.

1.1 BACKGROUND

In 2004, the Ministry of Water and Environment endorsed the CBMS as one of the best strategies for O&M of communal water supply facilities in rural areas. The CBMS since then has been used as the strategy for achieving sustainability of rural water services. The Water Policy stipulates an expected functionality rate at any one time of 80-90%, and promotes CBMS through a 3-tier system as the approach to ensure sustainable management and O&M of water supply facilities. All point water facilities are required to have Water and Sanitation Committees (WSCs) with half the membership being women, and at least two caretakers.

However, the baseline survey carried out on O&M of water facilities in the four districts mentioned above by JICA in 2016, in addition to various studies such as Water Aid, (2013), IRC (2015) and Mugumya F, (2013) among others, all point to

various challenges in the CBMS system. These challenges include; legal status and voluntary nature of WSCs, unwillingness of water users to pay for O&M, inadequate and undefined supply chain of spare parts, vandalism of spare parts, political influence, non or partial participation of Women among other challenges.

Given that background, the current JICA Project on “Operation and Maintenance of Rural Water Supply and Improved Hygiene and Sanitation in the Republic of Uganda” proposes a new system “the District Direct Management System (DDMS)” that is expected to replace the CBMS and hopefully will address and solve the challenges under the CBMS.

1.2 ESTABLISHMENT OF THE SERVICE CENTRE

The proposed DDMS is adopted from the CBMS; however, it creates a new independent structure at the district level called a “Service Centre”, which operates in a similar way like a private entity, with lower structures filled by a Hand Pump Mechanic (HPM) and a Caretaker at Sub County and Water user level respectively as paid service providers. These are respectively supported at the district, Sub County, and community by the District Water Office, the Extension Workers and the Water and Sanitation Committees.

1.3 THE MAIN PROJECT

The main project is “The Project for Operation & Maintenance for Rural Water Supply and Improved Hygiene and Sanitation in the Republic of Uganda”. Currently, the project is being implemented in four districts namely; Mubende, Kiboga, Butambala and Mpigi.

1.4 THE ASSIGNMENT

The current assignment under the main project is “To Revitalize Water and Sanitation Committees for Rural Water Supply and Improvement of Hygiene and Sanitation in Mubende District Local Government”.

1.5 OBJECTIVES OF THE ASSIGNMENT

1.5.1 Overall objectives

The overall objectives for the assignment are:

1. To build capacity of each actor in the DDMS for improvement of water supply O&M.
2. To pilot the new system with trained officials.

1.5.2 Specific objectives

The specific objectives of the current assignment are:

1. Train the staff of infrastructural O&M /MWE and TSU staff, with knowledge and skills to train, support and monitor DWO and to understand the current situation and the proposed DDMS being piloted.
2. Train DWO officials in Mubende, with knowledge and skills to train, support and monitor CDO/HA, HPMs under the proposed DDMS to replace the CBMS.
3. To train extension workers with knowledge and skills for sensitization of water users, training of WSCs and Caretakers.
4. Develop capacity of extension workers (CDO/HA/HPM) at sub-county level.
5. Generate and increase demand for water and sanitation services.
6. Promote participation in the new O&M system and hygiene behavior change.
7. Sensitize water users on their roles.
8. Enable the WSCs to fulfill their roles and responsibilities.
9. Monitor to see if WSCs/caretakers are functional and H&S promotion is conducted as required.
10. Make corrections and solve problems/challenges.

The problems encountered with the old CBMS system shall be addressed by the introduction of the new District Direct Management System (DDMS).

1.6 CONTENT OF THIS MANUAL

This manual contains training procedures and content for Hand Pump Mechanics to train Caretakers.

1.7 TRAINING DESCRIPTION

The training shall be conducted in phases; the Training for Trainers (TOT) for Hand Pump Mechanics, and On-Job Trainings (OJTs).

1.8 DURATION OF THE TRAININGS

The TOTs for Hand Pump Mechanics will last for two days while the OJT shall last for two days. The training shall include field visits which is intended to visit will

equip the HPMS with practical skills and knowledge on how to pre-test user fee record sheets, analyze and document Sanitation and Hygiene situation of the water source, etc.

1.9 TARGET GROUP

To ensure achievement of the objectives of the DDMS, it is recommended that all Hand Pump Mechanics and Caretakers (in the participating district/sub-counties) as key actors in the new system have their capacity built on the DDMS.

1.10 FACILITIES AND TRAINING MATERIALS

The TOT and OJTs will be held in-house (in a hall) for purposes of protection from harsh weather and to create a conducive environment for the participants, that also optimizes concentration. OJTs at community level might inevitably be held outside, as the situation may demand, as well as to allow real hands on practice. The training materials for TOTs and OJTs shall include relevant documents on water facilities management, documentation on DDMS, Participatory Rural Appraisal tools, news prints, markers and masking tapes.

1.11 METHODOLOGY/APPROACH

The training methods applied during both the TOT and the OJT shall be participatory to promote learning among all the target groups. The facilitators shall as much as possible encourage participation through:

- Group discussion and presentations in plenary.
- Participatory Rural Appraisal approaches.
- Field visits
- Lecturing: There shall be limited lecturing that will be applied to new concepts.

1.12 OUTLINE OF THE TRAINING PROGRAMME

The next sections provide training program for the ToT for Hand Pump Mechanics for Caretakers. After the ToT, the HPMS will be expected to train the Caretakers using the program through On-Job Training (OJT).

The training manual is arranged in two parts. The first part presents the training program of the training (ToT or OJT), while the second part presents the training content itself.

2 TOT TO HAND PUMP MECHANICS FOR CARETAKER TRAINING

The TOT for Hand Pump Mechanics (HPMs) for the training of water source care takers will take place at the district headquarters, and will last two days. This TOT will target the HPMs from the benefiting district.

2.1 TRAINING PROGRAM FOR TOT TO HAND PUMP MECHANICS FOR CARETAKER TRAINING

Table 1 Training program for ToT to HPMs for Care Taker Training

TIME	TOPIC	FACILITATOR
	DAY ONE	
8:00am – 8:15am	Arrival & Registration	CONSULTANT
8:15am – 8:20am	SESSION 1: INTRODUCTION <ul style="list-style-type: none"> • Self-Introduction • Expectations from the TOT • Challenges faced by HPMs in O&M of the water facilities. 	CONSULTANT
8:20am – 8:30am	Opening & Welcome Remarks	DWO/ACAO-WES
8:30am – 8:40am	SESSION 2: PROJECT OVERVIEW <ul style="list-style-type: none"> • Project/Assignment Objectives • Establishment of the Service Center. • Areas To Be Covered • Target Group • Methodology/Approach of the TOT • Requirements for water sources to qualify for DDMS • Expected Results 	CONSULTANT
8:40am – 9:00am	SESSION 3: MWE LEGAL AND POLICY FRAMEWORK ON O&M FOR RURAL WATER FACILITIES. <ol style="list-style-type: none"> 1. National Water Statute, 1995 2. National Water Policy, 1999 3. Local Government Act, 	CONSULTANT
9:00 am – 9:15am	SESSION 4: THE WATER SOURCE CARE-TAKER	CONSULTANT
9:15am – 10:00am	SESSION 4.1: ROLES AND RESPONSIBILITIES OF CARETAKER IN UNDER DDMS	CONSULTANT
10:00am – 10:15am	BREAK	
10:15am – 1:00pm	Roles and Responsibilities cont'd.	
1:00pm – 2:00pm	LUNCH	

TIME	TOPIC	FACILITATOR
2:00pm – 2:45pm	SESSION 5: REMUNERATION OF THE CARETAKER	
2:45pm – 3:15pm	SESSION 6: ROLES AND RESPONSIBILITIES OF HTO	CONSULTANT
3:15pm – 3:30pm	SESSION 7: ROLES AND RESPONSIBILITIES OF HPM	CONSULTANT
	SESSION 8 :REPAIR FLOW	
3:30pm – 4:00pm	SESSION 9: EVALUATION OF KWOLEDGE AQCUSITION ON HPM ROLES	CONSULTANT
4:00pm	SESSION 9: CLOSING REMARKS FOR DAY ONE	CONSULTANT
	END OF DAY ONE	
	DAY TWO	
8:00am – 8:30am	Arrival and Registration	ALL
8:30am – 9:00am	SESSION 1: RECAP OF DAY ONE SESSIONS	CONSULTANT
9:00am – 10:30am	SESSION 2: FIELD VISIT PREPARATIONS	CONSULTANT
10:30am – 11:00am	BREAK	
11:00am –1:00pm	FIELD VISIT	CONSULTANT
1:00pm – 2:00pm	LUNCH	
2:00pm – 3:00pm	SESSION 3: SANITATION AND HYGIENE	CONSULTANT
3:00pm – 3:15pm	SESSION 4: ISSUES ARISING AND DISCUSSIONS	CONSULTANT
3:15pm – 3:45pm	SESSION 6: WAY FORWARD	CONSULTANT/DWO
	SESSION 7 : ROLEPLAY <ul style="list-style-type: none"> i. How to make and teach the water user fee record book. ii. How to use and teach regular maintenance check sheet iii. How to explain to caretaker to convince water users. 	CONSULTANT/DWO
3:45pm – 4:00pm	SESSION 7: CLOSING REMARKS AND CLOSURE	L.C.V CHAIRPERSON

3 DAY ONE

3.1 SESSION 1: INTRODUCTION

3.1.1 Training overview for TOT to hand pump mechanics for caretaker training

Main objectives of the training:

1. To equip HPMS with knowledge and skills to train Caretakers.
2. To explain to HPMS the background of the DDMS and the need for the training of the Caretakers on the new O&M system. This is to ensure that the participants understand the essence of the proposed DDMS.

3.1.2 Self-Introduction

Purpose: The main purpose for self-introduction is for the participants (HPMS) and Facilitators (Consultant- WE Consult) to know each other, their designations/titles and place of work.

Procedure: Participants and facilitators will mention their names, designation and place of work.

Duration: 10 Minutes

3.1.3 Welcome Remarks

Purpose: This session is intended for the District Administration/Sub-county Administration to welcome the participants to the training and to affirm their support to the DDMS project in their District.

Procedure: The District Water Officer/Senior Assistant Secretary will make a presentation to the gathering and welcome the participants to the meeting.

Duration: 10 Minutes

4 SESSION 2: THE WATER AND ENVIRONMENT POLICY AND LEGAL FRAMEWORK ON OPERATION AND MANAGEMENT OF RURAL WATER FACILITIES

i. *Water Statute, 1995:*

- ✓ The Water Statute **provides for use, protection and management of water resources and supply by communities.**
- ✓ In support of community management, it provides for the ownership and management of water supplies by users through the **creation of management structures such as WSCs and Water Source Caretakers.**
- ✓ The Management structures are **(WSCs and Caretakers) are responsible for planning and management of water facilities and collection of water user fees.**
- ✓ The WSCs and Caretakers are to operate under Direction of the Ministry of Water and Environment who shall guide and approve water user fees.

ii. **The National Water Policy, 1999**

- ✓ This policy promotes an integrated approach to managing water resources in a way that is sustainable and beneficial to all people in Uganda.
- ✓ It provides for **capacity building at all levels** aimed at sustainable water facilities management.
- ✓ The policy requires **all water facilities to have WSCs and Caretakers** with half the membership being women.
- ✓ The policy calls for **Sub-county leadership to support collection of Community Contributions towards Capital Costs for facilities (CCCC) and Water User fee collection (O&M fees) and existence of Hand Pump Mechanics.**
- ✓ It provides for women's involvement at all stages in water supply provision.

iii. **Local Government Act, 1997**

- ✓ This Act defines roles for different levels of Government in management of water and sanitation related activities.

- ✓ The Act empowers the different levels of Government (District and Sub-county) to plan and implement WASH development interventions according to identified local priorities. i.e.
 - i. Planning and allocation of resources to O&M support activities,
 - ii. Monitoring and follow-up support to established community structures.
 - iii. Support in making bye-laws subject to certification by higher Council.
- In this context a WSC may propose to be adopted by a village Council regarding the management and maintenance of their water facility.

4.1 SESSION 3: PROJECT OVERVIEW AND OBJECTIVES

Purpose: This is to explain to the participants (Caretakers) the project overview and the project objectives.

Procedure: The facilitator (WE Consult) will present and explain the following to the participants:

4.1.1.1 The Main Project

The main project is “The Project for Operation & Maintenance for Rural Water Supply and Improved Hygiene and Sanitation in the Republic of Uganda”. Currently, the project is being implemented in four districts namely; Mubende, Kiboga, Butambala and Mpigi Districts.

4.1.1.2 The Assignment

The current assignment under the main project is “To Revitalize Water and Sanitation Committees for Rural Water Supply and Improvement of Hygiene and Sanitation in Mubende District Local Government.

4.1.1.3 Assignment Objectives

Overall Objectives

The overall objectives for the assignment are:

1. To build capacity of each actor in the DDMS for improvement of water supply O&M.
2. To pilot the new system with trained officials.

Specific Objectives

The specific objectives of the current assignment are:

1. To train extension workers with knowledge and skills for sensitization of water users, training of WSCs and Caretakers.

2. Develop capacity of extension workers (CDO/HA) and HPMS at sub-county level.
3. Generate and increase demand for water and sanitation services.
4. Promote participation in the new O&M system and hygiene behaviour change
5. Sensitize water users on their roles under the DDMS.
6. Enable the WSCs to fulfil their roles and responsibilities.

SESSION 3.1: DISCUSSION AND BACKGROUND OF THE PROJECT (CBMS AND DDMS)

Purpose: This session is intended to explain to the participants the background and the DDMS project such that they (HPMS) are able to train the Caretakers on the new O&M system.

Procedure: The facilitator shall explain the following background to the participants next.

In 2004, the *Ministry of Water and Environment endorsed the CBMs as one of the best strategies for O&M of communal water supply facilities* in rural areas.

The *CBMS since then has been used as the strategy for achieving sustainability* of rural water services.

The Water Policy stipulates an expected functionality rate at any one time of 80-90%, and promotes CBMS through a 3-tier system as the approach to ensure sustainable management and O&M of water supply facilities.

All point water facilities are required to have Water and Sanitation Committees (WSCs) with half the membership being women, and at least two caretakers.

However, the baseline survey carried out on O&M of water facilities in the four districts mentioned above by JICA in 2016, in addition to various studies such as Water Aid, (2013), IRC (2015) and Mugumya F, (2013) among others, all point to various challenges in the CBMS system.

These challenges include;

1. Unclear (legal) status and voluntary nature of WSCs,
2. Unwillingness of water users to pay for O&M,
3. Inadequate and undefined supply chain of spare parts,

4. Vandalism of spare parts,
5. Political influence,
6. Non or partial participation of Women
7. Among many more other challenges

Given that background, the current JICA Project on “Operation and Maintenance of Rural Water Supply and Improved Hygiene and Sanitation in the Republic of Uganda” proposes a new system “*the District Direct Management System (DDMS)*” *that is expected to replace the CBMS and hopefully will address and solve the challenges under the CBMS.*

SESSION 3.2: DISCUSSION ON ROLES OF CARETAKERS UNDER CBMS

Purpose:

- i. This session is intended to discuss and assess the functionality of the roles of Caretakers under the CBMS.

Procedure 1: The Facilitator (HPMs) will task participants (Caretakers) to answer the following questions on CBMS.

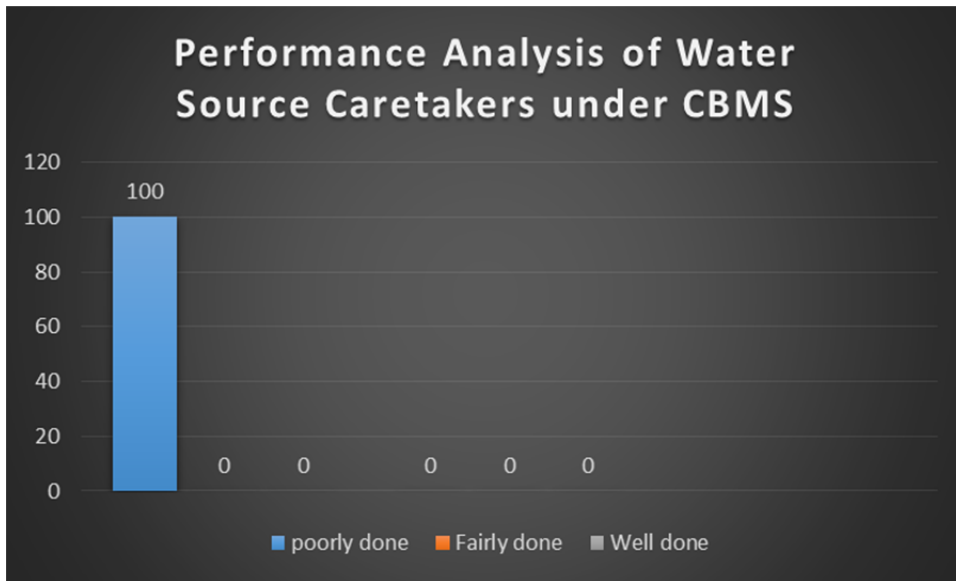
- Ask participants to identify the roles and responsibilities of Caretakers in the O&M of community water facility.

The facilitator should ensure that Caretakers mention the roles highlighted next:

- i. Be trained for each source
- ii. Organize the community for orderly use
- iii. Clean surroundings of water facilities
- iv. Undertake minor service and repair(Preventive)
- v. Protect the water catchment area
- vi. Maintenance the fence around the source
- vii. Collect the O&M funds
- viii. Among others

- Let the participants (Caretakers) identify the roles that are normally played and those that they rarely or not done at all.
- Caretakers should also give reasons and challenges why some of their roles are not played.

Note: The facilitator should wrap the session by presenting and explaining CBMS study findings by using the graph below.



Source: Operation and Maintenance System – Uganda Experience, Ministry of Water and Environment, 2011.

Interpretation of the Graph

The facilitator should explain that all the seven (7) roles for the water source Caretakers were poorly performed at 100 percent as represented by the Blue bar, in the graph.

This performance certainly affected the proper functioning of the CBMS.

Interpretation of the findings

The facilitator should explain the meaning of the red colour in the roles. Participants should be informed that a study on Functionality of the CBMS, by the Ministry of Water and Environment in 2011, established that the most of the caretaker roles were either poorly done or not done at all hence the colour RED to signify the problem.

BASIS FOR MEASUREMENT OF THE PERFORMANCE ON ROLES OF CARETAKERS

- iv. **Water Statute, 1995:** This provides for use, protection and management of water resource and supply by communities. In support of community management, it provides for the ownership and management of water supplies by users through the creation of WSCs.

Water Users are by law expected to pay water user fees to the WSC or the Caretakers.

To enhance ownership of the water supply facilities, the Statute calls for Water Users to engage and support all activities intended for sustainability of their water facility i.e. selection of water facility caretakers to manage the water source on day to day basis.

CONSEQUENCES OF BROKEN WATER FACILITY

- Let participants identify and mention the results/consequences of Caretakers not playing the expected roles in the O&M of their water facilities.

The facilitator should ensure that Caretakers mention the following consequences:

- i. Outbreak of wash-related diseases such as diarrhoea, typhoid, cholera etc.
- ii. Gender violence: This may fighting between married couples due to delays in fetching water from far source.
- iii. Loss of time for production work: This may result from drinking unsafe water which may cause diseases and one spends time at healthy centre treating the sick instead of attending to a productive activity i.e. gardening, shop keeping etc.
- iv. Poor education performance at school among children: This may result from frequent missing of classes due to sickness got from drinking dirty water.
- v. Death: this may be due to water and sanitation diseases i.e. typhoid, cholera, diarrhoea.
- vi. Rape and defilement of women and girls. This can happen if women and girls have to pick water from far distances and at awkward time i.e. at night or late in the evening.
- vii. Poverty: This may be due to a number of reasons such as:
 - Spending time to take care of the sick at the health center instead of doing productive work.
 - Diverting resources i.e. money from productive work to paying health/treatment bills.
- viii. Community conflicts especially from community members from another village in search for water.

Among many more

Procedure 2: The facilitator shall present and explain the DDMS as follows to the caretakers:

SESSION 4: DISCUSSION ON THE DDMS

Duration: 30minutes

- What is the DDMS?
- Aims of the DDMS
- Advantages of the DDMS (shall be explained with reference to illustrations on quick maintenance section)
- Key Actors in the DDMS (at community level)

The facilitator shall also explain:

- i. How the DDMS intends to address the O&M challenges identified under the CBMS by reference to DDMS illustrations.
- ii. The roles and responsibilities of caretakers in the DDMS with reference to caretaker’s manual.

4.2 ADVANTAGES OF THE DISTRICT DIRECT MANGEMENT SYSTEM – DDMS

Note: Visual Aids/Picture illustrations shall be used to explain the Advantages of DDMS to the Water users during the OJT

Table 2: Advantages of DDMS

NO.	Advantage	Why this is an advantage for water users?
1.	Continue to use safe water that is reliable	i. Stay healthy, avoid diarrhea and other water borne diseases. ii. It will help water users to save money (hospital, medicine...). iii. Besides, water users can work without stopping.
2.	"One Stop Service"	i. Water users can get every service through communicating with only one person (caretaker/WSC/extension worker/HPM/Service Center). ii. Water users don't have to contact with all relevant person.
3.	Quickly maintenance service	After broken borehole, Service Center handle with problem immediately
4.	Always to be kept clean water source	i. Caretaker always clean the water source. ii. Water users can use water source comfortably.

NO.	Advantage	Why this is an advantage for water users?
5.	Reliable Water Supply Service	Timely response to repair and adequate water supply to communities
6.	Safe and Clean water for better health	<p>Routine water Quality checks to avert water diseases.</p> <p>Awareness creation and advocacies on better health.</p> <p>*This is the future plan of Service Center. After implementing Service Center, they will be able to consider gradually how to manage water quality.</p>
7.	Improved livelihood for rural communities	<ul style="list-style-type: none"> i. Trigger Cottage level income generating activities (Home-based IGA for goods and services) ii. Time saving for productive work in household. iii. If water users can't afford to pay water user fees, water users of that particular water source shall form a group of farmers (Association) to carry out commercial agriculture of cash crops like tomatoes, carrots, maize, beans vegetables etc. After selling these crops, this money helps for paying water user fees. <p>If there are profit after paying water user fees, they can divide it and use for H&S activities (constructing latrine, Hand washing facilities i.e. tippy taps, etc).</p> <p>*If water users can't pay water user fees, this idea will be one of option among other ideas.</p> <p>Note: Before starting, they are required to decide rules, roles and payment plan etc with all relevant person.</p> <p>*This is the future plan of Service Center.</p>

4.3 ADVANTAGES OF THE DDMS FLOW CHART



4.4 KEY ACTORS IN THE DDMS

- Operation and Maintenance (O&M) Division (MWE)
- TSU officials (MWE)
- DWO officials
- Community Development Officer (CDO)
- Health Assistant (HA)
- Hand Pump Mechanic (HPM)
- Water users

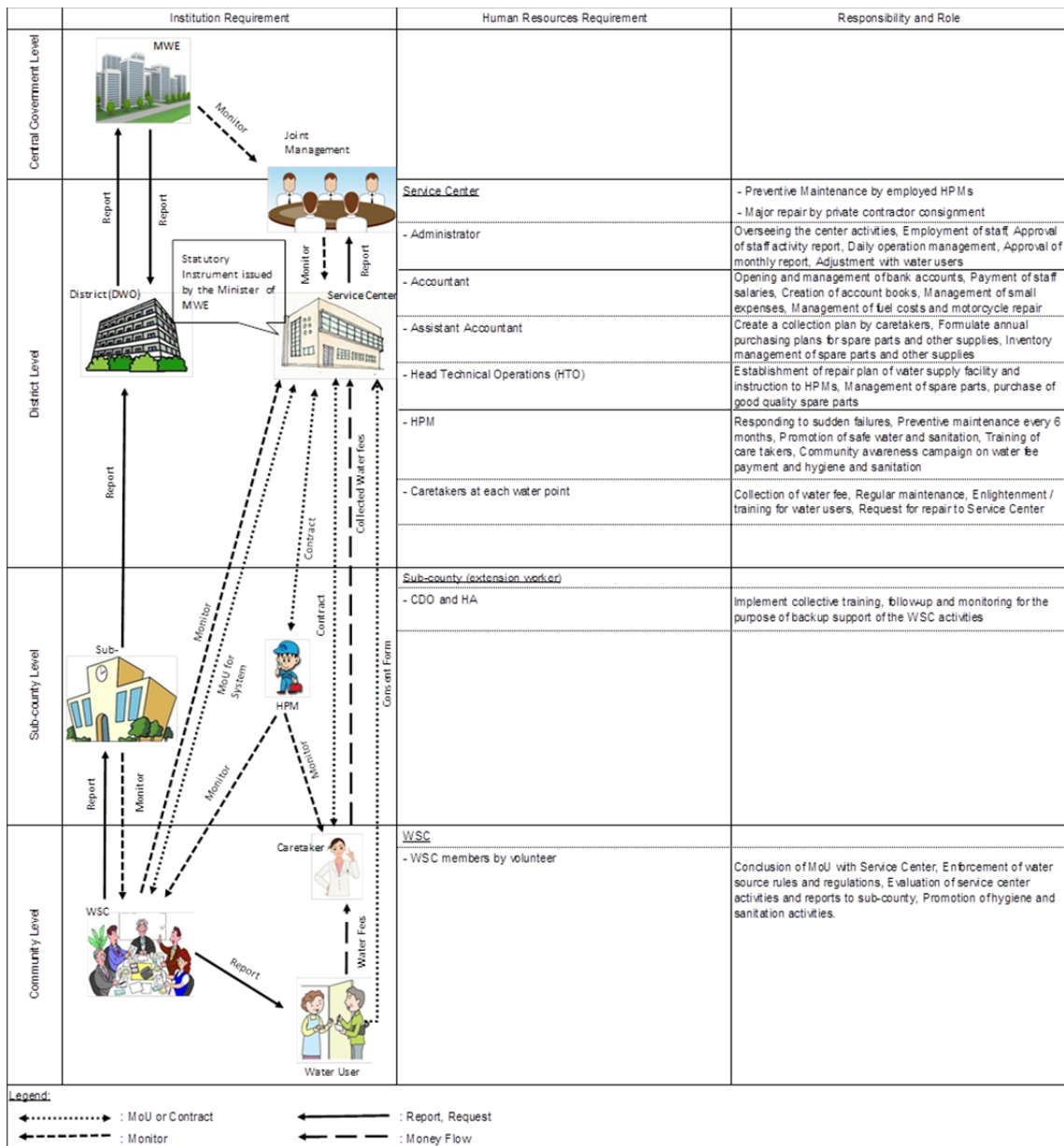
- Water & Sanitation Committees (WSCs)
- Caretakers

ESTABLISHMENT OF THE SERVICE CENTRE

The proposed DDMS is adopted from the CBMS; however, it creates a new independent structure at the district level called a “Service Centre”.

The Service Centre will operate in a similar way like a private entity, with lower structures filled by a Hand Pump Mechanic (HPM) and a Caretaker at Sub County and Water user level respectively as paid service providers.

These are respectively supported at the district, Sub County, and community by the District Water Office, the Extension Workers and the Water and Sanitation Committees.



AREAS FOR TRAINING IN THE TOT

- Roles and Responsibilities of HPMs
- Roles and Responsibilities of Caretakers
- Job duties of Caretaker (What and how Caretakers are supposed to do?)
- How to conduct training to Caretakers
- Planning and Scheduling for Caretaker training

METHODOLOGY/APPROACH

Lecture and brainstorming, group work, discussions, case studies and field visits.

MATERIALS FOR TOT

1. User fee record sheets/Account books
2. Regular Maintenance sheets
3. Safe box
4. Caretaker's Operation manual
5. Illustration tools for DDMS
6. Illustration tools for H&S
7. Monitoring sheet

DURATION

The TOT shall last for two days.

EXPECTED OUTPUT/RESULTS

- HPMs will be knowledgeable and skilled to give lectures and facilitate group works/discussions to Caretakers on their duties under DDMS.

SESSION 5: THE WATER SOURCE CARETAKER

Purpose: This session is intended to discuss and explain the Water Source Caretaker and his/her roles and responsibilities in O&M of the water source under the DDMS.

Procedure: The facilitator shall explain the following to the participants:

- i. The Service Center shall contract with the Caretakers at each of registered water point.
- ii. Water users shall select three candidates for the Caretaker position and recommend them to the Service Center.
- iii. The Service Center may cancel a contract with the Caretaker due to the following condition;
 - Illegal procedure by the Caretaker is detected,
 - Unserious work behavior of the Caretaker is found, and
- iv. WSC recommends the Service Center to change the Caretaker.
- v. In case the Service Center detects above situation, the Service Center shall investigate the situation of Caretaker and report the result to JMC. JMC shall resolve the decision to caution or suspend the Caretaker.

HPM should confirm each caretaker's working time and contents of the water source rules and regulation at OJT.

4.5 SESSION 6: ROLES & RESPONSIBILITIES OF CARETAKERS UNDER THE DDMS

Purpose: To explain the importance of Caretaker in O&M of the water facility.

Procedure: Lecture, question and answer.

Contract employee: The Service Center shall contract with the Caretakers at each of registered water point.

Selected during water user sensitization: Three candidates for the Caretaker will be selected at the water user sensitization and recommend them to the Service Center.

The Service Center may cancel a contract with the Caretaker due to the following condition;

- Illegal procedure by the Caretaker is detected,
- Unserious work behavior of the Caretaker is found, and
- WSC recommends the Service Centre to change the Caretaker.
- In case the Service Center detects above situation, the Service Center shall investigate the situation of Caretaker and report the result to JMC. JMC shall resolve the decision to caution or suspend the Caretaker.

Purpose: To identify the roles and responsibilities of Caretakers

Methodology: Lectures, Group Discussion and Caretaker's operation manual

Duration: 30 Minutes

Procedure: The facilitator shall present and discuss the following roles and responsibilities for the Caretaker under the DDMS.

1. Collect water charges from Water Users and record the accounting book,
2. Transfer the collected water charges to the Service Center,
3. Stay and control the water usage at his/her managed water point at the appointed time by WSC every day,
4. Alert unpaid Water Users to pay a water charge,

5. Conduct the regular (daily) maintenance at his/her managed water point,
6. Conduct community sensitization, and
7. Report to the Service Center about the condition of water point and others.
8. Action plan for O&M
9. Regular maintenance & cleaning
10. Catchment protection
11. Book keeping and Accountability
12. Conflict management
13. Reporting

Other working rule of Caretaker shall be depended on the contract condition between the Service Center and Caretaker.

Note: HPM provides caretaker's operation manual to caretaker. At the cover page, caretakers fill the sub-county, parish, village, water source name and his/her name. To mention that caretaker always keep and refer this manual during working.

4.5.1 SESSION 6.1: WATER CHARGES COLLECTION AND MANAGEMENT

Purpose: To enable Hand Pump Mechanics support and train Caretakers on collection and management of user fees.

Methodology: Group Discussion, Lecture and Use of User Fee Record Books, safe box and teach them how to use it.

Procedure: The Caretaker is responsible for the following:

1. Collect water charges from Water Users and record the accounting book (refer to the Record book of water user fees).
2. Transfer the collected water charges to the Service Center monthly. (Discuss this role in reference to the illustration on user fee collection and management process)
3. Alert unpaid Water Users to pay a water charge.
4. Book keeping, Accounting and Reporting to the Service Center and WSC-Secretary Finance.

Note:

- a) Decide the starting of service date (When caretaker starts to collect water user fee) and caretaker has to make user fee record book by the service date.
- b) Water user has to pay water user fee within 1 month from every service date.

(i.e. Starting service date: 15th April. Water users have to pay 2,000 UGX by 14th May. After this duration, next service term will start from 15th May to 14th June. Each water source can decide how to pay like installments or non-installments)

- The caretaker should be informed about updates on Water Users' lists (Annex 6) by WSC.
- The updates should also be reflected in the User fee record books.
- Communication on updates should be timely between the WSCs and the Caretakers.
- Mode of payment: Users shall pay cash money to the Caretaker on a monthly basis.

Note:

1. The caretaker shall collect the user fees through the following methods:
Water users will take the money to the caretaker at the water source.
2. The facilitator should inform the participants that the Monthly user fees shall be collected kept safely and remitted to the Service Centre by the Assistant Accountant.

■ **RECORD BOOK OF WATER USER FEE (DOMESTIC USERS)**

Refer to Annex 4

■ **RECORD BOOK OF WATER USER FEE (COMMERCIAL USERS)**

Refer to Annex 5

■ **USER FEE RECORDS CALCULATION**

Calculation Exercise

Date: _____

Sub-county _____

Parish: _____ Village: _____

Caretaker's Name: _____

1. $1000 + 2000 =$ _____
2. $2500 + 3000 =$ _____
3. $5000 - 3700 =$ _____
4. $4000 + 1700 - 2000 =$ _____
5. $15,000 + 7000 =$ _____
6. $2000 \times 300 =$ _____
7. $9000 \times 8 =$ _____

4.5.2 Session 6.2: Water Source Management

Purpose: for HPMs to be able to support and train Caretakers on water source maintenance.

Methodology: Use the Regular Maintenance Checklist, Group Discussions and Lecture

Procedure: The facilitator shall present the following tasks and lead the discussion. Train caretakers how to fill this sheet.

The Caretaker is responsible for water source maintenance by doing the following:

1. Conduct Regular (daily) Maintenance of water sources (Refer to Regular Maintenance Checklist in Annex 12&13). For the each contents, caretaker has to tick daily in the regular maintenance check sheet.
 - i. Unlock the source by the start of supply time:
 - ✓ The Caretaker should unlock the water source at the time agreed upon by the water users and the WSCs.
 - ii. Clean drainage and hand pump surrounding before the supply time:
 - ✓ The caretaker should ensure that the surrounding of the water source including the drainage is clean all the time.
 - iii. Check all flange bolts and nuts for tightness (Monthly):
 - ✓ The caretaker should tighten all flange bolts and nuts of the hand pump in case they are loose to avoid further damage to the facility.
 - iv. Check the handle axle nuts, chain bolt, and Nyloc nut are tight(Monthly):
 - ✓ In addition, the Caretaker should check and tighten the handle axel nuts, chain bolt and the nyloc to prevent further destruction of the facility.

- v. Check the water flow come during the first 5 strokes at the first use of the day:
 - ✓ The Caretaker should always check the volume of the water flow from the water source during the first 5 strokes on the daily basis. In case of any reductions in the flow, the caretaker should make a report to the Service Centre as soon as possible.
- vi. Grease the chain if the handle does not work smoothly(Monthly):
 - ✓ It is important for the Caretaker to always grease the chain to ensure smooth operation of the hand pump and prevent damages.
- vii. Repair wooden bar and fence (if applicable):
 - ✓ In case of a wooden bar/pole fence, the caretaker should repair the broken fence to protect the water facility from human and activities.
- viii. Lock the source after the supply time:
 - ✓ The caretaker should look the water facility at the time agreed up by the water users and WSCs.

Note:

1) No. 3, 4 and 5 will be checked monthly when Assistant Accountant visits to collect water user fees. He/She will bring the spanner and grease, then caretaker check above contents.

2) Assistant Accountant collects this Regular Maintenance Check sheet which is checked by caretaker and provide a new sheet when he/ she collects water user fee. This is for the purpose of management of caretaker's working situation.

2. Stay at the water source and control usage of the pump every day.

The caretaker is expected to stay at the water source to control improper usage of the hand pump such as poor pumping, maintain order at the water source, etc.

3. Regular cleaning of the water source surrounding
4. Conduct community sensitization on water charge payment and Hygiene and Sanitation.
5. Report to the Service Center about the condition of water point and others.

The caretaker is expected to report any issues of concern at the water facility to the Service Centre immediately for a remedial action.

4.5.3 Session 6.3: Book Keeping, Recording and Reporting

Purpose:

- I. For HPMs to support and train Caretakers on management of user fees collected.

II. To ensure proper management of user fees collected.

Methodology: Lecture, and plenary discussions

Materials: User Fee Record books for both Domestic and Commercial Users.

Procedure: The facilitator shall present the topic and lead the discussion on the following:

1. Provide the copies of User Fee Record Books to the participants .(see copies attached here in)
2. Let the participants study and internalize the layout of the sheet.
3. Explain how the Caretaker should fill the money collected from each user.
4. Allow enough time for any questions about the User Fee record books/sheets
5. Provide responses to concerns raised as soon as possible.
6. The Caretaker shall use the User Fee Record books to record water charges collected.

Accountability (Accounting and Audit)

Purpose: To enable Caretakers manage well the user fees collected.

Methodology: Lecture, and plenary discussions, User Fee Record sheets.

Procedure: The facilitator shall present the topic and lead the discussion on the following:

- The account of Caretaker shall be conducted in accordance with the accounting regulation established separately.
- The Caretaker shall record the income on the account book. (Refer to User Fees records book).

To ensure the transparency and accountability of water charges against Water Users.

1. The secretary finance of WSC shall witness the delivery of collected water charges from the Caretaker to staff of Service Centre monthly.
2. The secretary finance of WSC shall check the account book with the Caretaker and staff of Service Centre.

3. The secretary finance shall sign the record of water user fee collection with caretaker and assistant accountant.
4. User fee record sheets will be used to collect money to promote transparency and accountability.
5. Water Users will also sign against amount paid.
6. Each Water Users shall be recorded on a page to track each household payment records.

Session 6.4: Water Source Protection

Purpose: To ensure safety and maintenance of the water quality.

Procedure:

1. Restriction of human and animal activities near the water source.
2. Regular cleaning of the water source surrounding.
3. Stop animals and children from playing around the water source etc.

Note: Visual aids/pictures illustrating caretaker activities shall be used to explain the caretaker roles.

Session 6.5: Conflict and Complaints Management

Procedure:

1. If conflicts or complaints are happened, water users can express to Service Center directly.
2. Caretaker will be reported by Service Center. This is caretaker's role in complaint processing. (Refer to Annex 7).

Flow of the complaint processing: Refer to Annex 8.

Example of Conflicts and Complaints:

In case of the following and more has been observed at the water source;

- The chairperson of the WSC makes all decisions
- The chairperson WSC does not organise committee meetings.
- There is no cooperation between the local leaders and the WSC.
- The user community does not understand why they have to contribute user fees.

- Land owners change their mind about constructing water facility and sanitation facility on their land.
- When community members belong different religions or have different political inclinations.
- The function of water supply becomes worse.
- The hygiene and sanitation condition around the water supply facility becomes worse.
- The surrounding environment of the water supply facility is in not good.
- The service quality by the Caretaker and /or Service Centre becomes worse.
- The corruption by the Caretaker and/or Service Centre found.
- Other unusual situation, etc.

SESSION 7: REMUNERATION OF THE CARETAKER

Purpose: to explain how the Caretakers shall be remunerated in the new O&M system.

Methodology: Lecture

Procedure: The facilitator shall present and explain the following to the participants:

- The Caretaker shall be given 20 % of collected water charges every month and paid when Assistant Accountant collects water user fees.
- The communication cost of Caretaker to the Service Center shall be paid of UGX 500 per call by the Service Center based on the contract until the Service Center installs the toll free system.
- Other necessity expense for the activities of Caretaker shall be paid by the Service Center when the administrator of Service Center deems necessary.

SESSION 8: ROLES AND RESPONSIBILITIES OF HEAD TECHNICAL OPERATIONS (HTO AT SERVICE CENTRE):

Purpose: to create awareness on HTO roles in the DDMS.

Methodology: Lecture, and discussions

Procedure: The facilitator shall present and discuss the following roles of the HTO.

1. **Instruct HPMS:** Responsible for instructing and monitoring the activities of hand pump mechanics.
2. **Prepare Maintenance plan:** Prepare a maintenance plan of water supply facilities and implement that by instructing HPMS,
3. **Spare parts Controller:** Control the requisition of spare parts and service tools by staff of the Service Center, and
4. **Procure spare parts:** Support the procurement of quality spare parts and other supplies in a cost effective manner.

SESSION 9: ROLES AND RESPONSIBILITIES OF HPMS

Purpose: To create awareness on roles and responsibilities of HPMS in the DDMS.

Procedure: Facilitator to explain/lecture to participants the roles and responsibilities of HPM. Before the lecture, the facilitator can engage participants in a question and answer session to ensure participants are on board.

Responsible for carrying out the proper maintenance and repair of water supply facilities as below;

1. Preventive maintenance every six months for each source,
2. Promote safe water and proper hygiene and sanitation in the community,
3. Train and instruct the Caretakers, and
4. Encourage communities to pay a water charge.

HPM shall record the result of maintenance and repair of water supply facilities and submit them to the HTO after the works.

SESSION 10: ASSESSMENT OF KNOWLEDGE ACQUISITION ON HPM, HTO AND CARETAKER ROLES

Purpose: To establish how the HPMS have acquired knowledge on their roles in the DDMS

Procedure: The facilitator (WE Consult) shall ask the participants (HPMS) to do the following:

- i. Identify and explain the HPM roles in the DDMS.
- ii. Identify and explain the roles of Caretaker in the DDMS

- iii. Identify and explain the roles of HTO in the DDMS
- iv. Explain how the caretaker should use the regular maintenance sheet to maintain the water facility.

The Consultant will assess and quality assure the presentation and provide guidance where necessary.

SESSION 11: CLOSING REMARKS FOR DAY ONE

5 DAY TWO

5.1 SESSION 1: RECAP OF DAY ONE DISCUSSION

Purpose: To review previous discussion and identify arising issues.

Procedure: The facilitator will lead the discussion and ask participants to mention what was discussed previously and any issues arising about the discussion. Issues shall be noted for latter discussion.

5.2 SESSION 2: FIELD VISIT.

Purpose: The field visit is intended to practically equip the HPMs with skills and knowledge to train caretakers on the following:

1. Pretesting the **User Fee Record form**
2. **Try Regular maintenance check sheet**
3. Assess **Water Source Condition**
4. Assess **Sanitation at the water source surrounding** i.e. fence, soak away pit, cleanliness

Personal Hygiene i.e. water containers.

Procedure: The facilitator will lead the discussion on preparation of the Field Visit as follows:

Material:

1. User fee record form
2. Regular maintenance check sheet
3. Spanner
4. Grease

- The facilitator shall identify the community for the field visit.
- The participants may visit more than one community for comparison and learning purposes.
- After the field visits, let the participants converge in their groups and prepare their field observations.
- The participants should present their findings from the field visit.

Duration: 2 hours

5.3 SESSION 2.1: FEEDBACK FROM THE FIELD VISIT

Purpose: To share and discuss observations from the field.

HPM understands the situation of water source and how to use relevant documents to train caretakers.

Procedure: Group work and in the plenary

- Let participants present their findings from the field on the following:
 - i. Pretesting the **User Fee Record form**
 - ii. **Try Regular maintenance check sheet**
 - iii. Assess **Water Source Condition**
 - iv. Assess **Sanitation at the water source surrounding** i.e. fence, soak away pit, cleanliness
 - v. **Personal Hygiene** i.e. water containers etc.
- Note the comments
- Allow discussion on the findings and recommendations on the findings.

5.4 SESSION 3: SANITATION AND HYGIENE

5.4.1 Sanitation and Hygiene at the Water Source

Purpose: for HPMs to train and support caretakers advocate and promote sanitation and hygiene especially at the water source.

Methodology: Brainstorming and Discussion

Procedure: The facilitator shall introduce the topic and lead the discussion.

The caretakers shall be expected to do the following:

1. Sweep and Clean surrounding of the water source
2. Wash clean the drainage and platform
3. Encourage users to use clean water to fetch water
4. Prevent defecation and urination at the water source and its surrounding.
5. Stop both human and animal activities at and within surrounding of the water source.
6. Train water users to keep clean jerry can

The facilitator shall wrap up the topic by mentioning that Water Users and WSCs should support the Caretakers in their work.

5.4.2 The Safe Water Chain

To prevent contamination of water (drinking water) from point of collection to consumption especially within the home.

To equip HPMs with how to explain the importance of safe water and encourage participating in DDMS for water users.

Specific objectives:

1. Analyse good and bad drinking water handling/storage practices
2. Identify solutions
3. Develop an action plan to promote selected practices.

Materials: Picture set of good (8 pictures) and bad (8) water collection and storage practices

Duration: 30 Minutes

Procedure:

1. Give water users pictures of bad practices:
 - During water collection,
 - During water storage
 - At consumption
2. Ask the water users to study the pictures and explain what they see in the pictures.
3. Ask the water users to arrange the pictures to form a chain from the water source to storage to consumption.
4. Ask participants to comment on the pictures at every stage.
5. List the comments down.
6. Give participants pictures of good practices of water collection, storage and consumption and ask them to arrange the pictures in a form of a chain.
7. Ask participants to comment on the pictures at every stage.
8. List the comments down.
9. Then ask them to tell you which set of pictures they would select to be practiced in their homes.

10. Ask them to give you reasons why they have chosen the preferred set.
11. List down the reasons
12. Help them to make a plan to promote the selected practices as indicated in the selected set of pictures.

5.5 SESSION 4: ISSUES ARISING AND DISCUSSION

Purpose: To identify issues from previous sessions.

Procedure:

- Let participants feel free to mention any issues arising from all topics discussed on both Day One and Day Two.
- Note the concerns/issues as they are mentioned.
- The issues/concerns mentioned should be addressed in the way forward session.

5.6 SESSION 5: ON-JOB TRAINING (OJT) FOR CARETAKER TRAINING

- After the TOT, the Hand Pump Mechanics will train the Caretakers on the DDMS and their roles and responsibilities in the new O&M system. This is expected to last for two days. The Consultant (WE-Consult) will monitor and oversee the OJT as it takes place.
- The OJT to the HPMs for caretaker training will take place at the Sub County level. At least ten Caretaker groups will be gathered at their respective sub county for the OJT. The facilitators together with the participants will spend two days for each group training. Efforts will be made to ensure that, the grouping of the caretakers ensures closeness of the participants from close-by water sources, to enable real learning from one another, agree on how to solve joint issues that cut across the Water Sources from the same vicinity.

Table 3 OJT Program for Caretakers Training

TIME	TOPIC	FACILITATOR
	DAY ONE	
8:00am	Arrival & Registration	HPM/CONSULTANT
8:00am – 8:15am	SESSION 1: INTRODUCTION <ul style="list-style-type: none"> • Self-Introduction and Expectations • Challenges experienced by Caretakers (under the CBMS) 	HPM/ADWO/CONSULTANT

TIME	TOPIC	FACILITATOR
8:15am – 8:30am	Opening & Welcome Remarks	DWO/ACAO-WES
8:30am – 9:00am	SESSION 1: PROGRAM OVERVIEW <ul style="list-style-type: none"> • Project/Assignment Objectives • Areas To Be Covered • Target Group • Methodology/Approach Of The TOT • Expected Results 	HPM/ADWO/CONSULTANT
9:00am – 10:00am	SESSION 2: DISCUSSION ON DDMS <ul style="list-style-type: none"> • What is DDMS • Establishment of the Service Centre • Background of DDMS • Performance analysis of roles of WSC under CBMS • Aims of DDMS • Advantages of the DDMS • Key Actors in DDMS 	HPM/ADWO/CONSULTANT
10:00am – 10:15am	BREAK	
10:15am – 10:30am	SESSION 3: THE WATER SOURCE CARETAKER	HPM/ADWO/CONSULTANT
10:30 am – 1:00pm	SESSION 4: ROLES AND RESPONSIBILITIES OF THE CARETAKERS:	HPM/ADWO/CONSULTANT
1:00pm – 2:00pm	LUNCH	
2:00 – 2:30pm	SESSION 5: REMUNERATION OF THE CARETAKER:	HPM/ADWO/CONSULTANT
Add time	SESSION 6: ROLES OF THE HTO	HPM/ADWO/CONSULTANT
Add time	SESSION 7: ROLES OF THE HAND PUMP MECHANICS	HPM/ADWO/CONSULTANT
3:30pm – 4:00pm	ISSUES ARISING DISCUSSION AND RECOMMENDATIONS On all sessions	HPM/ADWO/CONSULTANT
4:00pm	CLOSURE OF DAY ONE	
	DAY TWO	
8:00am	ARRIVAL AND REGISTRATION	
8:00am – 8:45am	SESSION 1: RECAP OF DAY ONE DISCUSSION	HPM/ADWO/CONSULTANT
8:45am – 9:30am	SESSION2: FIELD PREPARATION	HPM/ADWO/CONSULTANT
10:00am – 10:15am	BREAK	
10:15am – 1:00pm	SESSION 3: Field Visit	HPM/ADWO/CONSULTANT
1:00pm – 2:00pm	• LUNCH	

TIME	TOPIC	FACILITATOR
2:00pm – 2:45pm	SESSION4: FEEDBACK FROM FIELD VISIT AND PLENARY	HPM/ADWO/CONSULTANT
2:45pm -3:30pm	SESSION 5: SANITATION AND HYGIENE (AT THE WATER SOURCE)	HPM/ADWO/CONSULTANT
3:30pm –4:00pm	SESSION 6: ISSUES ARISING , DISCUSSION AND RECOMMENDATIONS On all sessions for Day One and Day Two	HPM/ADWO/CONSULTANT
4:00pm – 4:15pm	SESSION 7: WAY FORWARD	HPM/DWO/CONSULTANT
4:15pm	SESSION 7: CLOSING REMARKS & CLOSURE	L.C.V CHAIRPERSON

i. OVERVIEW OF THE OJT TO HPMS FOR CARETAKER TRAINING

Main objectives of the training

1. To conduct OJT to HPM and develop their capacity to support and train Caretakers.
2. To enable Caretakers know and fulfil its roles and responsibilities in the new O&M system

Target groups:

- HPMS

Methodology/approach: lecture and brainstorming, group work, discussion and field visits.

Areas to be covered during OJT:

- i. The DDMS
- ii. Roles and Responsibilities of Caretaker

MATERIALS FOR TOT

1. User fee record sheets/Account books
2. Regular Maintenance sheets
3. Safe box
4. Caretaker’s Operation manual
5. Illustration tools for DDMS
6. Illustration tools for H&S

7. Monitoring sheet

5.7 SESSION 6: WAY FORWARD AND ACTION PLANNING

Purpose:

This is intended for HPMs to develop an action plan on the following:

- i. How to conduct train caretakers on the new O&M system (DDMS).
- ii. How to monitor the caretakers
- iii. How to support caretakers in their roles

6 SESSION 8: CLOSING REMARKS AND CLOSURE



THANK YOU FOR LISTENING – MWEBALE NNYO

Annex 1 APPLICATION/CONSENT FORM FOR DDMS

- ENGLISH VERSION
- LUGANDA VERSION

Annex 2 CONSENT FORM (DOMESTIC WATER USER LIST)

- ENGLISH VERSION
- LUGANDA VERSION

Annex 3 CONSENT FORM (COMMERCIAL WATER USER LIST)

- ENGLISH VERSION
- LUGANDA VERSION

Annex 4 BOOK FOR USER FEE RECORDS – DOMESTIC USERS

No. 1 Name : Jackline Nakasaga Water user fee : 2,000UGX

Service Date: 15th

Date	Month	Paid amount	Balance	Sign	
				User	Caretaker
		Payment amount	2000		
15	January	200	1800		
20	January	100	1700		
22	January	100	1600		
24	January	200	1400		
29	January	300	1100		
2	February	200	900		
5	February	100	800		
8	February	200	600		
11	February	100	500		
14	February	200	300		
	Total	1700	300		
		Payment amount	2300		
15	February	300	2000		
17	February	200	1800		
20	February	100	1700		
25	February	200	1500		
28	February	200	1300		
1	March	200	1100		
4	March	100	1000		
6	March	200	800		
10	March	300	500		
13	March	100	400		
	Total	1900	400		

Instruction to make format:

1. Write the user No. and user name according to the water user list
2. Draw the line as above and make format.(add lines below in every payment for 1 month)
3. After finish 1 month, add the balance of previous month and water user fee for this month in next month

At the payment:

1. Write the date and month when user pay water user fee to caretaker.
2. Write the payment in "Paid amount".
3. Calculate the balance and write it in "Balance".

*Balance = Balance of previous line - Paid amount of today

4. Confirm "Paid amount" and "Balance" with user and caretaker, and they write the signature.

Date	Month	Paid amount	Balance	Sign	
				User	Caretaker
		Payment amount	2400		
15	April	200	2200		
20	April	100	2100		
22	April	100	2000		
24	April	200	1800		
29	April	300	1500		
2	May	200	1300		
5	May	100	1200		
8	May	200	1000		
11	May	300	700		
14	May	700	0		
	Total	2400	0		
		Payment amount	2000		
15	May	300	1700		
17	May	200	1500		
20	May	100	1400		
25	May	200	1200		
28	May	200	1000		
1	June	200	800		
4	June	100	700		
6	June	200	500		
10	June	300	200		
13	June	200	0		
	Total	2000	0		

Annex 5 BOOK FOR USER FEE RECORD – COMMERCIAL USERS

Date	Month	Paid amount	Balance	Sign	
				User	Caretaker
		Payment amount	5700		
15	April	200	5500		
20	April	100	5400		
22	April	700	4700		
24	April	200	4500		
29	April	300	4200		
2	May	200	4000		
5	May	100	3900		
8	May	200	3700		
11	May	3000	700		
14	May	700	0		
	Total	5700	0		
		Payment amount	5000		
15	May	300	4700		
17	May	200	4500		
20	May	1000	3500		
25	May	2000	1500		
28	May	200	1300		
1	June	200	1100		
4	June	100	1000		
6	June	200	800		
10	June	300	500		
13	June	500	0		
	Total	5000	0		

Annex 6 WATER USER LISTS

- Domestic Users
- Commercial Users
- Vulnerable Users

Annex 7 COMPLAINT PROCESSING

1. Purpose

To ensure that all complaints from water users toward the water supply service by Service Center are effectively handled in a timely manner.

2. Responsibility

The administrator has the responsibility for complaint procedure. He/She shall be responsible for:

- Recording all complaints received from water users.
- Coordinate with relevant persons to ensure that all complaints from water users are investigated and resolved in a timely manner.
- Closing the raised complaints and provide timely feedback to water users.

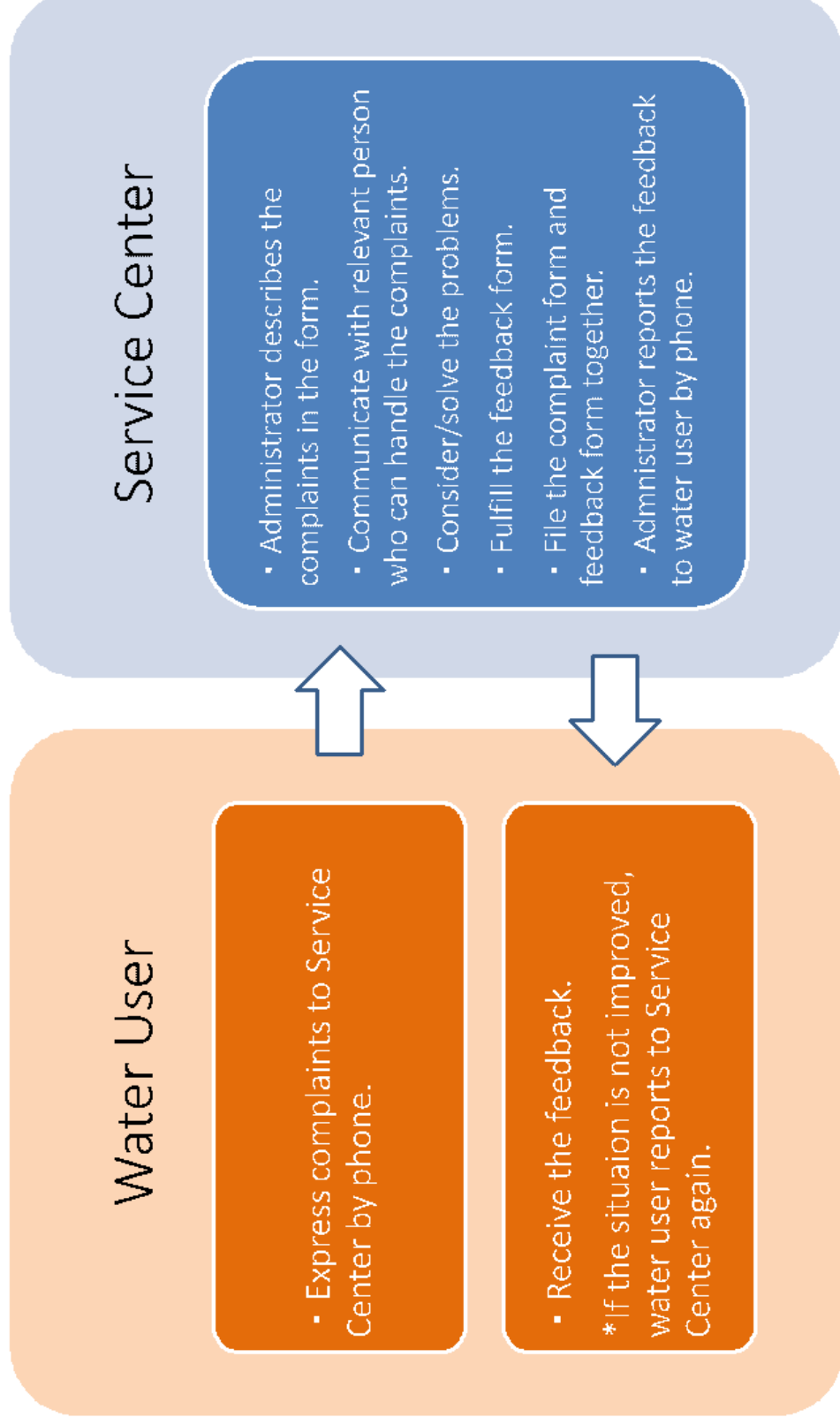
3. The procedure of handling complaints

- A water user expresses complaints to Service Center by phone.
- When Service Center receives complaints, administrator fills in the complaints form.
- The administrator communicates with relevant persons who can handle the complaints and consider/solve the problems.
- The feedback form shall be filled in by the administrator.
- The complaint form and the feedback form shall be filed together.
- The administrator reports the feedback to the water user and the caretaker at the water source in question by phone. Caretaker will report to the Service Center any issues at the water source. This is caretaker's role in complaint processing.

4. Any complaints that have legal implications shall be handled by legal counsel.

(End)

Annex 8 FLOW OF THE COMPLAINT PROCESSING



Annex 9 CRITERIA FOR SELECTION OF CARETAKER

Criteria for selection of Caretaker

Sub-county: Kibalinga		Parish: Nakawa	
Village: Kisoro		Name of water source: Kisoro	
1. Nomination of three candidates of caretaker at water user sensitization			
	Name of candidates:	1 Francis Abedkane	2 Nakasagga Jackline
	Criteria	3 Grace Kajumba	
		Tick	Tick
1)	Ability to read and write	✓	✓
2)	Possession of basic arithmetic skills	✓	✓
3)	Someone living within the village	✓	✓
4)	Trustworthy and honest (Background checks)	✓	✓
5)	Women are encouraged	✓	✓
2. Selection of Caretaker by Service Center			
Service Center interviews each candidates according to the criteria laid down below:			
	Criteria	Points	No.
			1
1)	Women are encouraged	2 yes	Score 1
		1.0 no	2
2)	Ability to read	3 yes, but not fluently	3
		2 yes, but not fluently	3
3)	Ability to write	3 yes, but not fluently	3
		2 yes, but not so much	3
4)	Possession of basic arithmetic skills	3 yes, and can speak English also	1
		2 yes, but local languages only	3
5)	Oral communication skills in local languages	3 yes	3
		0 no	3
6)	Permanent resident in the area	3 good	2
		2 fair	3
7)	Good Communicator	3 good	2
		1 poor	3
Total			16
			17
			18

ANNEX 10: FIELD VISIT CHECKLIST

VILLAGE NAME: _____

WATER SOURCE NAME:

SUB-COUNTY: _____

DISTRICT: _____

DATE: 08/03/2018

5. PRETESTING THE **USER FEE RECORD FORM:**
 - i. Identify the water source caretaker and some water source users
 - ii. Briefly introduce and the User fee record form
 - iii. Explain to the caretaker how to use the form to collect user fees
 - iv. Ask the caretaker to assess the applicability of the form.
6. ASSESS **WATER SOURCE CONDITION**
 - i. Observe the hand pump mechanical situation i.e. the handle, the yield, water quality, the nuts, the apron, the drainage etc. and take notes,
 - ii. Is the borehole greased?
 - iii. Is there any abnormal sound from the hand pump?
7. ASSESS **SANITATION AT THE WATER SOURCE SURROUNDING**
 - i. Does the water source have a fence, soak away pit, clean drainage and apron, clean surrounding?
 - ii. Are there any animals, or any other activities done within the catchment of the water source?
8. PRETESTING THE **REGULAR MAINTENANCE SHEET**
 - i. Identify the water source caretaker
 - ii. Briefly introduce and explain the form
 - iii. Explain to the caretaker how to use the form to do regular/daily maintenance of the water source.
 - iv. Ask the caretaker to assess the applicability of the form.
9. **PERSONAL HYGIENE I.E. WATER CONTAINERS, HOMES NEAR THE SOURCE AND SANITATION IN THEM I.E**

SESSION 2: FEEDBACK AND PRESENTATION FROM THE FIELD

ANNEX 11: OJT PROGRAM

EXPECTED RESULTS FOR

A. OJT- WATER USER SENSITISATION TRAINING

1. A SIGNED CONSENT FORM
2. REGISTRATION OF WATER USERS ON APPLICATION FORM
3. NOMINATE/SELECTING WATER AND SANITATION COMMITTEE
4. SELECT CANDIDATES FOR CARETAKERS
5. WATER USERS UNDERSTAND THEIR ROLES AND RESPONSIBILITIES IN DDMS
6. WATER USERS UNDERSTAND THEIR WATER AND SANITATION SITUATION

ANNEX 12: CHECKLIST FOR TRAINERS (HAND PUMP MECHANIC) - OJT FOR CARETAKERS

NO.	TOPIC/SESSION	DONE	NOT DONE/REMARKS
i.	Registration of Participants		
1.	INTRODUCTION		
1.1	Self-Introduction		
1.2	Participants' Expectations		
1.3	Challenges experienced on O&M of water sources under CBMS (by Caretakers)		
2.	Opening and welcome remarks		
3.	PROJECT OVERVIEW		
3.1	The Main Project		
3.2	The Assignment		
3.3	Overall Project/Assignment Objectives		
3.4	Specific Objectives for the OJT for Caretakers <ol style="list-style-type: none"> 1. Generate and increase demand for water and sanitation services. 2. Promote participation in the new O&M system and hygiene behaviour change 3. Train Caretakers on their roles and responsibilities under the DDMS. 		
3.5	Project Background		
3.6	Areas to be covered		
4.	DISCUSSION ON DDMS		
4.1	What is DDMS?		
4.2	Background of DDMS Roles of Caretakers under CBMS		
4.3	Aims of DDMS		
4.4	Advantages of the DDMS		
4.5	Key Actors in the DDMS		
5.	THE WATER SOURCE CARETAKER		
5.1	Who is water source caretaker?		
6.	ROLES AND RESPONSIBILITIES OF WATER SOURCE CARETAKERS IN THE DDMS (Use translated flow charts on responsibilities for Caretakers)		

6.1	Collect water charges from Water Users and record the accounting book (<i>use user fee collection sheets- Domestic and Commercial book</i>)		
6.2	Transfer/Remit the collected water charges to the Service Center (<i>use flow chart on collection and management of user fees at Service Centre</i>)		
6.3	Stay and control the water usage at his/her managed water point at the appointed time by WSC every day,		
6.4	Alert unpaid Water Users to pay a water charge		
6.5	Conduct the regular (daily) maintenance at his/her managed water point and cleaning (<i>use regular maintenance sheet</i>)		
6.7	Report to the Service Center about the condition of water point and others. (<i>use flow chart on repair process by Service Centre</i>)		
6.8	Action plan for O&M (<i>Practice how to develop an action plan</i>)		
6.10	Catchment protection (<i>use visual aids</i>)		
6.11	Book keeping and accountability (<i>use user fee record sheets. 2. Practice some calculations i.e. Additions, Multiplication, Subtraction etc.</i>)		
6.12	Conflict management (<i>Case studies and discussion</i>)		
7.	REMUNERATION OF THE CARETAKER		
7.1	Caretaker's salary		
7.2	Communication costs		
8.	ROLES OF THE HEAD OF TECHNICAL OPERATIONS (HTO) – use translated flow charts on responsibilities of HTO		
8.1	Instruct HPMA and monitor the activities of hand pump mechanics		
8.2	Prepare a maintenance plan of water supply facilities.		
8.3	Implement that plan by instructing HPMA/HPMs,		
8.4	Control the requisition of spare parts and service tools by staff of the Service Center.		
8.5	Support the procurement of quality spare parts and other supplies in a cost effective		

9.	Issues arising and Discussion		
	DAY TWO		
1.	RECAP OF DAY ONE SESSIONS		
2.	PREPARATIONS AND FIELD VISITING (See Terms of field visit in main manual)		
3.	ROLES AND RESPONSIBILITIES OF HAND PUMP MECHANICS IN THE DDMS- use translated flow chart on responsibilities of HPM		
3.1	Carrying out the proper maintenance and repair of water supply facilities as below:		
3.2	Preventive maintenance every six months for each source.		
3.3	Promote safe water and proper hygiene and sanitation in the community		
3.4	Train and instruct the Caretakers on management of the water facility.		
3.5	Encourage communities to pay a water charge		
3.6	Record the result of maintenance and repair of water supply facilities and submit them to the HPMA/HTO after the works.		
4.	FEEDBACK FROM THE FIELD		
4.1	Preparation of field findings		
4.2	Plenary (Presentation of field findings		
5.	ISSUES ARISING AND DISCUSSION		
5.1	Issues for Day One and Two sessions.		
5.2	Way forward on Issues noted and Recommendations		

7 ANNEX 12: MONITORING SHEET OF CARETAKER

Date: _____

Sub-county: _____ Parish: _____

Village name: _____ Water source name: _____

1. Situation of collection of water user fees
*Refer to the “account book of caretaker” and “record of water user fee collection”.
 - 1) Does caretaker update the water user list on account book timely? Yes / No
 - 2) Does caretaker keep the record of water user fee collection? Yes / No
 - 3) Does caretaker urge unpaid users to pay water user fee? Yes / No

If there is No, please describe the reason.

- 4) Are there any problems when caretaker collects water user fees?

2. Regular maintenance
*Refer to the “regular maintenance check sheet”.
 - 1) Does caretaker conduct regular maintenance daily? Yes / NoIf No, please describe the reason.

3. H&S

*See surrounding of boreholes and ask to water users.

1) Does caretaker conduct H&S activities?

- ✓ To keep clean the borehole surroundings Yes / No
- ✓ To keep animals/someone washing clothes/someone eating away from the borehole
Yes / No
- ✓ To sensitize the water users to use clean jerry can to fetch and store water
Yes / No

If No, please describe the reason.

4. If there are any other concerns, describe below.

Name of Hand pump mechanic

Name of caretaker

Signature

Signature

Remarks;

✓ This monitoring activity will be done in quarterly by hand pump mechanic.

✓ After monitoring, hand pump mechanic should submit this sheet to Service Center.

Annex 10 REGULAR (DAILY) MAINTENANCE CHECK SHEET-ENGLISH VERSION

Hand Pump Facility Regular (Daily) Maintenance Check Sheet

Sub-county _____ Parish _____ Source name _____

Month / Year _____ Name of Caretaker _____ Name of HPM _____

Day	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31
Unlock the source by the start of supply time																															
Clean drainage and hand pump surrounding before the supply time																															
Check all flange bolts and nuts for tightness (Monthly)																															
Check the handle axle nuts, chain bolt, and Nyloc nut are tight (Monthly)																															
Check the water flow come during the first 5 strokes at the first use of the day																															
Grease the chain if the handle does not work smoothly (Monthly)																															
Repair wooden bar and fence (if applicable)																															
Lock the source after the supply time																															
Other notices	(Date and Comments)																(Date and Comments)										(Date and Comments)				

Collection date: _____ Signature of Assistant Accountant: _____

Annex 11 REGULAR (DAILY) MAINTENANCE CHECK SHEET-LUGANDA VERSION

Annex 12 REPAIR FLOW UNDER DDMS

Annex 13 FREQUENTLY ASKED QUESTIONS – DDMS

Qn1: What is DDMS?

Answer:

- DDMS means District Direct Management System. This is a new proposed (by JICA) Operation and Maintenance system for rural water facilities.
- Under DDMS, a Service Centre will be established as non-profit, semi-autonomous and independent agency of benefiting District Local Government with main purpose of providing water supply service to enhance public welfare, and ensure reliable access to safe water for the rural communities.
- The proposed operations of the DDMS intend to address the O&M challenges experience under the Community Based Management System (CBMS).

Qn2: How different is the DDMS from the CBMS?

Answer:

DDMS differs from the CBMS in various ways

- Under DDMS a Service Centre will be established as non-profit, semi-autonomous and independent agency of benefiting District Local Government with main purpose of providing water supply service to enhance public welfare, and ensure reliable access to safe water for the rural communities.
- A Caretaker shall be employed by the Service Centre to manage the water facility and shall be paid a commission from the user fee collection. Under the CBMS, the water facility is managed by unpaid caretaker, WSC, L.C.1 and in some cases by no one.
- All repairs both minor and major shall be done by the Service Centre. Under the CBMS, both minor and major repairs are left to the user communities.
- The DDMS shall use User fee record books (For Domestic and Commercial users) to collect user fees and users will sign against money paid to caretaker to promote transparency and accountability unlike in the CBMS.

Qn3: What are the benefits of joining the DDMS?

Answer: Communities which join the DDMS shall benefit from the new system in the following ways:

- Continue to use safe water that is reliable
- “One Stop Service”
- Quickly maintenance service
- Always to be kept clean water source
- Reliable Water Supply Service

- Safe and Clean water for better health
- Improved livelihood for rural communities

Qn4: Why should the users pay 2000/= as water user fees (for Domestic water users) and not less or more than 2000/=?

Answer:

Surveys conducted on water user fees by MWE, JICA and other sector partners established the following:

- Most communities agreed to pay 2000/= per household per a month as maintenance fee for their water source.

Qn5: What will the money collected be used for?

Answer: The user fee collected will be used for the following activities:

- i. Purchase spare parts
- ii. Pay salary for Caretakers
- iii. Minor and Major repairs
- iv. Labour fee and transport for HPM
- v. Pay salary for Service Centre staff
- vi. Upgrade the Water facility where necessary

Qn6: How will the user fee collected by the Caretaker be managed to avoid misuse?

Answer: The Assistant Accountant from the Service Centre will collect the money from the Caretaker every month and remit it to the bank account

Qn7: How will transparency and accountability be exhibited in the DDMS?

Answer:

- The Caretaker will use water user fee record sheets (both domestic and commercial user sheets) to collect the fees.
- The users will sign for the money paid to the caretaker.
- Each household user will have a page in the water user record sheet.
- The WSC (Secretary Finance) will share information on accountability of fees collected with the users in a users' meeting, if water user requests.

Qn8: What will be done to users who do not want to pay the user fees?

Answer:

- The Water Source Rules and Regulations should address issues such as how to handle unpaid users. .

Qn9: What should be done to undisciplined water users i.e. users who insult caretakers, who fight at the water source, who refuse/ fail to pay user fees?

Answer: The WSC will have the mandate to enforce the developed The Water Source Rules and Regulations. If need arise, WSC can decide it.

Qn10: What will be done to water users who do not attend water users' meetings?

Answer: As above (previous)

Qn11: How can political interference be avoided in operation and maintenance of water facilities?

Answer:

The Water Users, WSCs, HPMs, etc. should identify the Politician in question and address the concern in a Council meeting at the Sub-county or District level with Political Heads such as Local Council V and other Councillors.

Qn12: Water users do not respect the Water Source Rules and Regulations because the Water Source Rules and Regulations are weak. How can the Water Source Rules and Regulations be effective?

Answer:

Penalty will be decided in the Water Source Rules and Regulations by WSC and executed on time. (e.g. Unpaid users can't use borehole.)

Qn13: Some HPMs are unethical in their work. i.e. vandalize the water facilities because they want to make money; install fake or old spare parts, exchange spare parts for different boreholes; over charge users for repair etc. What will be done to unethical HPMs?

Answer:

1. The Service Centre will sign a Contract with the HPMA. All HPMs are registered in HPMA and trained about repair on boreholes.
2. The Service Centre shall provide all the required spare parts for the borehole.

3. The HPMA will pay the HPM after submitting a repair report to the Association.

Qn14: Which boreholes should be included in the DDMS?

Answer:

- Boreholes where water users are willing to pay water user fees (2000/=) on time.

Qn15: Will the caretaker move house to house to collect the user fees or the money will be collected at the water source?

Answer: The water users will pay their fees through the following ways:

Users may bring the fees to the Caretaker at the water source as they come to fetch water.

Appendix 1-5: Community Training Resource Manual

The Project for Operation and Maintenance for Rural Water Supply and Improved Hygiene and Sanitation in the Republic of Uganda”

Training of Trainers in Kiboga, Mpigi and Butambala

COMMUNITY TRAINING RESOURCE MANUAL

Submitted by

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ACRONYMS/ABBREVIATIONS

PO	-	Project outline
WSC	-	Water and Sanitation Committee
RWS	-	Rural Water source
O&M	-	Operations and Maintenance
HPMs	-	Hand Pump Mechanics
MOU	-	Memorandum of Understanding
CDA	-	Community Development Assistant
HA	-	Health Assistant
DWO	-	District Water Office/Officer
DWD	-	Directorate of Water Development
MWE	-	Ministry of Water and Environment
IEC	-	Information Education and Communication
NGOs	-	Non-Government Organisations
RGC	-	Rural Growth Centre
SWAG	-	Story with a Gap
CBMs	-	Community Based Management System
HIV/AIDS	-	Human Immune Viral Acquired Syndrome

1.0 BACKGROUND TO THE FACILITATORS AND COMMUNITY TRAINING MANUAL

1.0 Background to the TOTs

“The Project for Operation and Maintenance for Rural Water Supply and Improved Hygiene and Sanitation in the Republic of Uganda” is a Japanese Grant Aid project to the government of Uganda. Under the project, support is being provided to the implementing Operation and Maintenance (O&M) of water supply facilities and improving hygiene and sanitation conditions in rural areas. The districts that are being targeted in the project are Mubende, Kiboga, Butambala, and Mpigi. In the three districts of Kiboga, Butambala and Mpigi, the objective of the project is to equip the target group with knowledge and skills for sensitization and training of WSCs to strengthen the current Community Based Management System (CBMS). This in turn will improve functionality of water sources and standards of sanitation and hygiene which will in turn improve health, hygiene and welfare and reduce the debilitating effect of water borne diseases, thus enhancing their capacity to work and generate income so as to reduce poverty. Under the project a baseline study has been carried out to understand the loopholes in the current CBMS. In order to seal the loopholes noted in the CBMS and to improve O&M and S&H, a training of trainers has been organised for different district personnel involved in the implementation of the current CBMS. These include the CDOs and HAs.

1.1 Purpose and use of the Manual

The purpose of this manual is to serve as a resource manual for District Trainers consisting of Community Development Officers (CDOs), Health Assistants (HAs) and other District staff trained as trainers under the project. The trained trainers are expected to carry out training of members of Water and Sanitation Committees (WSC) and Communities under their jurisdiction in the Community Based Operation and Maintenance System (CBMS) of the Ministry of Water and Environment (MWE). Such training will improve the CBMS by eliminating gaps in knowledge on CBMS and S&H, enhancing skills of WSCs and influencing attitudes of water users so as to improve O&M and S&H. **The manual will therefore form a reference resource on aspects of the CBMS and at the same suggest approaches and methods that can be suitably used by the trainers during the training of communities and WSCs.**

This manual draws heavily on already existing materials, resources and guidelines as set out by the Ministry of Water and Environment of the Government of Uganda and this has been done deliberately as the MWE is the lead agency in policy setting for the sector.

The manual assumes that the stakeholders and actors who will be participating in the training already have some experience in facilitation at the community level. Therefore the manual has not delved much into generic facilitation methods and techniques. Never the less, facilitators are

encouraged where they feel the need, to consult a wide range of materials on facilitation methods and approaches that are available both from MWE and NGOs operating in the rural water and sanitation sector.

2.0 FINDINGS OF THE BASELINE STUDY.

2.1 Findings of the Baseline Survey

The Project for Operation & Maintenance for Rural Water Supply and Improved Hygiene and Sanitation started in October 2015 and is expected to end around August 2019, the period from October 2015 to June 2016 was regarded as a Survey and Planning Stage or 1st Phase and during this time, a baseline survey was carried out. The baseline survey established that the current Community Based Management System (CBMS) is not functioning as designed. Figure 1.0 below summarizes the major problems with the CBMS as established by the survey.

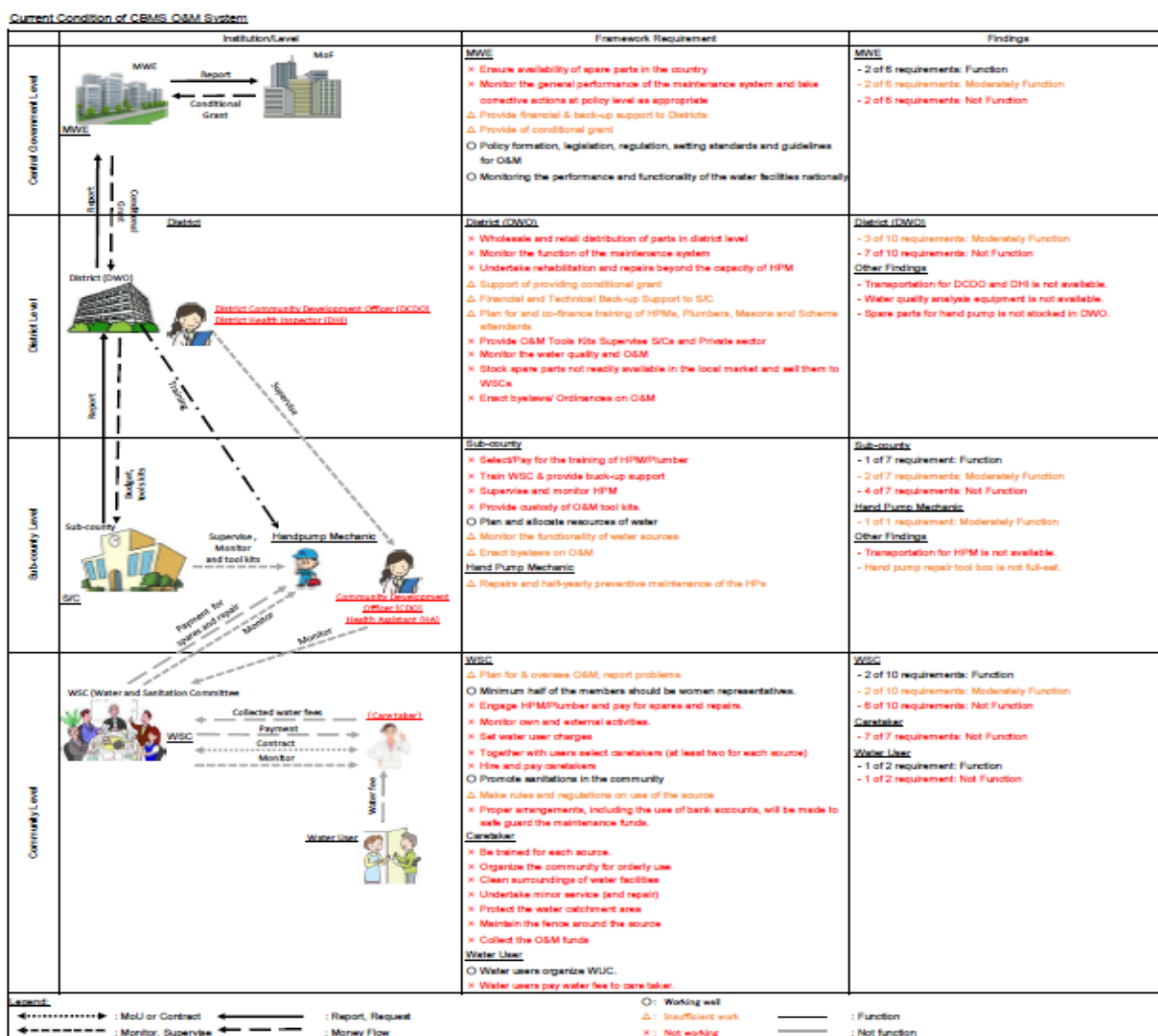


Figure 1.0: The Current Condition of CBMS

The Team analysed the causes of the current situation based on the findings of the baseline survey. The following figure shows how a break-downs occur and are perpetuated.

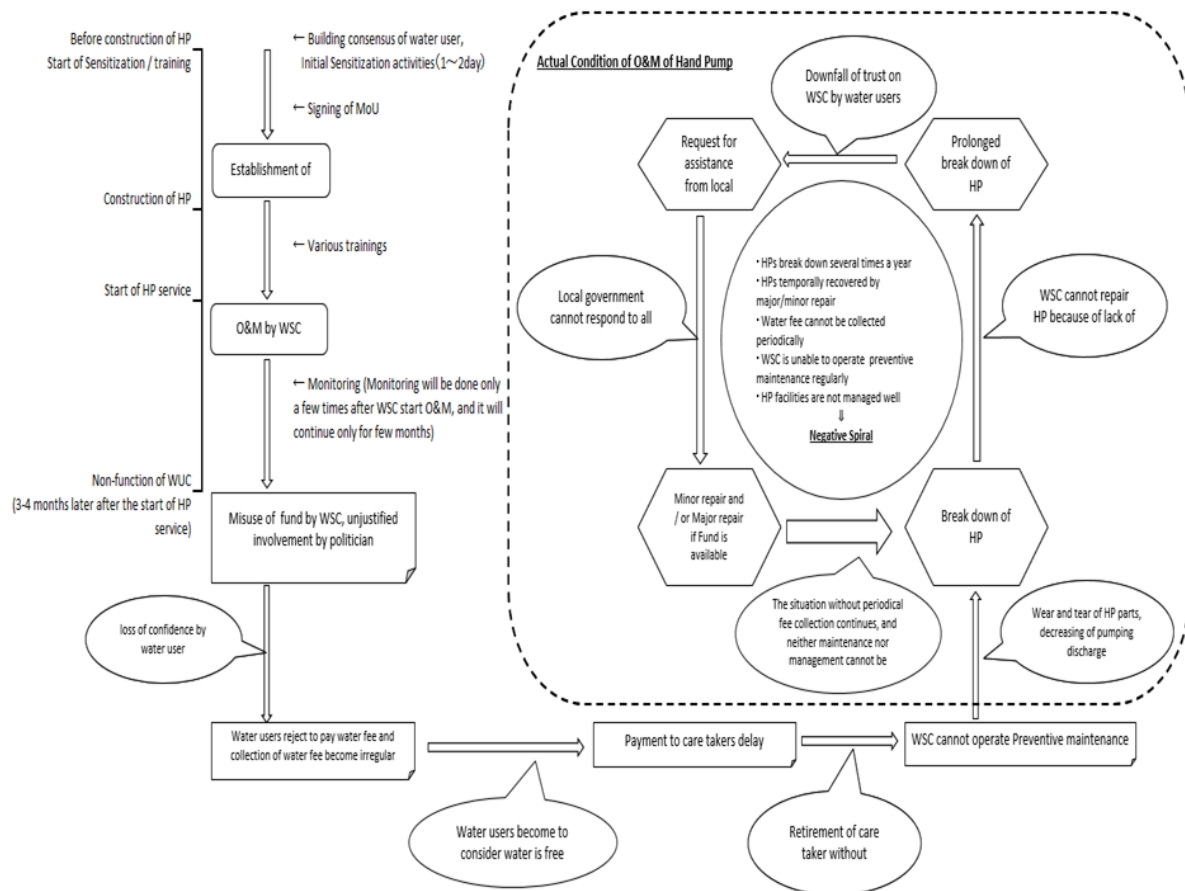


Figure 1.1: The Process of System Break Down

As the diagram above illustrates:

- a. Water users gradually lose confidence and trust in the WSC. This may arise from mismanagement of funds or even failure of the WSC to manage the facility.
- b. Water uses fail to make their regular payments
- c. Water users recognize that water from the hand pump facilities can be used for free,

- d. Care-takers who are responsible for the O/M of hand pump facilities quit the job (since the WSC cannot give any incentives as there is no money)
- e. Due to wear and tear of various parts, the efficiency of the pumps is reduced so that water yield drastically falls.
- f. Eventually, the pump breaks down and the WSC is not able to repair the hand pump immediately due to lack of money.
- g. The WSC further loses the trust of the water users.
- h. Although WSCs request the local government for repair, the government cannot respond to all the request due to lack of funds.
- i. Some hand pumps can be repaired but repair and/or preventive maintenance of the Facilities is not available as there are no funds from the regular water charge collection.

Operations of WSCs

The WSC is organized in 196 out of 200 rural communities the survey team visited in the baseline survey. Although according to the CBMS the WSC is required to hire a Caretaker for maintenance at each water supply facility for its sustainable operation, it was found that no WSC interviewed in the baseline survey currently hires a Caretaker although some WSCs had hired one before.

Regarding the collection of water user fees, most of the WSCs are not collecting the fees but instead make a collection when the HP breaks down so as to facilitate repair.

Sanitation and Hygiene

Access to safe water is critical for proper sanitation and hygiene. In the baseline survey, it was noted however that as a result of the breakdown of hand pumps, people resort to the use of surface water sources that are not safe. This leads to a rise in the rates of infection with water borne diseases.

The baseline survey, established that in the target districts, prevalence of typhoid fever varied from 18 to 48%, and diarrheal diseases from 11 to 37%. These levels of morbidity arising from water-borne diseases in the four Districts of the project site are very high.

The study notes that awareness about the linkage between safe water and water borne diseases may be weak due to lack of regular reinforcement of messages within the communities.

The study also noted that:

- The lack of sensitivity to this linkage means a weak motivation for contributing O and M fees

- Even when households were using water from wells where no Ecoli or other bacteria were detected, Ecoli and other bacteria were often detected in the jerry cans used for carrying water.
- The coverage of hand washing facility is low at 40 – 60 %, which can be related to the cause of water borne diseases.
- Knowledge about the relationship between unsafe water and diarrhea was evident in 80% of the respondents.
- More than 90% of families in the villages surveyed had a household toilet, and more 90% of those toilets were located outside the house. When the households who reported that they use a neighbor's toilet are added to the calculation, it can be seen that nearly all households have access to a toilet.
- The level of availability of hand-washing facilities for each household was approximately 40% for Kiboga and Mubende, approximately 50% for Mpigi, and approximately 60% for Butambala.

3.0 COMMUNITY BASED OPERATION AND MAINTENANCE GUIDELINES

3.1 Introduction

The National Water Policy of 1999, stipulated the Community Based Management System (CBMS) as the most important policy concept that would underpin O&M of rural water supply and H&S facilities. O&M of rural water supply and S&H facilities have been operated thereafter in accordance with CBMS. Under CBMS, users fully assume responsibilities for maintenance of their facilities. The key benefit intended by the concept underlying CBMS is that it enables communities to empower themselves in the course of managing their local development processes. In this chapter the key aspects of the CBMS are outlined so as to refresh the minds of different actors of their roles in the CBMS so as to encourage them to improve their implementation of these roles.

3.2 What is Operation and Maintenance (O&M)

Operation refers to the everyday running and handling of a water facility, involving the actual delivery of services. It entails the following:

- Major operations required to convey safe drinking water to users; and
- Correct handling of facilities by users to ensure sustainability.

Maintenance refers to the activities aimed at sustaining the water supply in a proper working condition. It can be divided into:

- Prevention maintenance:- Refers to regular inspection and servicing to preserve assets and minimize breakdowns;
- Corrective maintenance:- Means minor repair and replacement of broken and worn out parts to sustain reliable facilities; and
- Repair (crisis maintenance):- This refers to responses to emergency breakdowns and user complaints to restore a failed supply.

O and M is therefore the sum total of activities required to achieve smooth running and continuous sustenance of a water facility to ensure long service. The main potential benefits to a community that accrue from a well operated and maintained water facility are numerous, and include the following:

- Reduced time in water collection especially for women and children who assume a dominant role in water collection

- Saved time can be diverted to productive household activities or for more economically gainful activities for improved well-being of the family
- Safe and clean water contribute to improved health when combined with good hygiene practices to reduce disease, morbidity and expenditures on health; and
- Less dependence on external organizations that often have limited resources.
- Overall, access to safe and clean water contributes to poverty reduction

The benefits alluded to above can only be possible in a situation where the water facility is adequately funded and properly maintained with the framework of CBMS where the water facility users are mandated to play a critical role. An ineffective CBMS for a water facility results into a vicious circle of poor O and M as shown in the figure below.

3.3 Roles and Responsibilities of CBMS Players

The different actors involved in the management and maintenance of water facilities, and their relationships and roles, are shown in Figure below:

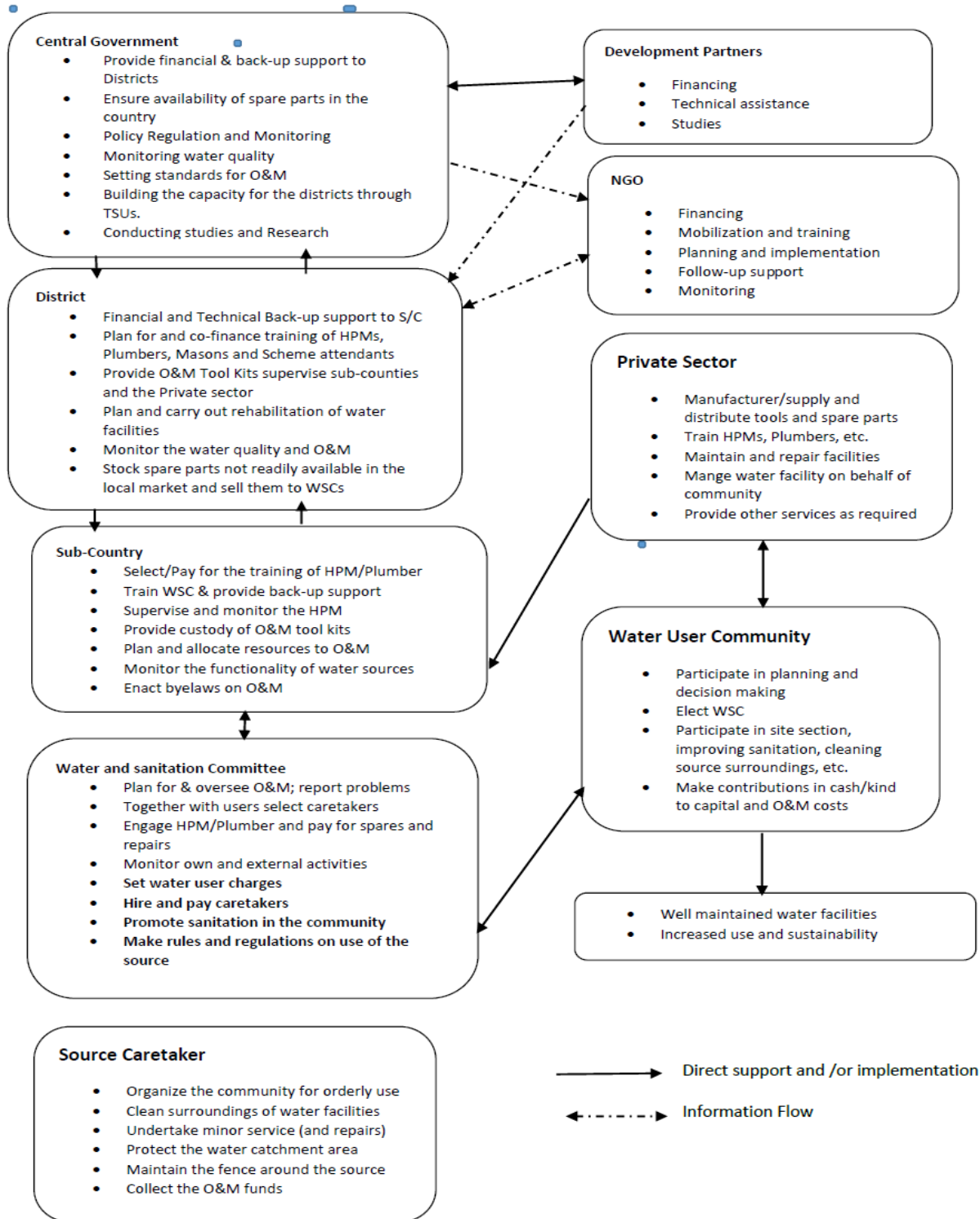
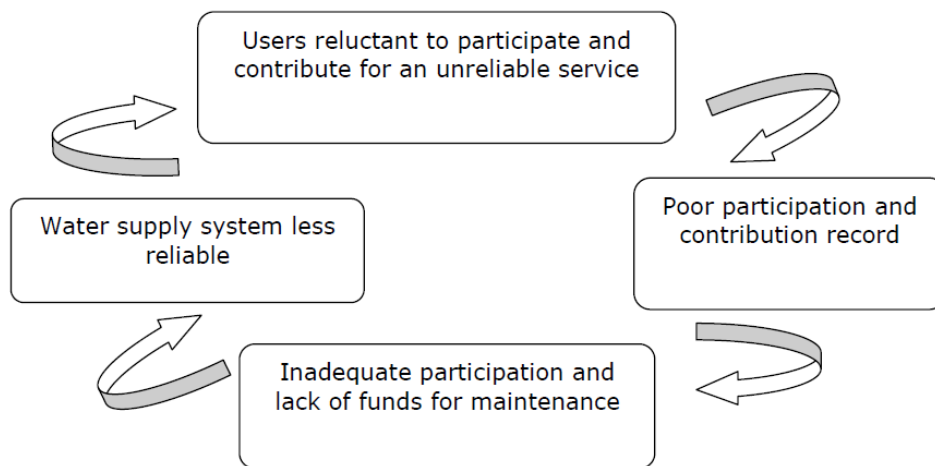


Figure 3.1: Actors involved in the management of water facilities

3.3.1 Community Responsibilities

The community is responsible for management and maintenance of their water facilities. They do this through participation in planning and contribution of O&M funds for preventive maintenance and repairs as well as payment of the caretakers. Each community should elect a competent WSC and hire caretakers to guide their participation. The community should have rules and regulations regarding the use of the water source.

The vicious cycle of poor O and M



The mode of community involvement is dictated by the type of community and water source technology. In some communities, provision of ideas, labor for maintenance tasks and periodical cash contributions may work effectively, while in others it may be more convenient to commercialize the service. The type of community; domestic, institutional, pastoralist, displaced/refugee (emergency situation, etc) will have an important bearing of the O&M.

3.3.2 Sub-County/ Parish:

The sub-county is a body corporate, and has a mandate to plan and oversee implementation of development programmes. Therefore they should prepare plans and budgets incorporating O&M aspects. The O&M budget should provide for follow up support and co-financing of major repairs. With good planning and facilitation, extension workers (community Development and Health Assistants) can carry out mobilization and training, follow up and monitoring of WSCs to provide back up support. They can also supervise the private sector carrying out such activities. The sub-county should hire and train HPMs or Scheme Attendants and provide custody for the tool kits. It should also enact byelaws on O&M.

3.3.3 District:

The District provides back-up support and technical guidance to sub-counties in planning and budgeting, implementation and monitoring of their work plans. It should also budget for major repairs and rehabilitation as part of the planning process where the need for major repairs arises. The District should provide the required guidance and supervision, and also play a key role in ensuring established standards for O&M are maintained.

The District is responsible for routine water quality monitoring (after construction) to assess its suitability for consumption. It is also responsible for monitoring the performance of O&M and taking relevant actions to address shortcomings with support from DWD.

The district is supposed to Plan for and co-finance training of HPMs, Plumbers, Masons and Scheme attendants; provide tool kits for O&M; stock spare parts that are not readily available in the local market and sell them to WSCs and enact byelaws/ Ordinances on O&M

3.3.4 NGOs and CBOs:

Several NGOs and CBOs are involved in the water and sanitation sector. They finance construction and maintenance of water facilities including - community mobilization, training, planning and follow-up support. NGOs are also involved in capacity building of Local Governments and monitoring the functionality of water facilities and conducting studies.

3.3.5 Private Sector:

The role of the private sector is to construct and maintain water facilities. The HPMs, masons and plumbers carry out maintenance and repair work and are paid by the communities. Private firms manufacture, supply and distribute inputs and spares-parts. Private Sector Organizations (PSOs) can undertake community mobilization and training. They can also manage point water sources or small piped water supplies on behalf of the users, particularly in RGCs.

3.3.6 Central Government:

Central government refers to the sector Ministry (MWE) and line Ministries responsible for Health, Gender, Agriculture, etc. The central Government is responsible for policy formulation, legislation, and regulation, setting standards and guidelines for O&M. It is also responsible for national level planning and budgeting for O&M, mobilization of funding, capacity building of local governments, supply of inputs and implementation. It is also responsible for ensuring that policies are followed, and approaches used contribute towards the attainment of sector objectives. It is therefore responsible for monitoring the performance and functionality of the water facilities nationally, and taking the necessary remedial action.

3.3.7 Development Partners:

Development partners support the government in improving the safe water and sanitation coverage. They provide funding and technical assistance directly to government programmes and through other agencies and also offer support in studies to assess performance of different aspects of the sector, with a view to improve.

In the implementation of the pilot scheme, it is important to understand the roles outlined above but more particularly the roles of the key actors in the scheme and these are reiterated below.

3.3.8 Roles and responsibilities of HPM

- ❖ Establish the mechanical state of the relevant HP.
- ❖ Physically check the state of the HP and carry out maintenance work if he deems it required. At this time also to advise and guide users on the proper use of the facility.
- ❖ During visit, train care takers on the proper care and maintenance of the facility including cleaning and greasing of the chain, maintenance of the fence, cleaning of the soak pit, cleanliness of the surroundings and proper pumping technique.
- ❖ In case the regular check reveals the need for repair, to cost the repair including labor charges and spares and present it to the WSC for consideration and commissioning of the repair work.
- ❖ To present the spares purchased to the WSC before installing them and in case they differ in any respect from the ones that were there, to explain the reason for the difference and implications for the functioning of the HP to the WSC.
- ❖ To carry out the repair work once it is commissioned by the WSC and execute the work with the highest professional standards and under the supervision of the WSC and to test and make sure that the HP is working well at the end of the repair work.
- ❖ To prepare a quarterly report to the District Water Office on the state of the HP and any challenges to O&M that may have been encountered in the course of the preceding quarter.
- ❖ To authorize and supervise any repair work carried out by any other mechanics or technicians that may have been brought in by politicians and NGOs following a request by the WSC to the entity.
- ❖ Work in close coordination and share information with District Water Office and DWD

3.3.9 Role of WSC

- ❖ To work with the HPM in the maintenance and repair of the HP.
- ❖ To pay the transport costs of the HPM as well as a nominal fee for duties performed during his monthly visit. (fee to be determined through negotiation)
- ❖ To allow the HPM to review the state of the HP at least once a month.
- ❖ Once the HPM checks and finds need for repair, to make a decision on the repairs in conjunction with the users in the village.
- ❖ Once the repair is approved, to make the necessary funds available to the HPM for the repair work.
- ❖ To work closely with the HPM in the process of procurement of the parts for repair.

- ❖ To maintain a log of the activities and outcomes of the HPM whenever he/ she visits the site of the HP.
- ❖ To supervise and arrange for necessary support to the HP in the process of carrying out repair to the HP.
- ❖ Contact /notify the HPM in case of any suspicious mechanical development on the HP that could indicate a potential fault so that he/she can come and check.
- ❖ Promote and monitor proper usage of borehole.
- ❖ Inform the village leader, DWO and/or CDA when a complex borehole problem arises

3.3.10 Role of District Office and DWD

- ❖ Monitor the activities of the HPM as he/she works with the WSC and the users and to take corrective measures in case there is anything that requires it.
- ❖ To provide additional equipment and technical support to the WSC and the HPM should it be required in the context of the National framework for O&M.
- ❖ To be an arbitrator in situations where a disagreement arises between the HPM and the WSC/users.

3.3.11 Role of Village/Community

- ❖ To hold both the HPM and the WSC accountable for the effective O&M of the water source.
- ❖ To make regular contributions to the O&M fund so as to facilitate the work of the WSC and the HPM.
- ❖ To provide support in the process of maintenance and repair of the HP should it be requested.
- ❖ To use the HP well and observe rules for proper hygiene and sanitation and the site of the HP.
- ❖ To participate in the construction of the fence, de-silting of the soak pit and general cleaning around the facility.

3.4 Functionality of WSCs

The functionality of WSCs affects the management and maintenance of water facilities. The baseline study carried out as part of the Project for Operation & Maintenance for Rural Water Supply and Improved Hygiene and Sanitation established that while 196 out of the 200 communities studied had WSCs, (p26) the performance of most of the WSCs was relatively poor with none of them having a Caretaker even though all of them are supposed to be engaging one all the time.

The study also found that in most villages the level of trust of WSCs by the communities was very low as some of the committees had been implicated in embezzling O&M funds. In other areas, it has been noted that the death or migration of one active member can make a WSC inactive. Inactivity or lack of a WSC creates a leadership vacuum during which all responsibilities

and commitments are forsaken. Another challenge with WSCs noted in other areas is that in many communities there are operational mechanism for regular election of WSCs and for training them. In section 2.1 of this manual we noted some of the problems found out in the baseline study carried out in 2015. Other causes of loss of functionality of WSCs include:

- ❖ Members have either died migrated or abandoned work.
- ❖ Village leadership has failed to initiate regular election and training WSCs
- ❖ Political interference

The sub-county extension staff are responsible for facilitating periodic elections and replacing members of WSCs. To enhance functionality of the WSCs, the government of Uganda recommends that the LCI Executive supports the WSC. This is because the representation of LCI will enhance the power of the WSC to enforce compliance with contributions and rules governing the use of the bore hole. The LCI Executive is further supported by the parish chairman who is also better placed to handle water and sanitation related issues, conflict management among others.

Functionality of HPMs

HPMs play a critical role in the CBMS by carrying out repairs of water facilities. WSCs have access to the services of a HPM at the sub county.

Spare-Parts

Access to spare parts is critical for the functionality of hand pumps. The baseline study mentioned found out that the supply of spare parts is problematic in all the target districts. Moreover even where spare parts are found, there is the challenge of quality as many are fake imitations. Poor access to quality spare parts increases the cost of repair, reduces functionality of HPs and increases down time of facilities.

Back-up support

The districts are supposed to provide technical back up support to the sub-county extension staff and HPMs in terms of capacity building and major repairs. Sub-county extension staff are mandated to make continuous follow up to support communities and WSCs.

Ownership

One of the main issues that affects management and maintenance of communal water facilities is the understanding of ownership. The National Water Policy (1999) describes the community as the owners of a water facility. However, the Water Statute vests the ownership in DWD, with the community managing and maintaining it for their joint benefit. The issue of community ownership is made difficult by the loose nature of the 'community' as an entity. In such instances, it becomes difficult for communities to assume full responsibility and accountability for the maintenance of facilities.

Traditionally, government and other agencies provided facilities without adequately involving communities. Now communities are involved to varying degrees by the different sector actor's in planning, provision of labour and contribution of cash towards capital costs as a means of instilling the sense of ownership and responsibility. For effective participation of the community in O and M, it is important that the community feels a sense of ownership of the facility.

Gender¹

Collection and management of water for household use still remains a responsibility of the woman in many rural areas. The burden of disruption in water supply and O&M therefore also remains her problem. Numerous efforts have therefore been made to ensure the effective participation of women in planning and implementation to ensure delivery of appropriate services and sustainable systems.

Successes have been achieved in the election of women on key positions on the WSCs, especially as treasurers (they are believed to be more trustworthy than men) and some have been trained as HPMs or GFS attendants to maintain and repair water facilities.

Women keenly recognize the value of water sources in the community and analysis indicates that they are more willing to take action to maintain the water sources. Unfortunately most communities in Uganda are male centered and women have little power to make decisions on finances and community activities which has undermined their usefulness as agents for O and M of facilities.

Monitoring and Reporting

This is a crucial function to be undertaken regularly at all levels in order that proper track is kept of the performance of the sector and actual achievements made. Findings of monitoring are relevant for realistic planning and timely remedial action.

3.4 WSC Rules and O and M Plan

As a key component of the community based O and M, the functioning of the WSC is critical to the functionality of the water source. For effective operation, it is recommended that WSC have a set of rules to guide actions and decisions on certain issues. While there is no established template, it is recommended that rules should be developed to deal with all of the following situations.

Situations which should be considered in the WSC rules.

¹ The baseline study noted that even though women have been trained as HPMs, none could be found carrying out the role due mostly to reasons of being less endowed with physical strength. However sometimes the role of women as home makers also interferes with their role as HPMs.

NO	TOPIC	REMARK
1.	Amount of O&M Fee	Cash, in kind, equal/non-equal amount according to wealth, size of family, distance, etc.
2.	Who pays?	Per head, per family, per household, per homestead, e.t.c.
3.	How often to collect?	Weekly, monthly, quarterly, after harvest, etc.
4.	Who to collect?	Treasurer, etc.
5.	Who/How to keep the money?	Treasurer, community chief, safe, bank account Etc.
6.	Who/How to make decision on payment?	Treasurer, approval by WSC, etc
7.	Who to keep the record of income and expenditure?	
8.	Who to monitor the accuracy of the recordings of income and expenditure?	
9.	What to do with bad payers (delay and non-payment?)	
10.	Whether or how much to pay for caretakers?	
11.	Who to acquire spare parts?	
12.	What to do with theft and vandalism?	Prevention and penalties
13.	When/how often to hold a community meeting?	Hold regular or only when needed
14.	Other	

The O and M Plan

This is a plan showing how the water facility will be maintained and sustained to ensure continuous reliable operation over a period of time. It defines what (activities) will take place (when) by different actors, what kind of costs shall be incurred and how the resources will be mobilized.

The O&M plan should include at least the following components:

- ❖ Description of water facility
- ❖ Location, name, type of technology geographical location
- ❖ Components of the facility

Management structure

- ❖ Details on users/ beneficiaries: statistics, sanitation status.
- ❖ Composition, terms, roles and procedures (meeting, allowances, sanctions etc) of the WSC
- ❖ Replacement mechanism for the water source committee
- ❖ Other actor involved in O&M of the water facility and their roles
- ❖ Description of O&M activities
- ❖ Type and frequency of occurrence
- ❖ Requirements to carry out activities (personnel, materials, equipment, costs)
- ❖ How to ensure users participate in O&M activities and make their contributions and how to handle those who don't comply
- ❖ Where and how to access hand pump mechanics/plumbers and spare parts when required.
- ❖ Where and how to access extension when required for training, follow – up support etc.

O&M Budget

- ❖ Explain income and source (Community, benefactor's government etc.)
 - ❖ Expected costs (Minor and major maintenance repair and replacement)
- a) Strategy for increasing household latrine coverage
 - b) Regulatory issuers (by laws, agreements with H&M or other actors)
 - c) Environmental issues

Since WSCs at present are not legal entities, the O&M plan should preferably be ratified by the village (LC I) councillors to give it the required status.

The following information is required in order to prepare a realistic plan:-

- ❖ List of preventive maintenance activities necessary to be carried out for the borehole
- ❖ Update cost of spares and where they can be accessed
- ❖ Life span of the different components of the facility
- ❖ Update list of users

- ❖ Information on alternative funding
- ❖ Monitoring indicators that can be reviewed together with communities before they are adopted.

3.5 Management of O and M fee collection

The baseline study carried out at the beginning of The Project for Operation & Maintenance for Rural Water Supply and Improved Hygiene and Sanitation established that many communities have lost trust in their WSCs owing to the mismanagement of the O&M fee collection. This loss of trust leads to a reluctance on the part of the community to make pay the O&M fee and leads to a collapse of the CBMS. The management of the O&M fee is therefore critical for the effective O&M of water facilities in rural areas. The management of the O&M fee should be guided by the principles of transparency and participation. The following are some guidelines that will help in promoting accountability, transparency and participation.

- a) The community should agree on the amount of O&M fee to be contributed by each household every month. (There are many dynamics around this which need to be agreed on by the community including penalties for non-payment, households that have rainwater tanks etc)
- b) All O&M fee collected should be recorded thus it should be possible to know who had paid and who had not any time.
- c) The collected O&M funds should be kept safely. There have been many suggestions in this regard including opening an account with an authorised deposit taking institution. Each option has its advantages and disadvantages and these should be weighed by the community and a collective decision taken on the most appropriate one.
- d) The use of the O&M fund should be authorised by at least 3 members of the WSC to who this role had been delegated by the whole WSC and in accordance with the guidelines of the community. Such expenditure must be accompanied by relevant documentation and must be accounted for by appropriate receipts.
- e) The WSC should regularly account to the whole community and present details on funds collected and funds spent and should satisfactorily answer queries of the community on the same.
- f) A series of forms and record formats suggested for the management of the O and M fee are provided in this manual as hand-outs 4-7. However different communities may adapt these tools according to their unique circumstances as long as they are able to achieve the principles of transparency, accountability and participation.

4.0 CONFLICT MANAGEMENT.

4.1 Introduction

The success and continuity of any project lies in the ability of those in charge of its management to handle conflicts that may arise either from within the team itself or outside the team but having a direct impact on the project operation, its continuity and ultimately its sustainability. Good relations have to be developed and maintained by the WSC within the community, to ensure that the WSC gets maximum cooperation from the community members for activities related to hand pump (operation and maintenance), sanitation and hygiene.

Where communities are engaged in communal projects, there are bound to be conflicts that may have a negative bearing on the project outputs. It is therefore necessary to equip the WSC with the relevant knowledge and skills in order to ensure that it is armed with the tools for the handling of conflicts so as to be efficient in the management of communal conflicts.

4.2 Appropriate handling of conflict will ensure that:

- Conflicts are well managed i.e. identified on time, and amicably solved on time.
- Good relations are promoted by the WSC.
- Conflicts are minimized at all times.
- WSC gets maximum cooperation from community members.

The failure of WSC to handle communal conflicts in relation to the project is detrimental to the long term sustainability of the hand pumps.

Definition of conflict:

In this context conflict is defined as the “State of disagreement or argument between opposing groups or opposing ideas or principles.’ It is not in any way associated with fighting, war or battle.

Types of Conflicts:

There are different types of conflicts that the WSC can experience within the community.

1. Conflict within the WSC members e.g. between the chairperson and the vice chair person
2. Within the WSC and the community members e.g. treasurer and a household head.
3. Conflicts between the community members in relation to the water project e.g. household head and chief’s representative

What causes conflicts in community projects?

There are a lot of causes of conflicts. However, the focus in this manual is to highlight the most prevalent ones, the WSC can provide other reasons which they know of that can be made part of this list. This list is therefore not exhaustive but gives a general idea on some of the causes of conflicts especially in community projects.

- Working with uncooperative/difficult leaders
- Lack of trust among the WSC members or between WSC and community members
- Lack of time to explain certain issues during community meetings
- Poor motivation
- No feedback by WSC to community
- No acknowledgements of efforts put in by community on project by WSC
- False reports from the community
- Misunderstanding of messages
- Inactive WSC
- Late arrival in community meetings: by WSC or community
- Lack of active participation of women in management positions
- Sitting conflicts (conflicts associated with the location of the facility)
- Poor interest in training; poor attendance
- Presence of dominating WSC or local leaders not enabling proper Community participation
- Lack of transparency by WSC
- Misunderstandings on the role of WSC, water minders/care takers
- Fear of speaking up in group meetings
- Lack of experience of WSC in working with groups
- Poor communications skills by WSC members
- Setting meeting times during inconvenient times and at awkward venues
- Lack of skills in planning and problem solving by WSC
- Poor decision making
- Misunderstanding on contribution of water fee/ maintenance fund
- Poor accounting by WSC on utilization of water funds
- Poor cooperation between WSC and local leaders
- WSC members not cooperating with each other and with community
- Religious conflicts
- Some community members taking control over the community hand pump
- Personal differences

How to handle conflicts

In dealing with conflict, it is important to:

- Recognize that a problem exists
- Find out the causes of the problem
- State the side of management and then allow those engaged in the conflict to explain their positions.
- If possible, get the conflicting parties and some neutral people to attend. Analyse the strengths and weaknesses of each position and come to an agreement.
- Summarize conclusions and get conflicting parties to commit themselves to what was agreed upon.

Problem solving techniques

Every problem is unique and has to be dealt with on its own merit and using the best way to solve it.

In solving the problem, the WSC can adopt any of these techniques, but should assess the impact of engaging any of the techniques first.

1. WSC can solve the problem itself as a team
2. WSC can task some of its members to solve the problem on their behalf
3. WSC can solve the problem together with the community in a communal meeting
4. WSC can engage external people to solve the problem on their behalf.
5. WSC can ask those affected by the problem to solve it themselves and report to them on the outcome of their agreement
6. WSC might decide to ignore the problem

Group decision making

In group decision making, the participation of all the members of the WSC is required. The WSC has to agree to make that decision as a team and it should be binding to the whole WSC. In group decision making, consensus has to be reached by the team to arrive at the decision. The steps to be followed by the WSC in group decision making are as follows;

1. Identify the problem
2. Collect relevant facts, data or information on the problem
3. Analyse the data
4. Develop tentative solutions to solve the problem
5. Choose the best alternative solution out of the others available
6. Make the decision and effect it
7. Face the consequence of the decision you have made

Some decisions have to be made on time otherwise if delayed a lot of things might have go wrong. Failing to decide on time is as good as failing to make the decision. More often than not, people fail to take a decision for fear of the consequences, but overall as a team more ideas can be developed to assist towards developing more alternative solutions. For the WSC, all decisions have to be taken as a group than on an individual basis.

Resolution of disputes

By dispute we refer to ‘an argument or quarrel especially an official one between one group or organization and another’.

These would normally be outside the jurisdiction of the WSC. However, what if the WSC is caught up in a dispute?

It is recommended that:
should avoid being involved in disputes

- Transparency should prevail at all times
- All disputes to be solved on time to avoid a worse off situation
- Where WSC cannot solve the dispute, it should seek for external assistance (arbitrators) e.g. sub county water officers
- If a WSC member has a personal interest in the dispute, he/she should not be part of the team to resolve the dispute.
- WSC should not be involved in chieftaincy (village leadership) disputes and family disputes even if they impact negatively on the project. They should rather seek for advice on how to address the dispute at hand than to be caught in the middle of the dispute.

5.0 SANITATION AND HYGIENE

5.1 Hygiene and Sanitation Explained

At the community level sanitation encompasses all the things we do to ensure safe disposal of waste material including human faecal material, garbage and waste from domestic animals. Hygiene relates to the way we ensure that we do not get infections or transmit sickness. Hygienic practices include the washing of hands after going to the toilet or ensuring that utensils used in the collection of drinking water are also clean.

Why are sanitation and hygiene important?

The main reason is that good hygiene preserves good health and prevents the suffering and sometimes death that is associated with sickness. Good sanitation and hygiene also reduce money spent in travelling to hospitals, paying medical workers and buying medicine after we fall sick.

What is the relationship between O&M of water sources and sanitation and hygiene

Good O&M of water facilities and Sanitation are interdependent. Without access to safe water it is very difficult to carry out basic functions related to sanitation and hygiene such as hand washing and making sure that water containers are clean. Diseases and morbidity arising from poor Sanitation and Hygiene will lead to higher levels of poverty and reduced capacity to contribute to the maintenance of water facilities. Therefore it is important that it is understood that it is very difficult to have one without the other.

What are some sources of infection in the home?

- Children's faeces and solid waste in the home
- Bugs, fleas and other insects

What are some good hygiene practices in the village

- Hand washing before food intake
- Clean clothes and body
- Clean utensils.
- Cleaning of water points
- Wash away dirt from the water supply facility
- Keep animals away from the water supply facilities
- Trash and garbage away from the water supply facility
- Use the facility with bare foot (no dirty shoes)
- Do not wash dishes at the water supply facility
- Do not wash clothes at the water supply facility
- Use a clean container to fetch the water
- Clean the areas around the water supply facility on a regular basis

- Balanced diet and nutrition using locally available foods
- Boiled water and cooked foods
- Latrine construction and use

What are the results of poor hygiene in the home?

- Water borne diseases
- Disease cycle (fingers, flies and faeces, and food)
- Ground water contamination
- Expense on treatment and poverty
- Loss of school time and work time

Socio cultural aspects – is there a culture of communal action.

- O&M costs
- Taboos, traditional customs, religious rules and
- Training and sensitization
- Regulations, cleansing material, preferred posture,
- Health awareness and perception of benefits
- Attitude to human faeces, gender-specific requirements
- Presence of environmental sanitation

Motivational aspects: committee

- Convenience, comfort, accessibility, privacy,
- Women's groups
- Status and prestige, health, environmental cleanliness,
- Social mobilization on hygiene and sanitation
- Ownership behaviour

Discouraging factors:

- Darkness, fear of falling in the hole or the pit collapsing,
- Fear of being seen from the outside, smells, insect, nuisance

Social organization factors:

- Traditional role of community leaders, religious leaders,
- School teachers, community-based health workers

Other factors:

- Population densities, limited space for latrines,
- Acceptance of communal latrines

Upgrading an existing sanitation facility can be the first option for improving the sanitation conditions if it matches the social and cultural preferences of the community, as well as the local economic and technical capacities. If the existing facilities do not meet basic hygiene requirements,

then upgrading must be considered. If no sanitation facilities are present, the simplest technology option is to be considered, taking into account the factors mentioned above.

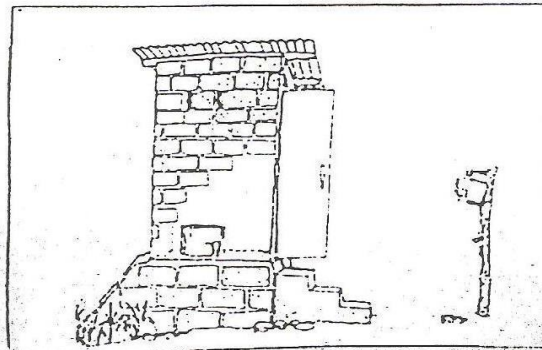
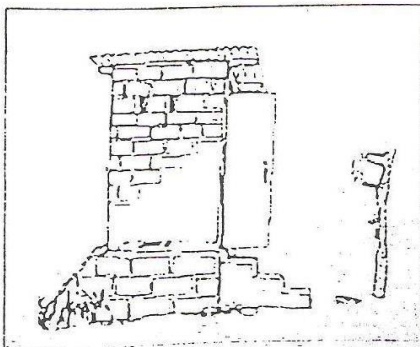
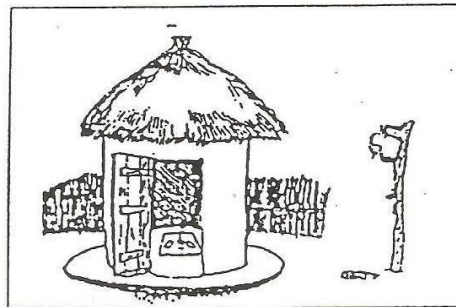
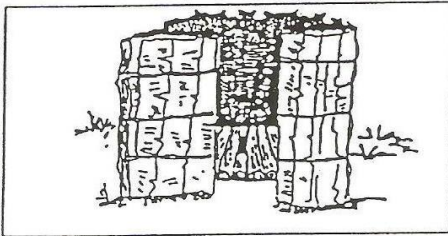
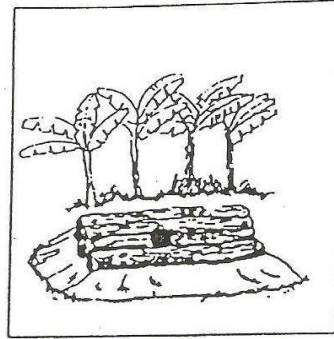
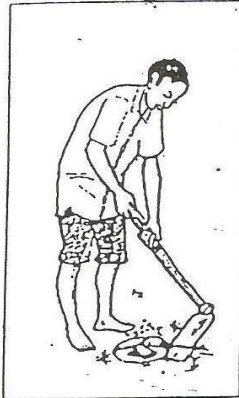
Cleanliness at the borehole

Borehole water is clean and safe since it will have been filtered through a thick layer of earth. However once it comes to the surface there is potential for contamination. One of the sources of contamination is the environment around the borehole. For that reason it is important to maintain the borehole surroundings in a perfectly clean state..

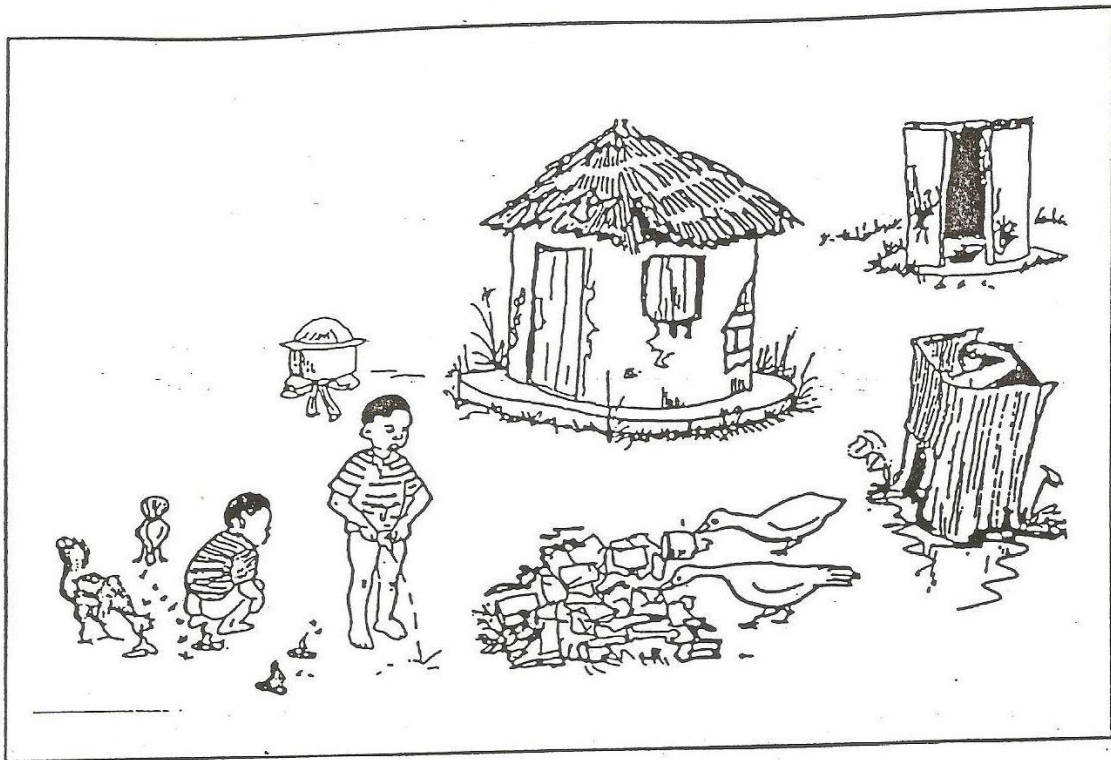
The sanitation ladder

The sanitation ladder is a facilitation aid to help community members identify place themselves on a sanitation continuum and identify needs to address to improve sanitation in their homes. Consider carefully the situation in the different picture below. Which most closely relates to your situation and what do you need to improve it?

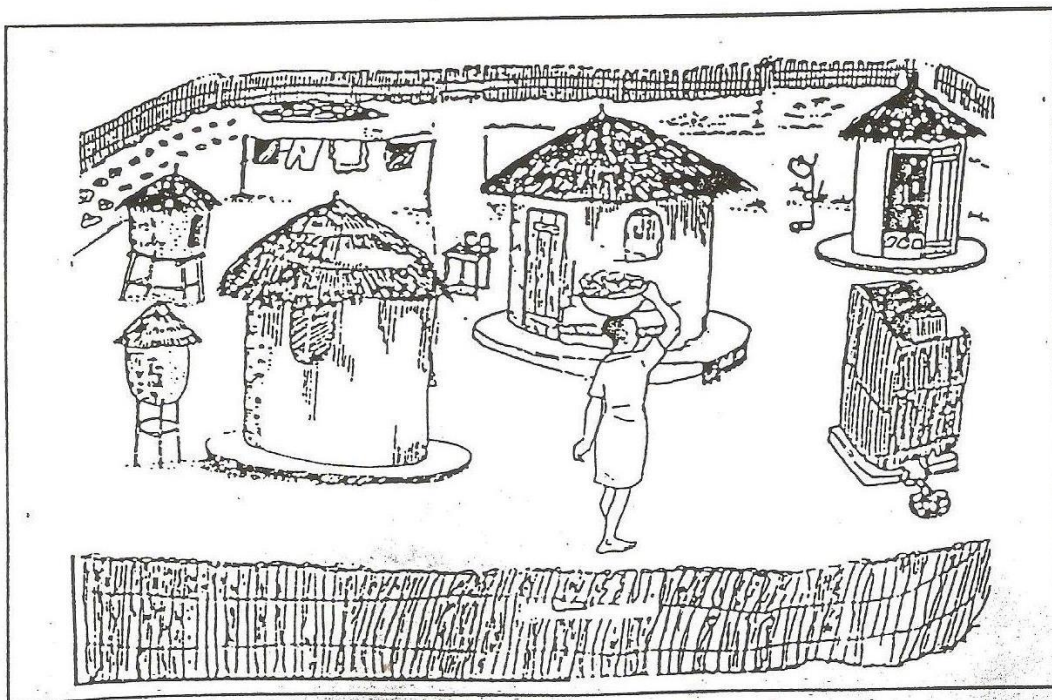
SANITATION LADDER



SWAG ENVIRONMENT



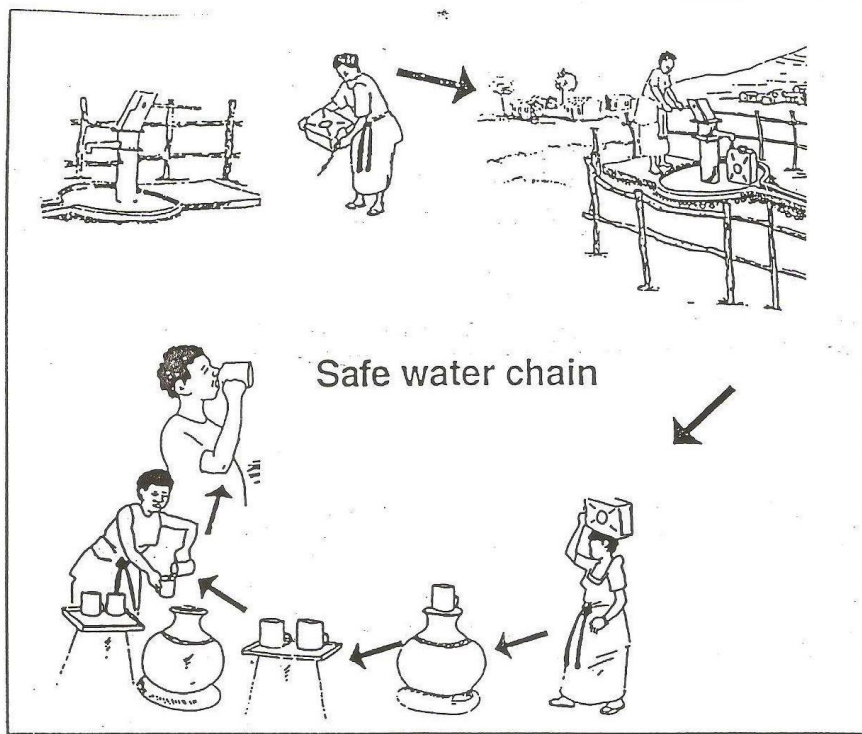
"BEFORE"



"AFTER"

The safe water chain

If water was taken directly from the borehole and consumed, most likely there would be very little chance of contamination. Contamination of water can happen at any point as the water is transferred from the borehole to the point of consumption. For this reason it is important to ensure that water does not get contaminated at any point in the chain above. For this to happen, the HP environment must be clean. The containers used for collecting the water must be clean and should be covered. The same should apply to the storage containers and even the cups which are used for drinking the water. Examine the picture below and identify where and how contamination may happen. What practices depicted in the picture will help to reduce the chances of contamination.



6.0 GENDER

6.1 Why gender?

Society and culture assigns women, girls and boys different roles and tasks. In most communities, there is no flexibility at all in these roles and tasks. This allocation of roles and tasks affects the way communities' function including aspects like sanitation and hygiene as well as operation and maintenance of water sources. In most Ugandan communities, the role of making sure that there is water in the home belongs to the women. Unfortunately women often do not have the power to make critical decisions on resources for operation and maintenance. Because of this, water sources are often neglected since the people who make decisions on their maintenance are not the ones who suffer most when they break down.

- What are the roles and tasks of men/boys and women/girls in this community?

The following need to be noted:

- Sex relates to the biological differences between man and woman
- Gender relates to the social differences between a man and a woman
- Gender does not relate only to women, but to both women and men
- The gender approach optimizes the roles and responsibilities of both men and women

6.2 Gender Division of Labour

Sexual division of labor results from the social differentiation introduced by the relations between men and women that attributed activities and roles according to the person's sex. The specific tasks and activities were attributed to men and to women according to the socio-economic and cultural context. Both men women have multiple work roles. These include: production, reproduction, essential household and community services, and community management and political activities.

Productive Role

Productive activities include all tasks which contribute to the income and economic welfare and advancement of the household and community. Both women and men perform a range of productive roles. Women's productive roles can include cash and subsistence farming (whether or not they control any income from their labour), care of livestock, foraging in forests, food processing for sale, cottage or home based industries, and waged/formal sector employment.

Reproductive Role

Reproductive activities are those activities carried out to reproduce and care for the household. Responsibility for contraception and decision making about reproduction may be in the hands of women or men, depending on the cultural context. Child rearing is a reproductive role and often considered within the women's domains, however men also play a significant and recognised role in many cultures. Women's other reproductive roles include pregnancy, childbirth and breastfeeding.

Household and Community Services

Essential household and community services are those which must be carried out daily to meet the family's and community's basic needs, such as fuel and water collection, provision of shelter and clothing, cleaning, education, health care, care of the elderly and food processing and preparation.

Community Management and Political Activities

This refers to the management and conservation of resources for collective community consumption (such as fuel, forests and water), as well as participation in cultural and religious ceremonies.

6.3 Access to and control of resources

The social (sexual) division of labor that attributes subordinate roles to women reduces at the same time their access to and benefits of resources. It often occurs that women have access to a specific resource, and at the same time they do not have any control over its use. Often women benefit from having access to resources, however, the women are limited to only use the resources of which they do not own and over which they cannot - in any way - exert control (i.e. control of agricultural land) or have any decision-making power. Actually, the control consists in taking decision(s) on the use of the resources and to have the opportunity to impose the choice on others.

The achievement of equal control to resources is one of the most important objectives in the gender approach, because the power in taking decisions will guarantee the access to the resource as well as its benefits. That is why it is essential to focus on women's strategic interests in order to guarantee their empowerment.

Influence factors

Factors of different orders, called influence factors have an important impact in the socio-economic and cultural situation of individuals. These factors are divided in two categories;

- Specific influence factors: ethnicity, social class, age group, civil status, type of family organization, demographic situation (birth rate, mortality, migration, etc,)
- General influence factors: economy, politics, environment, culture, religion, etc.

These influencing factors decide/influence the range of possible or potential changes. In the analysis of the social relations between women and men, in order to plan development actions that are socially acceptable, it is essential to consider all these factors.

7.0 MONITORING

7.1 Introduction

Monitoring is vital to systematically assess performance, identify problems and deal with them before they get out of hand, in order to ensure continued functional facilities, in line with the principles of CBMS, the practice of user participation in monitoring shall be promoted to ensure local ownership of all the processes and attendant responsibilities to take necessary action.

- ❖ Monitoring should be based and planned on a solid knowledge of objectives and activities
- ❖ Information should be used (solve a problem, answer a question, improve the project, adapt activities)
- ❖ Monitoring information should be collected and acted upon at the lowest level possible
- ❖ Monitoring should be focused and simple (limit number of indicators, length and cost of data collection)
- ❖ Monitoring should be based on a careful definition of indicators (they should really be adapted to the project)
- ❖ Monitoring should combine qualitative and quantitative information
- ❖ Monitoring should ensure checks and balances, (validity and reliability of information)
- ❖ Monitoring should become an in-built integrated activity and not a separate activity

7.2 Monitoring for effectiveness

Monitoring is mostly practised during the construction phase in order to control progress and expenditures, and rarely after this phase. However it is important to do monitoring even after the construction phase so as to ensure that operation of and management of the facility goes on smoothly.

With respect to monitoring for effectiveness, it is important to ask the following questions

- ❖ What is it?
- ❖ What is it for?
- ❖ How is it done?
- ❖ When is it done?

7.3 Hand Pump Maintenance

Maintenance

- ❖ Cleaning the apron daily
- ❖ Occasionally cleaning the drain and repairing the fence.
- ❖ Treatment with chemicals.
- ❖ Control or supervision of water use.
- ❖ Prevention of water contamination
- ❖ Execution of O&M activities.
- ❖ Financing of O&M.

- ❖ Monitoring of water quality.

O&M requirements

- ❖ Clean well site daily- Local broom, bucket
- ❖ Clean drain Occasionally- Local hoe, spade, wheelbarrow
- ❖ Repair fence occasionally - Local wood, nails, wire etc. saw, machete, axe, hammer, pliers, etc.
- ❖ Repair apron Annually- Local cement, sand, gravel trowel, bucket

Actors implied and skills required in O&M

Actor Role Skills

- ❖ Water users: Use water; keep site clean, assist with major maintenance tasks. No special skills
- ❖ Caretaker: Monitor water use, keep site clean. Basic skills for cleaning and disinfection
- ❖ Water committee: Supervise caretaker, organize major maintenance, organizational skills, collect fees

Problems, limitations and remarks

- ❖ Bad water quality or collapse due to corrosion of the galvanized iron lining, poor water inflow
- ❖ Since some wells are inadequately developed, entrance of ground particles in the well because of wrong screens or wrong development, contamination due to wrong apron design or construction or neglect of maintenance, collapsing of borehole where no lining is applied or where the lining is not strong enough.

8.0 FACILITATION GUIDELINES FOR TRAINING ADULTS

8.1 Introduction

Participatory methods involve the learners actively in the learning process, making it more interesting for adults. The philosophy behind the approach is that adult learning is a two-way process. The learners learn from the trainer, who also learns something from the learners. The learners also learn from each other. Adults bring a wealth of previous experience from their own lives into the training situation. Participatory training methods allow learners to share their experiences. Choosing the appropriate training method is often the challenge for a trainer and the following key principles may assist:

- ❖ What is the learning objective? Is it Knowledge transfer, skills building, or attitude change? Some methods are good for meeting specific objectives' For example' the lecture method is good at knowledge transfer but not an attitude change objective.
- ❖ Which stage of the learning cycle are you at? For example, role play methods are good at experience stage and application stage.
- ❖ Where and when is the-training taking place? A difficult case study in a closed room during the afternoon may not be suitable.
- ❖ The type of audience and their preferences: Although most methods are generally suitable for any audience, giving a long case study to adults who do not like reading may not be the best approach.
- ❖ Number of participants present during the training: If a role play requires 5 people, but there are only eight people in the room, the role play may not- be that effective'

Participatory methods require the trainer to play a role that is different from that of a teacher (who is supposed to know it all). The trainer's role becomes that of a facilitator; one who makes, things happen, who brings the learners together, creates a conducive environment, introduces and leads the topic, and engages participants in discussion.

The learners take on a more active role while the trainer guides the process. In this approach the trainer is prepared to cede some of his 'power' by allowing the learners to take centre stage. This requires a complete change of attitude in some trainers who may feel they are being stripped of their control.

It is more challenging to be a facilitator than to be a teacher. Before facilitation, thorough preparation must be done for each activity to be undertaken by the learners. Learners must be clearly briefed and training materials appropriately prepared. The discussions must be handled well in order to keep everyone motivated. Attention should be paid to ensure that the gender bias does not occur. Female members in the audience should be accorded equal respect and opportunity to participate.

The role of facilitator demands the use of methods beyond those normally used in teaching. The table below presents some of the participatory training methods in common use. Some of these methods are described in greater details subsequently.

Description of Training Methods

Technique	Description	Tips for handling the method
Brainstorming	Participants are encouraged to say whatever comes to their mind in response to questions; responses are recorded and synthesized	<ul style="list-style-type: none"> • Ask right/specific questions for brain storming
Case studies	A story written to describe an event that illustrates a principle or situation; follow-up questions are included; participants analyse the situation and relate to themselves	<ul style="list-style-type: none"> • Pre-test the case when possible • Guide questions • Fit contents to trainees needs/ organizations
Demonstrations	Facilitator presents a skill to the group	<ul style="list-style-type: none"> • Follow the “show – tell –do – ask” approach
Field visits	Participants are taken to a site where practitioners are using skills or knowledge pertinent to the learners	<ul style="list-style-type: none"> • Prepare a framework based on objectives of field visit
Gallery walk	Individuals or groups perform a task and present the results on flipcharts which are then posted on the walls for all to see and analyse as they walk around the “gallery”	<ul style="list-style-type: none"> • Trainer needs to prepare leading questions
Lecturette / presentation	A short lecture used to highlight key concepts; often incorporates participant interaction	<ul style="list-style-type: none"> • Plan the opening, main body and closing sections of the lecture
Observation – Feedback	Participants observe a performance or role play by their peers; as outsiders they are asked to critique	<ul style="list-style-type: none"> • Questioning techniques by facilitators
Panel discussions	“Experts” or “authorities” discuss topics and field questions from the participants	<ul style="list-style-type: none"> • Carefully prepare the panellists to stay on topic and be brief
Large group discussion	A situation where the entire group is working together or discussing an issue could be used for processing results of another activity	<ul style="list-style-type: none"> • Be clear on what needs to be done from the start • Summarize towards the end
Role plays	A short, unrehearsed drama where participants are given roles to act out; there is no script but a description of the situation is given	<ul style="list-style-type: none"> • Always use observers • Prepare role play guides
Games/ Simulations	Create a real-world situation in the classroom where participants see the effects of their decisions in a real-life scenario	<ul style="list-style-type: none"> • Game should communicate some learning value • Game should be interesting and require interaction among all participants
Small group work	Groups of 2 – 5 are given a task to complete or case study, etc.	<ul style="list-style-type: none"> • See HO on handling groups
Videos	Videos, pictures, posters, etc.	<ul style="list-style-type: none"> • Ask the right questions after watching video

Adopted from “Adults in a learning situation” ILO-SIYB

8.1 Brainstorm

This is a facilitation method where participants are given freedom to contribute ideas on a topic without limit to what is reasonable or predictable. They are encouraged to think freely and an atmosphere of freedom is established by the facilitator.

To create the atmosphere of freedom the facilitator must set some rules including the fact that all ideas are acceptable and individuals are not allowed to comment or critique other people's ideas in the first phase of the process. Once the ideas have been compiled, the facilitator can then begin a process of processing and organising those ideas into patterns and hierarchies so that at the end of the process the best ideas are selected.

In the envisaged training in the communities for instance, the facilitator may prompt participants to suggest ways by which community members can be compelled to comply with the rule of making the O&M contribution regularly.

Note:

- Present the problem as clearly as possible
- Focus on generating ideas and not on discussing them
- Ensure that there is maximum participation
- List all contributions made.

8.2 Case Study

A case study is a story of some event or set of circumstances usually with an implicit problem. Participants are then invited to analyse the case and understand it and in many cases present a possible solution to the problem. This method is helpful in sharpening the analytical skills of members of the audience but it can also be used to change attitudes as participants begin to understand different perspectives on a problem.

Case study helps participants to look at a problem in a detached and more objective realistic way. The facilitator then leads a discussion to process the findings and enable sharing of ideas.

The case study should be realistic and proper guidelines should be provided to the participants as the case study is introduced. It is often possible to get realistic case studies from real life situations that have taken place in the past – though occasionally one may have to write one. In such a situation, take note of the following:

- Case studies are part of the training materials and they should be prepared professionally.
- Avoid using cases that have gender or other biases
- The objective of the case study should be clear. It is not enough that the story is interesting or funny.
- Subject of the CS should be relevant to the training.

- The questions to facilitate analysis of the case study should be well thought out to ensure that the learning points are well developed. Open ended questions are recommended here.
- It is advisable to prepare enough copies of the CS so that each participant has a copy to allow better understanding and reflection.

8.3 Large group discussion

Adult learners benefit greatly from the interaction and exchange of ideas that result when knowledge, experiences and opinions on a particular subject are freely shared among the participants and the trainer. The discussion method can be used to analyse a given situation and to reinforce the concepts and understanding of participants through an exchange of views. Participants should never be asked to discuss a topic on which they have no background knowledge.

In a plenary discussion (with a large group), the trainer facilitates and controls the discussion, ensuring that there is wide participation and that the discussion does not get bogged down. At the end of the discussion, it is important for the facilitator to synthesize the main lessons and observations from the discussion so that participants are not left wondering or lost.

Plenary discussion method can be used to effectively change people's attitudes by hearing the views of their own colleagues. The method also enables the trainer to get feedback on whether a subject has been understood.

Points to watch:

- Participants may become stubborn and determined to stick to their attitudes.
- The trainer needs to exercise control while still allowing participants to discuss freely.
- The trainer should ensure there is direction and that the required information is abstracted.

8.4 Group Work

The trainer can put participants into smaller groups to allow for more participation. With this option, the trainer supervises to ensure the groups make progress and that the task is understood. The trainer should plan for enough time so that the groups are able to present the outcome of their work or discussion to the bigger group with proper interaction on what each group presents. This means that time must be planned and managed well. The trainer needs to ensure that the presentation of the small groups don't become routine and boring.

Some participants may engage others in a competing situation. The trainer should insist that every proposal be looked at fairly and that there is no win-or-lose situation. If a group is clearly off track they should be told diplomatically. However, if the trainer is supervising, this should not happen as he/she will have the opportunity to correct the situation before it develops.

8.5 Role play

When participants 'act out' a role or situation it enables experiential learning, generates discussion and emphasizes important learning points. The objectives of using role-play are:

- To provide a situation that allows participation, involvement and action learning
- To present information to participants which they can use to analyse a situation
- To change participants' attitudes, e.g. when role play depicts an individual who misuses a water facility.
- To change behaviour
- To develop practical skills

There are varieties of role play types:

Informal role play

This is unplanned, unstructured, unwritten and unrehearsed. Participants are asked to play different roles, as they understand them. This can be used if you want your learners to display their immediate reaction, feelings, attitude or perception without any other influence. It is a test of reality. You can use this type of role play to demonstrate a particular point and also give life to your session.

The Number of players varies with the different plays and the objectives. Some plays can involve only a few people. Some people can be asked to play more than one role and even the whole class can take part in a play.

Written Role Play

This is the more common type where roles are allocated and the players are given instructions and sometimes written materials to assist them in preparation. In this kind of role play, rehearsals are often carried out to ensure that the roles are acted out properly.

Drama

More preparations are involved in this type of role play. Each player is given a role and they should master their different roles. The trainer can even use a local drama group to do the role play.

While there are many resources from which a facilitator can pick a relevant role play, it is possible for the facilitator to prepare his own role play. In that case care has to be taken to ensure that the role play is realistic, appropriate and that it can be acted and the lessons brought out in the time available for that session.

Getting the best out of role plays.

It is important that time is provided and appropriate facilitation is undertaken at the end of the role play to discuss and bring out the learning points. The actors also need to be allowed to express their feeling from acting certain roles. It is important for the participants to understand that however convincing the role was, the participants were just acting it.

8.6 Demonstration

Occasionally a facilitator may have to transmit knowledge and skills through demonstration. This involves the facilitator showing participants how something is done and then allowing the participants to also do it and get the feel of it. For instance a facilitator may demonstrate how a tippy tap is used and he/she may also ask one of the participants to try it out. The same can be applied to say mixing of Oral Rehydration Salts or even appropriate operation of a hand pump. Participants should be allowed the freedom to ask questions and an atmosphere conducive for learning should be created so that people are not afraid to try the operation for fear of making mistakes and being embarrassed.

9.0 SUGGESTED SESSION CONTENTS FOR COMMUNITIES AND WSCS

9.1 Introduction

The task of the Trainers Trained in this workshop will be to revitalise the CBMS by supporting both the water user communities and the WSCs to carry out their roles effectively. This will require the trainers to carry out training and sensitisation of both the communities and the WSCs so as to enhance understanding of their roles, facilitate selection of new WSC members where there is need, and enhance skills of WSC in O&M fee collection and management and restoring the community's trust in the WSCs.

The exact nature of the intervention that is to be carried out by each of the trainers/district staff will depend on the conditions pertaining in the specific area where the trainer is working. To that end the trainers need to make at least a casual assessment of the situation, understand the unique challenges pertaining in the area and design the right kind of content for the intervention to be carried out. In this section however, some session plans with content are suggested. It is upon the trainer to adopt, adapt or model these session plans to suit the unique conditions of his/her target group. The flow of the sessions here assumes that the WSC has disintegrated and has to be built from scratch.

It is recommended that in locations where the project is carrying out rehabilitation of boreholes, the trainer should carry out one or two sessions prior to the completion of the rehabilitation and one final session at the time of the handover of the rehabilitated borehole. The expectation associated with the rehabilitated borehole will serve as motivation for the community and the WSC to attend the sessions. The following sessions are suggested.

1. Session for the mobilisation of the community
2. Session for the selection of the WSC
3. Sessions (2) for the training of the WSC
4. Session for inauguration of the WSC – at the handover of the facility.
5. Session for monitoring of O&M and S&H – this session may be repeated and varied according to the needs of the time.

Sessions I: Session for the mobilisation of the community.

Participants: All members of the community

Objective: To build motivation and mobilise the community to participate actively in the sustainable CBMS of the facility.

Suggested Duration: 3 hours and 10 mins

I

Time	Topic	Major points	Method
10 mins	Introduction	<ul style="list-style-type: none"> - Explanation of the O&M problems leading to the current action (the project). - Purpose of the current meeting - What the project plans to do and what the community needs to do. - The responsibility of the district officials ie. DWO, CDA, DWO - Future schedule of sessions for the community and the WSC 	<ul style="list-style-type: none"> - Lecture/ presentation from the trainer
30 mins	Assessment of current situation of water sources in the community and what needs to be done	<ul style="list-style-type: none"> - What is the state of the water source - What is the state of the WSC - What problems are evident - What is the cause of those problems - What suggestions to overcome those problems 	<ul style="list-style-type: none"> - Question and answer with the trainer facilitating input from the participants
30 mins	Review of Community – Based O&M and WSC	<ul style="list-style-type: none"> - Hand pump ownership - O&M not operationally done donors - Roles of community/DWD - Estimated cost for Hand pump O&M - Need for O&M fee/Community Contribution - Need for community to organize, manage the fees, and look after hand pump - Roles of WSC. 	<ul style="list-style-type: none"> - Presentation from the trainer
60 mins	Preparation or review of by laws for O & M and sanitation & hygiene	<ul style="list-style-type: none"> - Amount of O & M fee - Who pays? - How often to pay? - Who collects? - How to keep the money? - Who keeps records of income & expenditure? - Who monitors records? - What to do with bad payers? - Whether, how much to pay for caretakers? - Who to acquire spare parts? - What to do with theft & vandalism? - What to do with abusing WSC members? - How to ensure safe water chain? 	<ul style="list-style-type: none"> - Facilitator uses existing format to elicit comments and to facilitate customisation and revision.

Time	Topic	Major points	Method
30 mins	Promotion of sanitation & hygiene.	<ul style="list-style-type: none"> - Review recommended standards for sanitation and hygiene - Review plan for promoting sanitation & hygiene – access to latrine, clean water containers, hand washing, management of vectors etc - Proposal of action plan for promoting sanitation & hygiene – what should be achieved by when and who is to monitor. - Challenges & solutions to the plan for promoting sanitation & hygiene. 	<ul style="list-style-type: none"> - Presentation of standards from the Trainer. - Participants asked to name challenges and solutions to proper S&H
30 mins	Composition and roles of different members of the WSC.	<ul style="list-style-type: none"> - Chairperson - Secretary - Treasurer - Members - Caretaker - Women's participation 50% 	<ul style="list-style-type: none"> - Presentation from the trainer

Sessions 2: Selection of WSC.

Participants: All community members and leaders

Objective: To select the members of the WSC or fill gaps or confirm those in place.

Suggested Duration: 3 hours 45 mins

TIME	TOPIC	MAJOR POINTS	METHOD
30 mins	Roles of WSC and its officials	<ul style="list-style-type: none"> - WSC as a community association to improve the situation of water supply and sanitation/not only for borehole management - Roles/duties of each official - Relationship with external organizations; DWD, DWO, LC1/2/3, District Health Office, etc. - Relationship with hand pump mechanic - Importance of O&M and preventive maintenance - Importance of reporting WSC decisions and other matters back to the community (obligation to inform; democratic process; holding community sessions) - Importance of facilitation 	Lecture with help of RWSS and OP and Maintenance manuals.
30 mins	Women and WSC	<ul style="list-style-type: none"> - Importance of having female official(s) (gender awareness in relation to water matters) - Ways /efforts to reflect women's voices in WSC (Women as water collector, water user, manager of family members' health, household sanitation and hygiene) 	Do a simple gender analysis of domestic activities and reflect on findings from gender analysis

TIME	TOPIC	MAJOR POINTS	METHOD
			exercise them make input with help of RWSS/ Project manuals.
30 mins	Selection of WSC executives	- Roles of Chair/Secretary/Treasurer/Committee Member / 2 Caretakers	Facilitation of nomination and voting/selection exercise.
40 minshour	Making draft WSC rules	- Who pays (homestead, household, family, etc) - How often (monthly, weekly, etc.) - When to pay (beginning of the month/ Week, end of the month/week, etc.) - How much to pay - Where to keep the fund - Standardized amount vs. amount based on number of users - Violation: treatment of defaulters - Use of fund (for what matters) - Who orders to use the fund and how to order - Who and when to monitor/audit - What to do with vandalism - Wow often to hold a community meeting	Plenary discussion and resolution on all items.
30 mins	Sanitation and Hygiene	- Keeping environment clean - Causes and transmission routes of environmental related illnesses - How diseases are transmitted and prevented	Lecture with use of UNICEF/MWE and project materials and manuals.
20 mins	Decision/Collection of community contribution	- Re-confirmation of collection of community contribution - Decision making on collection method	Discussion and consensus.
15 mins	Monitoring	- Monitoring of water facility, WSC and health/Sanitation/hygiene - What monitoring is - Why it is done - How it is done	Lecture and demonstration using materials.
30 mins	Promotion of better sanitation and hygiene	- Safe disposal of wastes - Hand washing - Latrine usage - Clean water containers - Setting up goals - Water, AIDS and environment	Discussion with input from participants on all items.

Sessions (2) for the training of the WSC.

Participants: Village leaders and WSC

Objective: to build the capacity of WSC members to execute their roles in BH O&M, especially fund management properly.

Suggested Duration: 3 hours

TIME	TOPIC	MAJOR POINTS	METHOD AND MATERIALS
30 Mins.	Skill training on meeting records	<ul style="list-style-type: none"> - WSC meeting record - Community meeting record 	Lecture and Role plays
30 Mins.	Skill training on fund management	<ul style="list-style-type: none"> - Collection record - Proof of payment /Receipt - Fund payment (use) request form - Fund payment authorization form - Accounting sheet 	Lecture and demonstration with use of samples of each material.
45 Mins.	Skill training on community session management	<ul style="list-style-type: none"> - Scheduling of future community sessions - Facilitation and participatory process 	Discussion, demonstration and role play.
30 Mins.	Monitoring	<ul style="list-style-type: none"> - What is monitoring - What to monitor - How to monitor - Filling out monitoring forms 	Lecture
30 Mins.	Making draft O&M plan	<ul style="list-style-type: none"> - Way(s) to cover for O&M - Estimated life of capital equipment and parts - Spare parts availability and costs - Maintenance costs - \Equipment replacement costs - Backup support and services by District - Ways to increase latrine coverage and usage rate to 95% in the next 4 years 	Lecture and discussion with use of RWSS and OP and Maintenance manuals.
30 Mins.	Sanitation and hygiene	<ul style="list-style-type: none"> - Present health, sanitation and hygiene conditions/situations in the village - How to improve the situations - How to deal with people with AIDS - How to promote better health, sanitation and hygiene to villagers; how to promote better environment to villagers 	Discussion
20 Mins.	Future schedule	<ul style="list-style-type: none"> - Borehole rehabilitation - Handover of rehabilitated facility - Monitoring activities for sustainable O and M 	Lecture

Session for inauguration of the WSC – at the handover of the facility.

Participants: All community members and WSC and HPM

Objective: Transfer of authority to WSC and handover of rehabilitated facility. Beginning of monitoring for effective O&M and S&H.

Suggested Duration: 3 hours

NO	Subject	Main Points	Method
1	Introduction and Review	<ul style="list-style-type: none"> - Review of key issues in the previous sessions - <u>Proper usage of hand pump</u> by community - Hand pump sustainability 	<ul style="list-style-type: none"> - Question and answer and discussion with member dos the community and the WSC
2	Introduction of the Hand Pump Mechanics	<ul style="list-style-type: none"> - Presentation of the hand pump mechanics - Responsibilities of the mechanics - Relationship between the mechanics and the village, - Contracting and paying mechanics - The availability of tools provided by the Japanese government so as to make repair cheaper. 	<ul style="list-style-type: none"> - HPM is introduced by the trainer and any issues that the community may have with him dealt with
3	Demonstration of the care, maintenance and use of the pump	<ul style="list-style-type: none"> - The structure of the pump - The servicing of the pump - The proper use of the pump for maximum benefit. - Why water from the pump is safer than surface water. - Fencing for the pump - Demonstration of hygiene and cleanliness around the pump. - Issues to do with livestock at the pump. - Explanation of the contractor's guarantee and the fact that it will not apply in some cases. 	<ul style="list-style-type: none"> - Demonstration of proper use of the pump using diagrams and the HP itself.
4	Plans for the refurbishment of the fence and other peripherals.	<ul style="list-style-type: none"> - The availability of the materials particularly those being contributed by the village. - The skilled and unskilled manpower - The plan and lay out - The time for finishing the work 	<ul style="list-style-type: none"> - Also the trainer explains on site the proper lay out of the fence and measure for S&H including prevention of flooding the HP area with storm water and dirt I case it is downhill.

NO	Subject	Main Points	Method
		<ul style="list-style-type: none"> - Monitoring the work by the district staff. 	
5	Monitoring and Follow up	<ul style="list-style-type: none"> - Filling out the monitoring form on WSC management and sanitation/hygiene conditions - Filling out the hand pump monitoring form 	<ul style="list-style-type: none"> - Trainer facilitates a review of monitoring tools as WSC members explain how they are to be used.
7	Fund Management	<ul style="list-style-type: none"> - Collection of funds from each borehole (who collects, who does the collector give too) - Records to keep, from borehole to treasurer - How to manage the records especially by the WSC - Use of the accounting sheet - Interpreting the bank statements interpreting the accounting sheet 	<ul style="list-style-type: none"> - Village leader and members of the WSC asked to explain how this will be done. - Reference is made to the O&M rules and where need arises refinement of rules is done. -
8	Gender Sensitization	<ul style="list-style-type: none"> - Emphasis on the relationship between women and water - Promotion of female participation in WSC activities - Importance of gender perspective 	<ul style="list-style-type: none"> - Trainer makes interactive presentation on central role of women in O&M of water facilities and S&H
6	Inauguration of the WSC and transfer of authority to the team.	<ul style="list-style-type: none"> - Introducing the member of the WSC again. - Formally handing over office to them in the presence of the whole community and the village leaders 	<ul style="list-style-type: none"> - Trainer introduces the members of the WSC. - Each WSC member briefly outlines his/her role on the WSC - Chairman of the village makes remarks to confirm support for the WSC - Trainer makes remarks on behalf of the district and the project - Village leader hand over instruments of office.
9	Handover of the rehabilitated facility to the village	<ul style="list-style-type: none"> - Explanation of the genesis of the rehabilitation exercise - Explanation of the role of the training and capacity building that has taken place - Reminding the community of its ownership of the facility and responsibility to take care of the same. - Handing over the rehabilitated facility. 	<ul style="list-style-type: none"> - Presentations according to protocol from - Village leader - District representative - Project representative - WSC leader - Symbolic handover of facility and any tools or equipment to the village.

Session for monitoring of O&M and S&H.

Participants: All community members and WSC

Objective: Tracking of progress in the effecting improved CBMS and dealing with challenges experienced so far - this session may be repeated and varied according to the needs of the time. (For this session the approach will vary based on assessment of the trainer. Sometimes the trainer may not constitute a session but make a site visit to the facility of to specific homes.

Suggested Duration: 3 hours

No	Subject	Major Points
2	Conflict Resolution/ Management	<ul style="list-style-type: none">- Definition of conflict- Types of conflict- Causes of conflict- How to handle conflicts- Problem solving techniques- Group decision making- Resolving disputes
3	WSC Roles, Responsibilities, and Duties	<ul style="list-style-type: none">- Role of the overall WSC and challenges faced so far as well as solutions provided- Problems being encountered by each executive member in his/her role- Importance of working as a team- Importance of reporting back to community- Record keeping (meetings, funds)- Proper use of funds- Reminder on constitution- Reminder on rules for maintenance fund- Other rules for maintenance fund- Other rules developed by the community and WSC
4	Gender Sensitization	<ul style="list-style-type: none">- Emphasis on the relationship between women and water- Promotion of female participation in WSC activities- Importance of gender perspective
5	Monitoring / Follow-up	<ul style="list-style-type: none">- Making of Monitoring Sheet on WSC management and sanitation/hygiene conditions
6	Sanitation and Hygiene Conditions; Problems and Improvements	<ul style="list-style-type: none">- Review of progress made so far in the O and M plan with respect to sanitation and the use of latrines- Discussion of challenges so far- Evaluation of the efficacy of the O and M Plan and making necessary adjustments.
7	Other (1)	<ul style="list-style-type: none">- Maintaining good relationships with the local government structures and authorities etc.

10.0 ATTACHMENTS AND HANDOUTS

a) Attachments

Attachment 1: Overview of the current situation in the target districts

Capacity Assessment of the Implementation System of the Target Districts for Rural Water Supply

District	Results of Assessment	
KIBOGA District	Current State	<ul style="list-style-type: none"> - HPM: Training was conducted in 2004 and 2009. After that, young people left villages to find a job and older people died, etc. Women are not motivated to work as a HPM. - Finance: Usual rate collection methods often fail. The current system is to collect charges at the time of a failure. Money problems can easily occur because there is no account to keep collected money. - Community: Communities are not very motivated for volunteer work and there is litter around water faucets.
	Issue	<ul style="list-style-type: none"> - HPM: Adequate number of HPMs should be calculated and trainees should be selected. - Finance: The sense of uncertainty about the use of collected charges prevents regular collection of water rates. - Community: Maintenance of wells cannot be conducted with the community's spirit of volunteerism. Awareness about the importance of the maintenance of the areas of water faucets is low.
Mpigi District	Current State	<ul style="list-style-type: none"> - HPM: HPMs do not have skills for large-scale rehabilitation. Although the water contains a high level of iron, they do not have skills for inspection or treatment. They have issues with transportation means. - Finance: The accountant is not trusted and the residents prefer paying charges only when the pump fails. - Community: Some people and groups dig wells without telling the district and there are issues in knowing the number of wells and monitoring.
	Issue	<ul style="list-style-type: none"> - HPM: Distinction between small-scale repairs and large-scale repairs depend solely on the traditional practice and there are no written procedures. Although water quality is tested, there is no training about treat water. - Finance: Distrust in rate collection by accountants prevents fare collection and financial management. - Community: Laws concerning well digging should be thoroughly enforced. DWO does not keep records of the number and locations of wells.
Mubende District	Current State	<ul style="list-style-type: none"> - HPM: As the district is very large, it is difficult to maintain and manage all wells (more than 1,000 wells). The spare parts sold in the local market are poor-quality. Tools are short in numbers as some have been lost.

District	Results of Assessment	
	Issue	<ul style="list-style-type: none"> - HPM: The appropriate number of HPMs for the scale of the district should be calculated and the candidate trainees should be examined. As spare parts are not often purchased, there is little incentive to sell proper products. - Finance: The sense of uncertainty about the use of collected charges prevents regular collection of water charges. - Community: There are not sufficient measures against vandalism. Land management for the catchment is poor.
Butambala District	Current State	<ul style="list-style-type: none"> - HPM: There have been no follow-up activities since the training of 2012. Tools are short in numbers. HPMs need to go to Kampala to buy spare parts because they are not sold in Butambala. It is difficult to get a transportation means to the sites. - Finance: Charges are not regularly collected but are collected at the time of a failure in many villages. Regular rate collection is difficult due to the lack of a system to keep money safely after rate collection. It is better to collect charges only when there is a failure. - Community: Politicians sometimes pay for repairs and it prevents residents from conducting voluntary management. Residents are skeptical about the Project. In Butambala, which is a new district, improvement can be expected through capacity building in the Project.
	Issue	<ul style="list-style-type: none"> - HPM: The appropriate number of HPMs for the scale of the district should be calculated and the candidate trainees should be examined. As spare parts are not often purchased, there is little incentive to sell proper products. - Finance: The sense of uncertainty about the use of collected charges prevents regular collection of water charges. - Community: Understanding of water supply policies and the scheme of well management should be promoted.

The problem of Districts can be summarised as insufficient funds, equipment and manpower. Added to this is the lack of proper supply chain for HP spares.

Districts are supposed to carry out major repairs in response to the requests of WSCs. However, in the districts covered in the baseline, of 145 requested major repairs for FY2014 and FY2015, only 50 were actually completed. This illustrates that, while DWSSCGs are currently being used to fund major repairs, the funds are nowhere near enough to fill current demands. Also due to the length of the procurement process for private companies to carry out repairs, HPs deteriorate significantly during their lengthy down time implying higher cost of repair and sometimes difficulty for the private companies to carry out repair within terms agreed quite a long time before the date of repair.

Sub-county level status – from the report of the baseline.

The main problem noted at the sub-county level is the lack of funds to facilitate staff to do their work, lack of necessary equipment and lack of manpower.

Spare parts for HPMs

Access to spare parts is poor. The standard is that there should be a spare parts dealer in every subcounty. In reality these do not exist and most HPMs have to buy spares from Kampala. “Although Kiboga and Mubende Districts have spare parts shops in the locations of DWOs, not all the spare parts required by HPMs can be purchased there.” Where there are dealers, a lot of what they vend are poor quality imitations of the genuine parts.

Access to tools for HPMs

The equipment required for the activities of HPMs are repair tools for hand pumps and transportation means to travel to the sites for requested repair works. However, few HPMs have such necessary equipment.

Some HPMs own repair tools but do not own a full set and many tools are missing. Although laws and regulations require that each sub-county has to own and manage a set of repair tools, no sub-county meets the requirement. Therefore, HPMs have some tools and borrow others from other HPMs and car repair shops to do repairs of hand pumps.

HPMAs – only Mubende District has an HPMA with 28 members (2015)

b) Handouts

Hand out 1: WSC Roles & Responsibilities

Position and Duties

(1) Chairperson:

- a. Facilitate all meeting
- b. Speak for the committee and the members at all meetings
- c. Liaise with project and district/ DWO/DWD
- d. Uphold all rules and regulations

(2) Secretary:

- a. Record minutes of every meeting
- b. Work with the other executives and assist in all effort of the committee
- c. Uphold all rules and regulations

(3) Treasurer:

- a. Collect all fees and fines and deposit the money into the maintenance fund
- b. Give receipt for the funds collected
- c. Record all funds collected and spent
- d. Make financial recordings available to the community auditors upon request.
- e. Work with other committee members and assist in all effort of the committee
- f. Uphold all roles and regulations

(4) Committee member

- a. Assist the chairperson to decide policy and resolve problems
- b. Work with other committee members and assist in all efforts of the committee
- c. Uphold all rules and regulations

(5) Caretakers

- a. Show people how to use the pump properly carryout preventive maintenance
- b. Conduct regular check and maintenance of the facility
- c. Work with technicians and /or O & M teams from the DWD for major repairs
- d. Organize community/users in:
 - Building and maintaining fence around facility, and an access road to the facility.
 - Cleaning area around the water source

- Taking environmental protection measures such as planting high water absorbing plants at the end of drainage channel, protection of water catchments and taking care not to pollute the source.
- Promoting hygienic handling of water by using clean containers among users.
- Monitoring the water level and well yield on a regular basis.

Hand out 2: List of participants – Community meeting.

List of Community Meeting Participants.

Date: _____

Village Name: _____ Village Number: _____

NO	NAME	SEX	HOMESTEAD	SIGNATURE
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				
16				
17				
18				
19				
20				
21				
22				
23				
24				
25				
26				
27				
28				
29				
30				
31				
32				
33				

Total _____ Persons; _____ Homesteads

Male _____ Female _____

Hand out 3: Community meeting record.

Community Meeting Record

Village Name_____

Village Name_____

Date	
Place	

Topic 1	
Decisions/Outcome	
Actions to take	
Schedule/Deadline	

Topic 2	
Decisions/Outcome	
Actions to take	
Schedule/Deadline	

Remarks

Signatures:

Recorded by:_____

Chairperson:_____

Hand out 4: Format of receipt for O&M fee.

Receipt Form for O&M Fee

No.
Date _____
Received from _____
The sum of shillings
Being payment of _____

With thanks for

Shs _____

Cash cheque

No.
Date" _____
Received from _____
The sum of shillings
Being payment of _____

With thanks for
Shs _____
Cash cheque

Hand out 6: O&M Fee Accounting Sheet.

O&M FEE PAYMENT COLLECTION RECORD.

(Please fill in the date when the charge was paid) Name of Village: _____

Village Number: _____ Date: _____

NO	NAME	MONTH 201...														
		1	2	3	4	5	6	7	8	9	10	11	12	1	2	3
1																
2																
3																
4																
5																
6																
7																
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22																
23																
24																

Hand out 7: O&M fund authorisation form.

FUND USE AUTHORIZATION FORM.

Village Name: Village Number:
Date:

1 (Name)
Being the treasurer of this water project committee hereby authorize the payment of
Shs (Words
.....
For the purpose (s) of:
.....
.....
.....
.....
.....
And as stated in the fund request form.

Attached herewith is the fund use request form.

Authorized by: Date:

Witness: Date:

**Appendix 1-6: Borehole Siting Process and its Importance on
securing quality of borehole**

• Training Module A

Borehole Siting Process and its Importance on securing quality of borehole

The Project for Operation & Maintenance for Rural Water Supply and Improved Hygiene and Sanitation

1

The Project for Operation & Maintenance for Rural Water Supply and Improved Hygiene and Sanitation

Module A
Siting Process and its Importance on Securing Quality of Borehole

Module B:
Supervision of Borehole Construction

Module C:
Supervision of Test Pumping and Securing Water Quality

Session I : Introduction
 Session II : Process of Siting
 Session III : Record and Report

2

2

Session 1: Introduction Functionality of Rural Water Sources

Performance Indicators (n/a = not applicable, ND= No Data)		2015/16	2016/17	2017/18	2018/19	2019/20
1. Basic water: Percentage of population using an improved drinking water source	Rural	67%	70%	70%	69%	68%
	Urban	71%	71%	77%	79%	70.50%
5. Functionality: rural: % of water sources functional at time of spot-check	Rural	86%	85%	85%	85%	85%
pipied water service availability	urban (STs)	n/a	92%	93%	94.30%	81%

Functionality is defined as the “%of improved water sources that are functional at time of spot-check”.

The functionality for rural water supply facilities was estimated at 85% in 2017, while at 84%for Deep Boreholes constructed in 2000-2017.

It stagnated at 85%even in 2020 (SPR 2020).

3

3

Session 1: Introduction Think about what affect the quality of borehole

Have you ever seen any boreholes become unable to pump up some months after construction?

Have you ever seen any boreholes abandoned by users some months after construction?

What are the possible causes?

Contract/Design /Mechanical / Skill / Social / Geological, Water Quality and other factors

Think about

4

4

***Introduction: Possible Causes to malfunction
– Hydrogeological and Mechanical Causes -***

<u>Observed malfunction</u>	<u>Possible Causes</u>	<u>Possible Preventive Measures</u>
Lowering water level in the hole or dried up	Seasonal fluctuation? Perched aquifers?	Hearing on operating situations from users of neighboring BHs at Siting, and design with sufficient depth
Slowing recovery of water level in the hole	Clogging of Screen? Collapsing in hole?	Appropriate setting slit of screen and grain-size & thickness of gravel pack. Not to adopt the open hole design to possible fragile part of rock.
Breaking out part of hand pump Hard stroke, small amount of discharge	Corrosion of Pipe?/ Poor material?/ Lose fitting?/ Pipes are not vertical, or bent	Strict quality control on the material, such as stainless “SUS 304” rod for acidic ($\text{PH} \leq 6.5$) groundwater, as well as selection of pump type, supervision of pipe/pump installation.

5

***Introduction : Possible causes of malfunction
– Social & Environmental Conditions -***

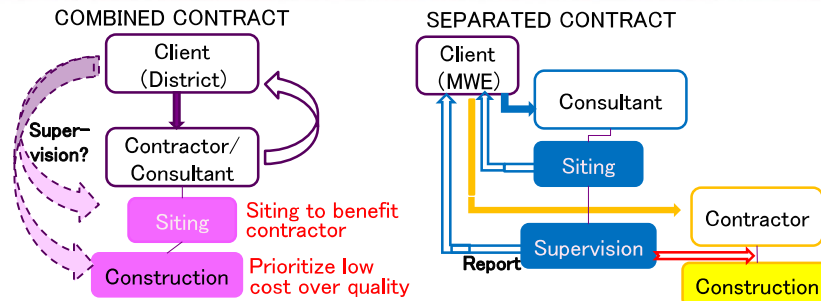
Why are some boreholes are abandoned by Users?

<u>Possible Causes</u>	<u>Possible Cases</u>	<u>Possible Measures</u>
Hard to access	Long/dangerous access	Siting with community participation (PRA Mapping)
Detested location	Graveyard, religious place	
Unsafe / Unfavorable Water Quality	Source of contamination nearby; latrine, kraal, unknown sources	Sensitisation for well organised committee. Basic Environmental issues, i.g. how groundwater can be contaminated Security, Hygienic behavior, Periodical monitoring
Conflicts/ Vandalism in the community	Management of fund, security against thief and robber, stone thrown into hole, washing	
Unsanitary usage of platform	diapers at platform	

6

6

Construction Contract combined with siting and supervision?



Regardless of contract method whether BoQ or Lumpsum(Turn-key), Combined Contract is not recommendable, because concerned about

- Siting based on the ease of finding water
- Short cut on-site (low-quality/ inappropriate material, fewer length/volume, stop drilling at the first water strike, etc.)
- Faking the pump test data

MWE makes service agreement with Consultant for siting and supervision of construction.

MWE makes construction contract with Contractor conditioned under supervision of the Consultant.

7

7

Session 2: Process of Siting

Area information through Desk Study

Village File, Geometric, Geological Map, Aero Photo, others (Meteorological, Agriculture, etc.)

+ Field Visit

Field Mapping with community

Participatory Rural Appraisal (PRA): Village Mapping through communication and walking together with Community members

Physical survey planned based on the natural and social conditions

Consent on selection of candidate sites/ area for geophysical survey considering village conditions and groundwater development potential

Agreement on the location & tentative design

Selecting the site for drilling borehole and design of target drilling depth & basic structure

8

8

Session 2: Process of Siting PRA Method for Mapping (Village Resources Map)

RURAL WATER SUPPLY & SANITATION DEPARTMENT: Village File		Map sheet No.:
Village :	Code:	Aerial Photo No.:
Parish :	Grid East:	Team/Un it:
Sub-County :	Grid North:	Completed By:
County :	Altitude:	Checked By:
Distric:	Date of Establishment :	
Source Name:		

Desk Survey

Field Survey

PRA Mapping through communication and walking together with Community (WSC) members;
 ○ Community's Acceptable area
 △ pit latrine confirmed

Location Map

Scale 1:50,000

Geological Map

Aero photo

Location Map

Successful wells

Grave

River (dry season source)

Dry borehole

Village

Rocks

Stream

Rocks

9

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Process of Siting _ Minimum Distance from Borehole

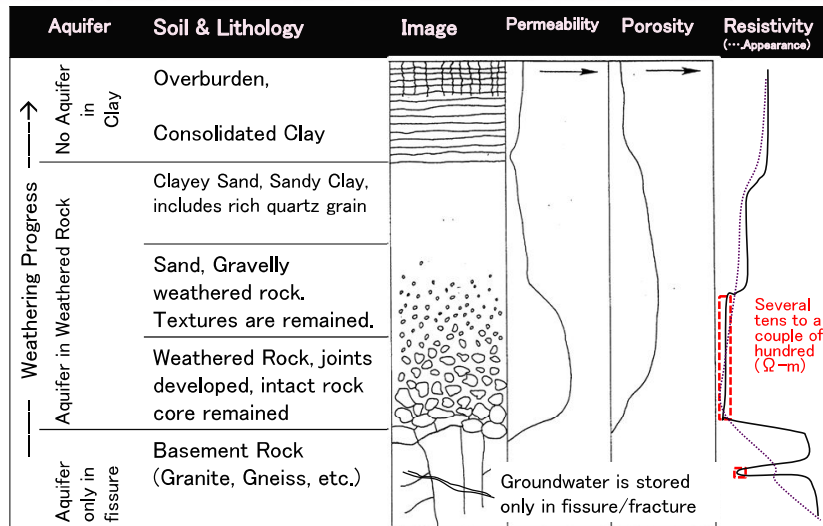
Sn.	Existing Structures	Minimum Distance from Borehole (m)
1	Existing production wells/boreholes	300
2	Hand pump water wells or boreholes	50
3	Latrines, septic tanks, soakaways	30
4	Streams, canals, irrigation ditches	50
5	Buildings	10
6	Approved or informal solid dumps, burial ground	500
7	Lake/River	100

Limitations: These suggested distances are broad estimates; specific minimum distances should vary with the knowledge of the Geology of the project area.
 (GUIDELINES FOR BOREHOLE SITING (Draft), MWE/AfDB.2018)

10

10

Basic knowledge for Geo-physical Survey - Porosity, Permeability & Resistivity by Weathering



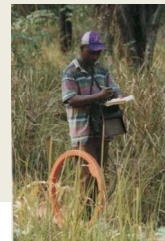
13

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Geo-physical Survey methods for Siting

Several Methods applied to hydrogeological survey

- Resistivity Sounding
- Line Profiling
- Vertical Resistivity Sounding.
- Electrical Resistivity Tomography (ERT)/ Induced Polarization (IP)*
- * IP: Polarization ratio chargeability is also applicable for BH siting
- Electromagnetic (EM) Sounding



Electromagnetic (EM) : Techniques for siting wells and boreholes – World Bank.



Induced Polarization (IP)

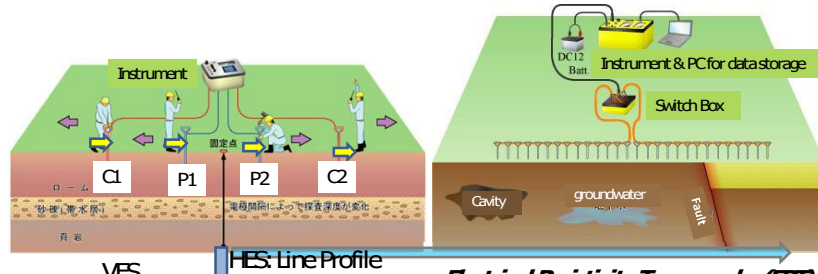


Resistivity Sounding : Siting of Boreholes – Water Aid.

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Images of Resistivity Survey



VES: Vertical Electrical Resistivity Sounding
HES: Horizontal Electrical Resistivity Sounding
 P1, P2: Potential Electrodes
 C1, C2: Current Electrodes
 In VES, the array of electrode is gradually expanded to increase the measurement depth.
 In HES, resistivity at a certain depth is measured at intervals while moving on the survey line with a fixed array of electrodes.

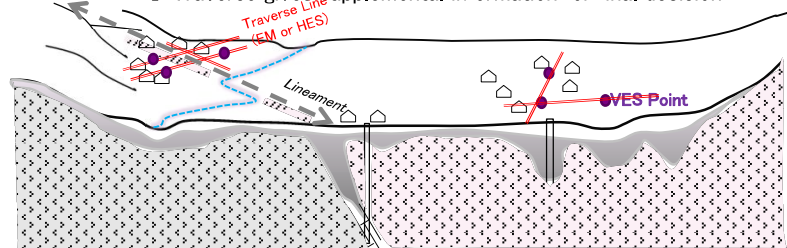
Electrical Resistivity Tomography (ERT)
Induced Polarization (IP)
 Many electrodes (usually 24 or 48) are placed on the survey line at regular intervals (usually 10m). Switch C1, P1, P2, and C2 to measure the apparent resistivity at many points on the 2D section below the ground surface. The two-dimensional distribution of true resistivity is analyzed by experts using the software.

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Planning of Geo-physical Sounding by Hydro-geologist

- Selection of methodology by Targeted Aquifer:
- 1) Fractured Zone/ Fissure Zone controlled by geological structure
 - Select survey lines (2+) perpendicular and parallel to the structure for Traverse (EM or HES)
 - Select VES (several) points at anomalies on traverse result
 - 2) Flat surface + Weathered Zone with rough bottom
 - select VES (3-6) points considering Community's preference
 - Traverse gives supplemental information for final decision

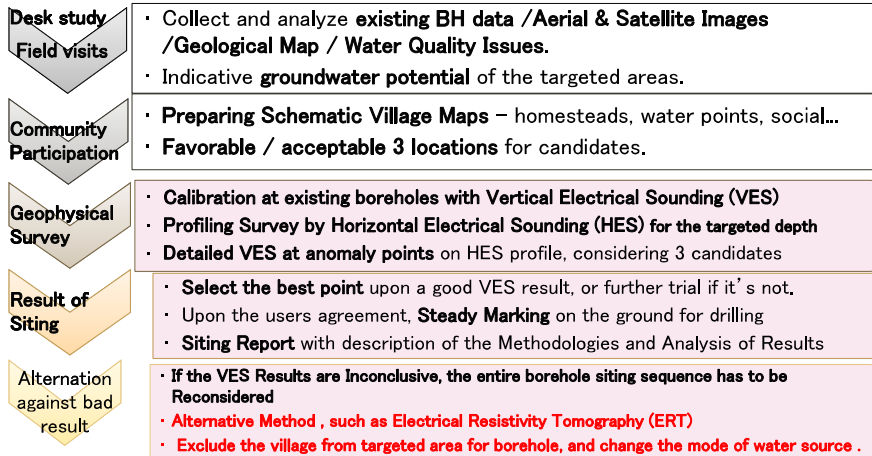


Schematic Section for Planning of Geophysical Survey (Source: JICA Expert.)

16

16

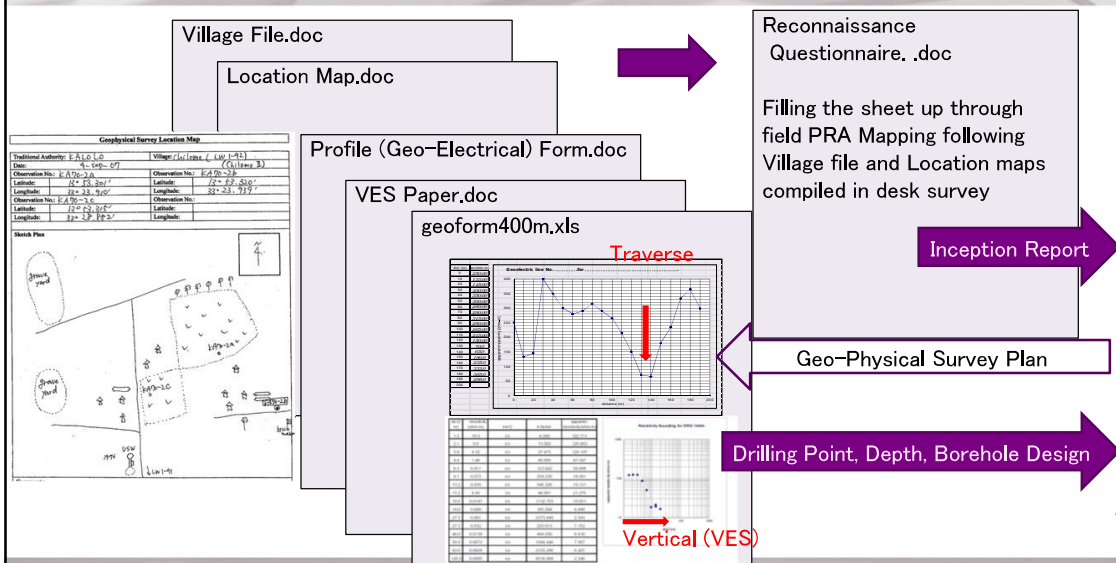
Process of Geo-physical Survey & Alternation against an unsatisfied result



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Session 3: Record and Report Forms for Siting (Standardized by MWE)



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Recording of VES (Schlumberger Array)

NO	RESISTIVITY (ohm-cm)	DEPTH (m)	RESISTIVITY (ohm-cm)
1.5	18.5	1.5	0.290
2.1	8.8	3.0	0.140
3.0	4.02	4.5	0.070
4.4	1.46	6.0	0.035
6.3	0.411	7.5	0.018
8.4	0.202	9.0	0.009
13.2	0.055	10.5	0.004
18.0	0.0147	12.0	0.002
18.0	0.008	13.5	0.001
27.5	0.001	15.0	0.0005
27.5	0.002	16.5	0.001
40.0	0.0138	18.0	0.0005
58.0	0.0072	19.5	0.0002
83.0	0.0039	21.0	0.0001
100.0	0.0005	22.5	0.00005

Resistivity sounding by WVD 3444

Apparent Resistivity
L/2 (meters)

Village: Nyamiyong	UTM Easting: 277 44 5	Map Sheet No:
Parish: Kabale	UTM Northing: 9909 663	Aerial Photos#:
Sub-county: Rugaga	Altitude: 1307	VES No: 01/01/030
District: Isingiro	Date of Survey: 26/07/2010	Mapped By: PE/SA

Apparent Resistivity
 $\times 10^1$

Typical Field Record for
Vertical Resistivity Survey (VES)

Plotting of “(L/2) - ρ_a ” on Log-Log Grid with MS Excel File (source: MWE)

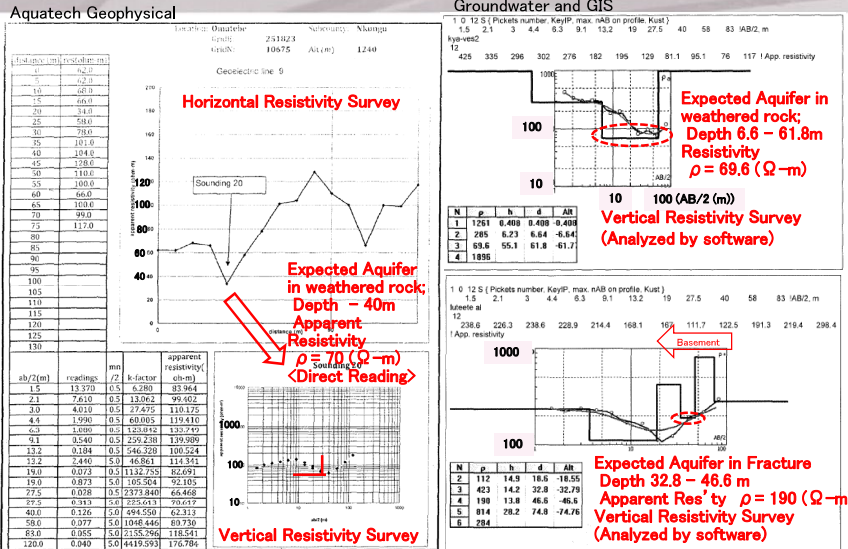
Recording of HES (Traverse)

RURAL WATER SUPPLY & SANITATION DEPARTMENT:		[Contract] No.:
Geo-Electrical Form		
Village :	Code:	Map Sheet No.:
Parish :	Grid East.:	Mapped By:
Sub-County :	Grid North.:	Checked By:
County :	Altitude.:	
District :	Date of Survey.:	
Source Name:		
Geo-Electrical Details		
AB = m	MN = m	I = mA
Grid Ref: UTM: Easting		Compass Direction:
Northing:		Altitude:
PROFILE LOCATION: Site Details, Survey layout, Profile No.s, Reference points etc.		

Traverse
with Horizontal Electrical Sounding (HES)
Source: geoform400m.xls

DI ST (M)	RES (M OHM)	CAL (OHM -M)	REMARKS
0			
10			
20			
30			
40			
50			
60			
70			
80			
90			
100			
110			
120			
130			
140			
150			
160			
170			

Electric Resistivity Sounding Typical Output from HES and VES



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Final Report of Siting

“Final Report” shall include the information to specify the scope of drilling work on the Tender Document.

- Process and result of borehole siting work including; desk study, site reconnaissance, community participation and geophysical survey results with appropriate maps, diagrams
- Information for Drilling and Borehole Design;
 - 1) Pegged location on map with photograph, coordinates, and direction of drainage
 - 2) Typical Borehole Design; Target depth, casing program and expected geology to be encountered,
- Community Agreement: with the form stipulated by the Client

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Final Report of Siting VES Summary and Photo taken at the selected point with peg & WSSC

No	Village Name	BH No.	VES No.	Target drilling depth(m)	Priority in committee	Priority in drilling	South Latitude	East Longitude	Resistivity (ohm-m)	Bottom depth of aquifer (m)	Adjacent existing borehole etc.	Geology type	VES curve type
69	Chapota	LW 1-90	KA 69a		1		13 53.628	33 23.965				P	A
			KA 69b		2		13 53.613	33 23.981				P	A
			KA 69c	60	3	1	13 53.616	33 23.999	120	60		Pg	C
70.1	Chilomo	LW 1-91	KA 70-1a		1		13 53.369	33 23.910				Pg	C
			KA 70-2b	61	2	1	13 53.378	33 23.862	186	61		Pg	C
			KA 70-2c		3		13 53.396	33 23.916				Pg	C
70.2	Chilomo	LW 1-92	KA 70-2a		1		13 53.301	33 23.910				Pg	C
			KA 70-2b	46	2	1	13 53.320	33 23.939	45	46		Pg	C
			KA 70-2c		3		13 53.315	33 28.882				Pg	C
72	Kangulu	LW 1-93	KA 72a	43	1	1	13 53.453	33 21.850	108	43	PSW IAH 6:33	P	A
			KA 72b		2		13 53.492	33 21.820				P	A
			KA 72c		3		13 53.443	33 21.818				P	A
									44		P	A	
											P	A	
									48	PSW IAH 6:80	P	A	
											P	A	
											P	A	
											P	A	



WSSC's preferred (3) options are prioritized upon the VES result (Resistivity & Depth)

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Evaluation of the Report of Consulting Services Insufficient description on the Consultant's Report to District

Table 2: Survey results for eight (8) hand pumped boreholes in Mubende District

Location	Sub/county	Expected Depth (m)	Expected Casing depth (m)	Expected Water Strikes zones	Remarks
Kiterera	Nabingoola	100	35	1 st 30-40 2 nd 90-100	Positive survey results
Kyaterekera	Bageza	100	55	40-50	Fair survey results
Nabateza C	Kigando	100	40	60-80	Fair survey results
Kijijolo	Bageza	100	50	40-50	Positive survey results
Lwegula A	Kasambya	100	65	27-40 60-80	Positive survey results
Buswabwera/Kalungi	Kitenga	80	60	40-60	Fair survey results
Kanzira B	Myanzi	80	65	40-55	Positive survey results
Kyakatebe	Nalutuntu	120	70	60-80	Positive survey results

Site Survey

- No description on the process, methodology, community participation, criteria for Positive/Fair
- Just only description on expected drilling depth, casing depth, water strikes, without logical grounds.
- All location with "Fair survey results" were drilled as "dry hole". Were these survey results approved before drilling?

Drilling & Pump Test

- Log, Lithology & Design Sheets and pumping test sheets are attached,
- No mentioned on the sheet how the pumping test yields were decided.
- Water level were not stabilised after 3 hrs continuous pumping. What is the criteria for "Successfully" ?

Table 3: Depth of Pump installations for the eight (8) hand pumped Boreholes

Location	Sub/county	DWD no.	Completion depth (m)	Driller yield (m ³ /hr)	Static water level (m.a.s.l)	Dynamic water level (m.a.s.l)	Pump testing Yield (m ³ /hr)	Installation Depth (m)	Remarks
Kiterera	Nabingoola	56477	133.63	3.2	23.02	45.83	2.2	48	Successfully installed.
Kyaterekera	Bageza	56343	119.93	DNV					
Nabateza C	Kigando	56475	119.51	DNV					
Kijijolo	Bageza	56475	119.6	2	44.3	60.06	1.02	63	Successfully installed.
Lwegula A	Kasambya	56476	96.7	1.064	44.87	49.29	0.72	54	Successfully installed.
Buswabwera/Kalungi	Kitenga		114.69	DNV					
Kanzira B	Myanzi	56474	65.88	3.4	33.05	25.45	2.35	30	Successfully installed.
Kyakatebe	Nalutuntu		119.79	0.84	70.12	87.18	0.53		Not installed, Low yield

Source: Completion Report for Siting & Construction Supervision (March 2018), Mubende

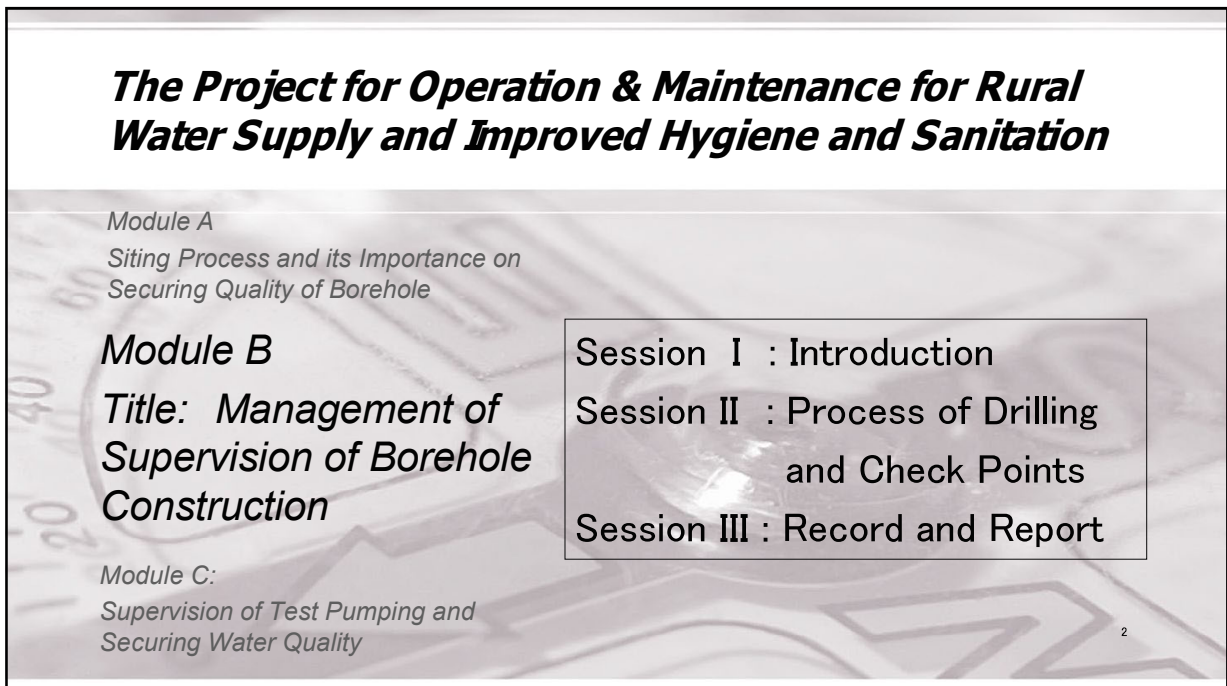
24

24

**Appendix 1-7: Management for Supervision of Borehole
Construction**



1



2

Session I Introduction Functionality of Rural Water Sources

Performance Indicators (n/a = not applicable, ND= No Data)		2015/16	2016/17	2017/18	2018/19	2019/20
1. Basic water: Percentage of population using an improved drinking water source	Rural	67%	70%	70%	69%	68%
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pipeds water service availability	urban (STs)	n/a	92%	93%	94.30%	81%

Functionality is defined as the “%of improved water sources that are functional at time of spot-check”.

The functionality for rural water supply facilities was estimated at 85% in 2017, while at 84%for Deep Boreholes constructed in 2000-2017.

It stagnated at 85%even in 2020 (SPR 2020).

3

3

Introduction Think about what affect the quality of borehole

Have you ever seen any boreholes become unable to pump up some months after construction?

Have you ever seen any boreholes abandoned by users some months after construction?

What are the possible causes?

Contract/Design /Mechanical / Skill / Social / Geological, Water Quality and other factors

Think about

4

4

Introduction: Possible Causes to malfunction – Hydrogeological and Mechanical Causes -

<u>Observed malfunction</u>	<u>Possible Causes</u>	<u>Possible Preventive Measures</u>
Lowering water level in the hole or dried up	Seasonal fluctuation? Perched aquifers?	Check the operation of neighboring BHs and design with sufficient depth. <i>Drill to the bottom of aquifer, not to terminate at the first strike.</i>
Slowing recovery of water level in the hole	Clogging of Screen? Collapsing in hole? Siltation cover screen	<i>Appropriate setting slit of screen and grain-size & thickness of gravel pack. Not to adopt the open-rock hole design to possible fragile part of rock.</i>
Breaking out part of hand pump Hard stroke, small amount of discharge	Corrosion of Pipe?/ Poor material?/ Lose fitting?/ Pipes are not vertical, or bent	<i>Strict quality control on the material, such as stainless "SUS 304" rod for acidic ($PH \leq 6.5$) groundwater, as well as selection of pump type, supervision of pipe/pump installation.</i>

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Introduction : Possible causes of malfunction – Social & Environmental Conditions -

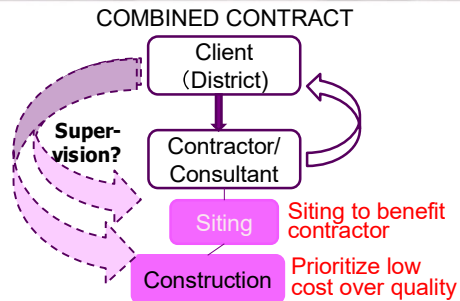
Why are some boreholes are abandoned by Users?

<u>Possible Causes</u>	<u>Possible Cases</u>	<u>Possible Measures</u>
Hard to access	Long/dangerous access	Siting with community participation (PRA Mapping)
Detested location	Graveyard, burial	
Unsafe / Unfavorable Water Quality	Source of contamination nearby; latrine, kraal, unknown sources	> Water Quality Test before use (standardized parameters) > Sensitisation for well organized committee on Security, Hygiene – Distances to the pollutants. – Community meeting – Periodical monitoring
Conflicts/ Vandalism in the community	Management of fund, Security against thief and robber, Stone thrown into hole,	
Unsanitary usage of platform	i.g. washing diapers etc.	

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Formation & Documentation for Borehole Construction Projects

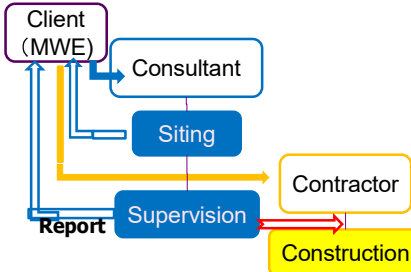
- Construction Contract combined with siting and supervision under Local Gov.?



Regardless of contract method whether BoQ or Lumpsum, Combined Contract is not recommendable, because concerned about

- Siting based on the ease of finding water
- Short cut on-site (low-quality/ inappropriate material, fewer length/volume, stop drilling at the first water strike, etc.)
- Faking the pump test data

SEPARATED CONTRACT



MWE makes service agreement with Consultant for siting and supervision of construction.

MWE makes construction contract with Contractor conditioned under supervision of the Consultant.

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Formation & Documentation for Borehole Construction Projects

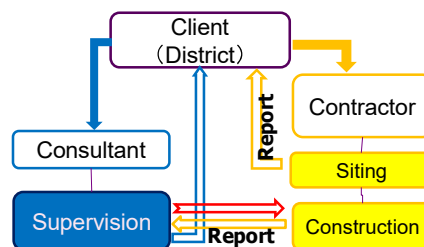
- Construction Contract combined with siting and supervision under Local Gov.?

UNICEF: Principle 3 Borehole siting practice

Siting of boreholes should be professionally and scientifically carried out by competent and experienced groundwater consultants who also have social/community development competence. On projects where more than five boreholes are drilled, and those in difficult groundwater terrains, a hydrogeologist/groundwater specialist should be engaged to carry out the siting. **On small projects (i.e. where up to five boreholes are drilled) which are located in areas where the groundwater is easily accessible, the responsibility for siting may be given to the Drilling Contractor.**

SEPARATED CONTRACT

(Small number & Easy Access to groundwater)



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Formation & Documentation for Borehole Construction Projects - Statement of Requirements for Construction Contract -

Conditions:

Requirements shall be written on the tender and contract documents
Technical Requirements shall be according to TOR, BoQ and Specifications as well

The Supervisors' Authority:

The Consultant shall appoint qualified and experienced personnel, subject to approval of the Client, for day-to-day on-site supervision for all sites wherever the Contractor is operating. Such personnel shall carry out such duties and may exercise authority as may be delegated, and full responsibility shall be borne by the Consultant. Before deployment of such personnel, the Consultant shall be required to provide the Client with full details in form of their Curriculum Vitae and seek written approval.

(Source: RFP for Consultancy Services following publication of a notice of Expression of Interest issued by PPDA, March 2014)

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Statement of Requirements for Construction Contract

The work-plan shall be submitted prior to commencement for the approval

Process: Schedule of Meeting & Inspection,
Required Client's approval in progress

Meeting:

The 1st Meeting shall be held prior to the commencement of field work,
On Site Inspection, Interim/Progress Meeting,
Inspection for completion of drilling and installation of casing pipes upon
the Consultant's program and supervision on Site,
Submission of Draft Final Report

Record Keeping & Deliverables:

Inspection Sheet : Check list for various materials to be used in each stage;
drilling, installation of casing & screen, development and test pumping

Recording formats: "Daily Log for Drilling", "Borehole Pump Test"

Deliverables : Standard format of Reporting, Borehole Log, Test Pumping,

Water Quality Analysis: Parameters are subject to discussion

* Standardization will be recommended in Module C

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SESSION II: Process of Supervision of Borehole Construction

This Supervision is to ensure the process of construction of boreholes with appropriate techniques to the hydro-geological conditions to be encountered.

1. To Confirm the drilling points and the required statements with the contractors
2. To Confirm the equipment and materials to be input to the drilling and installation
3. Inspections (on site, before and during the borehole drilling)
To ensure that whatever the contractor bring onto the site are what will enable him to complete good quality boreholes and conforms to specifications.
4. Instruction for termination of drilling to the Contractor according to the drilling records and interim blow yield measured properly. For this instruction, these records shall be shared always between the Contractor and the Consultant during drilling smoothly.
5. The casing program shall be instructed or approved by the Consultant upon the stipulated format. Checking the installation of pipes and filling shield, gravel packing and backfilling together with their dimensions.
6. Completion Report of borehole construction supervision shall be compiled after the test pumping, water quality test and installation of pump and casing platform if it would be completed successfully.

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Technical Suggestion to the Contractor at the First Meeting

At the first meeting after siting, before commencement of drilling:

➤ Confirmation of Scope of work

Statement of Requirements:

The work-plan submitted for the meeting according to the statement of requirements
BoQ and Specification

Process:

Schedule of Meeting & Inspection, Required Client's approval in progress

Meeting: Meeting prior to commencement, Site Inspection, Interim/Progress Meeting,
Inspection for completion on Site, Submission of Draft Final Report

Record Keeping & Deliverables:

Inspection Sheet : Check list for various materials to be used in each stage;
drilling, installation of casing & screen, development and test pumping

Recording Forms: "Daily Log for Drilling", "Borehole Pump Test"

Deliverables : Standard Form of Reporting, Borehole Log, Pump Test,
Water Quality Analysis

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Technical Suggestion to the Contractor for Preparation

At the meeting after siting, before commencement of drilling:

- confirmation of statement of requirements on the contract.
 - to confirm the siting work was done according to the requirements location, methodology, geological interpretation, community participation and their agreement on drilling site
 - to confirm the tools, materials and equipment to be deployed by the contractor
The List of materials, tools and equipment submitted by the contractor
 - to confirm the design and the work plan for borehole construction
 - Standard design of borehole and casing program with spec of screen & gravel.
 - Required minimum discharge to be confirmed with pumping test
 - Methodology of pumping test (equipment, criteria for setting steps, period of continuous pumping and recovery)
 - Schedule of Drilling, installation of casing and gravel packing, pumping test, water quality test, casting concrete pat and installation of hand pump
 - Conditions to start drilling
 - Date and place of inspection prior to commencement
 - Clearance of yard, storage, access road and drilling site

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Check List for Work-Plan at the 1st Meeting prior to the work on-site

Check List

- ✓ Refer to the Siting Report with condition for drilling at the selected point
- ✓ Borehole Design: Target Depth, full screen/open hole, drilling diameter

- ✓ Drilling Rig and Compressor, if DTH adopted
- ✓ Materials: Dimension and Quality of Casing Pipe, Screen Pipe, Gravel, Agent etc.
- ✓ Tools: Drilling tools (bit, work casing, etc.),
- ✓ Water Sampling tools for physico-chemical and micro-biological tests
- ✓ Equipment: Pump Testing (pump, pipes, measuring tools)
- ✓ Hand Pump Type: Type, quality of parts such as rods, cylinder, rising main etc

- ✓ Methodology: Drilling method, and required land for yard including stock yard
Storing and submission of drilled samples with image data
- ✓ Methodology: Pumping Test – Recording sheets for Step Drawdown, Continuous Constant pumping and recovery. How the discharge will be estimated against required.
- ✓ Item of Water Quality test and standards (WHO / National), and Laboratory

- ✓ Security Measures to be taken on site
- ✓ Schedule for Meeting, on site inspection and Reporting

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I-a. Key points for smooth site transfer

- Transfer the exact location to the Contractor by the Supervisor in consultation with Water Point Committee.
- Suggest the direction of drainage and the location of soak away pit are to the Contractor with the Community's consent.
- Tracks required for access of drilling rig, equipment, camp and accessories to the borehole site shall be made by the Contractor, as little as possible interfere with existing structures and cultivated land.
- Compensation for securing the space for drilling works should be cleared, including trees to be cut.



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I-b. Inspection and Instruction under Supervision

This Supervision is to ensure the process of drilling of boreholes with appropriate techniques to the hydro-geological conditions encountered.

1. to specify the requirements for drilling work in the "Request For Proposal" and Statement of Requirement (SoR) in the contract documents.
2. at preparatory stage before starting on-site work, to hold a meeting to communicate the requirements clearly and to confirm the equipment and personnel to be deployed.
3. to check on-site the materials and equipment brought in against the specifications to confirm the possibility of safe and proper construction.
4. to make sure that the materials and equipment used during construction are appropriate and that the necessary measurements being made.
5. to judge the termination of drilling based on the actual drilling situation to the specifications.
6. to set the casing program to ensure safe and efficient groundwater intake, to instruct the contractor on proper gravel packing, and to supervise proper installation of casing pipe.

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I.c. On-Site Inspection Before Drilling

On site inspection prior to the commencement

- Introduction of the Contractor to the community and indication of the exact location of the drilling site with direction of drainage
- Confirming the measures to be taken for safety
- Checking the prepared tools, materials and equipment comparing the work schedule and the requirements
- Committee Member's Presence,
- Confirmation of drilling point,
- Position of soak away considering overflowing drainage.
- Appoint a person in charge of safety management
- Out of bounds to unauthorized persons, local people
- Drilling Site Signs: Clear message, Symbolic Colour,
- Operators' Personal Protective Equipment
- See Next Slid

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I.c. On-Site Inspection Before Drilling

The Consultant shall make the Contractor to concentrate the all machinery and equipment for the inspection at the Contractor's yard. The purpose of the inspection is to verify the specifications and state of repair of all major items of drilling plant.

Major items for Equipment and Materials Inspection

- i. Drilling rig (top head drive, air rotary percussion)
- ii. Compressor (700 cfm or greater, truck or rig mounted)
- iii. Support truck (at least one per drilling team)
- iv. Water tank (truck or trailer mounted)
- v. Light support vehicle (preferably 4WD pickup)
- vi. Tricone roller bits (10 5/8")
- vii. Drag bits (10 5/8", 8".)
- viii. DTH button bits (10 5/8", 8", 6", 4 1/2")
- ix. Temporary casings (at least 8" internal diameter)
- x. Drilling rods - total length about 120m with max. diameter 4 1/2"
- xi. Grouting pump and accessories, including tremmie pipes.
- xii. Hammers (to accommodate 8", 6" and 4 1/2" bits)
- xiii. Borehole caps (wooden, plastic or metallic)



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Check-List for Site Inspection (1/2) for Equipment

1. Drilling rig : Year of Manufacture: / Manufacturer:/ Lifting capacity:/
 - Raise mast.
 - Start and run for an hour without problem.
 - Check for oil leaks and get any fixed before giving approval.
2. Compressor : Year of Manufacture: /Manufacturer:
 - Start and run for an hour without problem.
 - Mud pump and generator
 - Check rating against estimated borehole depths.
 - Test pumps and generator.
3. Grouting Pump and accessories, including “tremie” pipe
4. Water tanker : - Check for leaks.(truck mounted / trailer mounted)
5. Support trucks : - Check for allocation of light support vehicles .

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Check-List for Site Inspection (2/2) for Tools & Material

6. Drill-pipes appropriate and in working condition
7. Drill-rods are adequate.
 - Check that there are adequate lengths of drill pipes to drill the deepest hole.
8. Drill-bits (and hammer depending on the type of drilling rig)
 - Correct diameter. / Proper drill-bits available for likely ground conditions.
 - Check condition : Hammers and bits are of the proper diameter (measure).
9. Temporary casing diameter is correct.
10. Materials (Sample Inspection)
 - 1) Materials meet with technical specifications,
 - 2) Drilling fluid,
 - 3) Sampling box,
 - 4) Casing and screen (measure length and diameter),
 - 5) Filter pack and gravel materials, and
 - 6) Screen (Open ratio, Slit width / Length, strength)

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1-d. Site Inspection during drilling



Mud Drilling and Location of Mud Pit



Air Percussion Drilling



Measuring the blowing yield of borehole

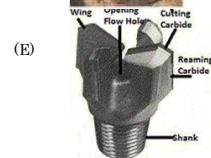
Though, the **SAFETY CONTROL** must be the contractor's responsibility, the Client shall insert the condition of contract to **appoint the safety controller** and make them to **submit the plan of safety control and the report of safety control**. And **the Supervisor shall check it on site** according to the plan.

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1-d. Site Inspection during drilling

Example of Bit Type



- (A) Tricone bit, many types are developed from soft to hard rock.
- (B) PDC bit, for the rocks not very hard and not cohesive, such as sandstone, silt stone and shale.
- (C) DTH Air hammer & button bit, for confined to very hard rock, not suitable for soft / loose sediment.
- (D) Coring bit, for rock core sampling.
- (E) Drag Bit (4 wing type) For drilling in soft / loose formation mainly from surface with large diameter

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1-e. Site inspection for Terminate Drilling and Installation of Casing

>>> Critical Point <<<

- Termination of drilling and acceptance of casing program

(Acceptance of the casing installation depth for open hole design)

- No other aquifer cannot be expected after the Contractor propose to stop.
 - Key Point for Instruction
- Adequate **Screen depth** according to the records of interim (Blow) yield
- Suitable **slit width**, specified open ratio checked by width, length, and number
 - Key Point for instruction
- Appropriate gravel for packing (grain size, hardness, free from soft matters)

- Gravel Packing after casing installation

- Checking **the depth of** bottom & top **of gravel** packing with measuring
- the top shall be **1m or more above the screen** after compaction by watering
- the cement grouting in appropriate depth and manner with **tremie pipe**

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Instruction on Termination of Drilling and Installation of Casing

KEY POINTS To Get Better Performance

If the bottom of the hole has not yet reached the base of the aquifer, or if further aquifers can be expected below the bottom of the hole from the VES results, **Make the contractor to continue drilling until the entire aquifer is covered.**

If the aquifer is thicker than the length of the prepared screen pipe, **Make the contractor to add required screen pipes.** However, aquifers shallower than 30m are likely to be contaminated from the ground surface even **the contaminated water flow shall be blocked by grouting above the gravel-packed screen depths.**

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Reporting on Supervision of Borehole Construction (Formats for Record of Drilling)

Drilling Specifications					
Depth	Borehole	Drilling Method	Drilling	Drilling	Drilling
From (m)	To (m)	Drill Bit	Drill Pipe	Drill Rod	Drill Collar
0	10	100	100	100	100
10	20	100	100	100	100
20	30	100	100	100	100
30	40	100	100	100	100
40	50	100	100	100	100
50	60	100	100	100	100
60	70	100	100	100	100
70	80	100	100	100	100
80	90	100	100	100	100
90	100	100	100	100	100
Depth of overburden: 20.00 m @ 2.00 m					
Depth of overburden in borehole: 40.00 m					

Equipment Installed					
From (m)	To (m)	Equipment	Quantity	Remarks	Notes
0	10	100	100	100	100
10	20	100	100	100	100
20	30	100	100	100	100
30	40	100	100	100	100
40	50	100	100	100	100
50	60	100	100	100	100
60	70	100	100	100	100
70	80	100	100	100	100
80	90	100	100	100	100
90	100	100	100	100	100

Annular Space					
From (m)	To (m)	Annular Space	Backfill	Seal	Remarks
0	10	100	100	100	100
10	20	100	100	100	100
20	30	100	100	100	100
30	40	100	100	100	100
40	50	100	100	100	100
50	60	100	100	100	100
60	70	100	100	100	100
70	80	100	100	100	100
80	90	100	100	100	100
90	100	100	100	100	100

Roundness of Gravel	
Roundness	Quantity
Angular	100
Subangular	100
Subspherical	100
Round	100

State of Gravel	
State	Quantity
Clear	100
Fairly Clean	100
Dirty	100

LEGEND - WELL DESIGN	
Symbol	Description
○	Current Gravel
○	Front Backfill
○	Gravel pack
○	Gravel annular space
○	Gravel casing
○	Gravel casing

Lithology	
Depth (m)	Description
0 - 10	Gravel
10 - 20	Gravel
20 - 30	Gravel
30 - 40	Gravel
40 - 50	Gravel
50 - 60	Gravel
60 - 70	Gravel
70 - 80	Gravel
80 - 90	Gravel
90 - 100	Gravel

Yield	
Water Street (m)	Yield (m ³ /day)
0	100
10	100
20	100
30	100
40	100
50	100
60	100
70	100
80	100
90	100
100	100

Water Level at Start of Each Day	
Date	Water Level at Start of Day (m)
01/01/2020	100
02/01/2020	100
03/01/2020	100
04/01/2020	100
05/01/2020	100

Development	
Depth (m)	Annular space
0	100
10	100
20	100
30	100
40	100
50	100
60	100
70	100
80	100
90	100
100	100

Materials Used	
Material	Quantity
Current Gravel	100
Gravel (Gravel)	100
Plain Casing (m)	100
Slotted Casing (m)	100

Checked By: _____

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Reporting on Supervision of Borehole Construction

Comparison of Log (Actually submitted / Correction following Standard)

Log Specifications					
Depth	Borehole	Drilling Method	Drilling	Drilling	Drilling
From (m)	To (m)	Drill Bit	Drill Pipe	Drill Rod	Drill Collar
0	10	100	100	100	100
10	20	100	100	100	100
20	30	100	100	100	100
30	40	100	100	100	100
40	50	100	100	100	100
50	60	100	100	100	100
60	70	100	100	100	100
70	80	100	100	100	100
80	90	100	100	100	100
90	100	100	100	100	100
Depth of overburden: 20.00 m @ 2.00 m					
Depth of overburden in borehole: 40.00 m					

Components Added to Drilling Procedure					
From (m)	To (m)	Equipment	Quantity	Remarks	Notes
0	10	100	100	100	100
10	20	100	100	100	100
20	30	100	100	100	100
30	40	100	100	100	100
40	50	100	100	100	100
50	60	100	100	100	100
60	70	100	100	100	100
70	80	100	100	100	100
80	90	100	100	100	100
90	100	100	100	100	100

Equipment Installed					
From (m)	To (m)	Equipment	Quantity	Remarks	Notes
0	10	100	100	100	100
10	20	100	100	100	100
20	30	100	100	100	100
30	40	100	100	100	100
40	50	100	100	100	100
50	60	100	100	100	100
60	70	100	100	100	100
70	80	100	100	100	100
80	90	100	100	100	100
90	100	100	100	100	100

Annular Space					
From (m)	To (m)	Annular Space	Backfill	Seal	Remarks
0	10	100	100	100	100
10	20	100	100	100	100
20	30	100	100	100	100
30	40	100	100	100	100
40	50	100	100	100	100
50	60	100	100	100	100
60	70	100	100	100	100
70	80	100	100	100	100
80	90	100	100	100	100
90	100	100	100	100	100

Roundness of Gravel	
Roundness	Quantity
Angular	100
Subangular	100
Subspherical	100
Round	100

State of Gravel	
State	Quantity
Clear	100
Fairly Clean	100
Dirty	100

LEGEND - WELL DESIGN	
Symbol	Description
○	Current Gravel
○	Front Backfill
○	Gravel pack
○	Gravel annular space
○	Gravel casing
○	Gravel casing

Lithology	
Depth (m)	Description
0 - 10	Gravel
10 - 20	Gravel
20 - 30	Gravel
30 - 40	Gravel
40 - 50	Gravel
50 - 60	Gravel
60 - 70	Gravel
70 - 80	Gravel
80 - 90	Gravel
90 - 100	Gravel

Yield	
Water Street (m)	Yield (m ³ /day)
0	100
10	100
20	100
30	100
40	100
50	100
60	100
70	100
80	100
90	100
100	100

Water Level at Start of Each Day	
Date	Water Level at Start of Day (m)
01/01/2020	100
02/01/2020	100
03/01/2020	100
04/01/2020	100
05/01/2020	100

Development	
Depth (m)	Annular space
0	100
10	100
20	100
30	100
40	100
50	100
60	100
70	100
80	100
90	100
100	100

Materials Used	
Material	Quantity
Current Gravel	100
Gravel (Gravel)	100
Plain Casing (m)	100
Slotted Casing (m)	100

Checked By: _____

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Evaluation

Example of Submitted Report for MWE's Contract

Misunderstandings on requirement of the column, Wrong description from hand written, etc.

Drilling Specification						
Depth		Borehole		Drilling Method		
From (m)	To (m)	Diameter (mm)	Rotary	Rotary	Hammer	Others
			Air	Mud	(DTH)	
0	21	304				Drag?
21	32.2	203			B & H	
32.2	73.6	165			B & H	
Regolith Depth		4.0 m bgl				
Depth drilled in bedrock		69.6 m				

Equipment Installed					
Depth		Plain Casing		Screen / Slotted Casing	
From (m)	To (m)	Diameter (mm)	Type	Diameter (mm)	Slot size
0.0	25.4	125/140	uPVC		
25.4	28.3			125/140	uPVC 1.0
28.3	31.2			125/140	uPVC 1.0
31.2	32.2	125/140	uPVC		

Annular Space					
Depth		Gravel Pack	Back Fill	Seal	
From (m)	To (m)	Size (mm)	Type	Cement	Clay
0	3				
3	22.4		Cuttings		
22.4	31.2	2.5 - 4 mm			
31.2	32.2				

Log Specification						
Depth		Borehole		Drilling Method		
From (m)	To (m)	Diameter (mm)	Rotary	Hammer	Others	
0	21.00	304				0
21.00	32.20	203.0			Button & Hammer	
32.20	73.60	165			Button & Hammer	2
Depth of overburden		32.20 (m bgl)				
Depth drilled in bedrock		41.40 (m)				

Components Added to drilling Fluid/Air				
Depth		Drilling Fluid	Components Added	
From (m)	To (m)	Type	Type	Qty

Equipment installed						
Depth		Casing		Screen		
From (m)	To (m)	Diameter (mm)	Type	Diameter (mm)	Type	Slot size
0	28.40	125/140	uPVC			
28.40	28.30	125/140	Screen	uPVC	1mm	
28.30	31.20	125/140	Screen	uPVC	1mm	
31.20	32.20	125/140	uPVC			
Total Length		15.92		3.84		
		21.76 (m bgl)				

Annular Space					
Depth		Gravel pack	Back fill	Seal	
From (m)	To (m)	Size (mm)	Type	Cement	Clay
0	3				
3	22.4		Cuttings		
22.4	31.2	2.5 - 4 mm			
31.2	32.2				

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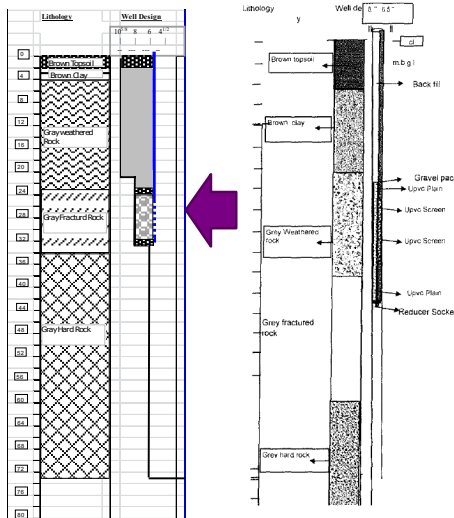
Evaluation

Example of Submitted Report for MWE's Contract

Dimensionless illustration for Drilled hole/Casing etc.

LEGEND - WELL DESIGN	
Cement Grout	
Inert Backfill	
Gravel pack	
Plain Casing	
Slotted casing	

Dimensions, both laterally and vertically, shall be drawn on the borehole design using the excel format adequately.



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Reporting on Supervision of Borehole Construction (Formats for pump installation)

WATER, SANITATION AND HYGIENE SUB SECTOR			
VILLAGE:		WELL ID No.:	
PARISH:		DATE:	TIME:
SUB COUNTY:		CONTRACTOR:	
COUNTY:		CONSULTANT:	
DISTRICT:			
INSTALLATION DETAILS			
Date of Platform Casting & Pump Stand (dd/mm/yy)	Static Water Level (m)		
Installation Depth (m)	Pump Type: IMK2, IMK3, AGridev etc		
Riser Type (Material): GI, SS	Pipe Type (Material): GI, SS, PVC		
No. of Pipes used	No. of Riser mains		
Preventive Checks			
Pump tested in Bucket before installation?	Riser Chain Greased?		
All pipes and coupling threading properly fitting?	Nuts and Bolts all tightened?		
Certification (Work done in the presence of)			
WSC representative or Village member (Name & Signature)			
Contractor (Name & Signature)			
Supervisor (Name & Signature)			

WATER, SANITATION AND HYGIENE SUB SECTOR			
Pump Installation Report			
VILLAGE:		WELL ID No.:	
PARISH:		DATE:	TIME:
SUB COUNTY:		CONTRACTOR:	
COUNTY:		CONSULTANT:	
DISTRICT:			
INSTALLATION DETAILS			
Date of Platform Casting & Pump Stand (dd/mm/yy)	Date of Pump Installation (dd/mm/yy)		
Pump Type	IMK2 (U2/Imppt) / IMK3 (U3/Imppt/U3M)		
Borehole Data:	Depth (m)	Open hole (m-)/ Full Screen	
	Casing Total (m)	Screen Top (m)	
	S.W Level (m hgt)	PH ()	
Pump Detail	Cylinder Depth (m)	Riser Type (Material): GI, SS, PVC, uPVC	
Check point:	Screen Top, have enough water head to SWL	No. of Riser mains ()	
	GI pipe and MS rods shall not be used for acidic (PH<6.5) groundwater.	Rod's Material and No. MS/SS ()	
Preventive Checks			
Pump tested in Bucket before installation?	Riser Chain Greased?		
All pipes and coupling threading properly fitting?	Nuts and Bolts all tightened?		
Certification (Work done in the presence of)			
WSC/WUC representative or Village member (Name & Signature)			
Contractor (Name & Signature)			
Supervisor (Name & Signature)			

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Reporting on Supervision of Borehole Construction

STANDARD REPORTING FORMAT	
GENERAL DETAILS	
Well ID No.:	Starting Date:
Source Name:	Completion Date:
Village:	Depth:
Parish:	Drillers Yield:
Sub County:	
County:	
District:	
Gender Balance on Site	
SUCCESSFUL/FAILED SOURCE (Indicate whichever is applicable)	
Geophysics Data Compared to Drilling Results	
Problems Encountered During Drilling	
Causes of Failure where Applicable	
Recommendation for Future Siting/Drilling	
ASSESSMENT OF CONTRACTORS PERFORMANCE (Over Borehole)	
Availability of necessary tools, trucks and equipment:	
Arrival time on site:	
Down time (Hrs):	
Cause of Downtime (mechanical, fuel, staff, tools, roads etc)	
Frequency of Breakdown:	
Early communication to Supervisor/Client on Breakdown:	
Acceptance of Instructions:	
Following Instructions and Technical Specifications:	
Timely and Correct Entry of Records:	
Communication skills and Discussion of Issues:	
Drilling Pace Relative to Contract Plan:	
Use of Protective Gear by Crew at Site:	
Availability of Temporary Sanitary Facilities on Site:	

- Under the framework contract for the Consulting Services, MWE provides the supervisors this format of reporting for evaluation of the contractors' performance and the regional natural conditions.
- It would be more effective if many Districts, which apply the conditional grant to borehole construction, evaluate the contractor's performance in a similar format and share the evaluation results.

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**Appendix 1-8: Required Test Pumping and Water Quality Test
for Borehole Construction under District
Government**

• Training Material C

Required Test Pumping and Water Quality Test for Borehole Construction under District Government

The Project for Operation & Maintenance for Rural Water Supply and Improved Hygiene and Sanitation

1

The Project for Operation & Maintenance for Rural Water Supply and Improved Hygiene and Sanitation

Module A
Siting Process and its Importance on Securing Quality of Borehole

Module B
Title: Management of Supervision of Borehole Construction

Module C:
Supervision of Test Pumping and Securing Water Quality

Session I : Introduction
Session II : Test Pumping
Session III : Water Quality Test

2

Session I Introduction Functionality of Rural Water Sources

Performance Indicators (n/a = not applicable, ND= No Data)		2015/16	2016/17	2017/18	2018/19	2019/20
1. Basic water: Percentage of population using an improved drinking water source	Rural	67%	70%	70%	69%	68%
	Urban	71%	71%	77%	79%	70.50%
5. Functionality: rural: % of water sources functional at time of spot-check	Rural	86%	85%	85%	85%	85%
pipied water service availability	urban (STs)	n/a	92%	93%	94.30%	81%

Functionality is defined as the “%of improved water sources that are functional at time of spot-check”.

The functionality for rural water supply facilities was estimated at 85% in 2017, while at 84%for Deep Boreholes constructed in 2000-2017.

It stagnated at 85%even in 2020 (SPR 2020).

3

3

Introduction: What is a successful borehole in quantity and quality

Have you ever seen any boreholes become unable to pump up some months after construction?

Have you ever seen any boreholes abandoned by users some months after construction?

The “pumping tests” and “water quality tests” are necessary to judge the borehole “success” or not at the construction stage, though it is important to collect groundwater from stable aquifer in order to reduce the risk of deterioration of water quantity and quality.

4

4

SESSION II: Test Pumping (Simplified evaluation of borehole capacity)

- Acquire basic understanding of the various criteria of “success” borehole in water discharge, and the principles of test pumping simplified evaluation method for borehole capacity for handpump.
- Understand the meanings of the step drawdown and the constant discharge tests, and a brief appreciation of the various parameters derived from test pumping data applied for a source of piped water scheme.
- Attain a basic skills to effectively supervise test pumping exercises.

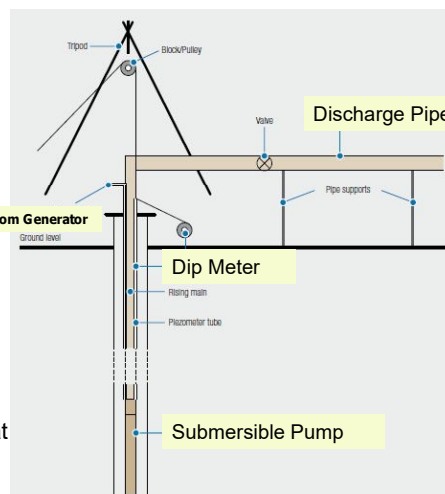
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Pumping Test: Equipment and Categories



A test-pumping rig



The air lift test during development gives a very rough indication for borehole yield prior to the following standard tests.

1. Step Draw-down Test
 - Discharge (Q) – Drawdown (s)
 - Specific Capacity/Maximum Yield
2. Constant Discharge Test
 - To confirm the appropriate yield that makes drawdown level stable without further lowering
3. Recovery Measurement

6

6

Pumping Test: Suggested methods for evaluation of borehole capacity and criteria

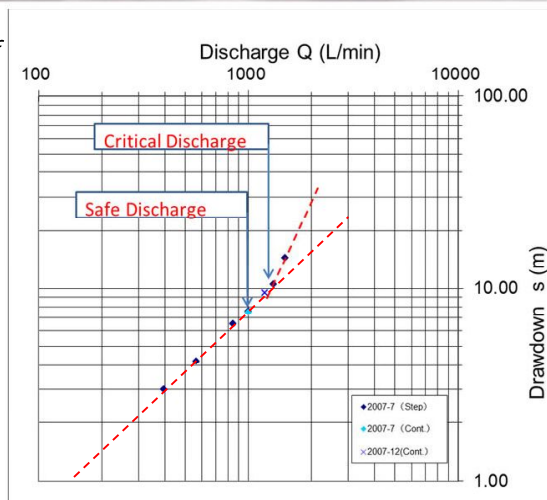
Blowing Yield at Airlift (L.p.h)	District Implementation Manual (2013)	RFP: Frame work Contract under MWE (2018)
2,000	Constant Discharge Test at 1,000 (L/hr) or more.	Step Drawdown Test (initial step at 800 (L/hr), at 3 steps minimum for 90 mins each, dynamic water level shall be lower than 3m above the pump at final step.)
1,500		Constant Discharge Test with pumping rate at 800 (L/hr) for 3 hrs or water level stabilises.
1,000	Constant Discharge Test with pumping rate at 800 (L/hr) for 3 hrs or water level stabilises.	(judged as Unsuccessful Borehole if the water level does not stabilise with pumping at 800 (L/hr) after 3 hrs pumping.)
500	Constant Discharge Test with pumping rate at 500 (L/hr) for 3 hrs. Recover 90% in 90 minutes. If not sustain 500 (L/hr), two low yield boreholes (if it's 300-400 L/hr) in a village shall be considered.	(Unsuccessful Borehole?)
300		

7

7

Pumping Test : Step Drawdown Test

STEP DRAW-DOWN TEST is a test to confirm the existence of the critical / maximum discharge by stepping up the pumping rate to the pump capacity. When the discharge "Q" and the drawdown "s" are plotted on a log-log graph, the value of "s" with respect to "Q" increases rapidly when it is above the critical discharge, and the slope of (log s)/(log Q) indicates more than 45°. In case that the critical discharge is more than the pump capacity or the final step of pumping rate, the line of (log s)/(log Q) maintain 45 degree.



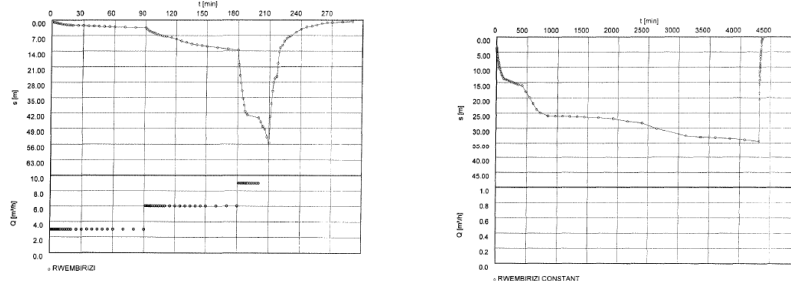
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Evaluation

Example of Submitted Report for MWE's Contract

(Step drawdown test, Constant Discharge Test & Recovery)



Step drawdown test (Left) shall be done on 4 steps or more.

TS (MWE 2019) suggests 1/3 of estimated yield for the 1st step, and 2/3, 3/3 and 4/3 for 2nd, 3rd and 4th steps.

As the rapid down was found on 3rd step, so the yield could have been estimated lower. Constant Test, regulated for productive borehole, was continued for 72 hours, but the yield could have been not constant.

The yield should be recorded and made constant with less than the yield which made steep drawdown at the step drawdown test.

Source; Completion Report for 11 HP BH, Aquatech, Sep. 2018

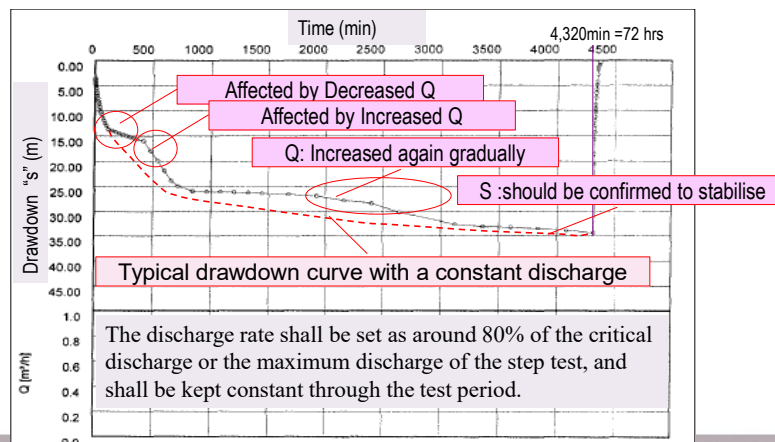
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Evaluation of Pumping Test

Constant Discharge Test & Recovery Test

(MWE) The productive borehole should be tested for 72 hours. The recovery of water level should be monitored by the Contractor until 95% recovery has been achieved, or until advised by the Supervisor.



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Recommendation for Specification of Pumping Test

To measure Blowing Yield (Q_b) during drilling and development. If Q_b is 500 lph or less, it is judged as a failure. Otherwise, Step Drawdown test is performed.

Step should be 4 steps as standard, and the pumping rate should be in the range of $0.8 Q_b \sim 1.25 Q_b$, in case " $0.8 Q_b < Q_r < 1.25 Q_b$ " (Q_r : required yield for success.)
 $0.8 Q_b \sim 1.25 Q_r$, in case " $1.25 Q_b < Q_r$ ", and $0.8 Q_r \sim 1.25 Q_b$, in case " $Q_r < 0.8 Q_b$ "

For Instance; Q1 to Q4 are set as;

$Q_b=900\text{lph}$, $Q_r=1,000\text{ lph}$ → 720, 900, 1000, 1150 (lph)

$Q_b=700\text{ lph}$, $Q_r=1,000\text{ lph}$ → 560, 700, 1,000, 1250 (lph)

$Q_b=1,300\text{ lph}$, $Q_r=1,000\text{ lph}$ → 800, 1,080, 1,350, 1,625 (lph)

The pumping duration of **each step is 90 minutes (6 hrs. in total)**, and the *recovery* water level is measured up to 95% (+2 hrs.)

From the test results, 80% of the Critical yield " Q_c " (or the Maximum yield " Q_m " in steps if Q_c is not detected) is taken as the Constant Discharge Test yield.

The **Constant Discharge Test** starts after confirming that the water level has recovered to the static water level the next day, and continues **for 3 hours**, and then measures the recovery water level to 95%.

If the water level continues to drop even after 3 hours, extend until it stabilizes or repeat the next day with a reduced rate.

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SESSION III: Water Quality Test (Standardization of test parameters)

Uganda National Bureau of Standard (UNBS) has adopted East African Standard 12 (US EAS 12: 2014) for the water quality standard for potable water.

EAS 12 indicates maximum limit values for characteristics that affect safety in addition to physical requirement (7 parameters) and chemical requirement (7 parameters). These upper limits covers 20 items for inorganic substances, 22 items for organic substances, and 9 types of microorganisms.

EAS 12 recognizes that, in many instances, the cost of performing a complete analysis on all specified values can be prohibitive. For this reason, analysis of 16 parameters (6 physical items, 7 chemical items, and 3 microorganisms) may be deemed acceptable as minimum requirement for the purpose of indicating on going levels of operational efficiency in a water treatment plant.

Then, what items should we check for untreated water quality at borehole /well construction?

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Water Quality Standards and Parameters (1)

Recommended for hand pump borehole by JICA Team

No.	Characteristic / Substance	EAS 12: 2014 (UNBS)		Minimum monitoring for treatment	Tech. Spec (MWE 2019)	Report (2018) to MWE (NWSC Lab)	Recommendation for BH Construction
		Requirements for untreated water	Method of test				
<Physical Requirement>							
i)	Colour (TCU max)	50	ISO 7887	○	○	○	○
ii)	Turbidity (NTU max)	25	ISO 7027	○*	○	○	○*
iii)	pH	5.5 - 9.5	ISO 10523	○	○	○	○
iv)	Tast	Not objectionable	-	○	○	○	○
v)	Odour	Odourless	-	○	○	○	○
vi)	Conductivity (µS/cm) max.	2500	ISO 7888	○	○	○	○
vii)	Suspended matter	Not detectable	ISO 11923	○	○	○	○
<Chemical Requirement> (mg/L max.)							
i)	Total dissolved solids	1,500	ASTMD 5907	(* alternative)	○	○	(* alternative)
ii)	Total hardness, as CaCO ₃	600	ISO 6059	○	○	○	○
iii)	Aluminium, as Al ⁺⁺⁺	0.2	ISO 12012	○	○	○	○
iv)	Chloride, as Cl ⁻	250	ISO 9297	○	○	○	○
v)	Total Iron as Fe	0.3	ISO 6332	○	○	○	○
vi)	Sodium, as Na ⁺	200	ISO 9964-1	○	○	○	○
vii)	Sulphate SO ₄	400	ISO 22743	○	○	○	○
viii)	Zinc, as Zn ⁺⁺	5	ISO 8288	○	○	○	○
ix)	Magnesium, as Mg ⁺⁺	100	ISO 7980	○	○	○	○
x)	Calcium, as Ca ⁺⁺	150	ISO 7980	○	○	○	○

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Water Quality Standards and Parameters (2)

No.	Characteristic / Substance	US EAS 12: 2014 (UNBS)		Minimum monitoring for treatment	Tech. Spec (MWE 2019)	Report (2018) to MWE (NWSC Lab)	Recommendation for BH Construction
		Requirements for untreated water	Method of test				
<<Characteristics affect the safety>>							
<Inorganic contaminants> mg/L, max.							
i)	Arsenic, as As	0.01	ISO 11969				
ii)	Cadmium, as Cd	0.003	ISO 5961				
iii)	Lead, as Pb	0.01	ISO 8288				
iv)	Copper, as Cu	1.000	ISO 8288				
v)	Mercury (total as Hg)	0.001	ISO 12846				
vi)	Manganese, as Mn	0.1	ISO 6333				
vii)	Selenium, as Se	0.01	ISO 9965				
viii)	Ammonia (NH ₃)	0.5	ISO 11732	○			○
ix)	Chromium Total, as Cr	0.05	ISO 9174				
x)	Nickel, as Ni	0.02	ISO 8288				
xi)	Cyanide, as CN	0.01	ISO 6703				
xii)	Barium, as Ba	0.7	ISO 14911				
xiii)	Nitrate as NO ₃ ⁻	45	ISO 7890	○		○	○
xiv)	Boron, as Boric acid	2.4	ISO 9390				
xv)	Fluoride, as F ⁻	1.5	ISO 10359	○		○	○
xvi)	Bromate, as BrO ₃ ⁻	0.01	ISO 15061				
xvii)	Nitrite	0.003	ISO 6777	○			○
xviii)	Molybdenum	0.07	ISO 11885				
xix)	Phosphates, as PO ₄ ³⁻	2.2	ISO 15681				
xx)	Residual free Chlorine	Absent	ISO 7393	○			○

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Water Quality Standards and Parameters (3)

No.	Characteristic / Substance	EAS 12: 2014 (UNBS)		Tech. Spec (MWE 2019)	Report (2018) to MWE (NWSC Labo)	Recommendation for MWE
		Requirements for untreated water	Method of test			
<<Characteristics affects the safety>>						
<Organic contaminants>						
		µg/L max.				
i)	Aromatics					
	- Benzene	10	ISO 11423			
	- Toluene	700	-			
	- Xylene	500	-			
	- Polynuclear aromatic hydrocarbon	0.7	ISO 13877			
ii)	Chlorinated Alkanes and Alkenes					
	- Carbon Tetrachloride	2	-			
	- 1,2-Dichloroethane	30	-			
	- 1,1-Dichloroethane	0.3	-			
	- 1,1Dichloroethene	30	-			
	- Tetrachloroethene	40	-			
iii)	Phenolic substances					
	- Phenols	2	ISO 8165			
	- 2,4,6-Trichlorophenol	200	ISO 14402			
iv)	Trihalomethanes					
	- Chloroform	30	-			
v)	Pesticides					
	- Aldrin/Dieldrin	0.03				
	- Chlordane (total)	0.3				
	- DDT (total)	1				
	- Heptachlor and Heptachlor Epoxide	0.03	ISO 15089			
	- Hexachlorobenzene	1				
	- Lindane BHC	2				
	- Methoxychlor	20				
vi)	Surfactants (reacting with methylene Blue)	200	ISO 16265			
vii)	Mineral oil	0.01				
viii)	Organic matter	3				

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Water Quality Standards and Parameters (4)

No.	Characteristic / Substance	EAS 12: 2014 (UNBS)		Tech. Spec (MWE 2019)	Report (2018) to MWE (NWSC Labo)	Recommendation for MWE
		Requirements for untreated water	Method of test			
<<Characteristics affects the safety>>						
<Microbiological limits>						
i)	Total viable counts at 22 °C, in mL, max. ^a	100	ISO 6222			
	Total viable counts at 37 °C, in mL, max. ^a	50				
ii)	Total Coliforms ^{b)} in 100 mL	Absent	ISO 4832			
iii)	E. coli^{b)} in 100 mL	Absent	ISO 9308-1	○		○
iv)	Staphylococcus aureus in 100 mL	Absent	ISO 6888-1			
v)	Sulphite reducing anaerobes in 100 mL	Absent	ISO 6461-2			
vi)	Pseudomonas aeruginosa fluorescence in 100 mL	Absent	ISO 16266			
vii)	Streptococcus faecalis in 100mL	Absent	ISO 7899-2			
viii)	Shigella in 100 mL	Absent	ISO 21567	○		*
ix)	Salmonella in 100 mL	Absent	ISO 6785	○		*
a.	This parameter is for monitoring the system at source. Total time before analysis should be not more than 6 h at 4 °C. Determination of total viable counts shall start within 12 h after collection of the potable water sample.					
b.	During the bacteriological quality control for different types of water supply. For untreated water, Number of E-coli per 100 ml shall be: Absent, 3 coliform organisms in any one sample, Absent in any two consecutive samples or absent in 98% of yearly samples				Tested also Alkalinity and Bicarbonate	*: For additional after detection of E-Coli

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Water Quality Test & Management against Poor Water Quality

For essential Physico-chemical Parameters, the Contractor shall be normally suggested to collect 2 liters or more of sample in a sealed container, and to transport it to the laboratory with keeping in dark and cool. The container shall be rinsed several times with the targeted water before sampling.

For micro-biological test, DWOs shall identify the available / capable laboratory to which the Contractor can transport the sample within 6 hrs from the site.

For sampling for Micro-biological Parameters, the special care shall be taken, otherwise the laboratory staff shall be called by the Contractor for sampling.

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Water Quality Test & Management against Poor Water Quality

Special Care for water sampling for microbiological test:

- 1) Prepare a sterilized container (200 ml) in a sealed bag **,
- 2) Sterilize the outlet of the water (with gas lighter or alcohol lamp),*
- 3) Collect water without touching the inside of the bag or the mouth of the container.*
- 4) Deliver the sample to the laboratory within 6 hours while keeping it in likely an ice box.*

**: Sterilized containers should be obtained in advance from the laboratory.*

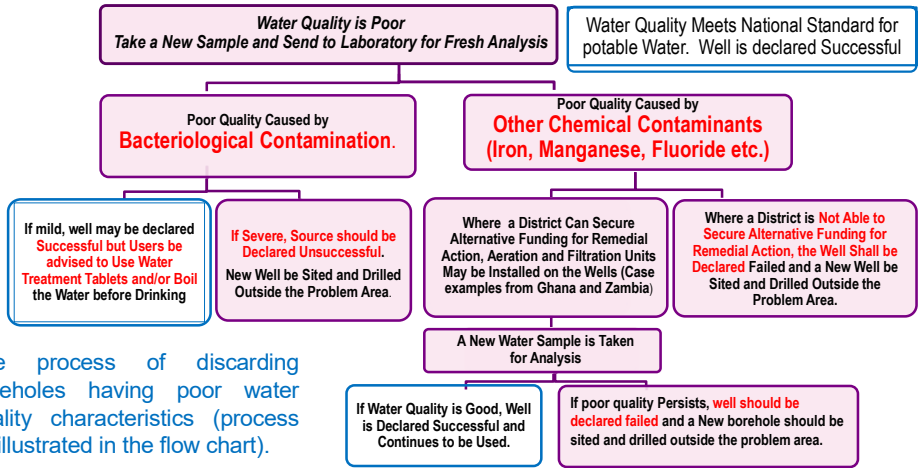
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Water Quality Test & Management against Poor Water Quality

Flow Chat for Discarding Boreholes Experiencing Poor Water Quality

At the End of Test Pumping, Water Sample is Collected and Taken to the Laboratory for Quality Analysis



The process of discarding boreholes having poor water quality characteristics (process as illustrated in the flow chart).

**Appendix 1-9: Handbook on Hygiene and Sanitation Approaches
to Promote Open Defecation Free**



THE REPUBLIC OF UGANDA



HANDBOOK ON HYGIENE AND SANITATION APPROACHES TO PROMOTE OPEN DEFECATION FREE

April 2019

The Project for Operation and Maintenance
for Rural Water Supply and Improved Hygiene and Sanitation in the
Republic of Uganda

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Most importantly, GoU expresses its gratitude to the Hygiene and Sanitation (H&S) experts who tirelessly implemented the H&S activities in the project area as this has formed the basis for compilation of this Handbook. This Handbook has been developed from experiences of implementation of the project from April 2018 to March 2019. It is meant to serve as a guide and users are encouraged to use their own judgement along with other approaches that may empower communities to move towards universal access to sanitation.

Key contributors to the handbook are as follows:

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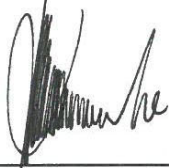
Implementation of activities

- Rural Health Care Foundation (CBO, Mubende)

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Date of publication: April 2019



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LIST OF ABBREVIATIONS

CLTS	Community Led Total Sanitation
DDMS	District Direct Management System
FUM	Follow Up-M
HA	Health Assistant
HHs	Households
HWF	Hand Washing Facility
H&S	Hygiene and Sanitation
JICA	Japan International Cooperation Agency
LC	Local Council
MWE	Ministry of Water and Environment
ODF	Open Defecation Free
PESTEL	Political, Economic, Social, Technological, Environmental and Legal
RHCF	Rural Health Care Foundation
SEs	Sanitation Entrepreneurs
SIDAs	Small, Immediate and Doable Actions
SLTS	School led Total Sanitation
VHT	Village Health Team

Glossary

CLTS: Community Led Total Sanitation is an innovative methodology for mobilising communities to completely eliminate open defecation. Communities are facilitated to conduct their own appraisal and analysis of open defecation and take their own action to become ODF.

ODF: Open Defecation Free is used to describe communities that have shifted to using a toilet instead of open defecation. This can happen for example after community-led total sanitation programs have been implemented

Universal access: Universal Access is creating equal access to opportunity (in this case, sanitation and hand washing facility) for all community members by reducing barriers.

FUM: Follow up Mandona is an action-oriented approach to accelerate the end of open defecation after the initial CLTS triggering session. Based on CLTS principles, FUM involves a series of facilitated sessions with the entire community to reinforce behaviour change and collectively undertake small, immediate and doable actions to become ODF in the shortest time possible.

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1. INTRODUCTION

Poor access to adequate sanitation facilities, resulting in the practice of widespread open defecation, has negative health and social impacts on community members, particularly in terms of increased morbidity of diseases such as diarrhea, dysentery, typhoid, worms and cholera. As of June 2018, 21% of the Ugandan rural population still did not have access to latrines and 63.5% did not have access to hand washing facilities thus continued to practice Open Defecation (Sector Performance report 2018, MWE). Achieving poverty eradication and sustainable development requires that measures must be established in order to reduce health spending, particularly on such preventable diseases especially in rural areas.

The Project for Operation and Maintenance for Rural Water Supply and Improved Hygiene and Sanitation implemented interventions whose purpose was to improve hygiene and sanitation in rural villages. The Ministry of Water and Environment with support from the Government of Japan through Japan International Cooperation Agency (JICA) implemented project activities with the aim of achieving improvement of hygiene and sanitation in the rural villages. During the implementation of the project interventions, many discussions were held at different levels concerning issues such as reduction of open defecation and increase in adaptation of hand washing practices.

The project therefore set out to implement activities aimed at reducing open defecation and increasing adaptation of hand washing practices in 64 villages spread across the 18 Sub-counties of Mubende and Kassanda districts using the Community Led Total Sanitation (CLTS) approach between April 2018 and March 2019. These 64 target villages were basically selected from among the villages that agreed to join the pilot introduction of a new operation and maintenance system for boreholes called District Direct Management System (DDMS) in which users pay monthly water charges and the collected water charges is used for operation and maintenance of the boreholes. New aspects introduced were School Led Total Sanitation (SLTS) and latrine demonstrations in selected villages.

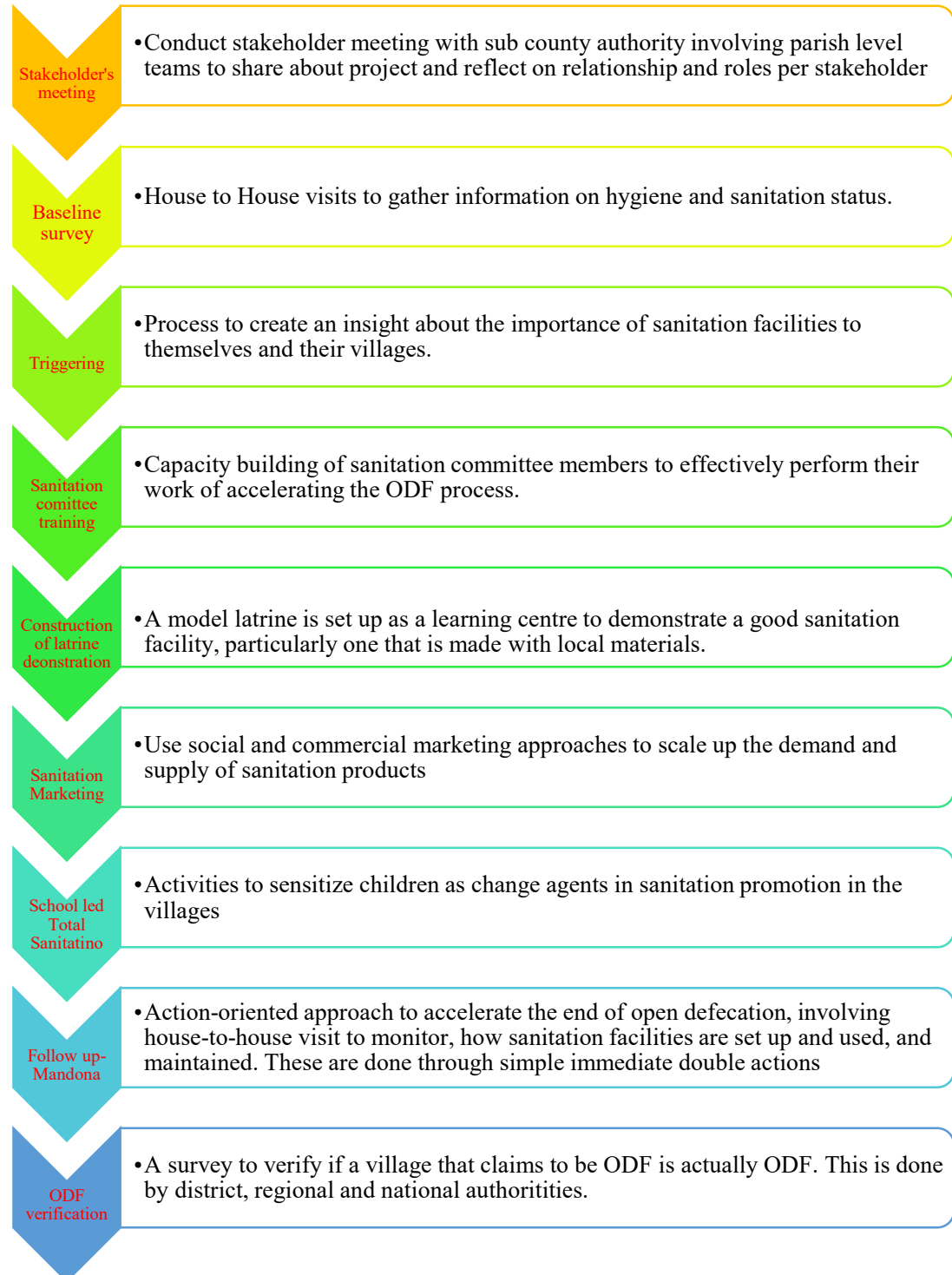
This document is produced as an output documenting the experiences, good practices and lessons learnt through implementation of activities in the project with an intention to give its users, especially those who initiate and promote CLTS in rural areas of Uganda, a set of practical information and useful tips about CLTS activities.

This compilation of such practical knowledge is a guide to options that were found to be applicable and useful in the context of rural settings, in the reduction of open defecation and increase of hand washing practices.

It is hoped that this document will be useful to the following target audience:

- Environmental Health Officers both at the district and national level
- Community Development Officers both at district and national level
- NGOs promoting hygiene and sanitation in rural villages
- People in the academia involved in research about rural hygiene and sanitation
- etc.

2. PROCEDURE OF IMPLEMENTATION



ODF Certification: A final survey done after 2 months following ODF verification to assess the sustainability of ODF status by a given village. It involves official and recognition of ODF status.

3. ACTIVITIES

In the section, activities are described step by step in the order of implementation on Hygiene and Sanitation (H&S) promotion during the project in detail and good practices and lessons learnt are extracted from the experiences of implementation in Mubende and Kassanda District. These are also summarized by each activity.

3.1 STAKEHOLDERS MEETING

Stakeholders meeting is a platform to inform various stakeholders of the project intervention and request for cooperation from the leadership of the area. It is an important step before commencement of activities in a locality.

A meeting with Sub county leadership is held to kick off the implementation of activities in the respective Sub counties. The purpose of this activity is to explain the objectives and the overall project outline to the local authority and leadership as well as to inform the identified villages for intervention in their Sub counties. The key stakeholder who participate in the meeting include: Chairperson LCIIIs, Councilors, Sub County Chiefs, Health Assistants (HAs), Community Development Officers and Parish Chiefs. These officials are mobilised to attend the meetings by the respective Health Assistants. The meeting is a starting contact point with the respective Sub counties.

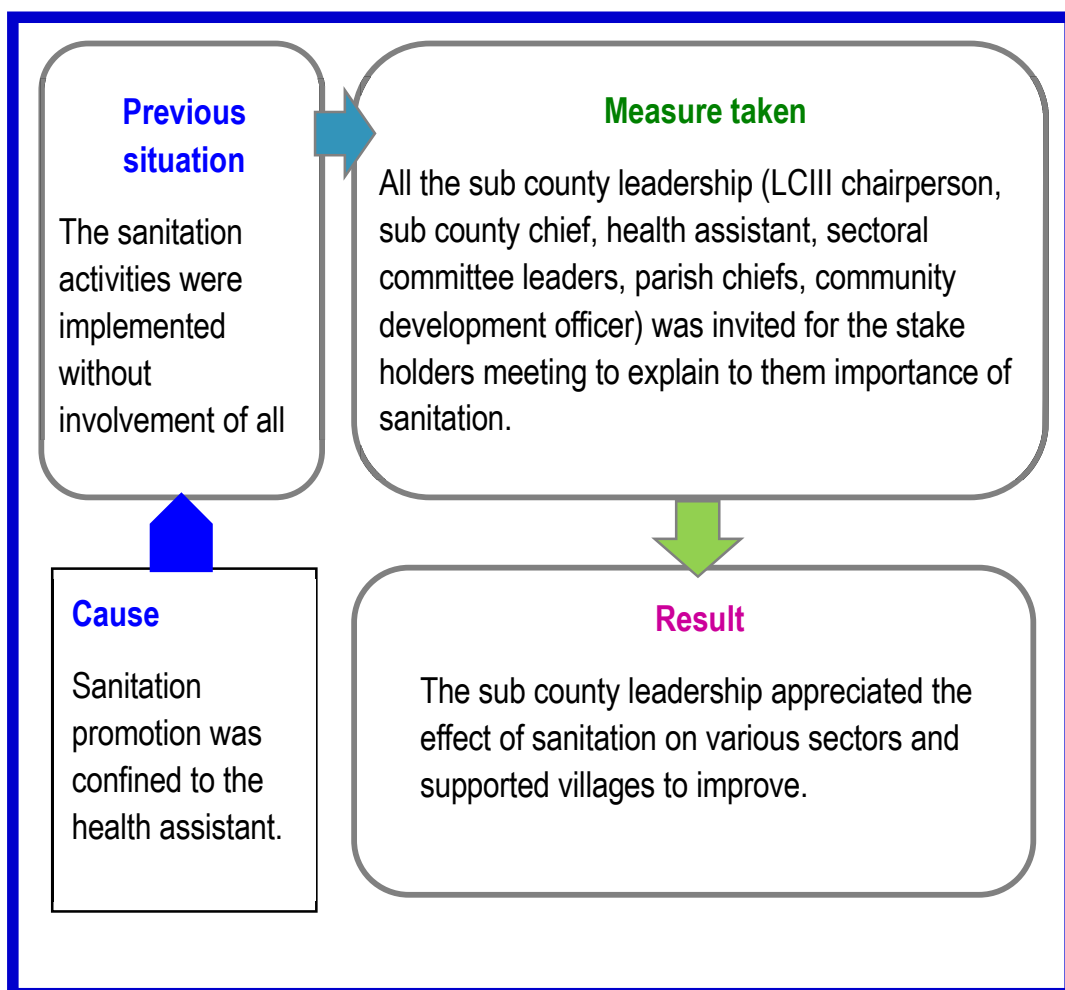
The meeting program includes: an introduction of the project activities to the relevant local stakeholders, discussion on the implementation process and the roles of each stakeholder, a request for support for the smooth implementation of activities. Political, Economic, Social, Technological, Environmental and Legal (PESTEL) issues that can have a binding effect on the implementation (PESTEL analysis) was also part of the discussion. The output for these meetings includes: the way forward/action plan and the issues identified.



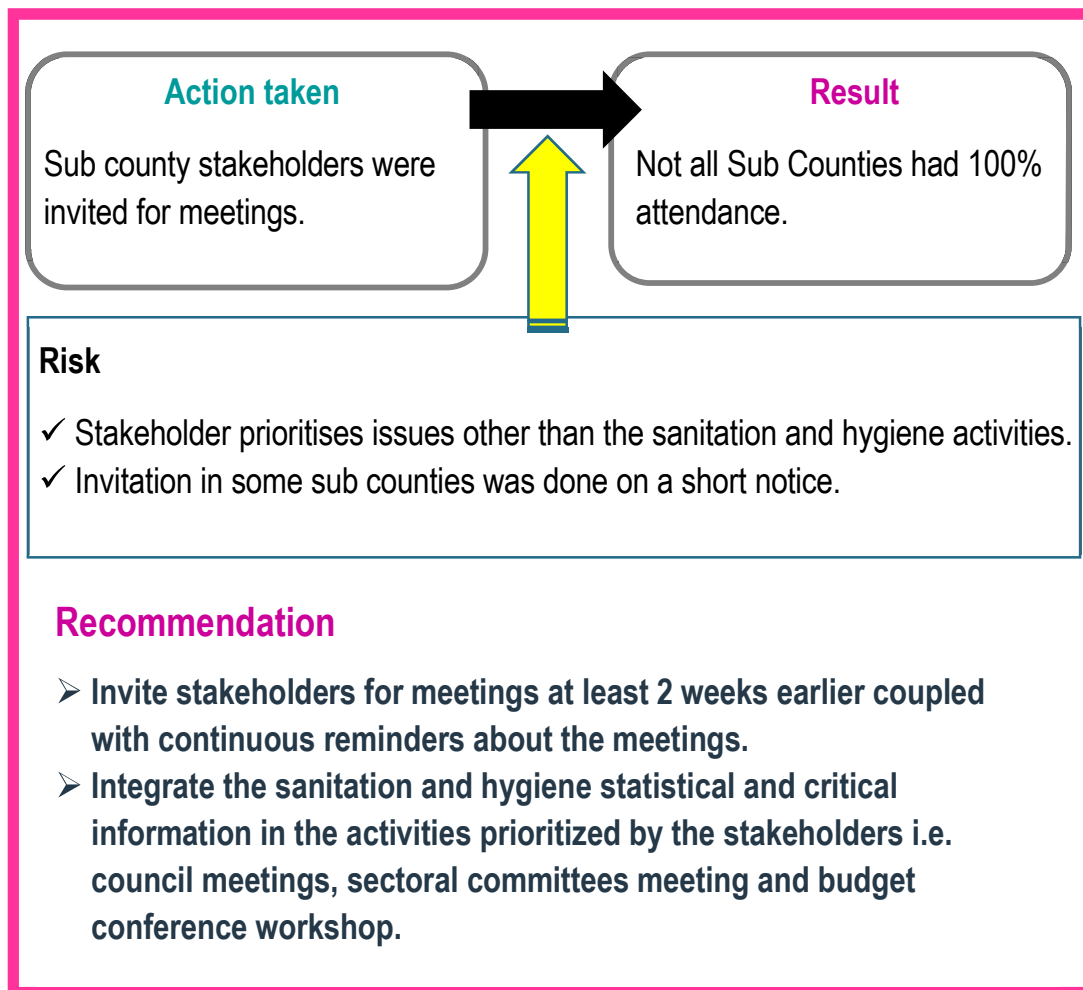
Good practice: Stakeholders Meeting

Key to success

- Provide information on time
- Information is precise and given in a short period of time.
- Provide evidence on effects of poor sanitation to the community and possible solutions.



Lesson learnt: Stakeholders Meeting



3.2 BASELINE SURVEY

A baseline survey is an assessment conducted to understand and capture the situation before the intervention. This gives a basis for comparison with the results of intervention, in order to see how the situation has changed after implementing activities.

A survey was conducted at a household (HH) level where all the HHs in the villages were visited and their sanitation level was recorded using a standard baseline data capture tool. (Annex I: Baseline survey tools developed by RHCF and JICA-MWE project).

◆ Objective:

- To survey the existing sanitation coverage of the villages.
- To come up with strategies on how to improve villages with poor sanitation coverage to attain the Open Defecation Free status.
- To identify open defecation hotspots within each village and work towards eliminating them,

◆ Team Composition:

The team that conducted the baseline survey comprised of: HA, Parish Chiefs, VHTs, and LCI Chairpersons etc. in their respective villages.

◆ Methodology:

a. Village entry

With support from the Sub county authorities, Chairperson LCIs and VHTs are informed about the programme for the baseline survey in their respective villages.

In the villages HA introduce himself to the village leaders and the intended benefits of the baseline survey to their villages. The baseline teams in consultation with the village leaders then determine the estimated number of HHs in the villages to distribute targets to the data collectors.

b. Data collection

The local leaders constitute guides to support the baseline teams to move house to house. The data is captured using the standard sanitation baseline data capture tool.

c. Data analysis

Upon completion of the baseline survey, a spreadsheet data base can be developed that is used to analyze the data. This analysis is done using descriptive quantitative models including tabulation and graphs.

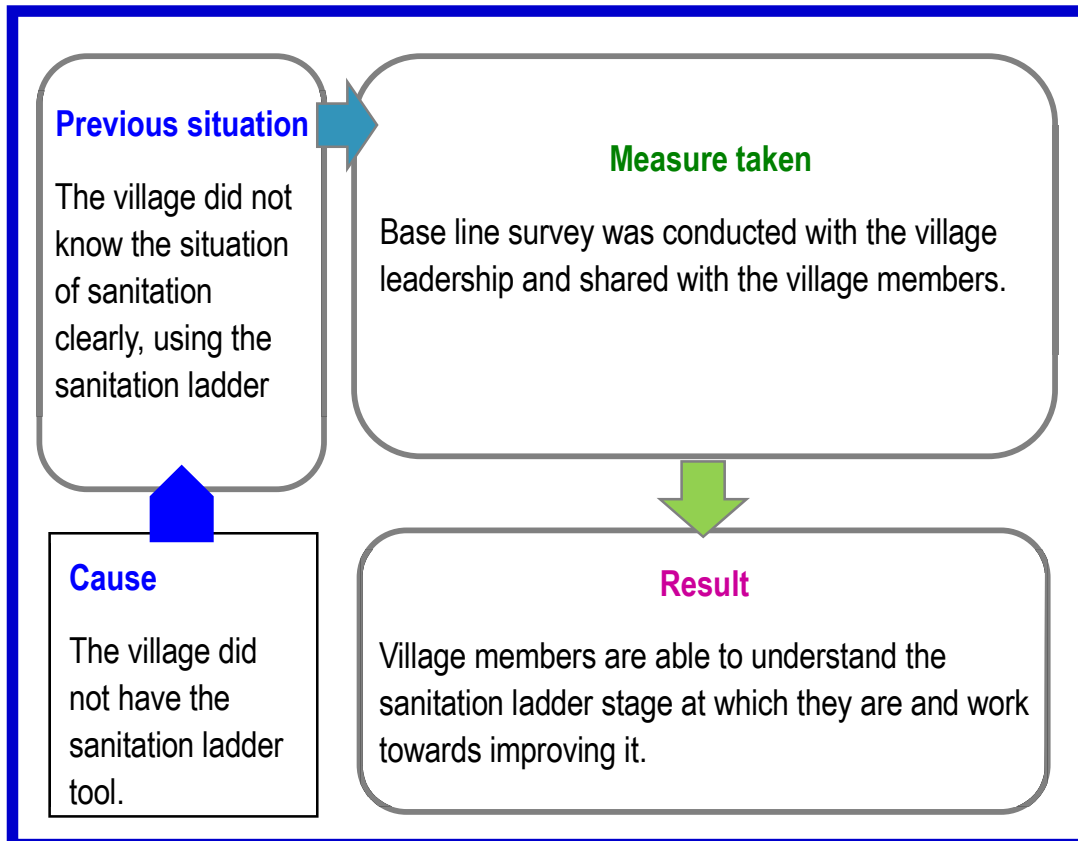
The results from the baseline survey are combined in the table of follow ups (the same tools as the baseline survey's) for comparison purpose.



Good practice 1: Information Management

Key to success

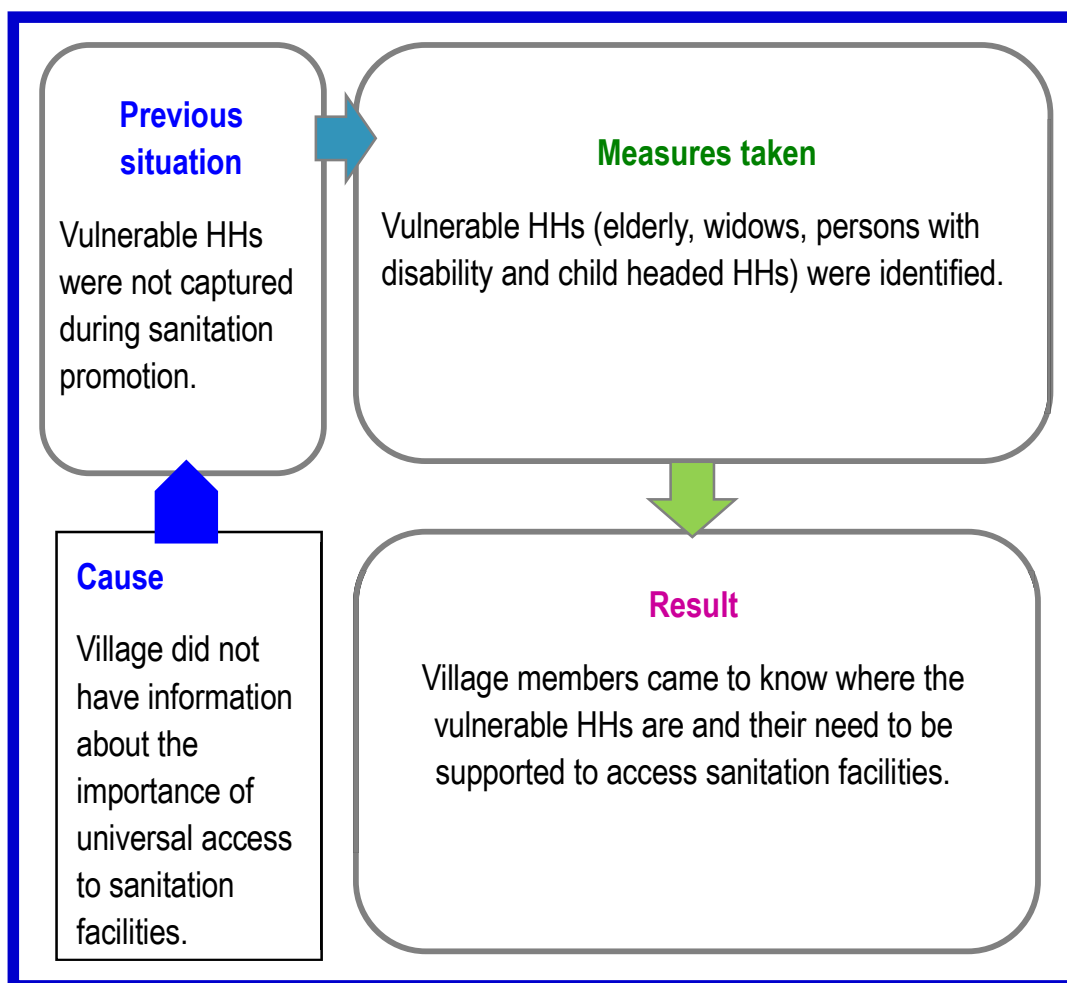
- Photos of sanitation facilities helps to understand the situation precisely.
- A tabulated data makes it easy to interpret the results and monitor the improvement.



Good practice 2: Communication Management

Key to success

- Provide evidence of existence of vulnerable HHs.
- Explain to the villages the importance of universal access to sanitation facilities.



3.3 TRIGGERING AND SENSITIZATION ACTIVITIES

Triggering and sensitization activity is a process of creating awareness about the importance of sanitation facilities to themselves and their villages. The goal of this activity is to help village members see for themselves that open defecation creates an unhygienic environment which leads to health hazards and related consequences. This will stimulate a collective sense of shame and disgust among village members as they confront the crude facts about mass open defecation and its negative impacts on the entire village.

It also involves showing village leaders the resources they have at local level that can be used for sanitation improvement for example; wood, local labour, grasslands among others. Village members are further exposed to the amount of spending related to health care, which may be caused by hazardous effects of open defecation and to compare with the spending on latrine construction. These exercises can make people realize that it is affordable to set up sanitation facility and in the long run it is more cost effective.

Objectives:

- To create demand for sanitation facilities and sanitation improvement among the village members.
- To expose village members to dangers of poor sanitation to their health and life
- To set dates for achievement of Open Defecation Free (ODF) status with the village's members in the villages
- To draw action plans for attainment of ODF status
- To select sanitation committee members per village

Team Composition:

- The activity is implemented by HAs, VHTs and LC leaders.

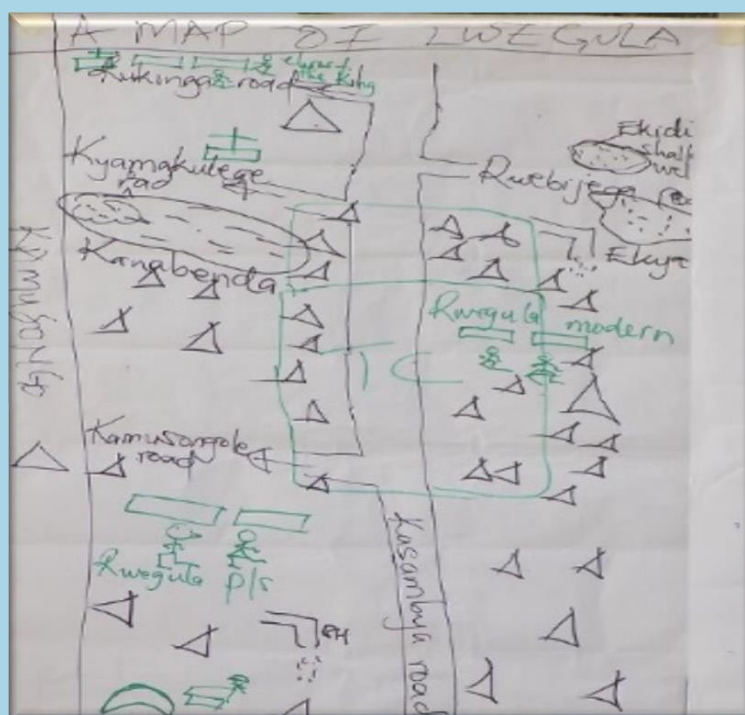
Methodology:

a. Introduction and opening of the meeting

The meeting is declared open by local leaders. The visiting team introduce themselves as learners who have come to witness the sanitation status of the village being triggered and take on the role of facilitators during the meetings. This way, support of the village members will be obtained.

b. Mapping

A map of the village being triggered is drawn by a volunteer village member, supported by the other members and guided by a facilitator from the visiting team. It is done to indicate village resources, water points and open defecation points and homesteads. This is a visualization of the situation of open defecation points, in relation to homes and water fetching places.



A village map drawn during triggering (Lwegula village, Kasambya Sub County)

Methodology(cont'd):

c. Transect walk through the village

The village members and the visiting team form small groups that move through the village to check sanitation levels. It is intended to show the village members that open defecation is present in their areas and is gross. In fact, the groups that find faeces wherever they go come back with samples of the faeces so that they are shown to others in a meeting as proof that open defecation exists. Members can also collect a sample of the water used by village members and bring it along to the meeting for demonstration of the bottle experiment.



d. Triggering talks and sensitization with demonstration sessions

Participants are informed that due to open defecation, they continuously ingest these faeces unknowingly. To make this visible, a demonstration of how faeces are injected in drinking water is done in some cases as illustrated below;

- ▶ Taking a sealed water bottle and removing the company labels
- ▶ Asking a member of the villages to unseal and drink half of the water
- ▶ Mixing the rest of the water with faeces and shaking it well, then asking the village member to drink the water again, which they of course reject and get disgusted.

This shows the members that they eat faeces every day by defecating in the open and allowing the faeces to mix with their drinking water, which sometimes appears clean to the naked eye and yet is contaminated.

Methodology (cont'd):

In other cases, a demonstration of shit calculation is conducted as follows;

- ▶ Using baseline data, the people who do not have latrines are recorded by sanitation ladder, such as: those who have latrines with no shelter and those who have latrines with temporary shelter because all these are most likely practicing open defecation (2 people shall be used as an example for calculation here).
- ▶ Facilitate the village members to estimate how much they eat daily and then how much of what they eat daily is passed out in terms of kilograms. (Some village members suggested that they eat 3kgs a day and pass out 2kgs of faeces)
- ▶ The facilitator then multiplies the kilograms of faeces passed out with the number of people estimated to be practicing open defecation ($2 \times 20 = 80\text{kg}$)
- ▶ This is used to illustrate the amount of faeces defecated in the open in the village daily. Calculation is made for a week, a month and a year. Village members realize that if they do not stop open defecation, they will have so much faeces in the open areas, which they ingest in various ways and contract diseases.

e. How sanitation committee is formed

The village committee members in triggering meeting nominate candidates they wish to be on the committee. Some members also nominate themselves if they want to be part of the committee. The nominated members decide if they will be part of the committee or not. If the selected members, who agree to be part of the committee, are beyond seven, the village members in the meeting decide by voting who they wish to be part of the committee. If the numbers are less than seven, all nominated members are selected to be on the sanitation committee.

f. Action planning

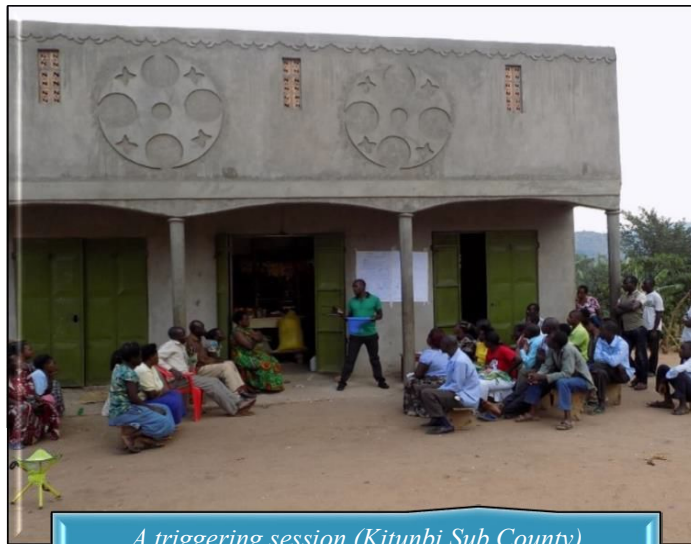
The facilitator chooses one of the village leaders present to head the formation of the action plan. A timeline for ODF achievement is agreed upon. The village members then air out their suggestions (activities or ideas) on how the goal of ODF can be achieved in the agreed time. These suggestions are written down and discussed one by one until the plan on how ODF will be achieved is agreed upon.

Output:

- Village level action plans
- Setting a timeline for achievement of ODF status.
- Formation of sanitation committees (This is a team of 5-7 local residents, selected by the village and work on a voluntary basis to help in acceleration of ODF attainment.)



A triggering session (Kasambya Sub County)



A triggering session (Kitunbi Sub County)



Sensitization material

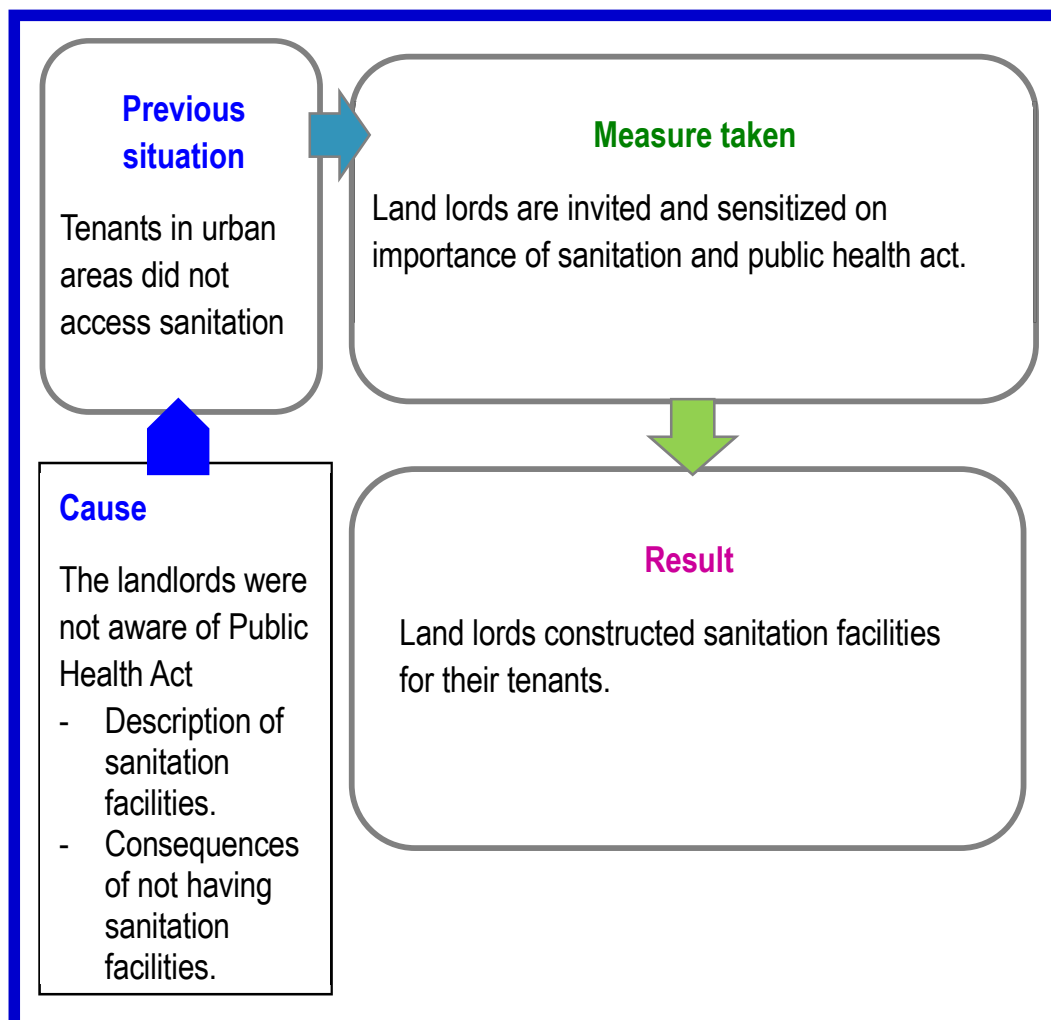
Tips for triggering

The key to success in effective triggering starts from making contact with the village and get the village involved. Choose an adequate time of the day that is suitable for many people in a village to participate. For example, people are busy on market days, planting seasons in the morning time, important functions in a community, funeral etc. Welcome all members of the village, including children if they wish to listen. Making a clear presentation in a friendly atmosphere is a skill that a community worker should have and develop to make a good rapport with the village members. A good communication skill with the village members will allow the messages to be heard and actions to be taken. Visual materials are always useful to ease understanding of the concepts and messages.

Good practice 1: For Urban Areas

Key to success

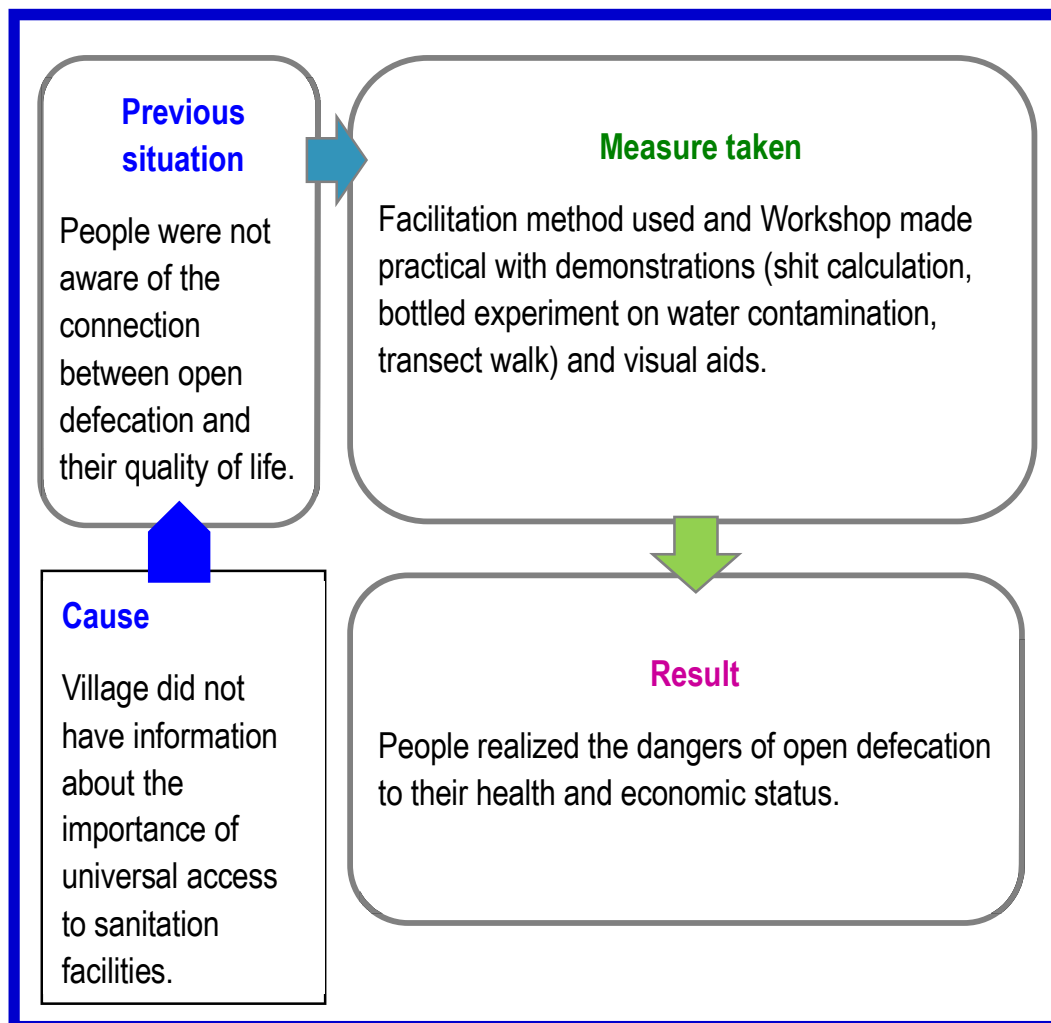
- Provide information on Public Health Act and repercussions of creating nuisances to the public.
- Use of reminder nuisance notice letters to nuisances from the Sub county to land lords who do not construct sanitation facilities by the agreed time.
- Punishment in terms of fines for sanitation defaulting



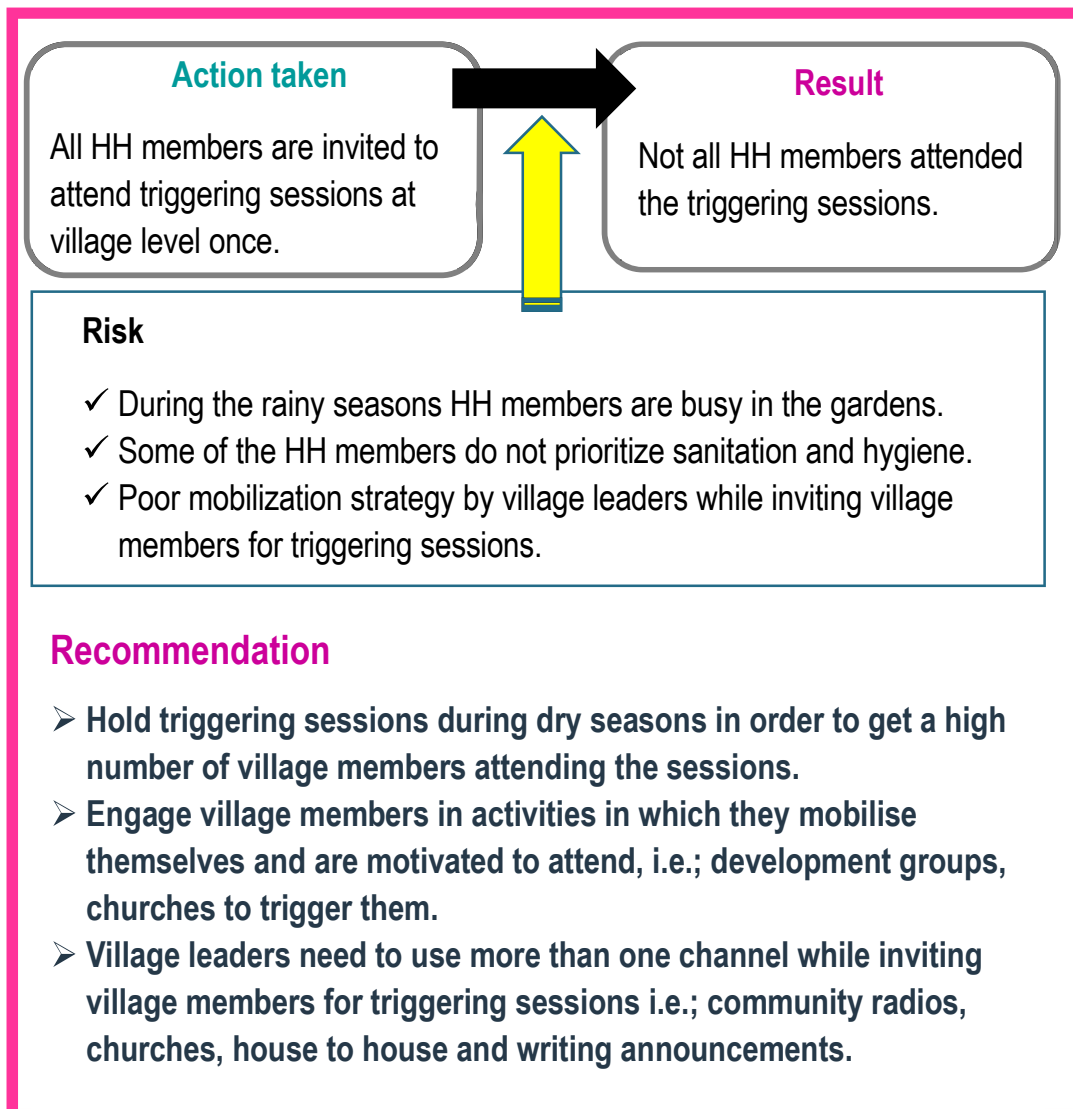
Good practice 2: For Rural Areas

Key to success

- Good facilitation skills (engage in participatory discussion)
- Use of a suitable demonstration for specific village.
- Use of visual aids during triggering.



Lesson learnt



3.4 SANITATION COMMITTEE TRAINING AND THE CONTINUOUS ACTIVITIES

Sanitation committee performance is enhanced through building the capacity of sanitation committee members to effectively perform their work of accelerating the ODF process. HA conducts this activity by visiting the villages. In the meeting, committee members enhance their knowledge of the sanitation ladder, quality and characteristics of an acceptable latrine, building of hand washing facilities, Mandona Follow Up, communication and reporting. The output of the meetings is an action plan on how the sanitation committee members and HA will continue monitoring the ODF process in the village.



*Capacity Building for Sanitation Committee
Kitenga Sub County*

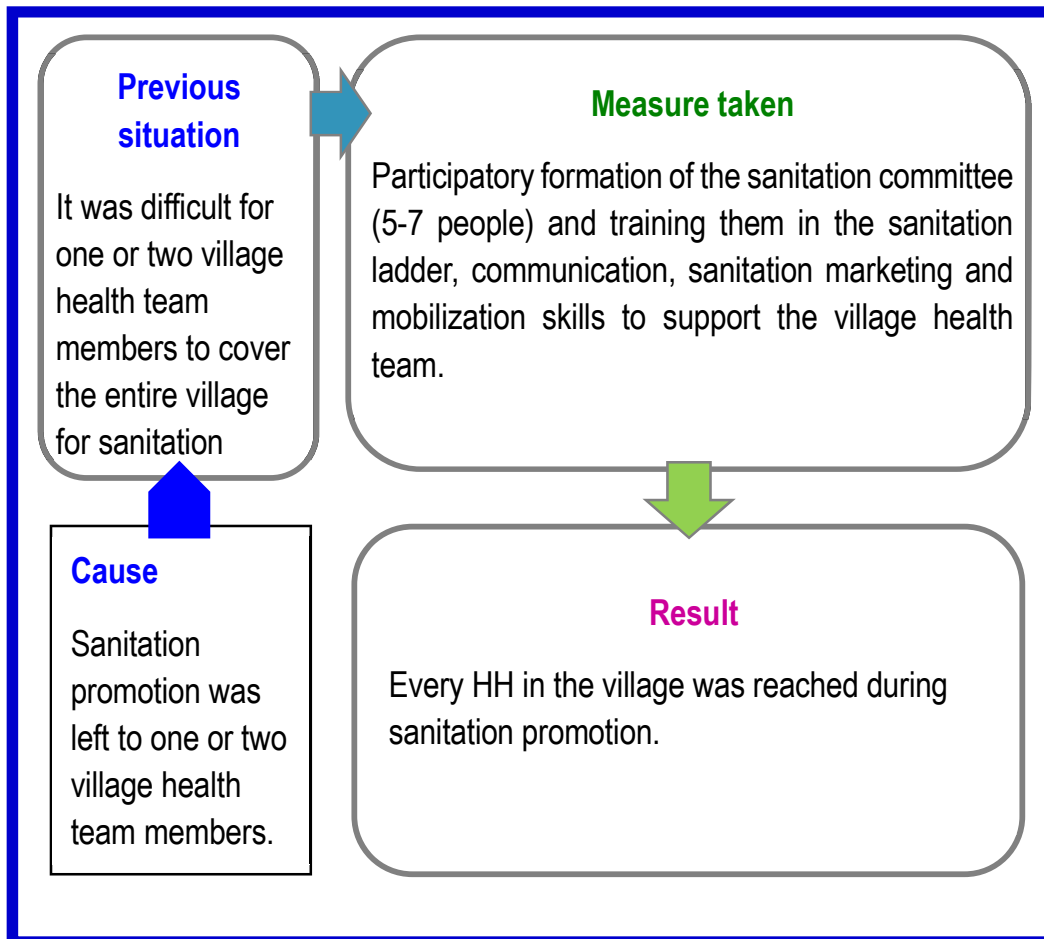


*Capacity Building for Sanitation Committee
Kitenga Sub County*

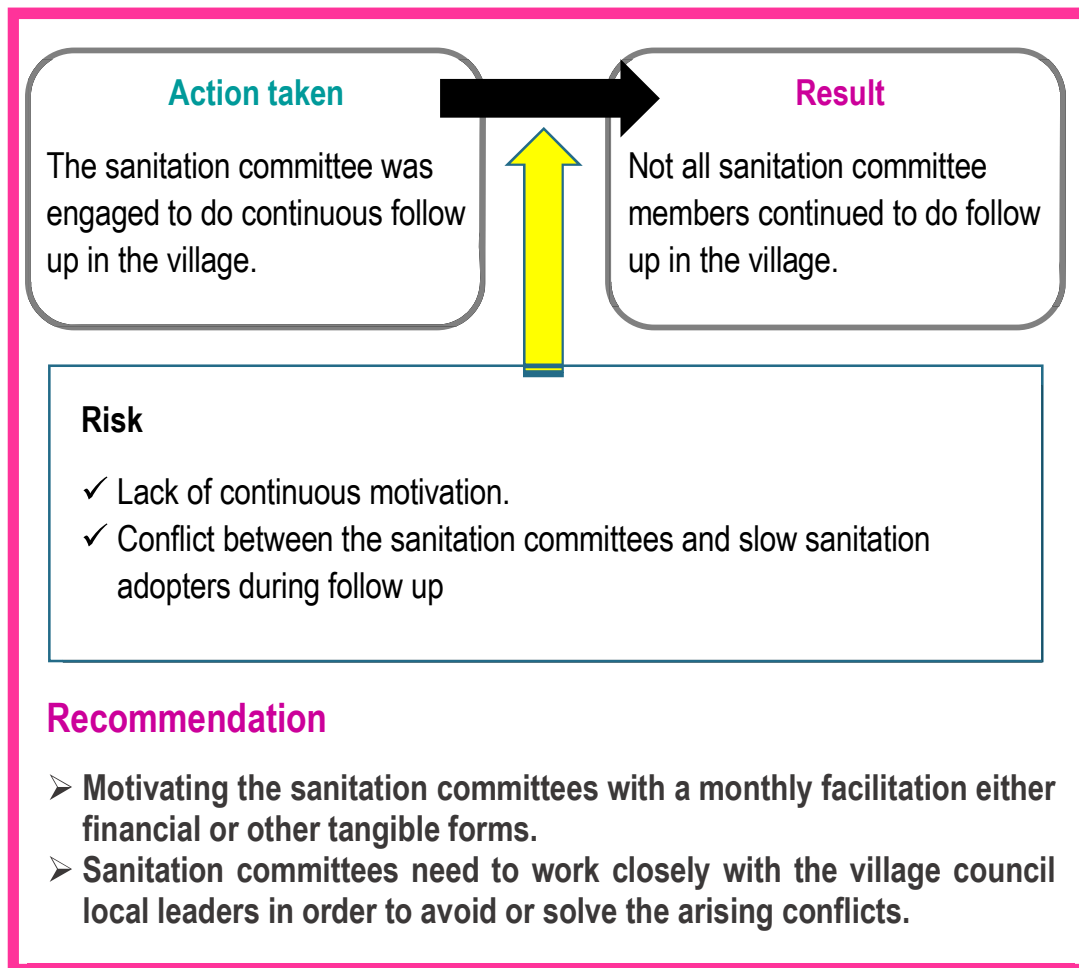
Good practice: Sanitation Committee

Key to success

- Participatory formulation of sanitation committees
- Spirit of voluntarism
- Practical training sessions to acquire skills of making and installing sanitation products
- Support of the local leadership.



Lesson learnt



3.5 CONSTRUCTION OF DEMONSTRATIONS

As part of the methods of improving sanitation in rural areas, HA facilitate the construction of demonstration sites. The aim of this activity is to set up a learning centre about qualities of a good sanitation facility, particularly one that is made with local materials.

Refer to the Annex “A Guide to Latrine construction options in rural areas of Uganda” for Latrine construction procedures.

Criteria to choose the site

Step1: Choose a village

To choose the village for demonstration, the following criteria is used;

- i. Village must be located where safe water source exists.
- ii. Nearness to a school with a wide intake of pupils from target villages. If possible, it is better to implement School Led Total Sanitation (SLTS) in the same village.
- iii. Have a central physical location which makes it easy for other villagers to participate and learn as well.

Step 2: Choose a household

To choose the site (HH) for demonstration, the criteria will be the following;

- i. Vulnerability of a HH and ability to sustain the demonstration by a HH.
- ii. HH with vulnerable persons like elderly, child headed HH, or disabled that have a sanitation facility that can be improved.
- iii. HH where the local materials are readily available and accessible
- iv. HH that is near a village meeting place or a public place like a church and mosque where village members can easily visit and learn how to replicate back at their homes.

Demonstration

HA working with the sanitation committees that were trained, identify local masons who work for the construction of the demonstration sites.

During the construction, a pit of 20-30 feet is dug which would take 3 to 4 days in the presence of village members at the construction site.

Upon completion of a pit, village members are mobilized to fully participate in the construction of the superstructure for them to learn and acquire skills in constructing a standard pit latrine (with a slab, superstructure, latrine door, roof, latrine cover and a hand washing facility). The latrine structures are built using the local materials like; poles, mud, reeds, iron sheets or grass for roofing, banana fibres, reeds and timber for making doors. During the construction of the latrine structure, local masons who have more knowledge and skills also guide village members in setting up a superstructure. While some are working on the latrine structures, other people are instructed in setting up tippy taps and drying racks to ensure that the HHs access a complete set of sanitation facilities.



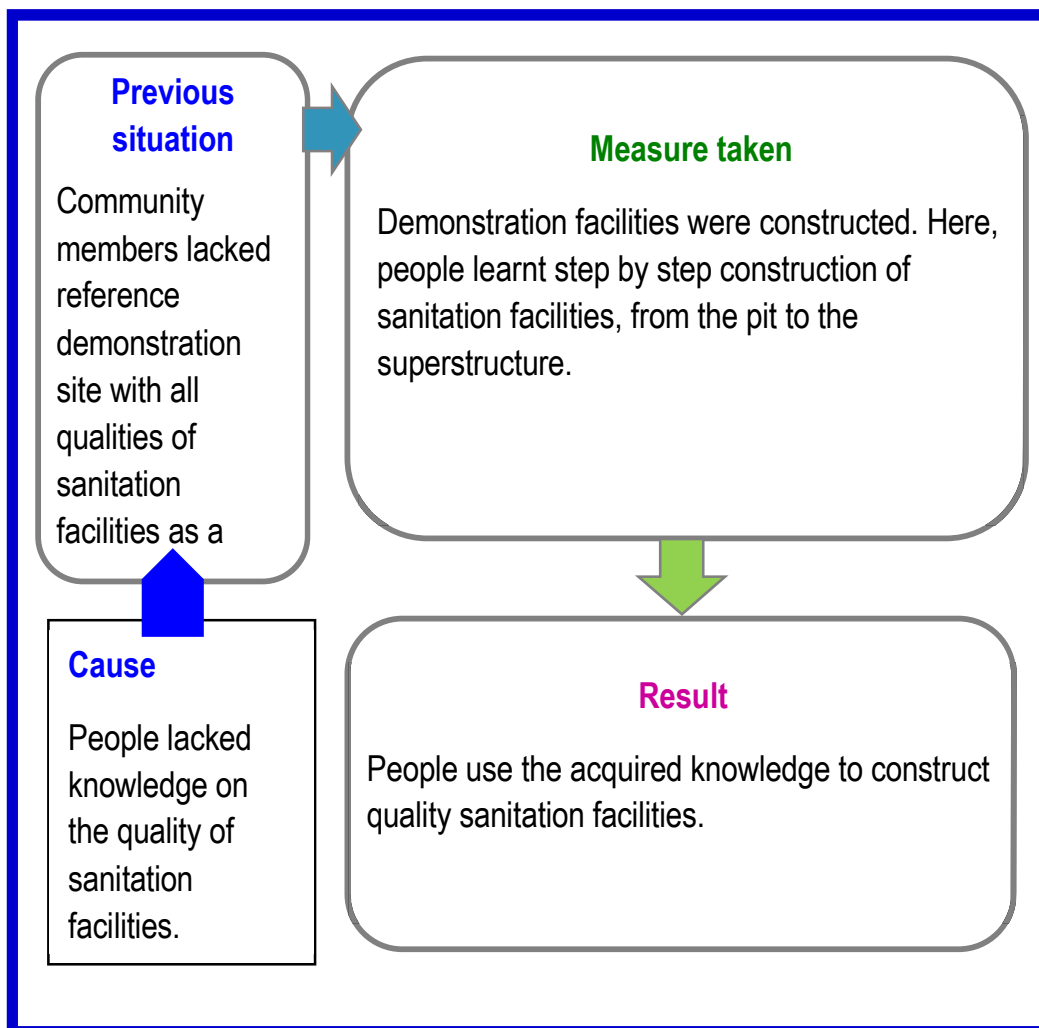
A latrine constructed during the demonstration session

Drying rack made during the demonstration session

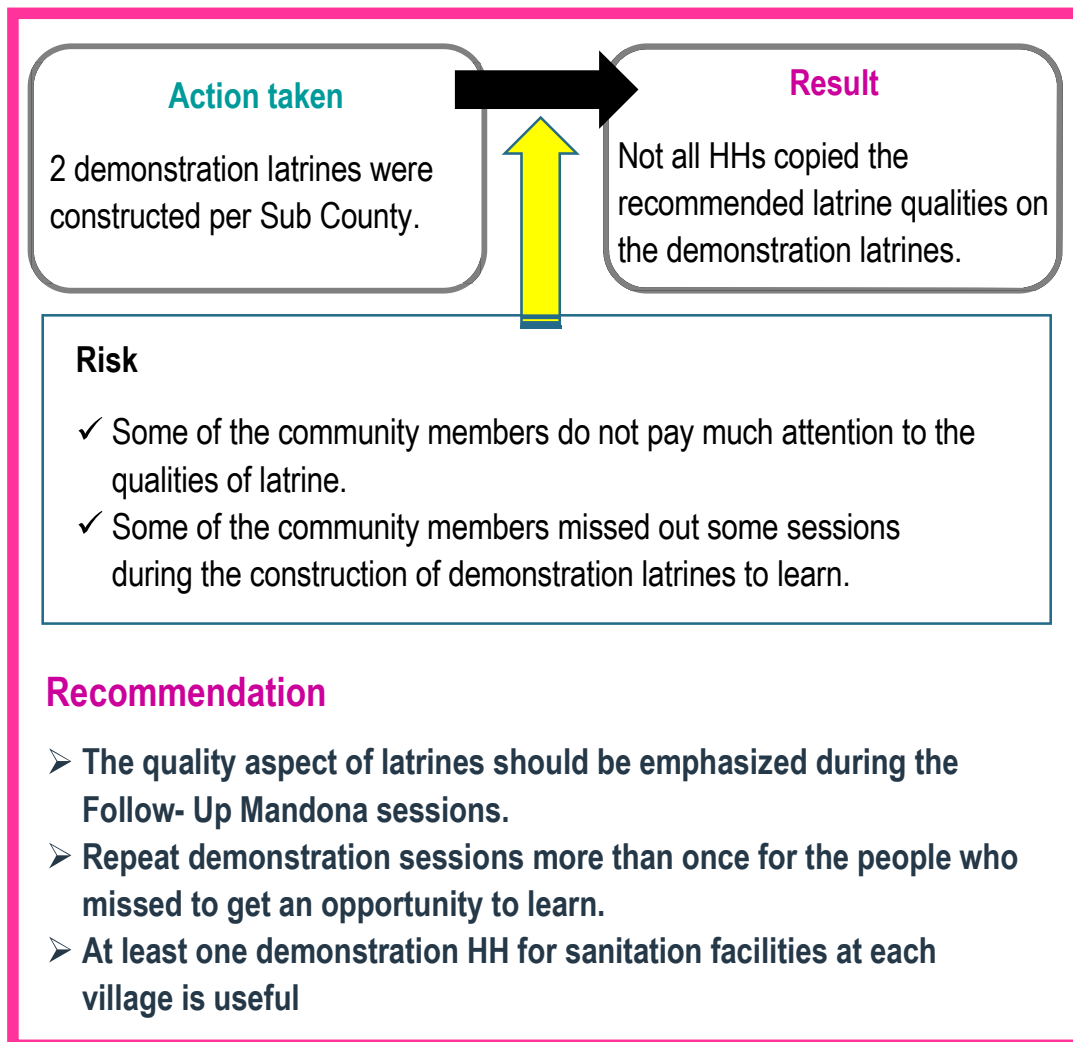
Good practice

Key to success

- Involvement of community masons during demonstration construction
- Use of low cost locally available materials.
- Involving school children so that they act as change agents
- Site location should be easily accessible
- The beneficiary of the demonstration should be able to sustain it.
- Support of the local leadership.



Lesson learnt



3.6 SANITATION MARKETING

Sanitation marketing is an approach which utilizes the social and commercial marketing approaches to scale up the demand and supply of sanitation products. Sanitation marketing adopts the successful marketing strategies which are based on the facts of real time market research. It uses simple logical analysis to determine the requirements of the customers and hence, use the resources efficiently to generate the profits in exchange. The core concept of sanitation marketing is to sell the sanitation products and services to the customers, generating profits and eventually expanding the sanitation coverage.

HAs promote sanitation marketing in the villages where local masons are trained by ensuring that the products are available and affordable for houses which need them. The main products being marketed may include san plats, Sato pans and HWFs. In addition, all the local materials used for latrine quality improvement are advocated for and these could include; latrine covers, brooms and local doors.

Identification of Sanitation Entrepreneurs:

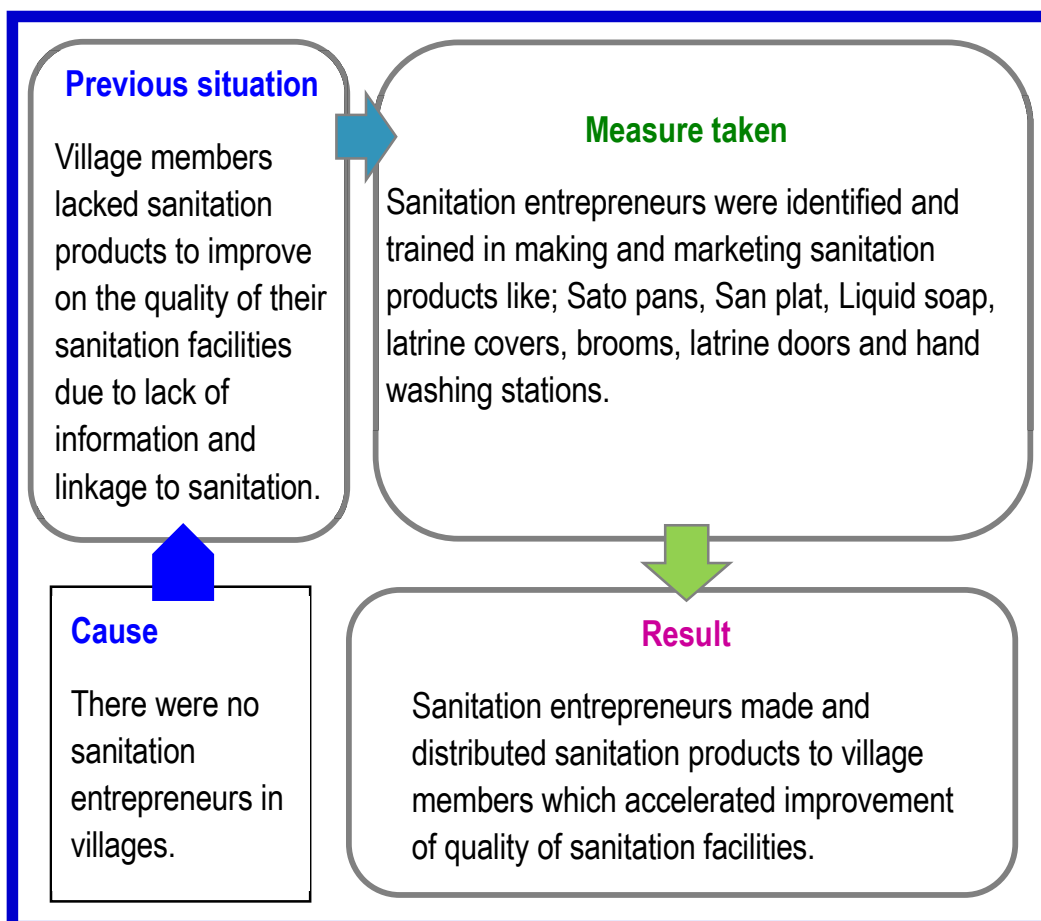
During the triggering and sanitation committee training activities, Sanitation Entrepreneurs (SEs) are identified from each village to support in sanitation marketing. Additionally, some groups in the village such as women's group, farmers' group will be identified and involved to support in the sanitation marketing. Even SEs have their own sanitation products, HA informs them on how to market, sets and controls price and recommends them to village members and Sub county authorities to continue selling their products.

In addition, SEs are linked to external suppliers of sanitation products from where they buy, stock and sell to community members so that they can ably improve on their access to sanitation. For instance, many SEs are linked to local masons that are trained by HA to produce latrine slabs.

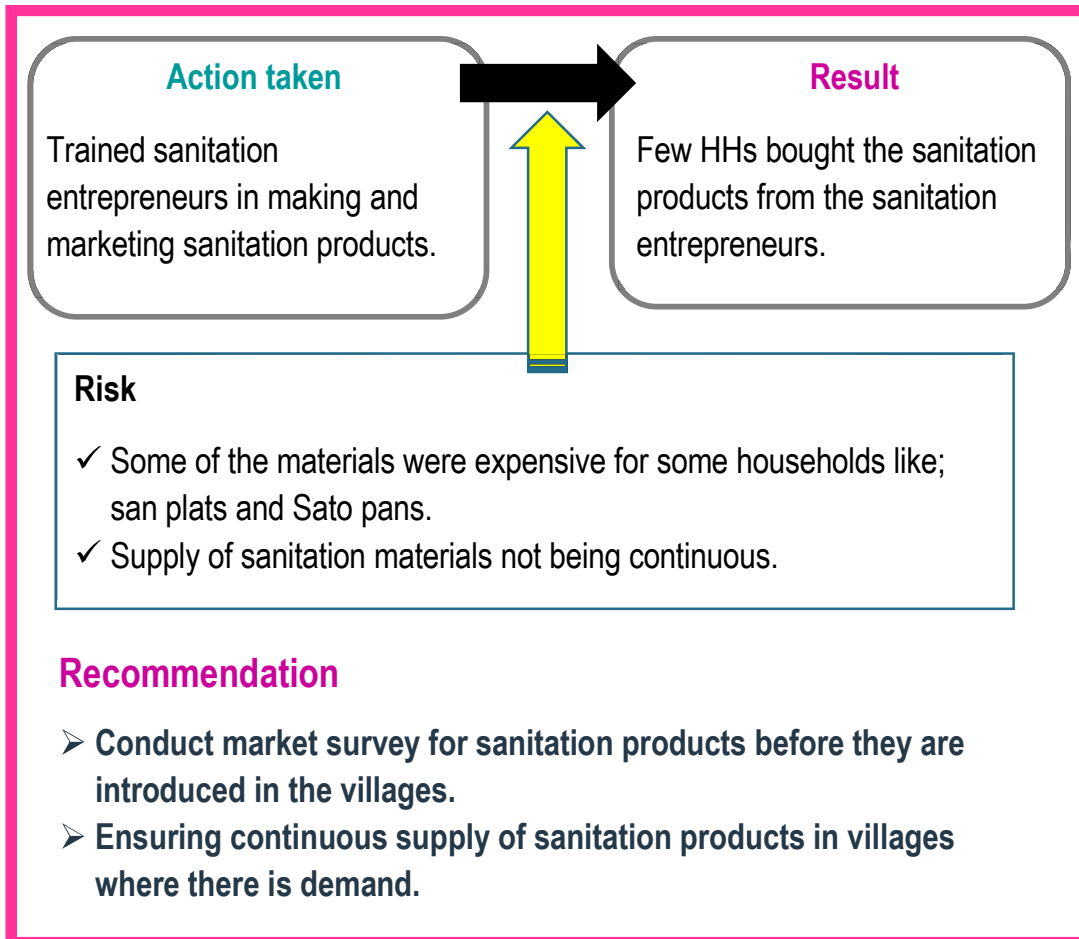
Good practice

Key to success

- Passion for sanitation improvement among sanitation entrepreneurs
- Focus on locally available products
- Existence of demand for the sanitation product in the village.
- The beneficiary of the demonstration should be able to sustain it.
- Support of the local leadership.



Lesson learnt



3.7 SCHOOL LED TOTAL SANITATION

In this approach, HA sought to involve children as change agents in sanitation promotion in the villages. The school led total sanitation program emphasizes the complete elimination of open defecation from the catchments of the schools as a pre requisite for improving hygiene and sanitation. In this approach, HA reaches out to school for the implementation.

Criteria to choose a target school

For selection of a target school, some selection criteria are useful to think about. The selection criteria used to implement School led Total Sanitation (SLTS) are listed below. According to these check points, selected schools were contacted on whether they are interested in implementing the activities or not. The schools are selected and recommended by Health Assistant in consultation with the sanitation committees in the villages.

- a) School located in a village where safe water is to be secured.
- b) School with an existing school health club
- c) School with ideal sanitation and hygiene requirements that can act as a model school from which other schools can visit, learn and replicate.
- d) School with the high pupil attending ratio
- e) School with a safe water source nearby
- f) High enrolment of pupils residing in the target villages.

Mobilization

The sanitation committee members support HA to get contact persons (head teachers, their deputies, dean of studies and the senior women or men teacher) within the target school. These persons are then officially reached by HA through phone calls and visits in order to confirm acceptance of the program in their schools and schedule appointment dates.

Sensitization

The sensitization includes participative discussions on body hygiene and environmental sanitation which covers HH sanitation. However, there is an extra focus on HH sanitation to trigger pupils to set up manageable sanitation facilities like squat hole covers and tippy taps to create ODF free villages. The sensitization is practical with actual demonstration of how tippy taps, squat hole covers, and other sanitation products are made. Visual aids should be also used.

Award of gifts

In order to motivate pupils, those who implemented sanitation improvement in their homes are rewarded with small tokens such as soap, washing basin and sweeping broom. This is done after visiting their homes to confirm presence of the sanitation facilities. Where the number of pupils is high, the team sample out some homes to be visited and then pupils are rewarded.



Nakasagga primary school, Kasambya Sub County



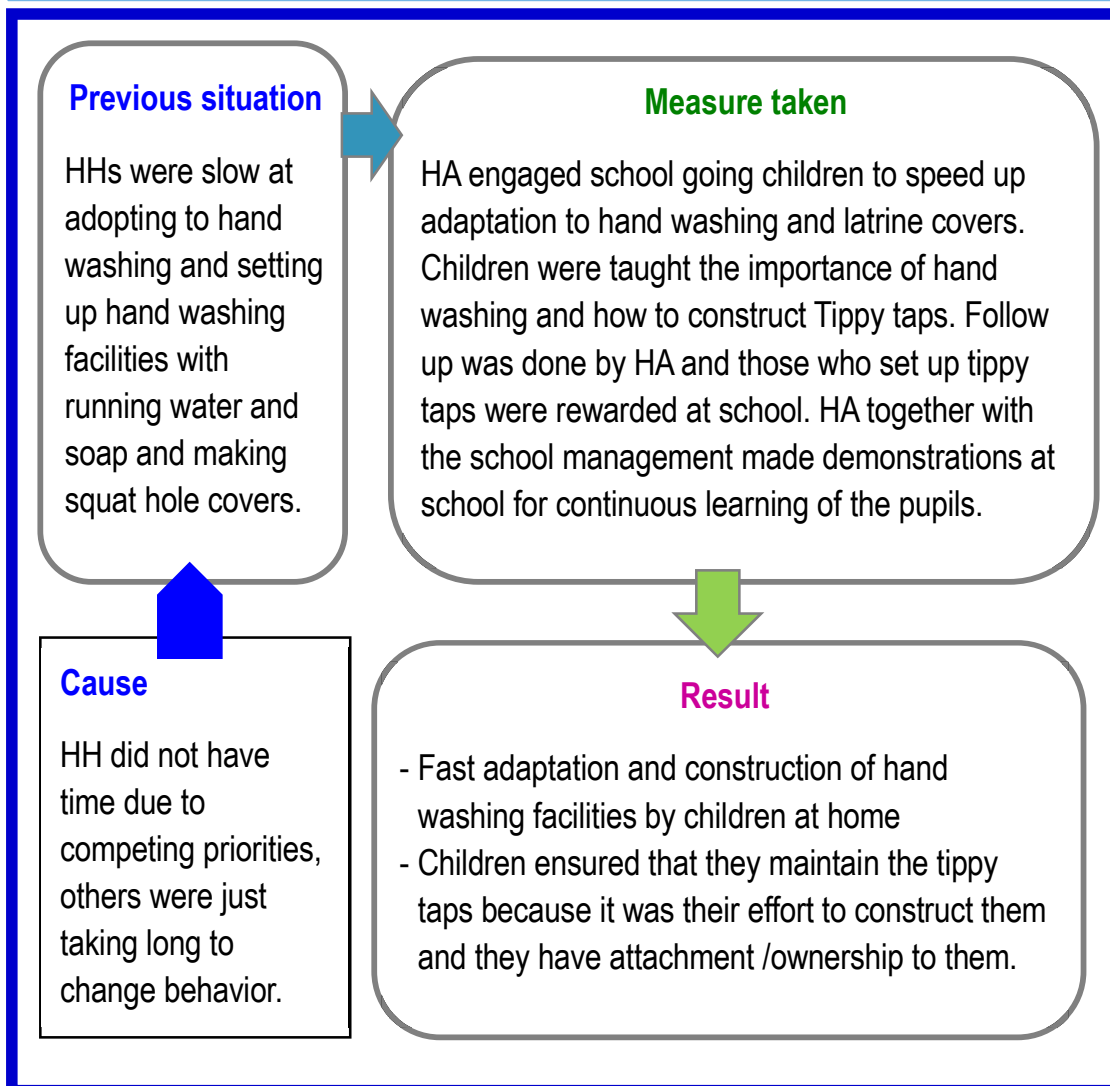
Reward for improving sanitation in pupils' homes, Nalutuntu Sub County



Good practice

Key to success

- Good preparation before sensitizing children
- Good child communication skills
- Use of visual aids and demonstrations in sensitization
- Participative sensitization with pupils
- Good relationship with teachers to keep reminding pupils about sanitation improvement
- Rewarding pupils who improve sanitation in their HHs in any way.
- Support of the local leadership.



3.8 FOLLOW UP-MANDONA (FUM)

This is an action-oriented approach to accelerate the end of open defecation after the initial CLTS triggering session and formation of sanitation committee. These are practical sessions involving small, immediate and doable actions (SIDAs) which include demonstration of how various sanitation facilities are set up and used. These are aimed at helping a village become ODF in shortest time possible. These practical sessions allow monitors to make follow ups with the defaulters and slow implementers in communities, referring to the list of HHs data collected during the baseline survey. Therefore, baseline survey is very important throughout the implementation of activities.

This follow up of activities in the village is conducted with support of the sanitation committee members. The members of sanitation committee are encouraged to influence other community members to improve the sanitation behaviors on a daily basis. FUM involved a series of facilitated sessions with the village members to talk positive, encourage and convince community members of the benefits of improvement of hygiene and sanitation for better living conditions. Behavior change takes time and small and immediate actions undertaken collectively are important in these sessions.

The skills in interaction and talking with community people are required for the community workers. It also enhances the sustainability of ODF status and builds a stronger sense of involvement with villagers. Given the short follow up time, this method is effective to achieve fast and effective results, by ‘coaching’ village members individually to help their neighbors.

The number of follow up in the village depends on the village situation and available funding resources. Monthly visit is effective if the situation allows.

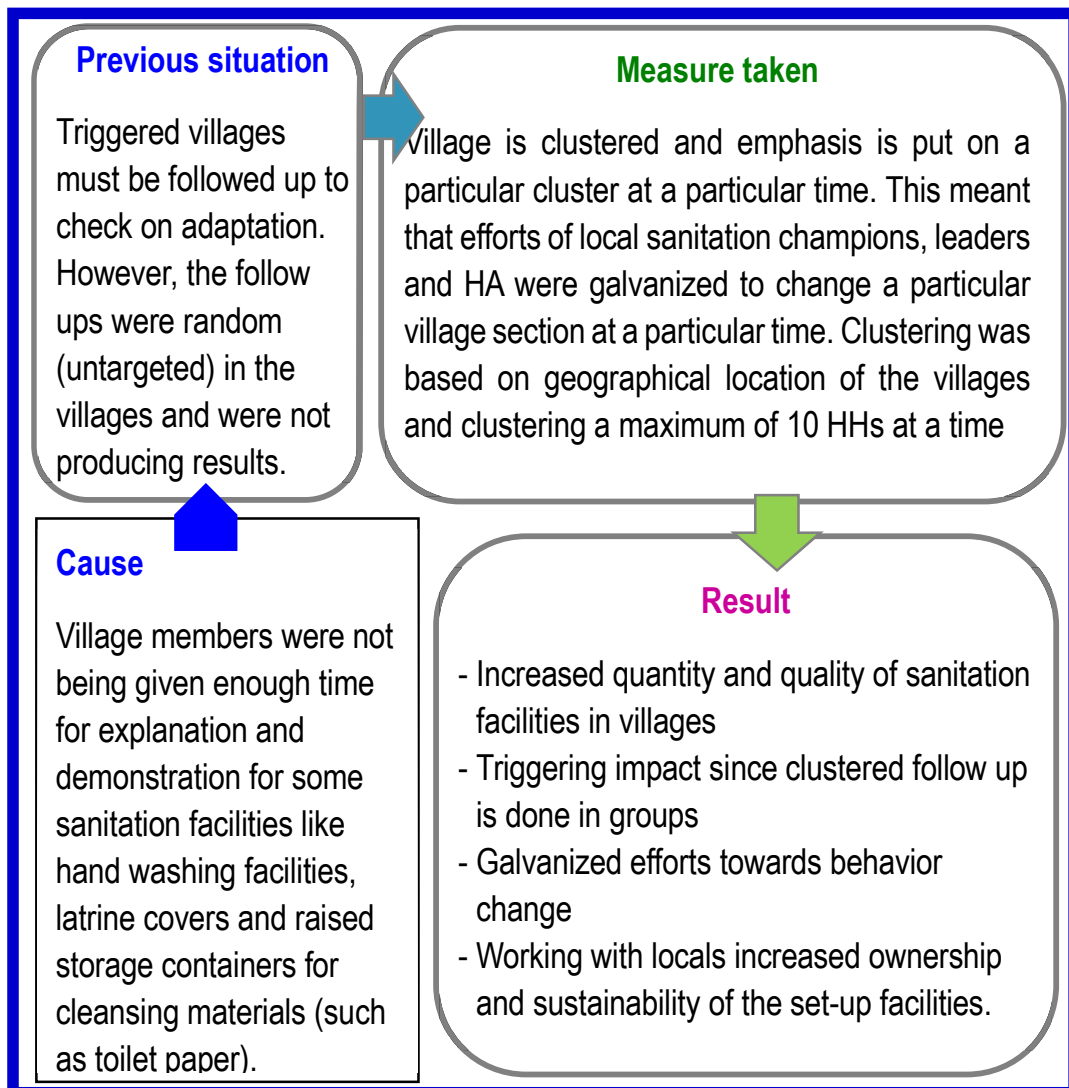
Key issues and action points during Follow Up Mandona

- Village is clustered and followed up by sanitation committee members, with the help of HA.
- During the Mandona follow up visits, households are contacted directly to record improvement and make sure that HHs improve. If the household head is persistently not improving, sanitation committee and community leaders are involved to encourage such household heads.
- Follow up is easier using the sanitation committees and Mandona champions who continuously improve the quality of latrines in the villages.

Good practice1: Clustered follow up

Key to success

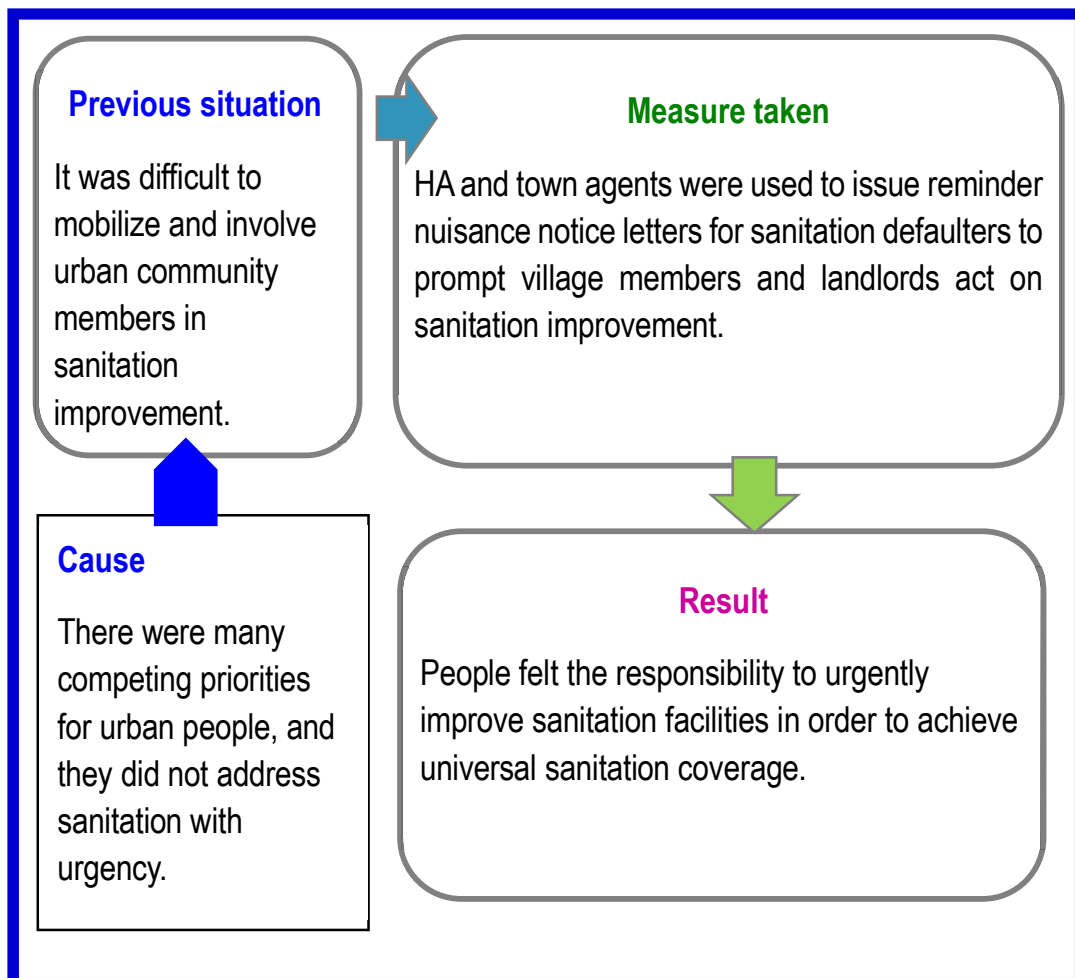
- Quality triggering sessions are key in creating behavior change
- Villages should be well clustered with help of local leaders
- Group follow up with local leaders. A group of at least two local leaders and an external facilitator (three members) moving together raises attention of community members towards what is being done and influences change
- Construction of manageable facilities like tippy taps and latrine covers where they are absent, with the house hold members.



Good practice2: In urban areas

Key to success

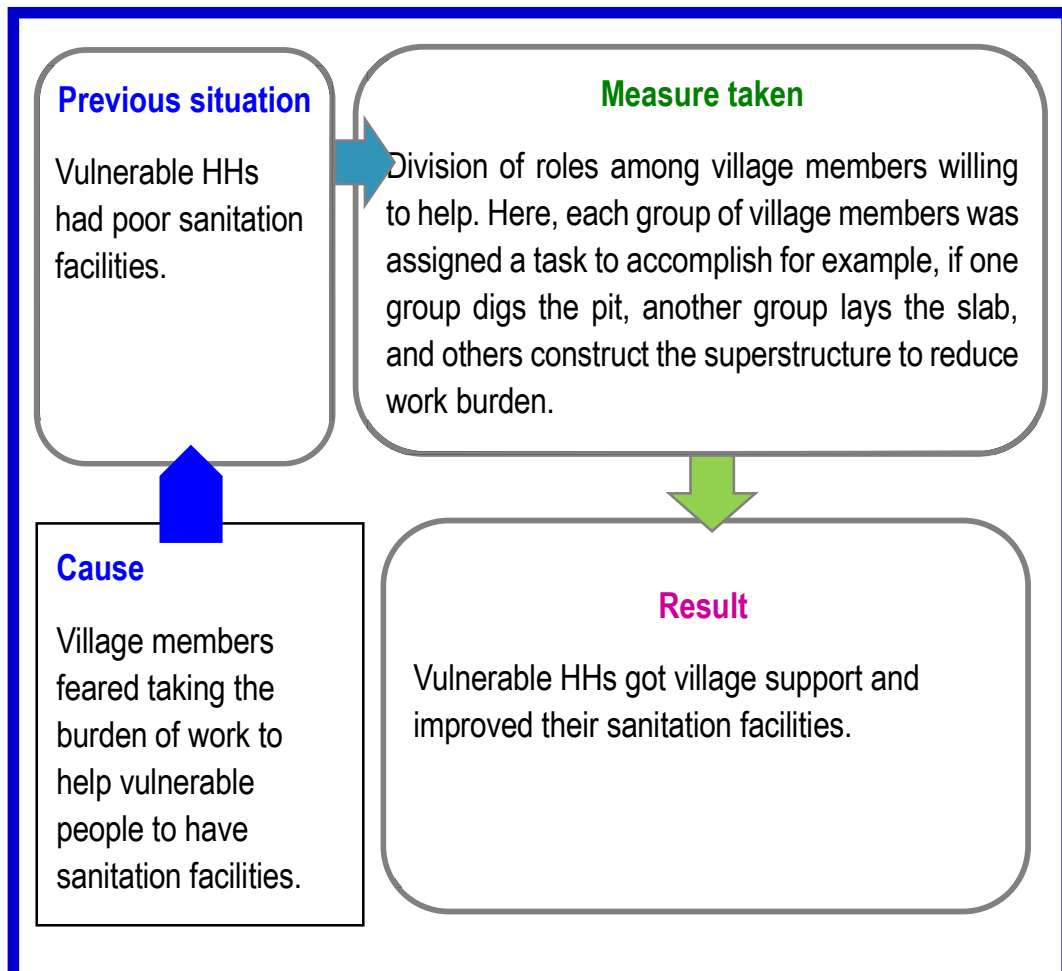
- Participation of health assistants and town agents.
- Use of reminder nuisance notice letters for sanitation defaulters
- Involvement of political leaders



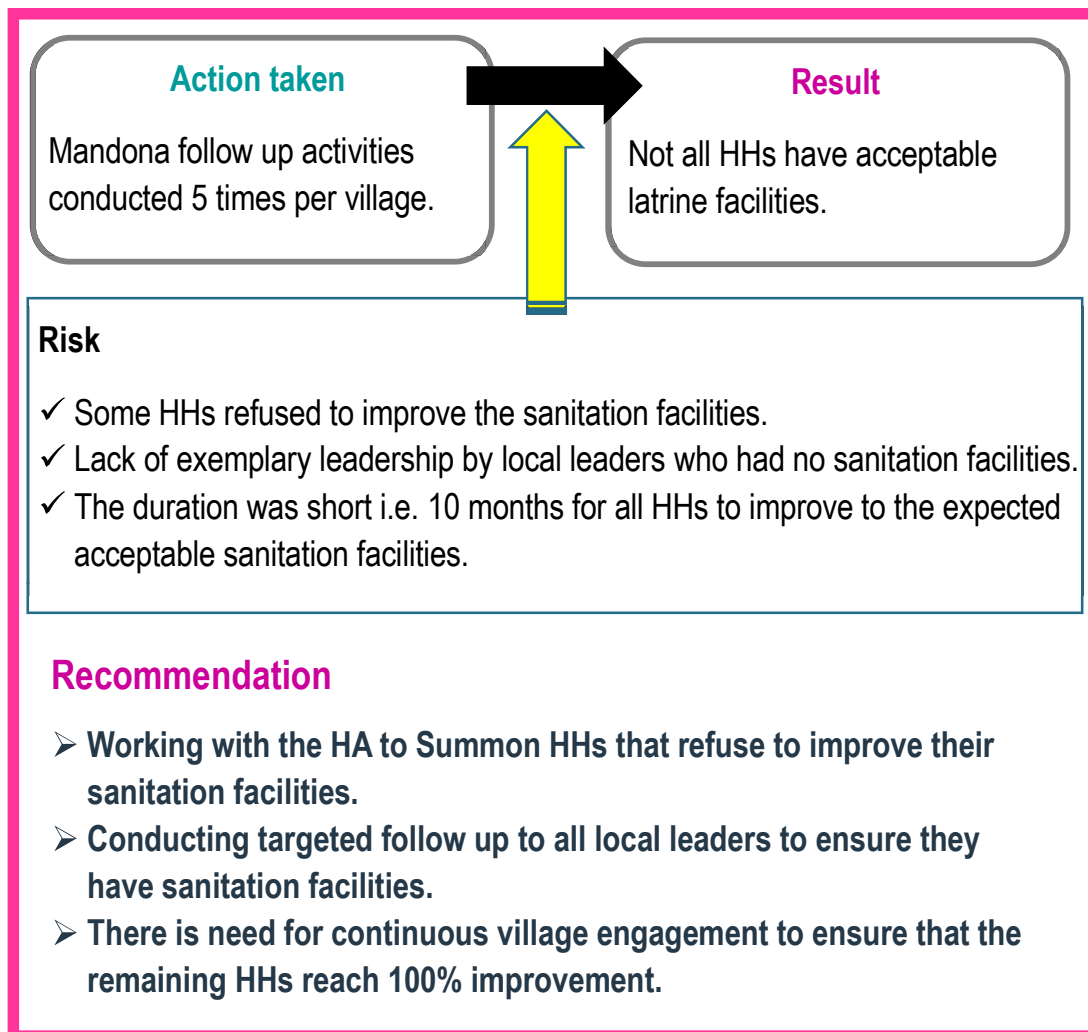
Good practice3: For vulnerable households in rural areas

Key to success

- Reduce work burden by dividing it into tasks done by different groups of people
- Keep continuous contact and communication/ follow up with the help of the team to boost their morale
- Participation of the vulnerable household members themselves.
- Triggering community members to realise the importance of supporting vulnerable HHs in order to attain ODF status.



Lesson learnt

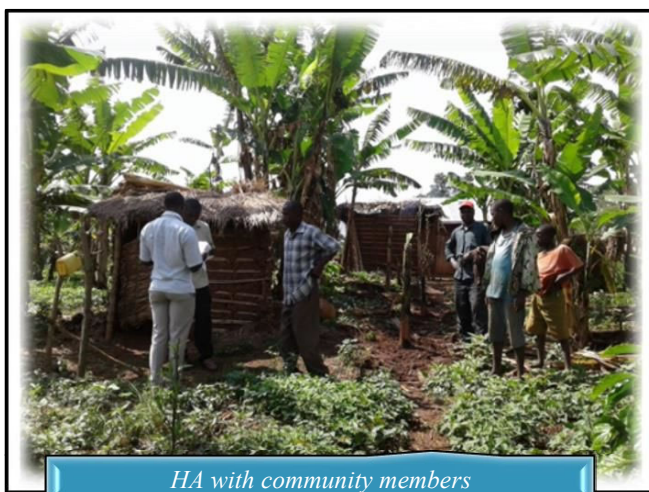




Constructing a tippy tap stand



Inspecting a sanitary facility



HA with community members

Tips for Follow up


Follow ups after triggering and capacity building of sanitation committee are important steps towards sustainable engagement of the community in attaining the goal. The communities fall behind when there is no reminder to take steps and actions for hygienic and sanitary lifestyle. Occasional yet regular encouragements and monitoring will ensure that the initiatives are taken, and people start changing hygiene behaviors. An effective visit is to check and monitor those who did not have a latrine or defaulted at the time of baseline survey to improve. A monitor (Health Assistants, Community Development Officers, NGOs, etc.) can visit those households individually accompanied by the community members, such as members of sanitation committee, VHT or village leaders. Always keep a good mood with the visit, never scold about the quality of structures that they have. It will demotivate the people. Encourage and praise the people for the effort made to provide the existing facilities and point out areas for improvement.

3.9 ODF VERIFICATION


ODF verification entails inspection of households in villages to assess whether the villages are ODF. This is realized by village members after several follow ups by the sanitation committee and Health Assistant during the Mandona sessions. Village leaders fill the ODF claim forms that are later submitted to the Sub County and the District for verification (Annex II: Example of ODF claim form developed by RHCF and JICA-MWE project). Verification is conducted using ODF verification form (Annex III: ODF verification guidelines). The verification is conducted by the District and the Sub County, together with village leaders and members.

Data from different verifying teams in a given village is aggregated to determine whether the village is ODF or not. 2-3 months are given to that village to assess if ODF can be sustained. Thereafter ODF certificate is issued. ODF certification entails confirmation of status in the village and official recognition of this achievement. Rewards may be given to the ODF village, a sign post at the entrance of the village highlighting that it is ODF and ODF certificate given to village leaders.

ANNEX I: BASELINE SURVEY TOOLS DEVELOPED BY RHCF AND MWE-JICA PROJECT



MINISTRY OF WATER AND ENVIRONMENT



Japan International Cooperation Agency

MUBENDE INTEGRATED WATER, HYGIENE AND SANITATION PROJECT 2018: BASELINE/ RECONNAISSANCE DATA CAPTURE

Village: Parish: S/C: District: Guide (Tel no.):

Enumerator (Tel no.): Date: LC1Chairman (Tel no.)

S/ no	A: Household Name				Latrine			Hand-washing		
	B: No latrine	C: With no shelter	D: With temporary shelter	E: Latrine	F: Squat hole cover	G: Door	H: hand washing facility	I: Water	J: Soap	
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										

Compiled by: Signature:

Baseline data capture sheet and instruction based on the Rural Health Care Foundation tool

Page 1



MINISTRY OF WATER AND ENVIRONMENT



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INSTRUCTIONS ON HOW TO FILL THE DATA COLLECTION TOOL:

First, you introduce yourself to a household you are visiting and explain the purpose of the visit and the contents of the survey.

You ask a member of the family to guide the facility and fill out the results of the observation in the tool (Do not ask the facility condition, just observe it) .

1. **Column A**
 - (a) Indicate the name of the Household Head you have visited or the name of the landowner in case of rental house/ rooms.
 - (b) If a latrine is installed for each rental house, indicate the name of the Household Head, put an arrow before the household name and indicate the name of the landowner
 - (c) For households that are vulnerable like: Child headed households, Elderly persons, Persons with Disabilities, Widows you indicate an arrow before the household name and indicate the type of vulnerability.
2. **From Column B to J in general**
 - (a) You tick (✓) in case the household has a facility or put a cross symbol (X) if the household does not have facility.
 - (b) A household can only have one type of latrine which is in the worst condition. Thus, from B to E you can only tick once.
 - (c) For households that are sharing latrine, you indicate an arrow before the household name and write the word "Sharing". Even if the household use the sharing latrine, put a cross symbol in all columns since it is difficult to confirm whether they use or no.
 - (d) In case of rental house/ rooms, you indicate an arrow before the landowner's name and write the number of HHs Sharing (example 4HH).
3. **Column D**

"Temporary shelter" is defined as the shelter which has clacks and holes, but it does not matter the material of shelter.
4. **Column F**

If a household has a "Squat hole cover" but does not use it, put tick with a star symbol (✓*). If there are multiple latrines, they must be installed in all Latrines.
5. **Column G**

If a household has a "Latrine door" but it is not fixed or use a (plastic) cloth as a door, put a cross symbol (X). If there are multiple latrines, they must be installed in all Latrines.
6. **Column H**

If a household has a Hand Washing Facility, put tick (✓) and put the type of Hand Washing Facility (Tippy tap, tap, Jerrycan, Bottle, not Tippy Tap etc.) after Column J.
7. **Column J**

If a household has a soap or ash, put tick (✓)



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Cooperation Agency

MUBENDE INTEGRATED WATER, HYGIENE AND SANITATION PROJECT 2018: BASELINE/ RECONNAISSANCE DATA CAPTURE

Village:.....*Nakasaga*..... Parish:.....*Nakasaga*..... S/C:.....*Kibalinga*..... District:.....*Mubende*.....
 Enumerator (Tel no.):*Francis Museveni*(07700000000). Date:*31st of April, 2018*, C/Chairman (Tel no.) ...*Paul XXXX* (07700000000). Guide (Tel no.)...*Fred XXX* (07700000000)

S/no	A: Household Name	Latrine				Hand-washing				
		B: No latrine	C: With no shelter	D: With temporary shelter	E: Latrine	F: Squat hole cover	G: Door	H: hand washing facility	I: Water	J: Soap
1	<i>William Okello</i>	X	X	X	X	X	X	X	X	X
2	<i>Joseph Asimwe</i>	✓	X	X	X	X	X	X	X	X
3	<i>Vicent Mugisha</i>	X	X	X	✓	X	✓	✓	✓	X
No 4	<i>Maria Matoru</i>	X	✓	X	X	X	X	X	X	X
5	<i>James Godfrey</i>	X	X	X	✓	X	✓	X	X	X
6										
7										
8										
9										
10										

Compiled by..... *Francis Museveni*..... Signature..... *Francis Museveni*.....

Baseline data capture sheet and instruction based on the Rural Health Care Foundation tool

ANNEX II: EXAMPLE OF ODF CLAIM FORM DEVELOPED BY RHCF AND JICA-MWE PROJECT

The Project for O&M for Rural Water Supply and Improved Hygiene and Sanitation in the Republic of Uganda

Village Open Defecation Free (ODF) Claim Form

Date:

We, the members of..... village in..... sub county, Mubende district agree that through our collective efforts, and with dedicated support of Rural Health Care Foundation Uganda (RHCF) and sub county authority, our village is now open defecation free. All community members have access to quality latrines/toilets and hand washing facilities.

We have worked as members of the sanitation committees and verified our village. Therefore we request the sub county and district authorities to verify and certify our village as Open Defecation Free.

No.	Name	Designation	Contact	Sign
1	Chairperson LC1
2	VHT
3	Sanitation Committee Representative

Claim Received by: Sign:

Name:

Designation: Health Assistant

Sub County:

The Project for O&M for Rural Water Supply and Improved Hygiene and Sanitation in the Republic of Uganda

ANNEX III: ODF VERIFICATION GUIDELINES

ODF VERIFICATION GUIDELINES

1. Back ground

Verification occurs after follow up support to the community which begins a few weeks after triggering. We conduct follow up so as to document progress, motivate and support the community as well as understand the change processes with in the community. At least 3 follow up visits are recommended with in the 3 months before verification can be conducted.

In the process of follow up and monitoring, communities' progress should have been well documented that is:

- a). ODF spots in the village should have been visited at all visits to note if there is any evidence of shit
- b). Noting the presence of new sanitation facilities built since the triggering.
- c). Evidence that the new facilities are being used.
- d). Comparing what community committed to at triggering, that is the action plan, to what has been done so far.
- e). Challenges discussed with the community leaders and sanitation committees at the pre-verification follow up exercise.

2. PROCEDURES:

2.1. Assembling the verification team

It is important to agree on who is to participate in the verification exercise. The following are suggested to be on the verification team and all should be conversant with the CLTS approach. The number should be adequate to quicken an all round households /OD spots check in the community.

- Natural Leaders from inside and outside the village to be verified.
- Local government Officials from the District Health Office
- The sub county Health Inspector/Assistant, community Development Officer and sub-county chief
- The LCV chairman office representative
- Plan staff
- Representatives of other local organizations in the area who are actively involved in CLTS.
- Village Health Team members of the village where verification is to take place.

2.2 Discussing and agreeing on indicators with the verification team.

The team should meet and discuss key indicators before going to the field. During this discussion, some local participants will share their experiences and knowledge that will be critical and insightful in carrying out the verification exercise. The process should be as objective as possible.

Some of the key indicators include:

- ✓ All homesteads have functional latrines. There has been emphasis that the latrine coverage must be 100%.
- ✓ Find out where those households without latrines, especially homesteads sharing go for defecation.
- ✓ Pay particular attention to elderly, women and children headed households.
- ✓ Observe if there are footpaths leading to the latrine to confirm use.

- ✓ Hold discussions with children to verify information provided by adults. During the verification exercise you can randomly stop children you meet on the way and ask them where they defecate. Do this in absence of the adults.
- ✓ Physically visit all the latrines to establish usage.
- ✓ The evaluators visit previous open defecation places like bushes, open fields, maize plantations, behind the houses and new building structures being constructed etc to verify that they are defecation free.
- ✓ Use all the senses, smell to lead you to what could be happening in a particular spot, observation
- ✓ Water points tend to be common places for open defecation. Be sure to visit the community's sources of water within the village such as springs, streams, rivers, boreholes etc and certify that they are defecation free.

2.3 Observe the confidence of the villagers:

When a village is ODF, you will notice increased confidence amongst the villagers whenever they talk about latrines. For example they would be much more willing to welcome you to their homes and readily show you where the latrines are.

Where open defecation is still practiced, some villagers will shy away from talking to the evaluation team; some may hide, and others may literally run away when they notice the evaluation team.

3. Surprise the village:

It is important not to let the village know that the team is going to verify their village. This may lead them to make extra precautions by clearing and covering up OD areas thus giving a false sense of ODF achievement. Since some community members may be part of the verification team and it may be obvious that they will know. Thus, a smaller advance team can be sent ahead of time to surprise the village and by the time the whole team moves in to start the exercise, there is little time for the community to paint the situation.

4. Timing of ODF celebrations

From experiences elsewhere in the world, it's advisable that ODF celebrations should be delayed for at least 2-3 months after a village is certified to be ODF. The rationale for this is to ensure that there is a genuine change of behavior before celebration can take place. It is therefore necessary that another visit is carried out shortly before the celebration takes place.

5. Community review meetings after Verification.

After the verification exercise, engage the local leaders, village health teams and natural leaders on how the community intends to review their progress through meetings, especially to reinforce behavioral change. Within those meetings, communities should assess the sanitation situation, deal with challenges and moves towards other collective community activities to keep the momentum going. It's at these meetings that the masons/local artisans if trained under a sanitation marketing program are introduced and show case their variety of latrine designs and list up those willing to upgrade their latrines. If at the time of verification many households are not practicing hand washing, then the first review meetings with the facilitator tackles other aspects of sanitation such as hand washing, personal and food hygiene, refuse management as well as safe water chain.

CLTS ODF VERIFICATION FORM QUALITATIVE ASSESSMENT.		VILLAGE NAMES AND VERIFICATION DATES	
		Village 1 Village Name.....	Village 2 Village Name.....
Name of person verifying:			
Date..... Instructions to fill out Form			
<ul style="list-style-type: none"> ➤ Fill in village name and date of verification. ➤ Tick the steps listed below. ➤ Write down your name on the form and observations for each village. 			
Step 1	Interview local leaders/ community members ON the OD practices in the village [probe for good understanding of CLTS triggering process and for evidence of OD in village.]		
Step 2	Ask the different leaders HOW OD has stopped and the different measures in place to ensure people are not eating each other's faeces.		
Step 3	Visit some Households randomly. All have latrines? No faeces behind house?		
	Households without latrines (where do they go and any plans to have a latrine of their own, and by when will they be complete.		
	Probe/observe for homesteads, women/ children headed elderly if they use latrines.		
Step 4	Randomly engage children, in absence of adults and compare their answers to adults in terms of latrine usage. [Ask children to show you any OD spots they have seen in the village, any faeces, record -where?]		
Step 5	Take randomised walk in bushes, near water sources and swamps with specific reference to near households who share latrines. (use all senses, smell for shit, listen for flies, observe to		

	distinguish animal dung from human faeces) No open defecation?		
Step 6:	Are there by laws and monitoring plans by the community to propel/ maintain ODF status? [If yes, list these and if not existing, what plans does community have in this regards?]		
Step 7	Presence of a functional hand washing facility with soap/ash at latrine for each household?		
Step 8	Self reflection: Are you convinced that all latrines in this village are being used and that those who don't have are actually sharing?		
Step 9	Do you declare this village ODF? (tick or cross) If not, list reasons why?		
<p style="text-align: center;">ANY OTHER OBSERVATIONS [PLEASE NOTE HERE] e.g.</p> <ul style="list-style-type: none"> ➤ Latrine cleanliness ➤ Presence of anal cleansing materials ➤ Low fly population in latrines ➤ Less smells in latrines ➤ Privacy for latrines and types of privacy provided ➤ General cleanliness of the compound etc 			

ODF VERIFICATION OBSERVATIONS FOR EACH VILLAGE

<p>GENERAL CONCLUSIONS FOR EACH VILLAGE [include if village is ODF or Not and reasons for the awarded status]</p>	
<p>VILLAGE NAME:</p>	
<p>VILLAGE NAME:</p>	



The Project for Operation and Maintenance for Rural Water Supply and Improved Hygiene and Sanitation in the Republic Of Uganda

A Guide to Latrine construction options in rural areas of Uganda

2019



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1. INTRODUCTION

Poor access to adequate sanitation facilities, resulting in the practice of widespread open defecation, has negative health and social impacts on communities, particularly in terms of increasing morbidity of diseases such as diarrhea, dysentery, typhoid, worms and cholera.

The Operation and Maintenance for Rural Water Supply and Improved Hygiene and Sanitation Project implemented interventions whose purpose was to improve the hygiene and sanitation in rural communities. The Ministry of Water and Environment and Japan International Cooperation Agency (JICA) jointly worked with this purpose to implement activities. To finalize the project interventions many discussions were exchanged at countless occasions about the themes such as reduction of Open Defecation and increases of adaptation of hand washing with soap practices.

One of the key interventions implemented in the project was promoting various methods and techniques in order to guide community members on possible options for construction of latrines. This document is produced as an output of the experience and lessons learnt through activities implemented in the project with an intention to give its users, especially those who initiate and promote latrine construction in rural communities in Uganda, or Africa in general, a set of practical information and useful tips about latrine construction. This compilation of such practical knowledge is a guide to options that were found to be applicable and useful in context of rural areas, regarding construction of latrines and hand washing facilities.

Activities were implemented in 64 villages of 18 sub counties of greater Mubende district, which has been divided into Mubende and Kassanda districts since 2018. This task was to be undertaken through the use of Community Led Total Sanitation (CLTS) between April 2018 and March 2019.

All the photos inserted in this guide are living examples taken from the communities where activities were conducted. The constructed latrines as seen from photographs herein are results of understanding of hygiene and sanitation in the rural communities, community initiatives and efforts of latrine owners and builders in Uganda.

Activities were conducted by Rural Health Care Foundation Uganda (RHCF)

1.1 What is a latrine?

Put simply, a latrine is a sanitation facility/a form of toilet in which disposal of human excreta (faeces) is done in a lined or unlined pit dug in the ground and covered by a slab with a small squat hole on top. Latrines are a common form of sanitation facilities in rural areas because of their low cost of construction, simple technologies and ease in usage. They have been used for generations to safely manage faeces in many areas in Uganda.

1.2 Why Build a Latrine?

Poor disposal of human waste affects the health of people. In addition to the indignity suffered by those lacking sanitation facilities, it renders community members susceptible to diseases contracted through direct and/ or indirect contact with ingestion of faeces. A latrine is a safe and private place to be used for defecation. Wide ranges of latrines are used in households, schools and other agencies (settings) and they offer the following advantages;

- Breaks the transmission cycle of sanitation related diseases hence Improved health conditions
- Improves water quality
- Protects the environment (cleaner environment)
- Provide safety, dignity and privacy
- Reduced bad smell due to appropriate use of the facility
- Improved safety for example from rodents and reptiles in bushes.
- Provides opportunity to produce compost and biogas for energy

Figure1 shows a diagram how open defecation leads to direct and indirect ingestion of faeces.

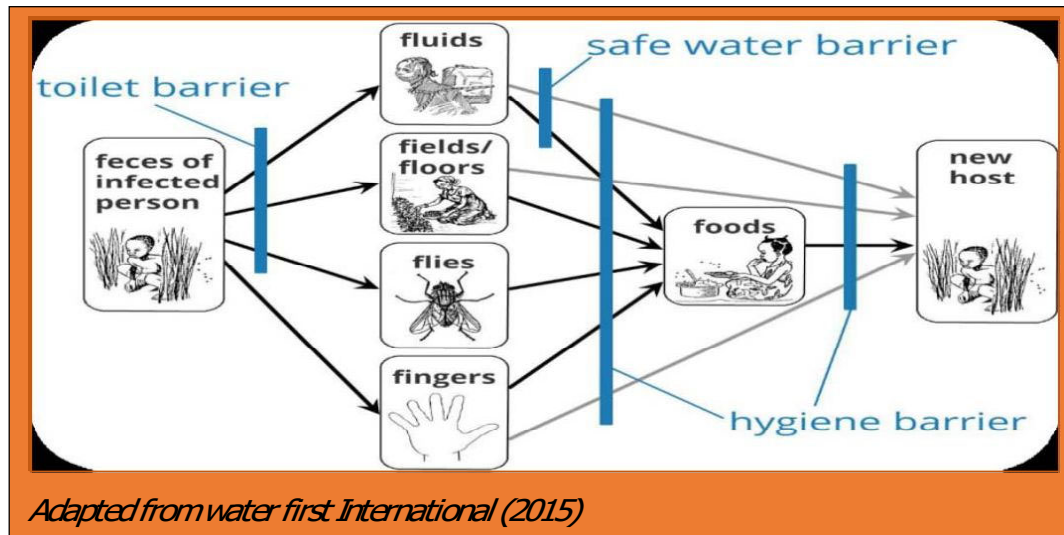


Figure 1: Open defecation and ingestion of faeces (Water first international: 2015)

There are a number of toilet facility types with improved techniques which are used for a better sanitation, and usage. For example, a ventilated improved pit latrine and a lined pit latrine are the preferred types used in rural areas.

2. BEFORE CONSTRUCTION

2.1 Key issues to consider before latrine construction

Construction of a latrine at home needs a few thoughts and planning depending on the owners financial, locational and material constraints and availability. Factors that have all a bearing on how the latrine construction options to be taken on by a prospective builder of the facility are listed below.

- Latrine site location
- Type of latrine technology one prefers to build
- Available building materials (eg; for superstructure and hand washing facilities)
- Required competence in building (mansons to use both in digging the pit and building the structure).
- Including a hand washing station

- Method of emptying (if required)
- Possible reuse of fecal matter for fertilizers or biogas.

Steps of latrine construction are described in the following chapter in which useful tips and advice are given for various options to plan, prepare and build a suitable latrine that meets the need of owners.

2.2 Basics: Pit latrine with slab

Pit latrines are the simplest form of latrines. They consist of a pit dug in the ground and a cover slab or floor with a squat hole. Pit latrines must have a cleanable cover slab in order to be considered as improved sanitation facilities. The excreta (both faeces and urine) drop through the hole to enter the pit.

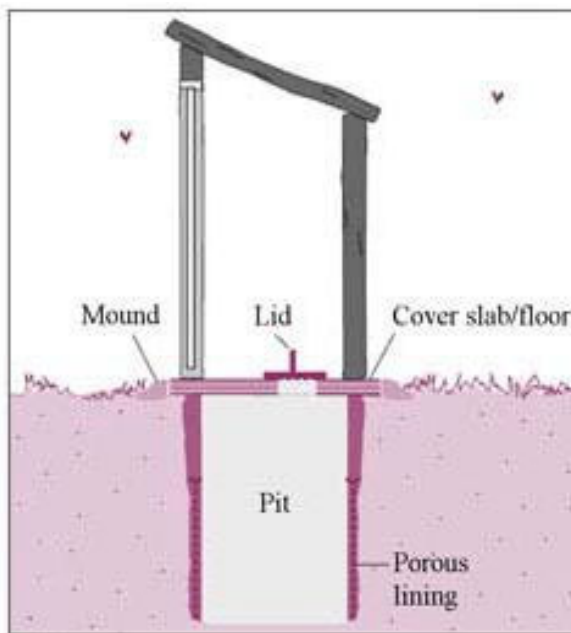


Figure 2: Diagram of a pit latrine.
(adapted from: WHO and IRC, 2003)

Note:

Pit latrines can have a single pit or double pit. In double pits, while one is filling with excreta, the second pit remains out of service. When the first pit is filled with excreta up to about 50 cm below the slab, it is taken out of use and the remaining space is filled with grass and vegetation materials that can be composted. You then use the second pit until that is full. Meanwhile, the first pit will stay sealed for a period of 6–9 months,

during which time the waste will decompose and any pathogenic microorganisms will die. After this period, the material (humus soil) in the first pit can be taken out manually. It is safe to handle and readily used as fertilizer in agriculture or can be disposed of safely.

3. PROCESS OF LATRINE CONSTRUCTION

3.1 Selecting a suitable location

The site of a latrine should preferably be in the backyard of the house and away from an alley in the village. The direction of the wind should be away from the main house. If there is a well in the compound, the latrine should be located as far away (30m) from it as possible on the downhill side to avoid possible seepage and contamination of groundwater.

- A toilet must not be located close to a water body (well, river, stream) and should be at least 100 feet (30 metres) from the edge of the flood plain of a surface water body.
- Pit should be at least 6 metres (almost 20 feet) away from kitchen and 30 metres (100 feet) from source of water.
- Latrines should be sited away from trees to prevent obstruction of vent pipes.
- Latrines should be constructed at convenient location accessible to users at all times.
- Avoid (if possible) sites with the following soil conditions: rocky outcrops, unstable ground conditions and depressions with high water table.
- Latrines should be constructed at sites or locations with adequate drainage to ensure that rainwater runoffs do not flood the pit.

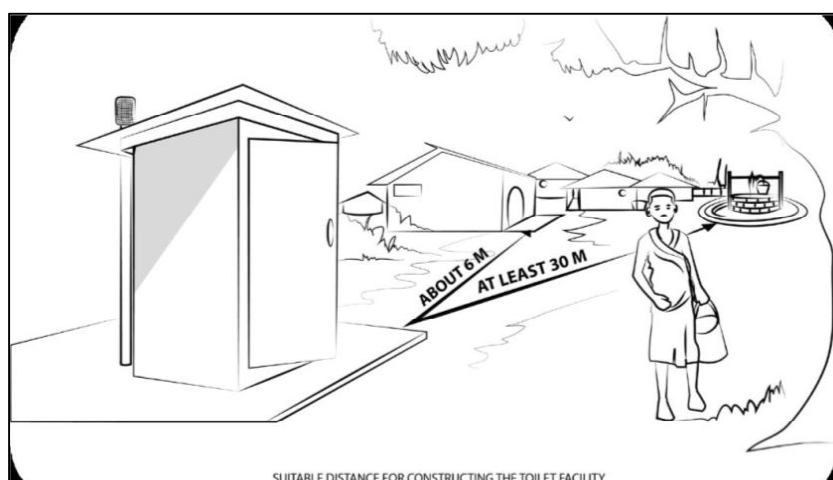


Figure 3: Adapted from water first International (2015)

3.2 Setting out/Marking out

The following points are important to consider while setting the site;

- To mark out the exact location of the pit.
- To clearly mark out the 90° angle corners in case of rectangular pit, and for circular pits a well-defined circumference.
- Clear the site for construction of latrine to begin
Set out the edges of pit ensuring corners are the 90° angle corners (using the 3:4:5 method).

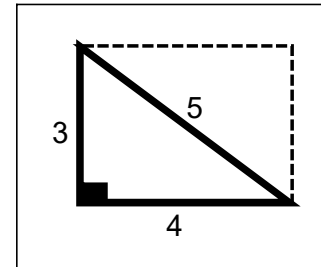


Figure 4: 3:4:5 method

Precautions:

- Avoid moving the string that serves as the initial reference mark.
- Be careful not to leave nails on the ground or poking out of stakes, as people could step on them and get hurt.
- Ensure appropriate safety at the construction site

3.3 Digging of pit

3.3.1 Size:

The size of the pit depends on the number of people using it and the design period, i.e. the length of time before it is full. Typically, the pit should be at least 3 m deep for a family of five for a design period of three to five years. The diameter should be at least 1 m; up to 1.2 m diameter will make it easier to dig but if it exceeds 1.5 m there is an increased risk of collapse, especially in sandy soils.

There is need to consider the geology, soil type and topography (the slope of the land) when considering sanitation technologies. In flood-prone areas, it is advisable to raise the mound of the latrine and prepare diversion ditches around it. When the soil condition is rocky and it is impossible to dig a deep pit, the depth of the pit can be extended by building upwards with concrete rings or blocks. However, care must be taken to ensure the structure remains watertight. The level of the water table must also be taken into consideration. The pit must be entirely above the water table at all times of the year. If the water table is near the surface of the ground, the waste in the pit may contaminate the groundwater.

3.3.2 In collapsing soil:

Pit lining: Lining the pit can prevent it from collapsing and provides support to the superstructure. The pit lining material can be brick, rot-resistant timber, concrete, stones,

or mortar plastered on to the soil. If the soil is stable (i.e. no sand or gravel deposits or loose organic materials), the whole pit need not be lined. The bottom of the pit should remain unlined to allow the percolation of liquids out of the pit.

As all other construction works, it is important to secure the site for construction from the rest of the household or community. Major accidents that have been reported during construction of latrines are children falling into pits that were not properly secured. For this reason it is a requirement that all latrine construction sites must be secured by simply driving pegs into the ground and hoarding of with red bands (usually old red cloths can be cut into bands for this purpose).

Precautions:

- Avoid standing on the edges of the ditches as they might collapse.
- Protect the areas already excavated to prevent accidents.
- Do not increase or decrease the dimensions of the ditch.

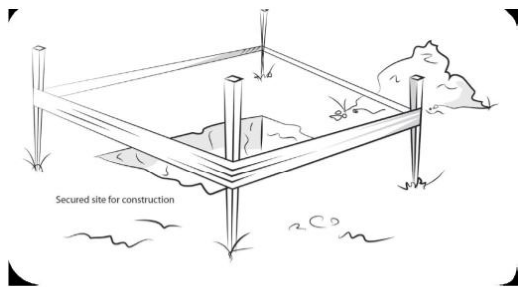


Figure 5: Adapted from water first International (2015)

3.4 Latrine structures

For a household a latrine structure evolves from different stages before one gets a superstructure that is recommended. In the following sections various options are listed according to the sanitation ladder evolution.

3.4.1 Latrine with no structure (Not recommended):

There are households who have dug the pits with slabs but with no structure and are using them. These should however be encouraged to always construct a superstructure as it does not provide privacy, disturbance from rain and sunshine. Hence, organizations or government departments dealing with such households should encourage them to put up a latrine structure.



3.4.2 Latrine with temporary structure (Recommended to improve):

Latrine with temporary structures are up with different materials either using dry banana fiber, rids, mud, or old iron sheets. These structures can be improved also locally available materials to improve the safety and hygiene and strengthening of the structure.



Before a latrine is completed, a mason uses poles and reeds to give provision for inserting in the mud.

Acceptable latrine:

Various communities have different types of latrine structures that are considered to be acceptable in the rural settings. In communities, households chose various types basing on the geographical location, funding and priority.

In the photographs below shows the various options available for selection;

i) Mud and wattle latrine

In the villages, the common latrines are those made out of mud, rids, poles, iron sheets or grass thatched. These are cost effective in the communities to the extent that a household can only spend on excavating the pit since the rest of the materials are readily available.



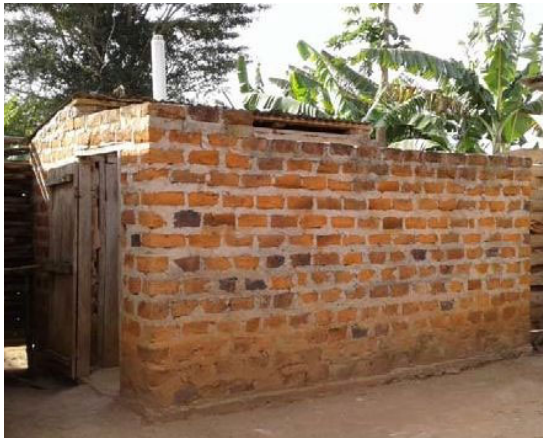
ii) Finished latrine smeared using cow dung

In some instances, a household can finish the latrine using cow dung smeared on the walls and mix it with sand to smoothen the floor of the latrine. By doing so the latrine looks good and becomes easy to clean.



iii) Latrines made out of bricks and cement

For households that have the funds to put up a super structure using bricks it's also an option that is durable. Though most of the households buy most of the materials, they can also be locally generated by household making bricks and only buy sand and cement.



iv) Latrine for the elderly and PWDs

It should be noted that these categories of people find difficulties not only in accessing sanitation facilities but also utilizing them. Thus, a household need to do the following;

- a) Ensure that the pathway leading to the sanitation facility is smooth with no potholes and grass. For the vulnerable categories of people to access the facilities.
- b) The entrance of the latrine should be friendly with no protruding rids that can cause more harm to these people.
- c) Inside the latrine should be kept with at most hygiene to avoid infections.
- d) Improvising the squat hole covers for comfortable use

The photo below shows a raised squat hole to allow a PWD use the facility.



3.5 Roofing

The main function of the roof is to keep away water from entering the privy room and the pit during rainfall and provide shade during periods of sunshine. In this regard one key principle in roof design and construction is to get water off the roof as quickly as possible without allowing it any opportunity to stand on the roof. As such pitched roofs are preferred to flat roofs in the rural communities by norm/practice. However, various options are available for the household starting from; iron sheets, grass, dry banana fibres among others.



3.6 Installing fly management

There are various fly management innovations that can be adopted by communities. Some examples are explained below.

3.6.1 Local squat hole cover

Innovations in latrine covers include use of a piece of timber or making a cover from the banana fiber. Examples are shown in the photos below.



3.6.2 Ash technique

Ash is an effective material to remove odor, wetness and sterilize using its desiccant and alkali nature. Fine wooden ashes can be collected and spread over and around the latrine pit holes as needed. This method is very effective to keep the latrine clean and hygienic as well as eliminate discomfort of offensive odor at a latrine.



3.6.3 Use of A Sato pan

A Sato pan product made out of plastic material is a very good sanitation product for fly management since it has a flap that covers immediately after defecating. It is affordable and can be used by households. It is recommended to keep clean after usage.



3.6.4 Cleanable floors

Cleanable floors installations are one of the main concerns in communities with lack of technology options to use, supply and market for the products. The common product on the market is a san plat that can be adopted by rural communities however, it may require a lot of marketing for the communities to appreciate it and be able to install it since its cost can range between UGX30,000/= to 50,000/=. In the photograph below shows an example of making a san plat and a final product.



3.6.4 Ventilation

Flies are attracted by smells and odor of processed organic matters. Better ventilation can avoid the air retention in the latrine cubicle. Ventilation tube is an effective technology but if such items are not available, holes or elevated spaces can be made at the wall of the structure through which air can flow.



4. OTHER FACTORS TO CONSIDER WHEN CONSTRUCTING A PIT LATRINE

4.1 Advantages of pit latrines

In general, pit latrines with a slab are effective sanitation systems because they isolate human excreta from the surrounding environment and prevent the transmission of faeco-orally transmitted diseases. They also have other advantages:

- They do not require water so are appropriate in areas where there is no adequate water supply.
- Squatting is normal to many people and thus is acceptable to users.
- Alternating double pits will allow the excreta to drain, degrade and transform into a nutrient-rich, safe humic material that can be used to improve soils.
- They avoid contamination of surface water and top soil if properly installed and maintained.
- They can be constructed with minimum cost using local material and local skills.
- The presence of properly constructed slabs will allow easy cleaning and avoid flies and unsightliness.

4.2 Limitations

Limitations of pit latrine are however noted:

- There may be a foul odour from the pit
- With single pits, a new pit needs to be dug every time one gets full.
- They can be susceptible to failure/overflowing during floods.
- Other disadvantages can come by proper design, construction and usage. For example, if the superstructure is not properly constructed, it may discourage use of the latrine by family members.
- Children may be discouraged from using the latrine if the slab is not designed with them in mind and is too big for them.
- Use of non-decomposable materials for anal cleansing should be avoided because it may affect the decomposition rate of human excreta.

4.3 Maintenance of pit latrines

Pit latrines must be properly maintained to function properly. You should advise families to keep the squatting or standing surface clean and dry. This will help to limit odours.

If the pit has been dug to an appropriate size for the number of users, then it may never become full. The liquid will drain into the soil and the solid waste will slowly decompose so the volume remains stable.

5. HAND WASHING FACILITIES

Every latrine or toilet must have a functional hand washing facility with water and soap or ash. Hygiene is an essential component of health promotion and one of the critical times for hand washing is after visiting the toilet. A latrine without a functional hand washing facility will not serve its ultimate objective of disease prevention.

If there is no running water, hand washing stations can be made using jerrycans, tin cans, wooden bowls, or pottery depending on the local culture and custom of your community. Simple devices can be made using very basic materials.



Tippy tap



Bottle option

5.1 Procedure in setting up a hand washing facility



Figure 6: Procedure on construction of a tippy tap (Tippy Tap.org, Watershed Management group, Grampari)

1. Determine location



2. Two standing poles



3. Find a plastic container of approximately 5 litres capacity. A jerry can or gourd can also be used.



4. One pole going through the handle of jerry can



5. Dig a pit

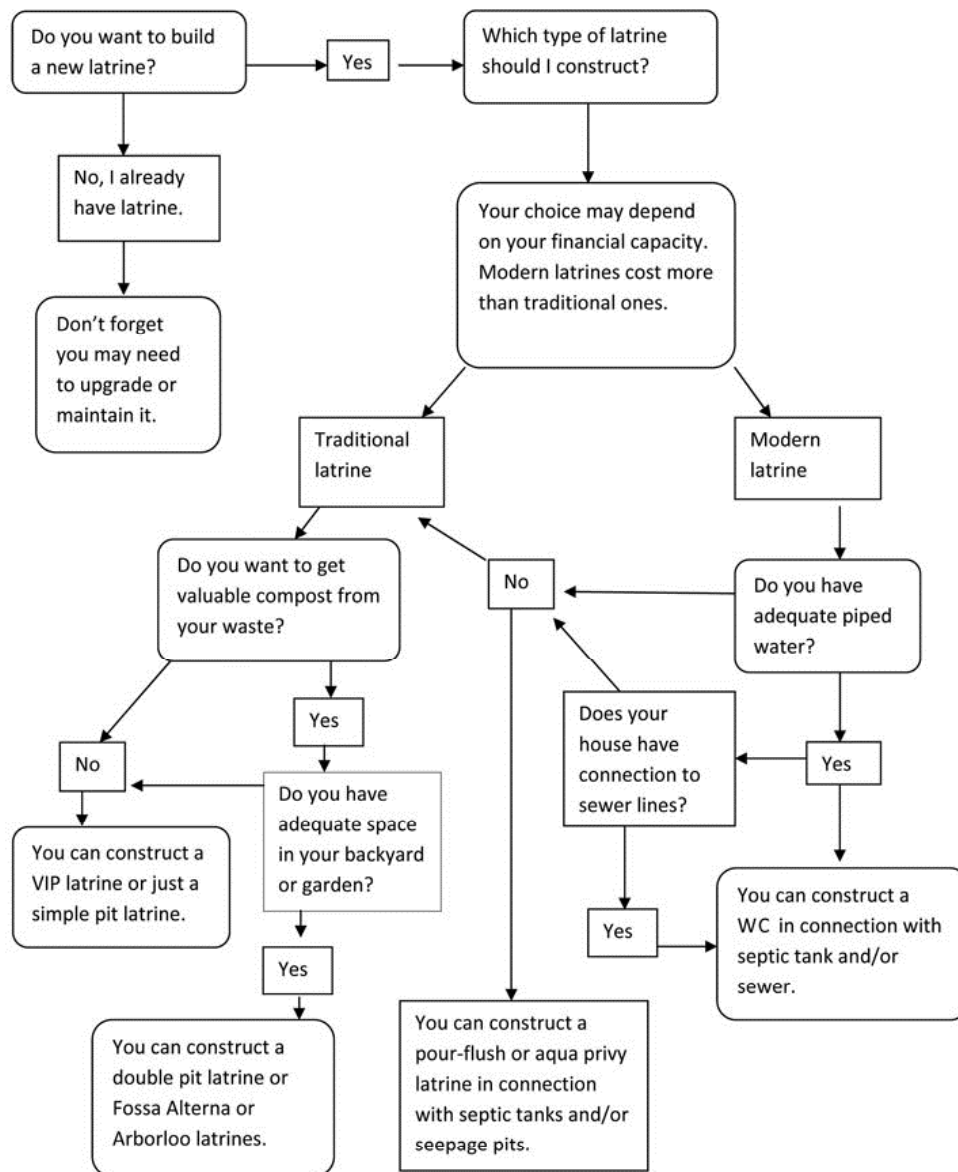


6. Completed



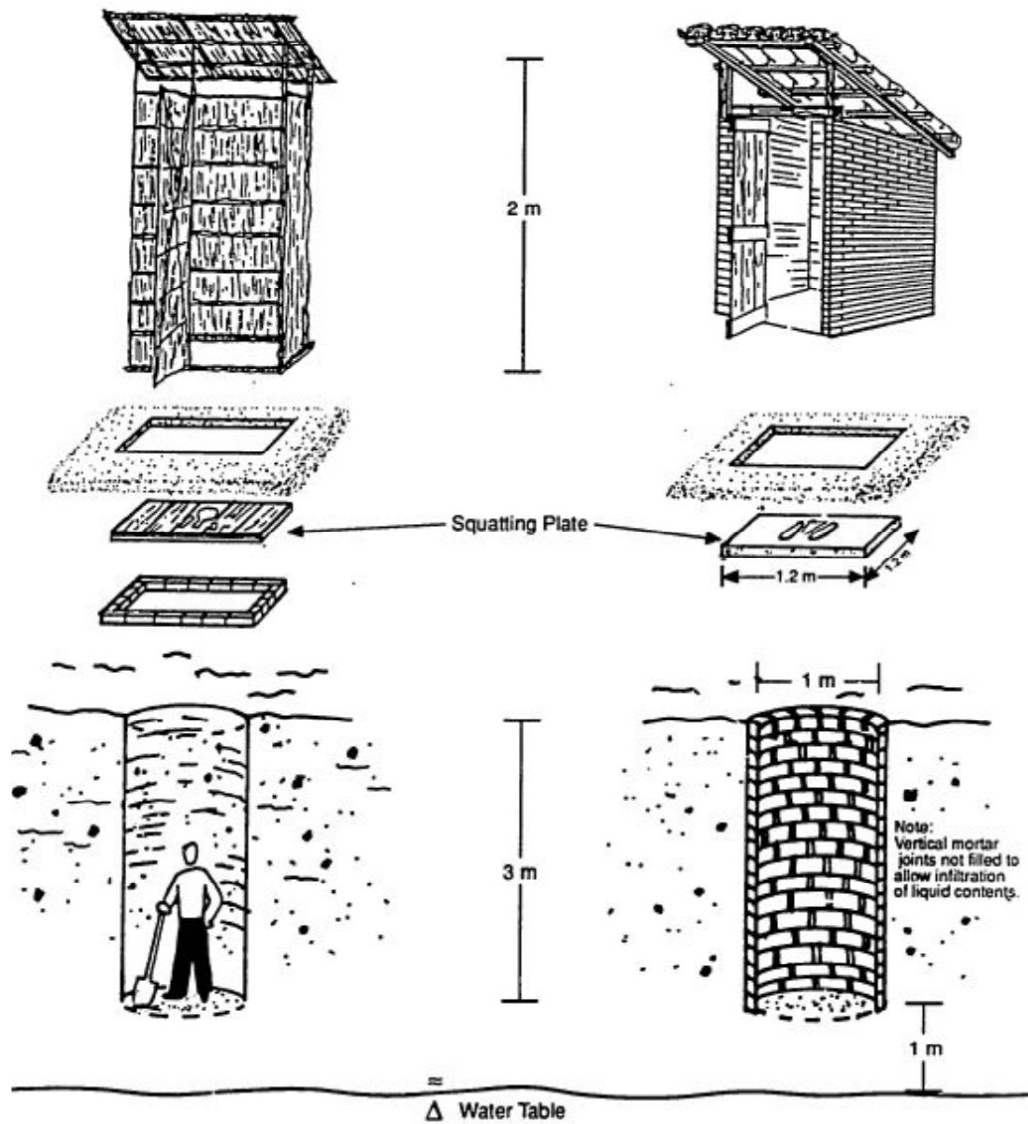
Appendices

Appendix 1: decision tree for latrine options



Adapted from Water First International

Appendix two: Latrine construction dimensions



Appendix 2 : Management and Implementation Guidelines for DMS

**Appendix 2-1 : Management and Implementation Guidelines for
DMS**

DIRECT MANAGEMENT SYSTEM

for

water supply infrastructure in rural areas

MANAGEMENT AND IMPLEMENTATION GUIDELINE

Jun. 2022

(Version 0.1)

*Management arrangements for a guaranteed sustainable and
reliable community water supply service in rural areas*

Foreword

The function of this guideline is to ensure that a smooth management and operation for the roll out of the Direct Management System for water supply infrastructure in rural areas is achieved.

The system is one of the successes by the technical cooperation project's objective to ensure that **“Operation & Maintenance policy and system of rural water supply facilities improved by the Central Government are adapted to wide areas in Uganda”**.

The guideline has been designed with a primary objective to implement the recommendations of the 7th JCC at executive and operational level in respect to both Government of Uganda/ Ministry of Water and Environment and the Development Partner(s).

The regional service and rehabilitation centres in Gulu, Jinja, Mubende, and Masaka shall be responsible for the implementation of the DMS roll out activities in accordance with the Annual Work Plan and Budget (AWPB) approved by NCC. The activities shall include the promotion of multi-use of water supply infrastructure for communities in rural areas through overhaul, rehabilitation, water source upgrade/improvement, technical guidance, capacity development and training (institutional and stakeholders), sanitation & hygiene promotion, climate change & environment protection, and integrated community livelihood improvement.

In addition, the centres shall coordinate and support all stakeholders including the rural water service stations for the smooth implementation of DMS rollout activities.

This guideline has been prepared with input from the JICA expert team and is a living document that shall be reviewed from time -to- time to consider new sector developments and new sector innovations aimed at improving management of water supply infrastructure in rural areas.

Duly adopted by the Joint Coordination Committee for the Roll out of the Direct Management System this 23rd of June in the year 2022.

.....
Alfred Okot Okidi
Chairperson- JCC
Permanent Secretary- MWE
On behalf of Government of Uganda

.....
UCHIYAMA Takayuki
Co- Chairperson- JCC
Chief Representative – JICA Uganda
On behalf of Development Partners

Abbreviations

AOS	Annual Outcome Surveys
AWPB	Annual Work Plan and Budget
CBMS	Community Based Management System
CBO	Community Based Organization
CLTS	Community Led Total Sanitation
DMS	Direct Management System
DWD	Directorate of Water Development
DPs	Development Partners
EOI	Expression Of Interest
FO	Field Operations
GOP	Guideline of Personnel
GOU	Government of Uganda
ICB	International Competitive Bidding
IPAS	International Public sector Accounting Standards
ISPs	Internet Service Providers
JCC	Joint Coordination Committee (pilot phase for the JICA Technical Cooperation Project)
JICA	Japan International Cooperation Agency
JMC	Joint Management Committee
KM	Knowledge Management
MIS	Management Information System
MT	Management Team
MWE	Ministry of Water and Environment
NCB	National Competitive Bidding
NDP	National Development Plan
NGO	Non-Government Organization
NCC	National Joint Management Committee for DMS rollout
OAG	Office of Auditor General
PDE	Procurement and Disposal Entity
PDM	Project Design Matrix
PPDA	the Public Procurement and Disposal of public assets Authority
QCBS	Quality- and Cost-Based Selection
RFP	Request For Proposal
RFQ	Request For Quotation
RIMS	Results and Impact Management System
RWSS	Rural Water Service Station
SFB	Selection under a Fixed Budget
SIP	Specific Implementation Plans

SOP	Standard Operating Procedures
SSS	Single Source Selection
TOT	Training Of Trainers

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1: Introduction

1.1 The Implementation Guideline

This implementation guideline (IG) is a fundamental document that has been prepared to provide the basis for implementation of the DMS activities in the four regional centres of Gulu, Jinja, Mubende, and Masaka and is oriented towards achieving the goals and targets envisaged in the Project Design Matrix here referred to as the PDM and JCC resolutions at the 7th Meeting held on 23 January 2020.

This document has been developed as a single point of reference for centre personnel and other stakeholders involved in the roll out of DMS. The IG will help the centre personnel to ensure smooth start-up and implementation. This document shall take a final shape after signature by the Permanent Secretary- MWE (Chairperson) on behalf of the Implementing Agency-MWE and the Representative of JICA (Co- Chairperson of JCC) on behalf of the development partners.

The IG is a dynamic document and amendments will be considered effective once duly approved by the National Coordination Committee.

1.2 The Project

On 5th March 2015, Government of Uganda and its partner Japan International Cooperation Agency (JICA) signed Minutes of Meeting on the detailed planning survey on the project for O&M. The understanding was intended to steer the focus of JICA country program towards improved natural resources management with pronounced emphasis on improving management arrangements for water supply infrastructure in rural areas.

The project for O&M commenced on 6th July 2015 when both parties agreed that MWE, the counterpart to JICA shall be responsible for the implementation of the project in cooperation with JICA, coordinate with other relevant organizations and ensure that the self-reliant operation of the project is sustained during and after the implementation period in order to contribute towards social and economic development of Uganda.

The project aims at providing improved mechanisms for sustainable management of water supply infrastructure in rural areas through improving and strengthening procedures, systems required to ensure reliable, and functional water supplies that are managed through the community management model/approach.

The project is an outcome of the extensive analysis of the ever-increasing redundant water supply infrastructure in rural areas resulting from breakdowns and a constrained management system that was established to undertake repairs, rehabilitation whenever required.

With a GDP of US\$ 36.5B (IMF, 2020) and household per capita of US\$ 916 (IMF, 2020) of Uganda is one of the LDCs of the world. The economy of Uganda is characterized by dependence on agriculture with about 70% of the population in rural areas taking agriculture as its main occupation. The agricultural practices in rural Uganda are mostly of subsistence in nature with limited commercialization and participation in the market. This occurrence has had a dire impact on the society and thereby curtailing its ability to contribution towards maintenance of their water supplies. This is worsened by poor governance and weak follow-up support mechanisms for the existing structures in the management of the water supplies.

Poverty alleviation is taken as a main plank of the policy initiatives for the Government of Uganda. The country has developed a vision 2045 that shall see the county graduating from a Least Developed Country to a middle-income country which shall require not only accelerated economic growth but also the reduction in the economic vulnerability of the country. DMS has been developed and adopted as an approach to massively engage and direct coordination of local community members to undertake repairs and maintenance of the community water supplies in rural areas. Indirectly, the new Direct Management System has demonstrated the creation of employment opportunities for the rural folk thereby contributing to the acceleration of the economic growth as one of the current periodic plans.

The project for O&M is designed and aligned with the objective of enhancing mechanisms for strengthening management arrangements for water supply infrastructure in rural areas. The project's

major development contribution is the emphatic statement that sustainable management of water supply infrastructure in rural areas is a necessary condition for facilitation of rural cottage level production initiatives including production of high value crops, poultry farming. The NDP III notes that reliable access to safe and clean water directly contributes to improved quality of livelihoods among poor communities, with primary self-targeting measures to stimulate, where feasible, broader-based growth in economic activity that can generate jobs and increase income for the low-income rural communities.

1.2.1 Direct Management System

The Direct Management System (DMS) was developed by the Ministry of Water and Environment with support from JICA technical assistance grant in 2017 as a system to facilitate the guaranteed management for water supply infrastructure in rural areas. The system addresses the weaknesses of the Community Based Management System (CBMS) by re-arranging the of responsibility centres while utilizing the existing local human resources and structures for managing rural water sources.

At the 7th Joint Coordination Committee (JCC) Meeting, it was agreed that DMS is scaled to the benefit of other communities within the pilot districts that were not covered during the pilot thereby facilitating the established service centre to operate at an optimal level thus ensuring optimal utilization of the existing resource provided. It was also confirmed that DMS is rolled out to cover other districts outside the pilot districts throughout the post-project phase.

To up scale the system, regional service and rehabilitation centres were setup strategically as vehicles through which activities undertaken through the pilot can be replicated and that the established Mubende Rural Water Service Centre continues to be supported until such a time it has sufficient capacity to operate independently.

Effective 1st July 2020, four regional service and rehabilitation centres commenced operations in 33 districts (Phase 1 Districts) across Uganda. These centres are;

1. Mubende Regional Service and Rehabilitation Centre,
2. Jinja Regional Service and Rehabilitation Centre,
3. Gulu Regional Service and Rehabilitation Centre, and
4. Masaka Regional Service and Rehabilitation Centre.

The centres report directly to the National Joint Coordination Committee (NCC), the apex for the overall strategic coordination, direction and management for the roll out of DMS. Throughout the roll out of DMS, NCC shall superintend over all the activities of the centres and shall be anchored in a department/division suitable for coordination multi stakeholder programmes including development partners and other sectors.

1.2.2 DMS Rollout Goal and Development Objective

1.2.2.1 Overall goal: The overall goal of rolling out DMS is to reduce poverty among the rural communities by increasing productivity through provision of reliable water to support cottage level livelihoods through facilitating production activities and elimination of ill-health arising from lack of access to safe and clean water.

1.2.2.2 Major Outcomes

The major outcomes anticipated are:

- Functionality of water supply infrastructure in rural areas is increased to 95% by 2030,
- 70% of the existing water supply infrastructure is improved for multi-use to facilitate cottage productivity among the rural folk by 2030, and
- Response time for breakdowns of enrolled water supplies reduced to 24hours.

1.2.2.3 Development Objective

The development objective of DMS is to provide reliable water supply for multi- use to the rural folk through improving the condition of the existing water supply infrastructure in rural areas and establishment of an efficient and effective management mechanism to supplement government's efforts in the management arrangements.

This shall ensure sufficient and reliable water is available for community members to use as an input in local livelihood improvement/production initiatives not only to raise income and wellbeing among the rural communities but also mitigate water borne diseases and ill health arising from lack of safe and clean water.

DMS is specifically focused on village dwellers' opportunity to enjoy reliable access to safe and clean water through rehabilitation, improving and upgrading the existing water supply infrastructure in rural areas, and ensuring an effective, efficient and transparent system is put in place for timely response to breakdowns while facilitating the creation of a strong sense of ownership among the communities and thereby ensuring sustainability of the water supply infrastructure investments.

1.2.3 Legal framework of the guideline:

This guideline has been developed in consideration and harmony with the following national documents;

- 1) The National Development Plan III
- 2) The Uganda Vision 2040
- 3) The Water and Environment Sector Strategic Plan
- 4) The Water Act Cap 152
- 5) The Public Health Act Cap 281
- 6) The Local Government Act Cap 243
- 7) The Public Finance Management Act 2015
- 8) The Public Procurement and Disposal Act 2003
- 9) The National Environment Management Policy 1994

1.3 Goal and Objectives of the guideline

1.3.1 Goal:

The overall goal is to achieve guaranteed water supply service for all rural communities and to contribute to reducing rural poverty through improved management arrangements.

1.3.2 Objectives:

The objectives of the Guideline are to:

- Increase the efficiency and effectiveness in the implementation of DMS
- Guide the regional rehabilitation centre Staff in the implementation of DMS

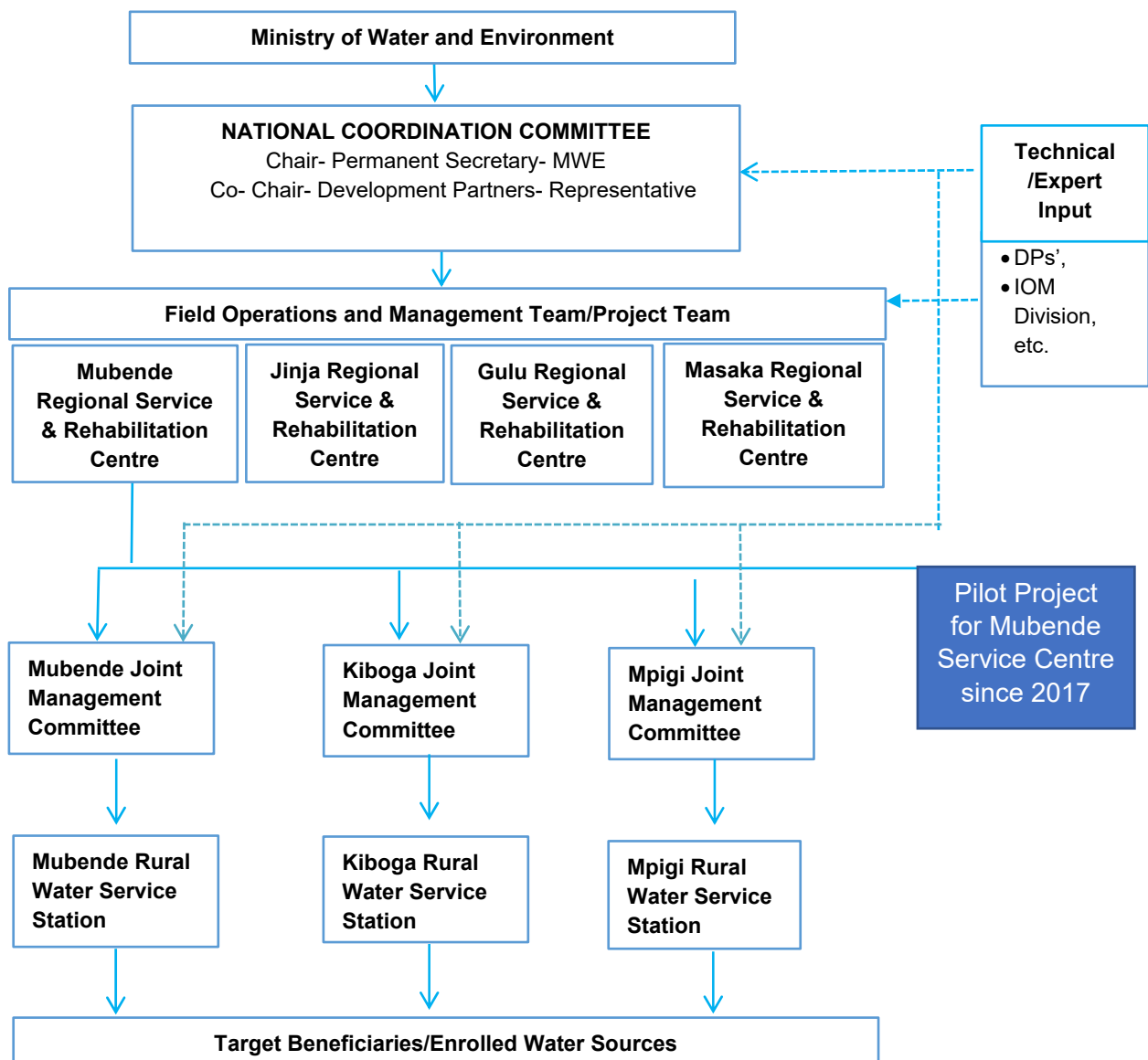
2. Institutional Framework for the Roll out of DMS

This section of the guideline presents the organizational framework, steering organs, coordination as well as all the stakeholders that are involved in the roll out of the Direct Management System (DMS).

2.1 The National Joint Coordination Committee (NCC)

The overall responsibility for strategic stewardship of the DMS roll out rests with the National Joint Coordination Committee (NCC). NCC shall be the highest decision-making organ for the roll out of DMS. NCC shall comprise of Development Partners, MWE, and representation from the beneficiary District Local Governments, MOFPED, MOLG, MoES, representatives from respective JMCs and the project team (including experts). Annex 1 presents a list of the NCC members. The position of the co-chairperson shall be held on a rotational basis among the Development partners.

Chart 1: Organizational chart revised to accommodate rollout of DMS



2.1.1 Roles and Responsibilities of the NCC

The role of NCC include the following:

- i) Provide overall guidance and oversight in the roll out of DMS, ensuring compliance with the set guidelines;
- ii) Approve the Annual Work Plans and Budgets (AWPB) and programme implementation plan for roll out of DMS;
- iii) Admit new development partners/financiers in the roll out of DMS;
- iv) Ensure that overall operations of the roll out are within the agreed framework between Government of Uganda (GOU) and Development Partners (DPs);
- v) Provide guidance to the Regional Service & Rehabilitation Centres for smooth operations and reduce fiduciary risks;
- vi) Appraise the performance of the Centres;
- vii) Undertake audits (annual) on performance of the Centres;
- viii) Ensure timely disbursements are made to facilitate operations of the Centres;
- ix) Define and initiate steps necessary to consolidate the Direct Management System (short term) and to entrench the system under a semi-autonomous management arrangement (medium term).

The detailed implementation arrangements for the rollout components are given in Chapter 5 of this document

2.2 Field Operations and Management Team (FO&MT)

The FO&MT shall have the responsibility for implementing all activities as approved in the AWPB by NCC. During the roll out phase, the team shall be charged with a responsibility of rolling out DMS under the 4 regional Centres. A coordinator shall be selected from the team and appointed formally by NCC to superintend over a regional Centre's activities. The unit shall be responsible for the overall day-to-day management and implementation of the planned roll out activities.

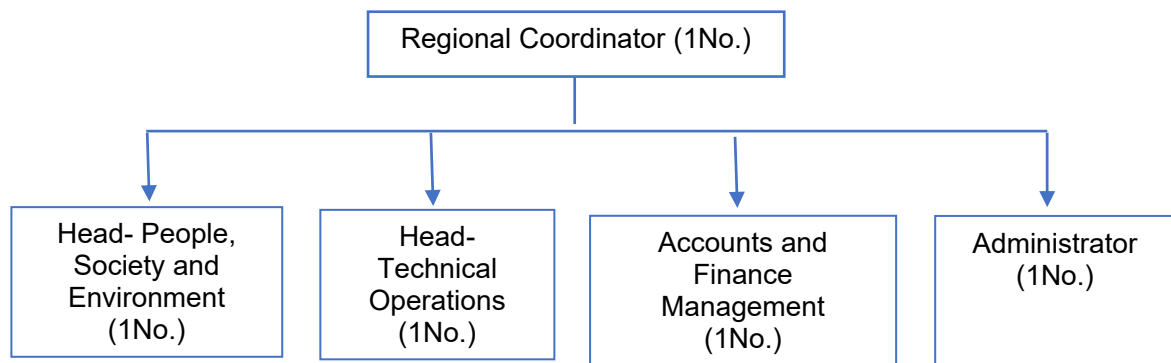
2.2.1 Tasks and roles of the Team

The principal tasks of the team are:

- i) Provide broad based management support including planning, programming, budgeting, monitoring, and documenting progress and implementation of all planned activities as approved by NCC;
- ii) Ensuring that the activities approved by NCC are implemented;
- iii) Collecting relevant data and information to be used as input to the project M&E system;
- iv) Providing technical and logistical support to the Regional Service & Rehabilitation Centres;
- v) Initiating the awareness raising campaigns to promote the DMS;
- vi) Developing implementation plans based on the PDM for efficient and effective implementation;
- vii) Implementation DMS project activities included in the work plans through an integrated, multi-sectoral, client-focused, coordinated, demand-driven and participatory advisory services.

The team shall use all their time on the implementation of DMS related work through the four-Regional Service & Rehabilitation Centres in Jinja, Masaka, Mubende, and Gulu. Appropriate office premises for the regional level coordinators and staff shall be secured in the appropriate district local governments.

Chart 2: Composition of the Team at regional level during the roll out of DMS



Team at the Regional Service & Rehabilitation Centres: Each team shall be headed by a regional coordinator and shall comprise of an officer in charge of people, society and environmental aspects; officer in charge of technical operations (water source repair, rehabilitation and water source improvement); officer in charge of finance and accounts; and an officer in charge of general administration. Chart 2 presents the staff arrangement. Additional specialties shall be added in accordance with the guidance from NCC. A total of 4 drivers (2 drivers & 2 turn men for rehabilitation trucks and 2 drivers for field operation vehicles) shall be required at each Centre. These members of staff shall be report to the administrator for the day-to-day operations but assigned to the respective field staff. It is important to consider not only the capacity of the staff but also two thirds of staff be filled in favor of special interest groups during staff recruitment.

Technical assistance in form of technical advisor(s)/expert(s) shall be provided to each Centre by the development partners to support in the Centre team in the execution of the planned activities.

The activities of the Regional Service & Rehabilitation Centres shall be anchored on the following themes;

- i) Water source improvement (overhaul, rehabilitation, water source upgrade and improvement);
- ii) Technical guidance and support to the rural water service stations (including establishing new stations);
- iii) Capacity development, and training for the rural water service station stakeholders that include HPMAs, leaders and staff among others;
- iv) Community sanitation and hygiene promotion;
- v) Climate change (mitigation& adaptation) and environment protection;
- vi) Integrated community development for livelihood improvement and poverty alleviation.

3 Financial Management and Budgeting Arrangements

Smooth implementation of the DMS roll out shall require the following key functions by each Regional Service & Rehabilitation Centre;

1. Planning and Budgeting
2. Finance and Financial management
3. Operations and Implementation arrangements
4. Support to Rural Water Service Stations
5. Supervision and Reporting
6. Promotion and installation of new technologies such as SUNDA (Remote-controlled Volumetric water rate Collection System for Hand Pumps) for efficiency and cost-effective management of water supply infrastructure in rural areas
7. Monitoring and Evaluation arrangements
8. Administrative management
9. Logistics and Asset management

3.1 Planning and Budgeting

2.3.1.1 Annual Work plans

The coordinators of the Regional Service & Rehabilitation Centre shall constitute themselves into a DMS implementation secretariat that shall be responsible for developing an Annual Work Plan and Budget (AWPB). Expert team of the development partner shall offer support in this function. The AWPB is expected to contain several key elements such as:

- i) Introduction and brief background;
- ii) Strategic focus and outputs;
- iii) Major risks and mitigation actions;
- iv) Budget and Financing plan;
- v) Procurement plan;
- vi) Training and technical assistance schedule and,
- vii) Regional Rehabilitation Centre staff development plan

2.3.1.2 Budgets and Financing plans

The budget and financing plan shall be described as a detailed statement of the expected resources available to the roll out and the planned use of those resources for the upcoming roll out year. The AWPB and especially the budget and financing plan is an important tool for managing the financial performance of the roll out and to ensure sufficient cash flow.

2.3.1.3 Development and Approval of the AWPB

The activity plans shall be developed for each region with Specific Implementation Plans (SIP) working as the basis for all further planning. The Regional Service & Rehabilitation Centre with contribution/input from the area rural water service stations shall prepare the annual work plan and budgets in accordance with procedures agreed by NCC. The AWPB format is given in Annex 2. The inputs for the AWPBs shall be provided by the DMS implementation secretariat/project team. The expert team shall assist in reviewing the AWPBs that would be submitted to NCC for consideration and formal approval.

The AWPBs shall clearly describe which activities shall be carried out in the coming year/period. The AWPBs shall link the proposed budgetary envelope with physical results to be achieved, taking into previous years achievements. The centre team with support from the expert team shall consolidate regional AWPBs and send consolidated versions to the NCC for approval.

The NCC shall review and approve all AWPB in time for activities to be implemented.

3.2 Finance and Finance Management

2.3.2.1 Financing Project Expenditures

2.3.2.1.1 Financing sources

Financing of the roll out shall be from various sources – GOU and the development partners. The funding/grant/subvention/endowment/subsidy shall be a contribution for the annual budget and AWPB activities that shall be approved by NCC for the regional rehabilitation centre. The regional coordinator shall submit and present an annual work plan and budget to NCC for consideration and approval. The funds shall be disbursed on quarterly basis and on time to avert delays in execution of the agreed activities.

The AWPB shall clearly indicate the activities categorized for payment by the different contributors towards the roll out of DMS.

2.3.2.1.2 Designated Account/Regional centre account

One designated bank account shall be opened for each regional service & rehabilitation centre for the functions of; (i) work as an escrow account for JMCs to manage user fee contributions for repair of community water sources all and (ii) manage the grants disbursed to the regional service & rehabilitation centres to implement the agreed activities by NCC in the roll out of and support of DMS. The principal signatory to the account shall be the regional coordinator of the regional service & rehabilitation centre with counter –signing by any other officer authorized accordance with the NCC recommendations.

2.3.2.1.3 Financial Management and Disbursement Arrangements

The financial management of the regional service & rehabilitation centres shall be in accordance with the financing agreements of the roll out as confirmed by NCC. The regional service & rehabilitation centres shall abide by these rules and procedures. The DPs' expert team shall document and share the finance and accounting management procedures used in the pilot phase with regional service & rehabilitation centres and subsequent the centres shall operationalize them for implementation and roll out of DMS.

The financial management system shall be under the overall responsibility of the regional coordinator assisted and guided by the officer in charge of finance and accounts. In order to ensure a strong financial management system, the following requirements must be met:

- Ensure that funds are used only for the purpose intended under the overall roll out plan for DMS in an efficient and economical way and in accordance with the activities described in the Project Design Matrix and in the approved Annual Work Plans and Budgets (AWPBs) within the limit of the approved annual budget;
- Ensure a secure e-storage and backup system for all record.
- Ensure compliance with the prevailing financial regulations as shall be agreed by the development partners and GOU;
- Enable the preparation of accurate and timely financial reports in the prescribed format for reporting to the NCC as per requirement, through the use of accounting software for example Quick Books, Navision, Tally, etc.
- Ensure that funds are properly managed and flow rapidly, adequately, regularly and predictably;

- Enable programme management to monitor the efficient implementation of DMS roll out activities;
- Safeguard the assets and resources procured using funds disbursed to the regional service & rehabilitation centre

Furthermore: (i) the internal control system shall ensure an efficient and transparent payment and procurement process, and the proper recording and safeguarding of assets and resources; (ii) the accounting system shall record activity requests for funding and meet reporting obligations to NCC, the development partners, and into the larger Government of Uganda reporting provisions; (iii) the programmes financial statements and internal controls of the regional service & rehabilitation centre shall be subjected to an independent annual audit sanctioned by NCC with guidance from the Office of the Auditor General.

Fund disbursements to the regional centres

The NCC shall be informed of all disbursed funds received as contribution from GOU and other development partners on a trimester basis, based on the consolidated DMS rollout AWPBs. Timely disbursements shall be made by the project financiers (GOU and other development partners) on a trimester basis to ensure that the regional service & rehabilitation centres are facilitated to execute the planned activities in a timely manner.

Each regional centre shall maintain a separate accounting system for funds received as subvention/grants as well as funds contributed from user fee collections to be managed by JMCs and shall have a full-time regional centre accountant ensuring the proper maintenance of accounts as well as reporting. Accounts shall be maintained with accounting software. The bank account of the regional centre shall be operated with joint signatures with the regional coordinator being the principal signatory.

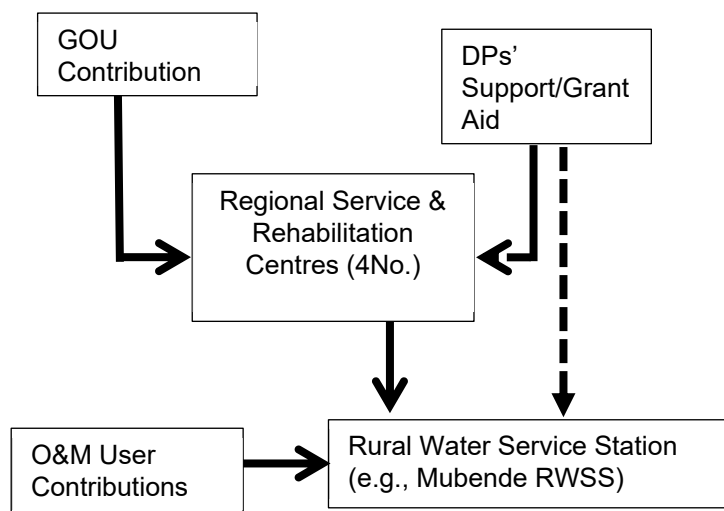
Internal audits shall be outsourced through a competitive procurement process through the NCC by engaging the Procurement unit of MWE since the RSRC are directly under MWE. The audit shall be conducted as per TOR approved by the development partners before the appointment of an auditor. The audit shall include verification visits. At least 30-50% of activities carried by the regional centre shall be verified each year. The selection on a random basis. The expenditure incurred by the regional centre out of advance directly received by the centre shall be audited. The original supporting of expenditures from the regional centre shall be kept as supporting documents when maintaining its accounts in accounting software. This shall be available for verification by supervision missions and NCC field visits. The bank reconciliation statement of disbursements shall be prepared and provided to NCC at both the bi- annual and annual review meetings.

Financial Inclusion

For the financial inclusion component, funds to be used for performance-based matching grants and risks- sharing scheme shall be paid directly to the regional service & rehabilitation centre account in accordance with the AWPB approved by NCC. The accounts shall include a disclosure for those funds disbursed.

Chart 3: Fund Flow Mechanism

The flow of funds arrangements during the roll-out phase is presented in Chart 3 below



Budgeting and Withdrawal Applications

The regional coordinators shall constitute a joint team that shall prepare a consolidated Annual Work Plan and Budget (AWPB) for every fiscal year. The consolidated AWPB shall be submitted to NCC for approval. The AWPB shall include a detailed description of planned activities during the fiscal year, sources and uses of funds and an updated 18-month procurement plan.

The regional coordinators shall submit a draft consolidated AWPB to the NCC for its approval not later than 30 days before the beginning of the relevant fiscal year.

Fund disbursement

Funds for implementation/rollout of DMS shall follow the approved AWPB by NCC. Subsequent replenishments to the designated accounts shall be based on actual expenditures incurred and reported on. These shall include payment to service providers/contractors/suppliers that shall be paid directly through bank transfers. Priority shall be made for the rural water service stations to ensure their continued smooth operations.

3.3 Accounting and Financial Reporting

Accounting System

The roll out of DMS shall follow the cash basis accounting system for reporting its revenues and expenditures. Accounting and reporting ledgers and forms shall be used. The DPs' expert team shall support in the preparation of the accounting and reporting ledgers and forms.

Book of Accounts

As one of the recommendations by the expert team during the pilot phase, a package of financial and accounting procedures that were prepared shall be operationalized to facilitate

activities for rollout of DMS at the regional service & rehabilitation centre. These procedures are in harmony with the agreed financing and accounting procedures agreeable to NCC (taking into consideration GOU and DP finance and accounting procedures that shall be provided in Minutes of Meeting).

Appropriate accounting software shall be installed for use by each of the centres for purposes of managing funds for roll out of DMS. NCC shall only accept financial reports and statements generated by the accounting software for disbursements, replenishments.

Financial Records Management

Financial records must be created and preserved for every financial transaction performed under the centres. Financial records shall be defined as any financial information including written, computer data, internal forms, emails, or any other form of storage information originated from the regional service & rehabilitation centre such as internal forms, journal vouchers, financial reports (monthly & quarterly) copies of checks and withdrawal applications or received by the centre such as supplier invoices and receipts, bank statements within the framework of the regional centre's official activities. The objective of this procedure is to preserve the financial records and files for financial audit as sanctioned by NCC and for review by the NCC at any desired time.

Filing of the financial records

The accountant/officer in charge of finances and accounts at the regional service & rehabilitation centre is responsible for filing the financial records created or received by the centre. To fulfil this responsibility, the accountant/officer shall maintain chronological files in which the financial documents have to be filed for future reference. Filing shall be performance daily to prevent the accumulation of papers and to ensure that the financial records are maintained in an up –to –date manner at all times. Each financial record shall be filed under its code in a chronological order, with a sequential number assigned to every document. Any kind of additions or amendments to their financial document shall be filed in a chronological order immediately following the principal document.

Storage of financial records

The financial records shall be stored at the respective regional service & rehabilitation centre office. The accountant shall allocate an appropriate storage area for the financial records in paper format and maintain them in lock cabinets, safe from water and fire to which access is controlled and limited. The accountant shall also classify the financial records as "Confidential" or "General". All important correspondences shall be filed.

As the organization grows, it is recommended to install accounting software and digitalize records in an e-storage/ back-up system in order to ensure accuracy and transparency.

Internal Controls

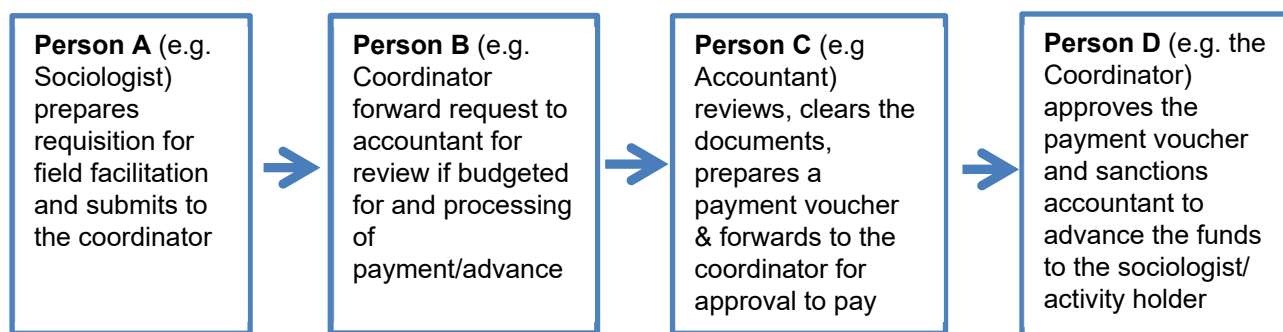
Designing, installing and maintaining a system of internal financial control is an integral part of the financial management function for all the regional service & rehabilitation centres. Internal financial controls shall aim to ensure; i) efficiency, ii) reliability, of financial reports and iii) compliance with applicable laws and regulations. The key features of the internal control system for each regional centre are summarized below:

- Segregation of duties;
- Authorization;
- Reconciliations and checks;
- Restricted access;

Segregation of duties

Segregation of duties at each regional centre is an important element of a control system. Segregation of duties is concerned with the separation of duties which would, if combined, disable one individual to record and process a complete transaction. It is the “Accountants” responsibility to ensure that the following duties are segregated under during the roll out: preparation, authorization, execution, custody, recording and the operation of systems.

Chart 4: Example of Segregation of duties



Authorization

Authorization controls at the regional centre shall require the certification that a transaction or event is acceptable for further processing. Several types of authorization shall be in effect at the regional centre, mainly in the procurement cycle, payment cycle, bank and cash management cycle including reconciliation. The accountant shall ensure that the authorization of regional centre staff follow efficient implementation while keeping the risks as low as possible. The authorization at the regional centre shall be in line with their respective job descriptions.

Reconciliations and Checks

Reconciliations between independent, corresponding sources of data are a key control for identifying errors and discrepancies in balances. The accountant of the centre shall therefore perform bank reconciliations each month. These reconciliations shall focus on transactions between the system and bank account receipts and payment statement.

Any reconciling or balancing amounts shall be promptly cleared. Unusual or long outstanding reconciling items must be flagged. The accountant shall review and sign reconciliations as evidence of the review. In addition, physical checks shall be performed on assets held and on petty cash.

Restricted Access

All data, records and assets shall be kept in a physically secure environment. This shall cover safe keeping of finance records such as official order forms and bank details. In addition, any petty cash shall be kept securely.

Accounting during the implementation of DMS roll out

The accounting function shall be an integral part of the financial management practices under the DMS roll out. To effectively execute accounting for the planned activities, it is essential that the accountant is familiar with the following;

Public Finance Management Act of Uganda and development partners/GOU project financing agreements including the disbursement and reporting requirements

The accounting function shall as a minimum address the following sub topics:

- Used national acceptable accounting standards:
- International Public Sector Accounting Standards (IPAS) - Cash basis

Chart of Accounts

The chart of accounts shall be in line with the NDP III and used to: i) capture the financial data under the appropriate headings and ii) classify and group financial data for the various financial reports. The structure of the chart of accounts shall cater for data to be captured by: i) the centre/station components, sub components, activities ii) expenditure items under each component and sub component, iii) The NCC agreed expenditure categories for the project and iv) sources of funding. expenditure categories may also be recorded by using “cost centre” functionality which is available in Quick Books/Tally/Navision (the projects accounting software).

The structure of the chart of accounts shall conform closely to the project cost tables (as presented in the financial report of the centre) to enable comparison of actual centre costs during implementation with those estimated during the workplan preparation.

A sample of a chart of account is provided in Annex 3 of the project finance management procedures

Petty cash account

In addition to the bank accounts outlined, each regional centre shall operate a petty cash account in UGX (local currency) up to the equivalent of Ugx 5,000,000. The petty cash shall be operated by the administrator (regional service centre). The purpose of the petty cash is to allow the regional centre to make payments for low value items (e.g water source repairs, small supplies, and sundry expenses) in a quick and efficient manner including responding to breakdowns (that include airlifting/blowing of boreholes, pipe fishing) during non-working hours and public holidays without any hinderance. Payments through petty cash shall not be allowed for amounts exceeding the maximum petty cash allowable. The amount of the replenishment shall be equivalent to the total disbursements made since the previous replenishment, so that the petty cash balance is maintained at the original level of the equivalent of Ugx 5,000,000. No funds can be deposited into the petty cash other than the replenishments. The cash shall be placed in a lockable box which is to be kept in a safe.

The petty cash disbursements may be in the form of an advance or a reimbursement. In both cases, the requesting staff fills out a petty cash request form (Annex 4). The payee name, the description of the goods or services, the estimated (or actual) cost and the transaction coding are indicated on the form, which is forwarded to the coordinator (regional service station) for approval and to the accountant for processing.

For **advances**, the accountant/assistant accountant delivers petty cash advances on the basis of the approved request. After purchase is made, the requestor must return the invoice/receipt along with the change, if any to the account for the recording into the accounting system.

For **reimbursements** (i.e. when the goods or services have already been delivered), the invoice or receipt is given to the account who reimburses the requesting staff member or directly pays the supplier. The form is signed by the individual who receives the money.

The petty cash transactions shall be recorded in the accounting software (in this case QuickBooks) petty cash journal as they happen. At the end of each week, the accountant shall reconcile the petty cash journal with the physical cash count. A reconciliation of the petty cash balance per cash journal shall be carried out on a monthly basis.

Bank reconciliations

Monthly bank reconciliations shall be performed between the designated account(s) balance recorded on bank statements and local cash book balance, recorded on the system. Performance of the monthly reconciliation shall follow the following steps:

1. Designate account balance recorded on bank statement on reconciliation date is taken as starting figure;
2. Add reimbursements/replenishments/other deposits that have been processed and are due to designated account, but not yet recorded on bank statements;
3. Subtract undelivered cheques. Any long outstanding cheques shall be identified and investigated;
4. The completed bank reconciliation statement shall be signed by the administrator/accountant.

Processing of payments - Civil Works and Goods

The regional centre shall incur expenditures related to works (rehabilitation, water source improvement, capacity development, and training etc.) and management of the centre in form of office administration, computers, and vehicle maintenance etc.

Before releasing the payment to the service provider (contractor or supplier) the regional coordinator, the administrator, and the accountant must be satisfied with what has been delivered and also make sure that the following processes are followed;

1. The quantity of goods is checked back to the purchase order and to contract and bid award letter (if applicable) and that it is compliant with the contract conditions, an accepted delivery sheet or a compliant report to the person receiving on behalf of the client. The accountant must ensure that all the necessary documents including the invoice and acceptance/complaint report have been provided before proceeding with processing the payment.
2. The condition of the goods is reviewed for any damage or impairments. Damaged goods/supplies are to be identified and returned to the supplier/replaced. If any goods are rejected or returned to the supplier because they are not ordered or are of sub-standard quality, the accountant shall be notified. The accountant must keep a central record of all goods returned to suppliers and maintain a separate record of all goods and equipment delivered by suppliers by contractors funded by the project funds as approved by NCC. The administrator shall keep separately a copy of this documentation.
3. All the works are to be monitored by a technical person with satisfactory competence in the field. The regional coordinator shall assign such person to this function for the duration of the activity. If the regional coordinator cannot find qualified personnel in RSRC, the regional coordinator will request to NCC so that the required technical person can be dispatched from MWE, District, or etc. The technical person shall be responsible for sending complaint reports/certificate of completion to the regional coordinator which includes the percentage of completion of the construction and if the construction materials are compliant with the contract conditions and specifications. A request for payment shall be prepared by the technical person to the accountant. The accountant shall ensure that the payment includes all the necessary documents including the invoice and the complaint reports/certificate of completion before proceeding with the payment to the service provider/contractor for the completion phase.

Processing of payments - Consultants' Services

Under the DMS roll out phase there are two types of consultants' services; a) Consultants with a lump sum contract, and b) Consultants with a time-based contract. For type a) consultants,

payments shall be made against the delivery of outputs as detailed in the contracts. For type b) consultants, payments shall be made against the submission of a time sheet and a summary of activities performed to technical person/the contract manager recruited by the MWE procurement unit through a competitive procurement process.

Before releasing the payment to the consultants (firms/individuals), the accountant shall undertake to check that the consulting services reports have been submitted to the contract manager/ the technical person assigned by the regional coordinator for the purpose of monitoring and evaluating the deliverables submitted by the consultant (firms). Therefore, the accountant shall ensure that no payment to the consultants is prepared unless accompanied by an approved report from the technical person assigned to the activity or a letter of approval from the technical person that assures that this report is compliant with the contract/engagement terms and conditions. All supporting documents and internal forms must be retained at the regional centre and must be maintained and archived in accordance with the maintenance of records.

Processing of Payments - Office Supplies and Other Operating Costs

The payments for office supplies and operating costs shall be against the preparation of the annual procurements plan. The accountant shall compare the information on the checklist to the purchase order and supplier invoice, then sign the checklist. The payment for services is against the presentation by the supplier performing the service of a service invoice.

Detail all the incurred costs for office supplies and operating costs during the month and present it to the regional coordinator for review and authorization. After the regional coordinator's authorization of the payments, the accountant shall prepare the cheques and send them to the regional coordinator who shall prepare an internal memorandum detailing the check numbers, amounts, suppliers, and explanation of payments.

Travel Arrangements and Processing of Travel Related Expenditures

The regional centre staff shall be facilitated for activities in the new month against the submission of monthly time sheets/logs of their work schedules completed for the last/preceding month.

Under the centre, there is a budget allocated for meetings, trainings, supervision, monitoring & support, and study tours as well as staff training & exposure.

Fixed Asset management

Fixed asset management is an important process that seeks to track assets for the purposes of financial accounting and to ensure preventive maintenance and theft deterrence. Adequate fixed asset maintenance also increases the sustainability of the regional centre.

There are three elements in fixed asset management that shall require the attention of the administrator

- a) Purchase of equipment
- b) Setting up and maintain an asset register including verification
- c) Setting up a plan for disposal/handover of the asset once the project is completed

a) Purchase of Equipment

All procurements and payments for the regional centre equipment shall be processed in line with the guidance provided in the procurement plan section of this guideline (section for procurement). The administrator shall assign a unique, sequential asset number to all furniture and equipment items purchased (excluding minor items such as stationary). This must clearly be labeled on each item. Each item of equipment must be recorded in the fixed asset register.

b) Asset Register

The accountant/administrator must maintain a register of all (material) regional centre equipment. The asset register shall record the following information for each individual piece of equipment: 1) Asset description, 2) Asset number, 3) Serial number of the item, 4) Officer responsible for asset, 5) Funding of asset (Development partners, GOU), Location; date of purchase; and 7) Estimated lifespan for its usefulness.

c) Asset Verification Review

The administrator/accountant must ensure that a verification count of all equipment recorded in the fixed asset register is performed at least once a year. This shall include the following checks;

1. Verify that all equipment is still held in the location recorded on the register
2. Check that equipment is still in a reasonable state of repair

Discrepancies between the verification exercise and the fixed asset register shall be investigated. Where assets are missing or seriously damaged, they shall be removed from the asset register. The removal shall formally be documented and approved by NCC.

4 Internal controls, Internal Audit and External Audit

4.1 Internal Controls

The officer responsible for finance and accounts shall have the key responsibilities at the regional service & rehabilitation centre to undertake expenditure tracking, assets management, evaluating fiduciary aspects of field activities. The officer shall advise the regional coordinator of the service on all matters regarding fiduciary risks on all transactions of the regional centre before payments are made.

It is important that a procurement office should handle all procurement works of RSRCs and that its work should be separated from the accounts.

4.2 Audit Arrangements and Assessments

4.2.1 Internal Audit

To mitigate internal auditing risk, the officer in charge of finance and accounts shall be given additional responsibility of internal control/compliance to assist the regional centre for timely action and correction if required. The responsibility shall ensure compliance of budget, procedures for the oversight, and sound business practices.

The selection of such an internal auditor/s should be through a competitive procurement process by MWE procurement unit so as to attract independent professional internal auditor/s expected to promote compliance with International and accounting standards. Through NCC, the successful firm/persons shall be offered a framework contract and assigned to undertake routine audit reviews during a particular period. The review shall cover all aspects of compliance as agreed per the implementation arrangements in accordance with the agreements governing the execution of the project. These shall include compliance to policies and procedures.

Components that shall be expected to audit are:

- Work plan
- Project progress report and rate of delivery

- Financial management
- Procurement of goods and/or services
- Fund disbursement and project expenditure
- Management and use of equipment and inventory
- Human resource selection and administration
- Other payments related to the project, such as project closure and asset transfer
- Other items required by internal auditors

4.2.2 External Audit

The function and scope of external audit is vested with the Office of the Auditor General (OAG) which has established procedures and standards. Its required that the RSRC or administrators shall during external audits cooperate with OAG by providing all necessary information so as to ensure that successful audits are undertaken.

4.2.3 Log of Audit

The coordinators of the regional centres shall maintain a log of audit observations made by the auditors and the table of summary status of audit observations in their respective offices for their operational accounts. In addition to it, a consolidated log of audit observations and table of summary status of audit observations shall be maintained.

5 Operations and Implementation arrangements

In line with the 7th JCC meeting recommendations held on 23rd January 2020, Rollout of the DMS shall be undertaken through the four established regional rehabilitation centres of Gulu, Mubende, Jinja, and Masaka.

To effectively implement the planned activities under the regional service and rehabilitation centres, the following considerations shall be made;

Component 1: Rehabilitation, Improvement, and Upgrade of water supply infrastructure

Provision of rehabilitation equipment: Equipment shall be made to every regional service and rehabilitation centre during DMS roll out. This shall include provision of service vehicles and specialized trucks to ensure smooth, efficient, and effective operations. Specialized vehicles and service trucks shall be secured and deployed to the regional centres. This equipment is critical in undertaking major rehabilitation, overhaul, airlifting, well development, pump testing, and upgrade for water supply infrastructure in rural areas.

In addition, at least 1 service vehicle and 4 motorcycles (1 vehicle and 1 motorcycle at the district service centre, 3 motorcycles to be loaned to the HPMAs under the specified conditions agreed between the parties) deployed to the service station to support quick response to breakdowns and coordination of operational activities shall be secured. This shall be reviewed subject to the area of operation and tasks at hand.

Rehabilitation materials: These materials are expected to be procured according to the regulations of the source of funding. For GOU funds, the MWE procurement unit should be engaged since RSRC are under MWE however if the fundings are from other DPs, it has to be open bidding, competitive procurement process determined by the organizations of source of fund. To ensure quality of service, genuine materials must be used. Under DMS, Replacement of galvanized iron (GI) material to stainless steel (SS) material must be strictly followed and undertaken for all water supply infrastructures that shall be rehabilitated, repaired or improved. These shall be sourced from accredited sources to ensure that quality parts are used for the water supplies. These parts include pipes, rods, cylinders, centralizers, pedestal,

water tank, and pump heads among other components. The regional centre shall not operate a fully-fledged store but shall maintain an agreed quantity of parts to support the area rural water service stations. All requirements for rehabilitation under the centre shall be delivered by the supplier to designated site in quantities agreed to avoid mass storage.

Specialized mini repair workshop: the regional service and rehabilitation centre shall operate a workshop. The workshop shall handle all works that cannot be handled at a water source or require modification. The mini workshop shall be fitted with specialized selected equipment for use in welding, threading, cutting, fabrication, and repair of simple parts that shall be required in the repair of water sources. The workshop shall also facilitate the centre to recycle materials recovered from sites to ensure efficient use of resources and minimize waste. The workshop shall support the respective rural water service stations within the centres jurisdiction.

System/Infrastructure improvement: to ensure water supply infrastructure operates efficiently and effectively, the regional centres shall undertake effort to improve the existing infrastructure. Undertakings including installation of solar powered pumps, reservoirs of smaller holding capacity of up to 40m³ shall be adopted by the centre in bid to improve services for the communities.

Installation and operation of SUNDA system for efficiency and cost-effective management of the day-to-day operations shall also be adopted and mainstreamed in all the activities of the regional centre. These efforts shall minimize frequent breakdowns resulting from wear and tear and also improve governance through reduced fiduciary risks in financial management of user contributions.

Component 2: Assessments for repair, rehabilitation and system improvement

Specialized field equipment: to facilitate smooth, efficient and effective field operations, specialized field equipment must be secured and deployed to the regional service and rehabilitation centre. This equipment shall include, down-hole camera, water quality testing kit, and, a Global Positioning System (GPS) hand set among other equipment as may be identified by the centre or guided by the expert advisory team.

Component 3: Integrated community development and capacity improvement

Integrated community development: Under DMS community development shall target to improve community and household ability to generate income as a mechanism for enabling households afford/meet their contributions towards maintenance of their water sources. Unlike CBMS that assumes communities are well enough to generate sufficient income and use some to contribute O&M fees, DMS seeks to support them startup/undertake group level and individual level income generating activities through integrating these activities as part of the community mobilization strategy. Demonstration sites shall be set up with involvement of agricultural extension staff, forestry staff, environment and commercial officers. In addition, support to kick start cottage level initiatives for example vegetable growing shall be undertaken. To meet sustainable development policy, the target should include special interest groups in order to comply with the international and national obligations.

Capacity improvement for the stakeholders shall be undertaken. This shall include exchange visits for the target beneficiaries and TOTs for partners and staff of the rural water service stations under a particular regional centre.

Direct support shall be provided to the rural water service stations by the regional service centre staff.

Component 4: Integrated sanitation and hygiene improvement

To ensure elimination of ill health related to water borne diseases, undertakings in improvement of sanitation in households and improved personal hygiene are paramount. CLTS/Home Improvement and other innovations including the use of village champions model to manage waste shall be adopted.

Component 5: Financial performance reporting

The regional centre shall prepare and deliver performance reports to the NCC secretariat as follows:

Quarterly reporting: a copy of the financial performance and activity performance reports shall be sent to the NCC secretariat. The reports shall include activity wise expenditure report by categories and components. In addition, record of the contracts awarded within the period/calendar month shall be submitted to the NCC secretariat in the format for maintaining the register of contracts. Activity and sub- component wise expenditure report shall follow the AWPB format to record the expenditures and physical progress. The reporting format shall be developed by the expert team and sent out to all the regional coordinators.

Financial progress reporting: The regional coordinator shall prepare and provide NCC secretariat with periodic consolidated expenditure reports of the expenditures. At the minimum, such reports shall address: (i) the status of sources and use of funds; (ii) statement of receipts and payment by category and component, (iii) schedule of withdrawal applications; (iv) comparison of planned budget and actual expenditures; (v) status of the designated account in UGX with reconciliation statement; (vi) problems encountered during the reporting period; (vii) steps taken or proposed to be taken to remedy these problems; and (viii) expected financial progress during the following reporting period.

The regional centre shall deliver such report to NCC secretariat on a quarterly basis, within 14 days of the end of every quarter.

Financial statement: The regional service and rehabilitation centres shall provide NCC secretariat with summary of unaudited financial statements of the operations, resources and expenditure related to the regional centre for every fiscal year in the format specified by NCC within four months of the end for every fiscal year. An audited financial statement shall be submitted along with the audit report within six months of the end of the fiscal year. The financial statement shall consist of shall be submitted along with the audit report within six months of the end of the fiscal year. The financial statement consists of: (i) sources and application of funds showing funds received from various sources, expenses incurred for various activities by component, initial advance, exchange gain/loss, and bank balance; (ii) yearly and cumulative statements of receipts and payments by category and by component, disclosing separately NCC funds, counterpart funds (government), other DPs funds, and beneficiaries funds; (iii) comparison of budget and actual expenditure; (iv) Statement of Expenditure (SOE), and withdrawal application statement; (v) statement of special account movement/activities; (vi) designated account reconciliation; and (vii) note on the financial statement.

6 Supervision and Reporting

As part of its responsibility for implementing the roll out, the centre shall be required to report periodically on the progress of the agreed activities in order to satisfy NCC that DMS rollout is being carried out properly and is likely to achieve the desired objectives. Two types of reporting shall be required: i) Semi- annual progress reports, and ii) Annual performance reports. The

centre shall maintain a website where all information related to the centre shall be disclosed to interested readers.

6.1 Progress Reporting

The purposes of the progress reports are: i) to provide essential information on the physical and financial progress of activities, and ii) regular assessment of the project impact. Such reports would be prepared semi- annually and annually. These reports provide information on the progress implementation, spending and achievements. A brief summary of activities undertaken and results achieved in each regional service and rehabilitation centre shall also be provided. The progress reports include regular information on project outputs broken down by province and to the extent possible, outcomes, and where appropriate reference to the baseline situation.

6.2 Semi-annual Progress Reports

These reports shall be prepared twice a year (every six months), The regional service and rehabilitation centres shall submit a progress report to NCC, not later than three weeks after the end of each six-month period during the project Implementation period. The exact dates for submission of the progress reports shall be agreed by NCC at its meeting on review of DMS roll out.

The regional coordinators through the coordination secretariat shall develop quarterly financial and physical progress reporting formats for service providers and such conditions shall be incorporated into the contracts to be engaged with these service providers. Based on these reports prepared by service providers, secretariat shall issue a consolidated report on all service providers and include these in the semi-annual reports.

6.3 Annual Performance Report:

One of the semi-annual reports shall be the annual performance report that shall have broader coverage and shall be sent to NCC. It shall contain summarized information on all aspects of the project implementation disaggregated by region. The report shall allow supervision missions and evaluators to be fully informed of the centre activities, achievements and constraints, clearly indicating planned and actual targets for key indicators agreed by NCC. Paper copies shall be also sent to the administrative service stations and the stakeholders relevant to the centres activities.

In addition, the secretariat shall ensure that performance is reflected/captured in the MWE performance measurement framework.

The reporting contents are shown in Annex 6. However, it shall be noted that these reports shall address the following at a minimum;

- Quantitative and qualitative progress made in implementing and achieving project objectives, including detailed financial and procurement data as well as staffing,
- Analysis regarding community participation, transparency in selecting districts, villages, and infrastructure,
- Sustainability of the investments,
- Effect of interventions on rural environment,
- Problems encountered during the reporting period,
- Gender mainstreaming and bottlenecks experienced,
- Steps/actions taken or proposed to mitigate or solve these problems,
- the status of problems that have been raised by NCC monitoring reports,
- the proposed programme of activities and the progress expected during the following reporting period.

6.4 Monitoring and Evaluation arrangements

The Monitoring and Evaluation (M&E) function shall be guided by the logical framework and integrated in the reporting to assess impact of implemented activities. Information from a variety of sources shall form the basis for an integrated management information system (MIS) focusing on continued analysis of, rather than generation of, information. The analysis of the roll out results shall be used to name DMS roll out activities so as to be more responsive to the beneficiaries' needs and priorities vis-à-vis the DMS's objectives, which in turn shall lead to enhanced achievement of impact.

The M&E system shall be based on existing structures for reporting of primary results and on activities directly targeting improved livelihoods in the villages. To that end, the M&E function shall focus on analyzing key results indicators, rather than on the collection of data, although data collection shall serve as an input to the M&E. All stakeholders, (including national, regional staff, and beneficiary communities) have a role in monitoring and/or assessing implementation. Provision has been made in the project design both to assess the impact on villagers' livelihoods and to measure efficiency and impact of project investments.

The key functions of the M&E shall be to support the management in ensuring performance-oriented critical reflection, integrating lessons to maximize impact, and presenting this impact to be accountable. For this, the M&E framework shall follow a systematic collection, analysis and reporting of information at three different levels:

Output: For the measurement of output-level indicators the regional service and rehabilitation centres shall utilize their own activity monitoring system and GoU records. The output level monitoring shall be based on the analysis of Key Performance Indicators¹. The output level monitoring shall be based on monitoring the physical and financial progress as laid out in the Annual Work Plan and Budget (AWPB) as well as component and activity –wise technical action plans formulated by the NCC.

Outcome: This level of monitoring measures the immediate changes coming about as a result of the interventions. Data for outcome monitoring shall be collected through Annual Outcome Surveys (AOS) starting from the fifth year of the implementation. An AOS may also be carried out on a thematic basis in order to focus on a specific area of project intervention. Further, for component 1 the M&E framework shall explore the use of innovative models of data collection and monitoring of performance of the water sources enrolled under the DMS and participation/usage by the beneficiaries. These shall include mobile phone and desktop-based monitoring systems developed with support from JICA that include SUNDA. In measuring component 2 outcome indicators, the M&E system shall assess if the estimated key policy bottle necks affecting the efficient management of water supply infrastructure in rural areas have been addressed.

Impact: At this level, the contribution of the DMS in achieving the overall project goal and development objectives shall be assessed, measuring changes in the livelihoods of the beneficiaries that relate to the implemented project activities. The impact evaluation shall also attempt to reveal the efficiency, effectiveness, relevance, sustainability and targeting performance of project activities as well as consider replicability, lessons learned, and knowledge up-take. These evaluations shall focus on the outcome and impact level indicators of the project and data shall be collected through periodic surveys two times annually for the project. Further, the project shall explore available applications to estimate project impact on creating multi use water behavior that fosters viable rural micro, small and medium enterprises both in farming and off farming activities at cottage level; provide sustainable source of income for rural households and families to ensure that they can afford to contribute towards maintenance of their water sources.

¹ Key performance Indicators shall be defined and shall include (overall budget expenditure, planned vs actual activities, satisfaction of beneficiaries, job placement and retention of jobs by beneficiaries, and employee performance indicator)

7 Administrative Management

7.1 Human Resource Management

For effective operation and implementation of DMS, the regional service & rehabilitation centres shall be setup. The centres shall comprise of the regional coordinator and 4 (Four) core staff. Refer to Table 2. The team shall undertake to implement all the planned activities as approved by the NCC.

Table 1: Core staff at a regional rehabilitation Centre

Sn	Title	Number
1	Regional Coordinator	1
2	Head- People, Society and Environment	1
3	Head- Technical Operations	1
4	Administrator	1
5	Accountant	1
6	Drivers (Including 2 No. drivers for rehabilitation/service trucks)	4
Note: The Number of staff may change as per need with approval from the NCC Some positions need to be allocated to persons from the special interest groups.		

These are positions which are meant for the smooth implementation of DMS roll out. The regional coordinators may hire for shorter period for specific job in case of short-term experts, the hiring shall be governed by contract and the centre shall follow a service procurement rule rather than hiring rules. The personnel seconded by the Ministry of Water and Environment and other government agencies/local government shall be confirmed by NCC and shall abide by the set rules and regulations set to govern the activities for implementation of DMS roll out by NCC and these shall be cognizant with the existing labor laws of the land. Above secondment shall be undertaken in accordance with the provisions of the Public Service Standing Orders 2021 and if this is revised, the latest version shall be applied.

7.1.1 Guidelines on Personnel

A separate comprehensive Human Resource Manual guides the nomenclature of various personnel positions, the minimum qualifications and experience and competencies for filling up of those positions, the job descriptions of those positions, the performance indicators of the positions, the procedure to be followed for recruitment (recruitment procedure), Secondment from GOU, the content of the job contract, and the salary and other benefits for each position.

The Human Resource Manual shall be considered part of this DMS guideline.

7.1.2 Job Description

The job descriptions of various positions mentioned above have been included in Annex 7 of this guideline. These job descriptions may be amended as per the need of successful implementation of DMS roll out and approved by NCC. The job descriptions of all shall be contained in Guidelines on Personnel. The NCC may amend the job description as per changing requirement of the service station. Formal requests in this regard shall be submitted for consideration and approval to NCC by the regional coordinator at the next meeting.

7.1.3 Performance Indicators

Each job position shall have its own performance indicators and performance targets. There shall be annual targets to be decided every year as part of the annual work plan for the regional service & rehabilitation centre. Performance indicators and targets for staff at the centre shall be jointly set by the respective staff and the regional coordinator. Performance indicators and performance targets for the regional coordinators shall be set and approved by NCC. In case of rewards or punishments to be applied to the staff, such actions must be in conformity with the spirit of the Employment Act.

7.1.4 Recruitment

The roll out of DMS shall ensure equal opportunity is given to competent and committed persons. It shall not discriminate against any person on the basis of gender, caste or community. But this shall not prohibit the project from providing preferences to persons who are underprivileged. Once a position has been identified as necessary to implement the roll out, or falls vacant due to some reasons, an open, transparent and competitive process for filling up of the position shall be followed. This includes vacancy announcement and call for application to the position, shortlisting based on the CVs and testimonials, written test and presentation by shortlisted candidates, interview and negotiation. The project may use the services of a recruitment agency for call of applications, shortlisting, written tests and presentations. The process shall source for its staff through the following methods of selection. The various instances when any method may be invoked for recruitment are shown in the Human Resource Manual.

- Advertising for vacant or new positions
- Seconded staff
- Head hunting/direct negotiations with the concerned individual
- Young professionals training programme

Appointment of the regional coordinators shall be approved by NCC to operationalize the roll out of DMS. The Chairperson/Alternate chairperson of NCC shall formally assign/appoint the coordinators to the respective service & rehabilitation centre. All seconded staff shall be presented to the NCC by the respective regional centre coordinators for consideration and approval.

7.1.5 Job Contract

Those who have been selected through the recruitment process shall be offered a job contract or appointment letter which shall include the following: i) Job description, salary and other benefits, iii) Performance targets and indicators, iii) Code of ethics to abide by the project personnel, iv) Leave and other entitlements to be provided by the employee. Note: Personnel who are seconded from a government entity shall get benefits as approved by the NCC to ensure consistency. This shall include top up on salary to match the agreed scales for the position assigned.

The job contract shall initially be for a 6-month probation period. The project may terminate the contract with the person concerned if it finds that the persons performance is not found satisfactory anytime during the probation period within a 15-day notice. The contract shall be renewable every after 5 years of service subject to satisfactory performance and the project deciding on continuing with the position. The sample contract document is in the Annex 8.

7.1.6 Salary and benefits

The salary and allowances for the staff at the regional service & rehabilitation centres shall be as per recommended rates approved by NCC. The rates shall be anchored on the statutory provisions for labor in regard to rewards and remunerations for statutory agencies and institutions. These rates shall be subject to an annual adjustment in relation to the inflation

rates. The provisions for adjustments shall be made annually during the revisions of the annual work plans and budget costing. In addition, all staff shall be entitled to an annual increment equivalent to five days salary on an annual basis to cater for existing market rates. Annex 9 presents the salary structure for the centres. The increment shall be applicable only after serving the project/regional centre for 12 months.

All personnel employed by the centre shall get 12 months of salary in a year. The salary for the period of work done shall be paid in the last week of the calendar month. If a person has performed less than a month of work (except public holidays, officially sanctioned paid leave, and absences which an employee is entitled to be fully paid under the Employment Act), the salary shall be calculated on the basis of monthly salary divided by 30 days (salary per day) multiplied by the number of days of work performed.

For travel in connection of the centres work, transport and daily subsistence/night out allowance shall be provided as applicable to the class gazette for facilitation allowances and as provided under the GOU public service standing orders.

7.1.7 Leave

The personnel shall get all the weekly holiday (Saturday) and public holidays applicable to the public employees. In addition, all personnel mentioned above shall be provided twenty one (21) days of home leave (or one day for every 20 days worked) and two (2) months of sickness leave per annum. The home leave shall not be carried forward or accumulated. The sickness-leave if not taken shall be carried forward or accumulated over the calendar year. In addition, staff shall also be provided with mourning leave fifty (15) days, on the death of the parents, lady personnel who has either given birth to a child or had a miscarriage is entitled to take a maternity leave of up to sixty (60) working days, and a male employee shall, immediately after the delivery or miscarriage of a wife, have the right to a period of four (4) working days' leave from work yearly herein referred to as paternity leave.

For using the leave entitlement, personnel shall have to obtain pre approval by filling up the leave request form or by writing an application specifying the type of leave, duration of the leave and the dates of the leave. The regional coordinator shall have the right to reject leave application of the project personnel. In case of sickness where pre approval could not be taken, the subsequent approval of sick leave may be obtained on submission of a certificate of a doctor or evidence of hospitalization and hospital care. For leave of more than 3 days duration written prior approval from the regional coordinator or a person authorized by the regional coordinator to sanction such leave shall be compulsory.

7.1.8 Insurance

All the contracted staff members/staff of the regional service & rehabilitation centre shall be entitled to medical insurance cover for the individual staff and their immediate family members. The immediate family members shall include spouse and biological children.

7.1.9 Code of conduct

There shall be a code of conduct and code of ethics for its employees, service providers and partners. The code of conduct for the personnel shall be an Annex 10 of this guideline. The code of conduct shall include the ethical and behavioral aspects of conduct of the project personnel.

Every person who is contracted by the project as employee or as service provider to the project as well as the employees of the project partners/service providers who work for the project

shall have to sign in the code of conduct and code of ethics and compulsorily abide by it. In case an employee is subject to disciplinary proceedings arising from whatever form of breach, an opportunity to be heard must be accorded to him/her before any penalty as stipulated in the Employment Act 2006.

7.1.10 Internal Rules for Personnel

The purpose of this section is to ensure that all employees of this project adhere to certain common standards in their behavior and dealings associated with the project implementation. The project requires the employees to exhibit confidentiality, professionalism, abide by high moral and ethical standard in their action, and commit themselves to the objectives and goals of the project.

The policy and rules here in apply to all project employees, partners, service providers and employees of partners and service providers who are involved in implementation of the project regardless of their position or rank.

The personnel shall have to abide by the set rules as given below:

a) Compliance norms

Employees are bound by the terms of their contract/terms of work to adhere to specific guidelines that apply to all work- related activities. All employees are obliged to know and follow the employee code of conduct during and after their employment/tenure. They shall dispose of correspondence or issues assigned to them within reasonable time. The non-compliance of the code of conduct shall tantamount to the breach of contract and may lead to disciplinary actions including the termination of contract without compensation.

b) Professionalism in Operation

The employees shall adhere to the professional norms and professional ethics. They shall perform the task to the best of their knowledge and ability. They shall immediately inform the project management if some decisions or actions are being performed on actions are being taken on the basis of wrong information.

c) Compliance with Law

All employees must abide by the laws of the country especially laws related to corruption control and ethical practices.

d) Compliance with centre's rules

The employees shall strictly follow the rules governing their employment including attendance, leave and travel.

e) Workplace Environment

All employees shall contribute to the development of cordial and cooperative atmosphere within the centre. They shall treat the superiors, peers and subordinates with utmost respect. They shall refrain from discriminatory behavior or harassment towards other employees. The harassment or victimization of any employee on the basis of caste, ethnicity, gender, color, appearance or physical ability or any other feature shall be considered a serious breach of contract. This applies to all aspects of the project activities including in recruitment, discharge of distribution of work, evaluation process and disciplinary actions.

f) Protection of centre's Property

All employees shall treat the organisation property, whether material or intangible, with respect and care. The centre equipment must not be misused or mishandled. Employee possessing

any centre equipment must ensure that they are used and maintained properly. The centre facilities and other materials shall be used economically. The assets and materials owned by the organization shall be used only for centre related work.

g) Intellectual Property

The reports, briefs, designs or any other work of creation shall be the property of the centre. The employees involved in creation of such intellectual property shall not have the right to claim ownership of such property. However, the knowledge derived in course of the work can be used by them for research purposes.

h) Corruption

The centre has a “Zero Tolerance to Corruption” policy. The employees are prohibited to show favor towards any individual, firm, company, or community in the course of performing their work. The centre employees shall strictly refrain from accepting bribes, gifts, donations and recreational services, offering from clients, beneficiaries, suppliers, service providers and partners or from persons/institutions associated with them. They shall not accept any lunch, dinner, and holiday package, recreational tours made as a way of gratification for their “work” or “favor” accorded to the concerned individual, firm or institution.

i) Relationship with Beneficiaries and Stakeholders

All employees shall show respect towards the stakeholders and community. They shall show respect to the local values and tradition. They shall in no way contribute to the creation of conflict of the local community with the centre.

j) Get up and attire during Office hours

The employees shall present themselves at work without any influence of narcotic drug, alcohol, or any other toxic material. They shall be properly attired and they shall refrain from attending the office in get ups which is not commiserating with their duty.

k) Conflict of Interest

All employees shall avoid any conflict of interest. They shall not participate in any work, meeting which deals with firms or thing they have financial or other interests. They shall not lobby on behalf of any form or company. They shall immediately report to the regional coordinator or their immediate supervisor anywhere there is a possibility of conflict of interest or possibility of perception of conflict of interest from others.

l) Cooperation with colleagues

All employees shall maintain the climate of cooperation and harmony at workplace. They shall be considerate and respectful to the colleagues and respond to them when approached. They shall share information and knowledge with colleagues and collaborate when needed to achieve the output and outcome of the centre

m) Dealing with people outside of Project

The employee shall keep a low profile and shall not boast of their work or benefits passed on to beneficiary: whenever any employee participates in a significant meeting and has a significant communication with partner, service provider or government agency they shall write a substantive report and submit the same to the regional coordinator or immediate supervisor.

n) Transparency and Confidentiality

The project in itself believes in transparency and openness. The employee shall work in cohesive and transparent manner. But this does not mean the project personnel shall not maintain confidentiality. The employee shall not disclose any information of confidential nature that they have access to due to their involvement in the project implementation. This includes confidential information pertaining to beneficiaries, shall limit or exclude any liability for fraud.

o) Centre meeting and contribution to Implementation of activities

The employees shall attend whenever possible the centre meetings and give their inputs for streamlining the centre operations in their respective service & rehabilitation centre/area of deployment.

p) Disciplinary Actions

Failure to comply with any part of the code of conducts/guidelines shall result in appropriate disciplinary action. The person or institution responsible for non-compliance shall be subject to repercussions that vary in regards to the severity of the violation. Possible consequences shall include reprimand, suspension or termination for more serious offences in conformity of the Uganda Employment Act. Legal action through the established laws and provisions shall be pursued in case of corruption, theft, embezzlement or other unlawful behavior.

q) Correspondences

The regional coordinator or a person specially authorized for such activity by the regional coordinator shall only officially correspond with the outside agencies and individuals. The same applies for entering into contract with outside agencies and individuals. It shall be the obligation of all project personnel to help the regional coordinator in the official correspondence of the project by way of providing the report and preparing the materials for correspondence. The NCC is the superior body of the project and shall coordinate with outside agencies on behalf of the project.

The regional service & rehabilitation centre shall maintain a register where all incoming mails shall be registered and registration number shall be given. The incoming mails shall be presented to the regional coordinator or a person assigned by the regional coordinator. This person shall segregate the correspondences and forward the same to the concerned personnel. The person to whom the letter or correspondence shall have to take action deemed necessary and report the same to the superior generally within 3 working days. The concerned person may take longer time for the action in consultation with and with specific permission of her/his superior. After taking action, the concerned person shall submit the document to the central filing system.

Similar procedure shall be applied for outgoing correspondences. A separate register for outgoing correspondence shall be maintained. A separate number shall be given to all communications going out from the centre. A copy of the letter and documents attached shall be maintained in the central filing system.

The centre emphasizes or relies mostly in electronic communication. And correspondence, each person working in the project as project personnel shall be given an email address pertaining to the project. For all project correspondence they shall have to use that email address. Any correspondence/information received in the official email address form another official email address shall be considered as officially received. And necessary action shall have to be taken on such correspondence.

- All electronic communication shall have to be electronic and backed up and saved in the centre server
- The formal hard copy correspondence shall be used for formal procedures with contract-like obligations
- The centre shall have a central filing system where all incoming and a copy of the outgoing correspondence shall be maintained.
- Outgoing correspondences: the centre shall maintain a record of the correspondence with the outside agencies (both received and sent correspondences). The centre's administrative officer shall be in charge of maintaining the record for the centre correspondences.

7.2 Logistics and asset Management

The regional service & rehabilitation centre shall use numerous logistics/services for its effective and efficient operation. The overall responsibility for mobilization of the logistics shall be with the regional coordinator. He/she may explicitly delegate a person working at the regional station to look after the logistics. It shall be a duty of that person that the regional centre personnel get a decent work environment.

7.2.1 Office Premises

The regional service & rehabilitation centre shall be housed at one of the district headquarters of one of the supported districts. At the centre office space, a store and a parking yard/space shall be secured. In case of absence of the above, the centre shall rent following the standard practices of the government in renting premises. The rent shall be paid as per the rent agreement. The premises shall have adequate space for personnel and one or two short term/long term (T/A, Expert Input) to work. The office space must have appropriate curtains, flooring and other decoration for making the office premises a decent place to work. This shall be done as per the approved procurement plan. The space shall be in accessible area and shall have enough ventilation and natural light for people to work.

7.2.2 Furnishing

The regional office shall procure the required furniture for the personnel deployed at the centre. These shall include desks, chairs, lockable cabins and other items that shall be deemed necessary for the office.

7.2.3 Communication/Computers/Networking

The regional office shall procure/maintain computers and other networking equipment following the standard procurement rules entailed in this guideline (refer to section 8: Procurement) and provide a laptop computer to the all staff. The administrator shall be provided with a desktop computer to undertake office work (finance/administration/stores management etc.). All the computers shall be networked to share resource including the photocopier and printing services. Appropriate networking equipment shall be procured and installed in the regional office. Besides, Internet services shall be procured from ISPs. Appropriate office telephones and internal telephone exchange shall be procured and installed.

7.2.4 Security, Cleaning and Gardening/Compound

In the absence of security services, cleaning/gardening services provided by the host district, the regional office shall outsource to appropriate agency or individual to carry out these jobs. Such services shall be procured for professional service providers locally. The persons involved in such services shall not be hired by the regional office as staff for the centre. The provider of such service shall have to abide by the labor laws of Uganda.

7.2.5 Transportation

The regional service & rehabilitation centres activities' implementation requires a lot of travel. For the travel to the areas covered by the centre, the vehicles shall be used to the extent possible.

Adequate operations of the centre shall require two fully equipped service trucks (water source rehabilitation and airlifting etc.), two field vehicles (HTO and Head PS&E) and one motor vehicle for coordination and support. For air travel, commercial airlines shall be used. Every year, the regional centre shall publish notice to the travel agents providing travel services to

register them at the centre. The air travel shall be arranged with such registered service provider.

7.2.6 Vehicle Use, servicing, Fuel and Lubricants

All motor vehicles shall be assigned the respective officers for use. Movement of specialized trucks shall be sanctioned by the administrator in consultation with the head of technical operations. The regional coordinator shall designate a person to manage scheduling/sanctioning movement orders, fuel, servicing and maintenance of the service trucks. In order to ensure economic use of the vehicles, all fuel and lubricants shall be loaded on a designated fuel card and downloaded for use at a respective reputable fuel stations within the jurisdiction of the service area from where the vehicles shall be fueled. In this case Shell service stations and Total service stations shall be used for this purpose given that they have set precedence to be predominantly used by Government of Uganda to provide similar services.

The regional coordinator may however procure from a vendor who has registered with the PPDA and been engaged as a service provider under framework contract/understanding/engagement with the regional service & rehabilitation centre.

In cases where there are no services required to facilitate the implementation for DMS rollout, an officer shall make a formal request to the regional coordinator well in time before travel to the field for facilitation (fuel) to undertake activities in those areas not covered by the service provider. In the case of technical activities, the HTO shall be responsible for requisitions and accountability for fuel to be used by the service truck.

7.2.7 Water, Electricity and other Utilities

The regional service & rehabilitation centre shall procure water and electricity from the utility company to the extent possible. For drinking water purposes, dispenser unit and bottled water for field activities shall be provided under Petty cash by the administrator of the centre. In case of electricity, solar panels with battery shall be installed. The decision shall be confirmed after a study by an energy expert.

7.2.8 Maintenance of Vehicles and Equipment

Maintenance of vehicles, motorcycles, and office equipment shall be carried out by a service provider or workshop on the roster. These shall include the suppliers of the motor vehicles (in case of the routine servicing), fuel service stations and accredited garages (in case of framework contract). A roster for accredited garages shall be published each fiscal year requesting such service providers for registration in the roster. The roster shall be valid for two fiscal years.

The drivers shall be required to record all trips and fuel refills in a logbook and collect all the supporting documentation (invoices, service station receipts). The vehicle logbook provides control over the use of the cars as well as fuel consumption. Fuel distribution is handled by the administrator. Fuel is purchased on an as-needed basis by giving coupons/vouchers to the drivers who must use the selected fuel station. The regional service & rehabilitation centre shall be billed by the station twice a month. Unused coupons are kept in the office safe custody of the accountant/administrator. For activities that shall require teams to exhaust the fuel before they return to station for replenishment, cash provision shall be given to the team leaders/activity holder to allow them to purchase fuel/undertake service maintenance (at reputable gas stations) during the trip.

The safety of the motor vehicles shall be the responsibility of the recipient staff member and the driver assigned to the vehicle. Consequently, they must ensure that the motor vehicles are parked in a secure area when not in use or outside working hours. The drivers are required to monitor the maintenance of their assigned vehicles under the supervision of the regional coordinator/administrator of the centre. The drivers must notify the regional coordinator/administrator of maintenance needs so that the cars can be serviced on a timely basis. The motor vehicles must always be taken to the selected garage for repairs and maintenance.

The accountant/administrator shall on a monthly basis review the mileage and fuel usage as well as any undertaken service as reported in the log book of each car and compare these with the official invoices and travel authorizations to make sure the numbers are accurate.

All maintenance works shall take place only after the confirmation of need of maintenance by the regional coordinator or the staff designated to be in charge by the regional coordinator.

A register shall be maintained to record maintenance costs and details of major replacement parts of office equipment and vehicles/motorcycles separately (by equipment/vehicle/motorcycle).

An insurance policy must be taken by the regional service & rehabilitation centre to ensure all cars and passengers are insured against all risks that may arise to the vehicles and the persons/staff. These risks include damage, theft, fire as well as injury and property damage to third parties. The insurance must also cover the same risks when the cars are used by the recipient staff members outside of normal working hours as long as the activity is sanctioned by the relevant authority.

All drivers and machine/equipment operators shall undergo annual refresher trainings/ inductions to ensure competency in management of vehicles and equipment is maintained. The refresher trainings shall include defensive driving skills and occupational safety knowledge and skills.

7.2.9 Assets Management

At the initial stage of the setup, a substantial amount of the regional service & rehabilitation centres funds shall be spent on procurement of specialized equipment, service vehicles, stationaries, office equipment, furniture and various kinds of assets. The expenditures incurred for such purposes reflect equivalent amounts of increases in the assets of the centre. It is therefore important for the centre to maintain and update inventory of its assets at all times and ensure that these are properly maintained and utilized for rightful purposes, that their ownership does not get diluted and that there is always an officer/staff accountable in respect of assets. Replacement of this equipment shall be a case by case depending in the need.

The responsibility for the proper accounting, safeguarding and utilization of all the centres assets shall primarily rest upon the regional coordinator. The regional coordinator without disowning their own accountability may delegate the authority and responsibility for safe custody and utilization of assets to subordinate officials. Transfer of custody of the centres assets shall be carried out through proper handing and taking over mechanism. The records of assets shall be maintained either in fixed assets register or consumable assets register depending on the nature of the asset and its value. The regional coordinator shall designate either the administrative officer or any other competent personnel as store-in charge.

The centre shall implement a central procurement system where by the assets and materials needed for the centres purposes shall be procured by the centre. In case of small value items like office consumables (including pens, stationary, tonner), RFQ method shall be allowed by the coordinator of the centre.

7.2.10 Receipt, Inspection and Acceptance of Property

The store-in charge and/or a technically competent official (in case of equipment) specially authorized by the regional coordinator shall inspect and examine the goods prior to acceptance to ensure that the quantity is correct and quality and other specifications have been complied with. The supplier shall be given the opportunity to be present at the time of inspection/examination. In the case of complex machinery/equipment, inspection shall be carried out by the technically competent officials either at premises of the supplier or at the place if delivery, to be decided by the regional coordinator depending on the nature and value of the assets.

The quantity accepted shall be recorded in the relevant stock register (fixed assets or non fixed assets register) and quantity rejected, if any, shall be returned to the party concerned immediately. If the goods cannot be returned immediately, notice of rejection shall be issued by the store- in charge to the party concerned indicating clearly that the goods have been rejected by the service station and laying at the centres premises at the risk and cost of the party concerned within three days.

7.2.11 Assets register

The regional service & rehabilitation centre team shall maintain and update consolidated records of fixed assets.

All assets shall be recorded in an asset register before making payment to the supplier. The columns of both assets' registers shall be filled properly. In addition to that, there shall be another register for issuing fixed assets. It is mandatory to all the centres to maintain these two types of assets registers namely fixed assets register and fixed assets issue register in their respective offices. The following are some of the details and descriptions that shall be captured in the registers; unit, quantity/numbers, amount, location, and users, and they shall deliver them to the regional coordinator on quarterly basis and yearly. These records shall be updated and presented to NCC along with physical and financial progress reports by the respective centres.

7.2.12 Issue of Property (Assets)

The asset of the regional service & rehabilitation centre shall be issued to the centres personnel on the basis of a requisition form. Requests for assets (goods) shall be submitted in "Requisition Form" to the store officer/keeper with the approval of the regional coordinator or any other centre personnel assigned by the regional coordinator.

If the items requested are readily available in stock, the store officer/keeper shall issue the goods based on the approved requisition form and record in the respective column of the assets register. If the requested goods are not readily available, action for acquiring the property shall be taken after ascertaining the budget availability and other procedural requirements. The concerned personnel shall have to sign in the register whenever an asset is issued and shall have to return these assets to the store in charge whenever the person concerned is leaving the centre on transfer or termination of tenure.

7.2.13 Physical Verification of Assets

Verification of the assets shall be conducted at least once a year. The regional coordinator either directly or through an authorized officer independent of the person responsible for

inventory management shall conduct a verification of the regional centres assets. Such verification shall be undertaken in order to establish ownership of assets, to verify the actual existence of assets in accordance with the book balances, descriptions and existence of any alien or encumbrance of the assets and to identify the assets that are surplus, obsolete, damaged or unserviceable or not useable.

Regional service & rehabilitation centres' assets that are not in use for implementation of the centre's activities/grounded shall not be maintained/service by the centre.

7.2.14 Stock Management

Apart from assets (goods of durable nature), the regional service & rehabilitation centres shall also procure a lot of consumable goods including spare parts for water sources, Fuel and lubricants, and office running supplies (pens, stationary, files and tonner etc.). The centre shall invite the suppliers of such stock to register with the centre roster. The centre shall procure these supplies from the vendors' roster. In order to ensure economy of scale, the centre shall procure such stock centrally and provide it to the various offices.

In case of activities including spare parts for water sources, construction of aprons/fencing and soak pits, well development/airlifting, and upgrade of water sources (small works), a two-year minimum framework contract shall be secured from competent vendors/service providers for that purpose.

For consumables, a consumable stock register shall be maintained at each of the centre's offices. The items procured along with the quantity shall be recorded in the register once they are supplied by the vendor. It shall be an endeavor of the centre personnel to use this stock economically and efficiently.

The centre personnel shall be provided with the materials on the basis of the requisition form approved by the regional coordinator of the centre or a person designated by the regional coordinator.

Once the store in charge gets the requisition form, if the said materials are in the store shall issue them to the concerned individual. The store in charge shall maintain a record of the quantity received, issued to personnel and the remaining stock. In case of spare parts for water sources and office consumables such as pens, stationery and tonner, a store "Bin Card" shall be used to ensure that a minimum stock of these items is maintained in the store. In a situation when the stock goes low, the store in charge shall inform the regional coordinator or person in charge of procurement so that procurement/supply of such items may be initiated.

If the requested goods are not readily available, action for acquiring the goods shall be taken after ascertaining the budget availability and other procedural requirements. The concerned personnel shall have to sign in the register whenever goods are issued and shall have to return these assets to the store in charge whenever the person concerned is leaving the centre on transfer or termination of service.

The regional coordinator or the person assigned by the regional coordinator shall do stock checking at least once a year. The project shall not maintain the stock of goods which are not used by the centre.

In case of training materials, if they are acquired for specific training program, the goods need not to be entered into the stock register. The receipt of the goods by the trainees shall be sufficient to prove the consumption of these goods.

8 Procurement and Disposal Procedures under DMS roll out

8.1 Procurement of Goods and Services

a) Basic Principles

The procurement of goods and services during the roll out of DMS must be undertaken in accordance with the regulation from the funding sources.

For funding from GOU, The Public Procurement and Disposal of Public Assets Act, 2003 Guidelines and Regulations must be adhered to and in case of other sources of funds from the development partners, the regulation and guidelines from such organizations must be followed.

b) Selection of procurement mechanism

The selection of the procurement mechanism shall be defined during the activity preparation phase and clearly spelt out in the procurement plan. The following considerations shall be followed in order to determine the mechanism;

- a. The capacity of the potential implementing partner for human resources (in terms of competence in the procurement field), and financial resources, to support the implementation of procurement;
- b. Nature of the assignment
- c. The timelines/urgency and the required period for the service

Any agreement on the selected procurement mechanism shall be embodied in the agreement/record of discussion or explicitly documented by the project team as part of this guideline to guide procurement for goods and services. If necessary, the agreed procurement mechanism shall also be set out in the project Standard Operating Procedures (SOP).

c) Method of sourcing

All procurements shall be secured through MWE guided by the various methods in PPDA procurement Guidelines which must correspond to the values of the subject matter and may also be guided by the regulation of the source of funding for the Development partner.

1. **Framework arrangement-** for supply of spare parts and civil works of limited scope - helps avoid repetition of procurements process in order to respond to breakdowns in timely manner.
2. **Request for proposals-** consulting services (non construction – related)
3. **Request for quotations** – suppliers, contractors/service provider
4. **Reservation schemes** – HPMAs, CBOs etc.

d) How to source for services under DMS

List of service providers shall be credible service providers from;

1. Prequalification list of service providers from a Procurement and Disposal Entity (PDE)
2. Certified service providers from PPDA List – also available online

e) Bidding Documents

All bidding documents for the procurement of goods, works and services shall be prepared in line with the standard formats as per law/regulations. The bidding documents shall be prepared by the designated team at the regional service & rehabilitation centre with support from a procurement officer/specialist from a procurement entity (MWE) with participation of an expert from the project team. With guidance from the relevant procurement entity, the centre team shall finalize the procurement documents before they are issued to potential service providers.

f) Procurement Planning

Planning is a critical part of the procurement process that shall enable the objectives and priorities to be set, workloads to be established and resources allocated for the service & rehabilitation centres. It shall enable the centre to plan, organize, forecast and schedule its procurement activities, and to identify potential areas for aggregation of needs. It shall also be mandatory for the regional centres to prepare a procurement plan covering the first 18 months of the project followed by 12 months successive plans synchronized with the AWPB during the implementation; before the commencement of procurement and thereafter annually the centre shall furnish the procurement plan to the NCC for approval.

The procurement plan must include as a minimum:

1. A brief description of each procurement activity to be undertaken during the planning period;
2. The estimated value of each activity
3. The method of procurement to be adopted for each activity

g) Process for Procurement Plan Revision

Planning and implementation of procurements shall be based on the AWPB for roll out of DMS. On the basis of the AWPB, an annual procurement plan shall be prepared and submitted for approval to the NCC before it is implemented by the regional service & rehabilitation centres. The annual procurement plan may be reviewed/amended by NCC during the year. Revisions of the annual procurement plan shall be undertaken in order to take into consideration the current situations that may occur.

These include;

- a. Changes in policy, ether by Governmental or DPs
- b. Changes in social conditions around the project location;
- c. The occurrence of natural and social disasters;
- d. Economic upheavals resulting in a change to project cost/budget; and
- e. Other unforeseen incidents

All revisions of the procurement plan shall be made in harmony with the AWPB. The revision proposals shall be initiated by the project team (DPs' expert team and regional coordinators), and submitted to NCC for consideration. Revisions to components to be implemented in the same year without revising the overall budget amount and the annual work plan shall not result in a revision to the procurement plan. Such changes shall sufficiently be decided on at DP's level.

8.2 Rules and Regulations

The roll-out of DMS may not have big value procurement packages and specialized nature of procurement activities to attract ICB except for specialized equipment, Application software packages and water supply inputs; majority of the procurement activities shall be within the thresholds of NCB, national shopping (quotations), and reservation schemes. Thus, procurement of goods, works and services of the regional service & rehabilitation centres shall take the above listed value procurement packages for the smooth roll out of DMS as exhibited in the pilot phase.

The responsibility of activity implementation and procurements of works, goods, supplies and consulting services rests with the regional coordinator. The regional centres staff shall follow the listed basic principles while processing the procurement activities (i) economy and efficiency, (ii) giving equal opportunities to all eligible bidders, (iii) encouraging the development of domestic capacity to provide supplies, goods, works, and consulting services, especially community participation in infrastructure construction (iv) fairness, integrity,

transparency, and good governance, and (v) selecting the most appropriate method for the specific procurement and (vi) ensure competition.

8.3 Methods of procurement for Services, Goods and Works

The methods of procurement for services, goods, and works shall follow the PPDA Procurement Guideline. The methods of procurement are invoked pursuant to the value of the subject matter.

8.3.1 Procurement of Works

Procurement methods in this category are expected to be in the following three stages depending on the value.

1. Restricted Domestic Bidding or Restricted International Bidding shall be used if the estimated value of the works is greater than UGX 200,000,000 but does not exceed UGX 500,000,000.
2. The Quotation Method shall be used if the estimated value of the works is greater than UGX 10,000,000 but exceed UGX 200,000,000.
3. Micro Procurement shall be used if the estimated value of the works does not exceed UGX 10,000,000.

● **Procurement of small civil works and specialized services**

The regional service & rehabilitation centre shall undertake reconstruction of aprons, pedestals, airlifting, pump testing, and water source upgrades shall be procured through a competitive process where RFQ and reservation schemes (refer to lessons under pilot) shall be sought. Lists of eligible service providers shall be sourced from PPDA website and/or MWE prequalification list or DLG prequalification lists. The contract agreements shall be tailored into a framework arrangement to facilitate quick response to breakdown and limited interruption of water supply service to the beneficiary communities.

8.3.2 Procurement of Supplies and Non-Consultancy Services

Procurement methods in this category are expected to be in the following three stages depending on the value.

1. Restricted Domestic Bidding or Restricted International Bidding shall be used if the estimated value of the supplies or the non consultancy services is greater than UGX 100,000,000 but not exceed UGX 200,000,000.
2. The Quotation Method or Proposal Method shall be used if the estimated value of the supplies or the non consultancy services is greater than UGX 5,000,000 but exceed UGX 100,000,000.
3. Micro Procurement shall be used if the estimated value of the supplies or the non consultancy services does not exceed UGX 5,000,000.

● **Procurement of Equipment and vehicles**

The vehicles, motorcycles, desktop computers, laptops, multimedia projectors, furniture, and other office equipment and materials etc. shall be procured through national shopping bidding process. The procurement method must follow the minimum standards set by the funding sources. shall be proposed in respective year's annual procurement plan considering the budget allocation of the year and estimated amount of each package. Procurement of goods and services shall be carried out by the regional service & rehabilitation centre by bulking into sizeable bid packages to attract national competitive bidding, in exception of stationaries, fuel items, small maintenance works, and beneficiaries training and material.

- **Procurement of Non Consultancy Service**

Non consultancy services are shown in PPDA Guidelines 2014 as examples follows. Photocopying, advertising, courier, engraving, conference facility, accommodations, insurance, office cleaning, security, clearing and forwarding, printing of art and design, fumigation, motor vehicle hire, and servicing air conditioning. To procure such a service, it must meet the above-mentioned thresholds. To purchase the type of services that have routine work with a fixed price over a certain period of time, it is suitable for using a framework contract.

8.3.3 Procurement of Consultancy Services from consultancy firms

Procurement methods in this category are expected to be in the following three stages depending on the value.

1. Publication of a notice inviting expression of interest and developing a shortlist shall be used if the estimated value of the consultancy services exceeds UGX 200,000,000.
2. Short listing without publication of expression of interest shall be used if the estimated value of the consultancy services does not exceed UGX 200,000,000.

- **Procurement of Consultancy services**

Consulting services shall include project management technical assistance/input, implementation support technical assistance for different components, conducts studies, mobilization/establishment of community groups, technical training and strengthening of community groups, and monitoring and evaluation.

Each contract for the selection of services shall be selected in accordance with any one of the selections methods listed below;

- a. Quality and Cost Based Selection (QCBS)
- b. Fixed Budget Selection (FBS)
- c. Least Cost Selection (LCS)
- d. Selection Based on Consultants Qualification (CQS)
- e. Reservation schemes

The regional service & rehabilitation centre shall largely utilize the force account option and reservation schemes in its operations using the existing equipment and human resource. The option shall be in accordance with the existing PPDA 2003 guidelines.

- **Procurement of Studies, Survey, and other specialized services**

A number of studies, survey and other specialized services like institutional development and delivery of specialized trainings shall be implemented through contracting outside agencies/organizations. These tasks include baselines surveys, mapping, assessments, impact studies, specialized training, and promotion campaigns. Examples of services shall be trainings for HPMs and HPMAs, radio talk shows, and awareness campaigns etc. Procurement of consultants/service providers to carry out those tasks shall follow the request for proposals (RFP) method, with either QCBS and SFB to select the successful bidder. SFB (Selection under Fixed Budget) may be useful for studies, surveys and trainings where the scope and cost is well defined- and the competition is for the firm who can make the best technical proposal within the fixed amount. In some cases, single source selection (SSS) may also be used if the tasks that are a continuation of previous work that the consultant has carried out and for which the consultant was selected competitively, if the topic is highly specialized and there is only a single qualified bidder. Based on the nature of services/studies, the regional service & rehabilitation centre shall select appropriate procurement method and as approved in the procurement plan. Reservation schemes shall be considered under this category.

- **Selecting NGOs/Firms for Specialized training/support services**

Two stage procurement processes shall be adopted to select a competent NGO/CBO. In first stage; a call for EOI shall be made to NGOs/CBOs from the published list of eligible/field related NGOs published by the National NGO Board. The number of short-listed NGOs/CBOs shall be invited to submit the RFP, the QCBS or SFB method shall be followed. The evaluation committee shall be constituted by the regional coordinator with representation of independent professional experts and related specialist. Reservation schemes shall also be considered as a method under this category.

8.3.4 Procurement of individual consultants

Procurement methods in this category are expected to be in the following three stages depending on the value.

1. Publication of a notice inviting expression of interest and developing a shortlist shall be used if the estimated value of the consultancy services exceeds UGX 50,000,000.
2. Short listing without publication of expression of interest shall be used if the estimated value of the consultancy services does not exceed UGX 50,000,000.

- **Procurement /Sourcing of Individual Consultants**

Individual consultants are selected on the basis of their qualification for the assignment of at least three candidates among those who have expressed interest in the assignment to have been approached directly through formal communication by the coordinator of the regional service & rehabilitation centre. Individuals who have been engaged by the centre shall meet all the relevant qualifications and shall be fully capable of carrying out the assignment. Capacity shall be judged on the basis of academic background, compliance with national legal requirements such as tax clearances, experience and, as appropriate, knowledge of the local conditions, such as local language, culture, administrative systems, and government organization.

Individual consultants and or consulting firms may be selected on a sole-source basis with due justification in exceptional cases such as; (a) tasks that are a continuation of previous work that the consultant has carried out and for which the consultant was selected competitively; (b) assignment lasting less than six months; (c) emergency situations resulting from natural disasters; and (d) when the individual consultant is the only consultant qualified for the assignment.

- **Recruitment of temporary Contracted Positions**

Recruitment of temporary contracted positions mainly to support the regional service & rehabilitation centre to accomplish a task on short term basis e.g., planning, monitoring and evaluation specialist, rural finance inclusion specialist, finance management officer, procurement specialist, knowledge management specialist, and PM&E officer etc. shall be carried out by an external recruitment agency. The selection of recruitment shall be based on the recruitment guideline included here in this document that has been prepared and approved by NCC.

Under this method, RFQ shall be issued to the agencies to provide their best technical and financial proposal. Highest score for proposal among the rest shall be selected and invited to negotiate and contract agreement.

Written exams and oral presentation of the candidates shall be conducted by a professional recruiting agency independently. The highest scoring candidates (up to 5) in each position shall be invited for interview. The regional coordinator shall chair the interview panel. The rest of the members on the committee shall be as per recruitment guideline.

The combined (written exam, oral presentation and interview) highest scoring candidate shall be selected and recommended to NCC for appointment.

Register of Contracts

A record of contracts awarded by the regional service & rehabilitation centre within a fiscal year that are financed in part or in full by the proceeds of the grants for GOU and development partners shall be recorded in a separate register called "Register of Contracts". If a contract is canceled or declared ineligible for financing, this information shall be written in the register of contracts.

The regional coordinator shall maintain and update a register of contracts and contract monitoring log in their respective offices and report to the NCC secretariat within the 1st week of the following month. The NCC secretariat shall prepare/update a consolidated register of contract and contract monitoring log and deliver it to NCC on a quarterly basis;

Monitoring of procurement Activities

For successful implementation of the procurement plan, the strong procurement monitoring systems need to be established in the regional service & rehabilitation centre. The monitoring system shall focus in two key areas, tracking status of implementation and monitoring the process of each implementation. Tracking status of procurement activities shall be compared with the approved procurement plan. This includes comparisons of cost, procurement method, deadlines for preparation of bid documents, bid invitation, bid opening, bid evaluation, award of contract, and contract signing etc. the process monitoring shall focus on ensuring compliance with applicable rules and procedures.

Such monitoring shall take place bi-annually by the officer in charge of finance and accounts as delegated by the regional coordinator. An officer shall prepare and a deliver a detailed monitoring report to the regional coordinator that includes recommendations and action plan for improvement/correction and future strategy.

Contract Management and Documentation

Contract management and administration refers to all actions undertaken after the award of a contract relating to the administrative aspects of the contract, such as contract amendment, contract closure, record retention, maintenance of the contract file, and handling of security instruments (e.g., performance security). The officer delegated by the regional coordinator shall undertake to administer the responsibility of contract management and documentation with involvement of the accounts as required.

The period for active contract management shall start at the moment the contract is signed and end when the final completion certificates issued. The task of contract monitoring shall ensure that both parties to the contract perform in accordance with that contract agreement and to take action as required to address any problems or delays, whether actual or anticipated. On the contract of supply of goods and materials, the monitoring process ensuring that goods are delivered on time, are acceptable to the regional service & rehabilitation centres terms of quality, quantity, and supporting documentation.

When contracting services, the officer assigned to monitor the performance of the contractor/service providers by ensuring timely receipt and acceptance of the deliverables specified in the contract (e.g., inception reports, progress reports, and reports from workshops or from training sessions etc.).

Maintenance of records and Files

The regional service & rehabilitation centre must establish a procurement file for each procurement process/activity. In addition to information documentation of the procurement process (cost estimate to contract signing), the file must include all information required to successfully administer the contract. Any issues of clarification or change of the contract must

be fully documented in this file. In order to provide their input throughout the contract administration phase, the procurement unit shall normally have a separate file with a copy of the contract as part of the procurement activity.

The centre must maintain documents and records related to the bid and contract for three years after completion of the bid or contract.

8.4 Disposal of assets

Using a PDE in the MWE, a regional service & rehabilitation centre shall undertake to dispose all assets and items identified to be obsolete at the end of a fiscal year. The procedures shall be as follows:

1. On an annual basis, the administrator or any other competent officer of the centre shall be formally assigned by the regional coordinator of the centre to identify all items considered to have outlived their usefulness and categorize/group them. These shall include equipment, pipes and other materials, motor vehicles, office equipment, and furniture etc.
2. With approval of the NCC, a board of survey (at least 2 members plus 1 technical person) shall be constituted with guidance from the regional coordinator to assess and value all the items. All items shall be categorized and allocated lot numbers.
3. A board of survey report shall be compiled and formally submitted to the PDE for consideration. On the basis of the board of survey report, the PDE shall undertake to select a competent public auctioneer to dispose of the items. The proceeds shall be banked on the centre account and subsequently channeled to the respective account as shall be guided by NCC. For items procured using GOU funds, all resources shall be transferred to the consolidated account while proceeds from items procured by DPs shall be treated as guided by the DPs and NCC.

9 M&E Framework and Strategy

With the output, outcome and, impact level indicators aligned according to the agreed components and activities, the centres shall establish a comprehensive M&E framework and strategy to guide the project monitoring, evaluations, and reporting system. This system shall be in line with NDP III reporting requirements and the agreed Logical Framework, and shall be responsive to the agreed management needs. The M&E framework and strategy shall include:

The Logical Framework: The agreed M&E framework shall be designed to measure indicators specified in the logical framework; to track and verify the levels of achievement of project outputs, the associated outcomes, and the success in achieving the objective and its framework. The agreed measures of output/outcome/impact shall form the framework for progress reporting by service providers.

Results and Impact Management System (RIMS): As per NDP III reporting requirements, the regional service and rehabilitation centres shall prepare and report on the 3 levels of indicators, corresponding to the output, outcome, and impact levels. The first level indicators correspond to the agreed activities and outputs, derived from the logical framework, measuring the quantitative financial, and physical progress. The second level indicator correspond to the agreed outcomes, assessing the effectiveness and sustainability of the agreed interventions in a more qualitative manner, various tools, including case studies, questionnaire surveys, focus group discussions, and others can be used to measure and report on these outcome indicators. Finally, the third-level indicators assess the impact, measuring the combined

effects of the first and second level results, and refer to the goal and objective levels of the project log-frame.

NDP III Reporting requirements: The Centres shall make use of the standard monitoring and evaluation sheet developed by the Expert team to meet the NDP III outputs. This standardized MS-Excel spreadsheet shall be an integral part of the M&E framework, outlining activity wise cumulative physical and financial progress of the Centres.

Participatory M&E: To a large extent the M&E framework shall be participatory, involving the supported beneficiaries in the monitoring of the Centres activities. Assessment shall also be conducted on the state of infrastructure that is being maintained using DMS.

Staff responsibility for M&E: The regional coordinators shall be responsible for ensuring that a responsive M&E system is established and regular monitoring and progress reporting is in place for Centres activities. The regional coordinator of the centre shall select an officer to take the day-to-day responsibility for collecting and analyzing data and preparing quarterly performance reports. These reports shall be on progress, results achieved and implementation issues arising from monitoring activities. These reports shall be directed to the management team at the secretariat and ultimately shared with the NCC. Within the management team, provision for supplementary studies may be made, the findings of which shall feed into M&E arrangements over the course of implementation. Provision must be made for computer training of staff to enhance their skills in using computer application to support analysis.

Impact Evaluation: Baseline, mid- term and End of phase Survey

For measuring changes in the livelihoods of beneficiaries that relate to the implemented project activities, and to assess the effectiveness and sustainability of project activities, the project shall conduct surveys of the project.

Baseline Survey: The baseline survey shall be carried out at start-up in line with the agreed implementation guidelines. This shall apply for the establishment of the regional service and rehabilitation centres in Gulu, Jinja, Masaka, and Mubende.

Activity Progress Reporting: Regular and periodic activity reports shall be generated by the staff at the regional centre and consolidated by the regional coordinator. The report shall include achievements as well as challenges, and to habitually review the goal, objectives, status of the projects at various stages.

Monthly, Quarterly and Annual Progress Reporting: Progress reviews provide a platform for analyzing implications of the results/outputs achieved with respect to outcome and overall goal and shall be used to guide the AWPB process. The regional coordinator shall be responsible for the preparation of progress reports for submission to NCC members and DPs. The regional coordinator shall provide monthly, trimester, annual, and other reports as per the guidelines and specified formats of the NCC. In addition, the project shall report on the trimester progress and consolidated annual progress, consistent with NCC's project performance reporting system.

Reporting by implementing stakeholders/service stations: To support timely reporting by the regional coordinators, all area service stations shall be required to provide their progress reports in a timely and accurate manner. Submission of progress reports to the regional coordinator may be used as a condition for release of the funds towards subsidizing their operations.

Roles & Responsibilities: The overall responsibility for M&E and reporting shall be vested in the regional coordinators. However, it is important to note that all staff at a regional centre shall be involved in monitoring the project progress in their own respective areas of expertise and responsibility. The M&E framework and strategy shall further define M&E roles and reporting responsibilities as well as timelines or reporting for each implementing project stakeholder.

Knowledge management and Learning

Knowledge Management (KM) is a valuable tool for the project management that shall be used to drive continued evaluation of project implementation for the identification of innovations and lessons for improved performance and timely target achievement. Through M&E activities, quantitative and qualitative information shall be collected and analyzed. KM shall only be complete when the identified best practices and lessons are integrated into management and implementation processes.

Knowledge Management (KM) and Learning Strategy

The project shall develop a KM and learning strategy, closely linked to the agreed M&E system, to facilitate the processes by which knowledge is created, shared and applied effectively for improved performance and sustainability. The Centres shall systematically document best practices and cases of success/failure for sharing with all relevant end-users, within the project and beyond. The regional coordinator shall consolidate all the relevant information to document lessons learnt, including information from progress reports, meetings and interviews, monitoring and evaluation reports, and output evidence provided by target groups such as HPMAs. Market and supply chain entities for spares and other inputs required by the project.

Further, this strategy shall apply the generated knowledge for both internal use (improvement of project performance through critical reflection, identification of problems, solutions, and corrective actions and approaches) as well as external use (communication of knowledge to stakeholders and wider audience). Effective implementation of this strategy shall be the responsibility of all project staff and stakeholders with facilitation by the regional coordinator.

Joint Reviews and Implementation support missions: Annual joint review missions by NCC shall be undertaken to assess overall performance and progress in achieving objectives, identify gaps and provide implementation support and guidance.

Annual Supervision: Annual supervision support missions shall be jointly organized in cooperation with NCC and other partners. Annual follow-up outcome assessment missions shall be organized jointly by the regional coordinators.

Annexes

- Annex 1: Members of NCC
- Annex 2: Annual Work Plan Budget Format (sample)
- Annex 3: Chart of Accounts (sample)
- Annex 4: Petty cash request form (sample)
- Annex 5: Sample of the TOR for GOU external audit
- Annex 6: Reporting contents of Annual Performance Report
- Annex 7: Job description of the core staff
- Annex 8: Sample of Contract Document
- Annex 9: The salary structure for the centres
- Annex 10: Code of Conduct and Code of Ethics

Annex 1: Members of NCC

No	Institution	Representatives	No.
1	Development Partners	Representatives – JICA	3
		Other DPs	2
2	MWE	Permanent Secretary- MWE	1
		Director- DWD	1
		Representative from RWSSD (AC- IOM)	1
3	MOFPED	PS/ST	1
4	DLGs	CAOs (Representative)	4
		LCV Chair persons(representative)	4
5	JMC	Chairpersons	4
6	Ex Officio		
6.1	DWOs (Representative)		4
6.2	Desk Officer- Water and Environment		1
6.3	Secretariat- Project implementation Team (Including regional coordinators and Expert team)		8

Annex 2: Annual Work Plan Budget Format (example)

Table 1: Summary of targets- Planned activities for the period (Month) 2021 – (Month) 2022

Activity	Annual Target	Qtr 1	Qtr 2	Qtr 3	Qtr 4
Rehabilitation					
Repairs for Aprons and replacement of Pedestals					
Service maintenance for water sources					
Support to MRWC (JCC Undertaking)					
DDMS Promotion and deepening					
Support to HPMs and HPMAAs					
Programme Coordination and Management					

Table 2 : Summary of Budget

Activity	Annual Budget
Rehabilitation	
Repairs for Aprons and replacement of Pedestals	
Service maintenance for water sources	
Support to HPMs and HPMAAs	
Programme coordination and Management	
Support to Rural Service stations operations	
Installation of SUNDA on 15 water sources	
Support setup real time data management centre	
Totals	

Annex 3: Chart of Accounts (example)

Account No.	Account Title
10001	Revenue-Water User Fee
10001	Cash
10001	Capital
10099	Revenue-Others
11001	Bank
12001	Project
20001	Account Receivable
21001	Salary-Administrator
21002	Salary-HTO
21003	Salary-Accountant
21004	Salary-Assistant Accountant
21099	Salary-Others
30001	Commission-caretaker
30001	Supply
31001	Repair/Maintenance Expense-Regular
31002	Repair/Maintenance Expense-Irregular
39001	Communication Expense
39002	Fuel Expense
39003	Sundry Expenses
39099	Other Expenses
40001	PPE
50001	Loan
50099	Other Profit
60001	Accounts Payable
80099	Other Loss

Annex 4: Petty cash request form (example)

	Item	Unit Price	Quantity	Amount	Remarks
1	Fuel for vehicle A				
2	Fuel for vehicle B				
3	Major Repairs				
4	Minor Repair				
5	Preventive Maintenance				
6	Airtime				
7	Drinking water				
8	Toilet paper				
9	Car washing				
10	Other items				
	Total				

complied by Accountant:

Signature:

Annex 5: Sample of the TOR for GOU external audit

Annex 6: Reporting contents of Annual Performance Report

Administration

- ✓ Working record of the staff
- ✓ Salary payment status of the staff
- ✓ Fixed asset management of the centre and the station
- ✓ Vehicle and motorbike management sheet
- ✓ Transactions with other organizations (e.g. HPMA and spare parts supplier)
- ✓ Requests from communities or Local Government

Repair and Maintenance

- ✓ District, Sub- County, Village (source name)
- ✓ Date, Time, Person in charge
- ✓ Type of work (major repair, minor repair, and preventive maintenance)
- ✓ Result and duration of downtime
- ✓ Name and quantity of replaced spare parts
- ✓ Other technical comments
- ✓ Photos of activity
- ✓ Spare parts management sheet

Software Activities

- ✓ District, Sub- County, Village (source name)
- ✓ Date, Time, Person in charge
- ✓ Objective, Participants
- ✓ Activity detail
- ✓ Challenges and way forward
- ✓ Photos of activities

Accounting

- ✓ Comparable list of budget and expenditure
- ✓ Copy of all expenditure receipts as a reference
- ✓ Copy of bank account statement as a reference
- ✓ Balance sheet of petty cash

Annex 7: Job description of the core staff

1) Administrator

The administrator shall have the overall responsibility for running the Service Centre. He or she will give overall guidance and direction to the staff of the Service Centre as well as coordinate between them. The administrator is responsible for the following works;

- i) coordinates the activities of the Service Centre to ensure that all of rural water supply facilities are kept in a well maintained and operational manner in accordance with performance targets set by the Service Centre,
- ii) responsible for the recruitment of staff at the Service Centre,
- iii) ensures staff report to work promptly and offer courteous service to their clients,
- iv) ensures the staff of the Service Centre compile daily logs of all issues handled at the Service Centre,
- v) ensures the staff of the Service Centre compiles monthly reports detailing the nature of service requests brought to the Service Centre and the status of their resolution, status of spare part supplies procured and utilized during the month,
- vi) manages the staff of the Service Centre to ensure the communication between the Service Centre and WSCs/Water Users,
- vii) establishes the policy on budget compilation and submit a draft budget to Joint Management Committee of the Service Centre (hereinafter referred to as "JMC"), and
- viii) reports the result of a budgetary variance analysis to JMC.

2) Accountant

The accountant is responsible for handling all the accounting functions of the Service Centre as follows;

- i) processes salary and allowance payments to the staff of the Service Centre as well as payment of invoices for supplies to the Service Centre,
- ii) maintains a proper book of accounts for the Service Centre and ensure that all transactions at the Service Centre are managed in accordance with accounting rules and accountability procedures,
- iii) manages petty cash and other recurrent expenses of the Service Centre,
- iv) manages operational expenses including fuel, repair costs, etc.,
- v) executes and manages the budget in a proper manner, and
- vi) constantly compares projected figures in budgets and actual figures, and make a budgetary variance analysis.

3) Assistant Accountant

The assistant accountant is responsible for the collection of water user fees, payment for the Caretakers and the procurement and management of spare parts supplies at the Service Centre as follows;

- i) prepares a collecting plan of water charges and collects water charges from the Caretakers,
- ii) reconciles between the cash on hand and the cash balance in the accounting ledger on daily basis,

- iii) prepares a procurement plan for the purchase of spare parts and other supplies required at the Service Centre on a monthly, quarterly or bi-annual basis, or as may be agreed upon with the administrator, and
- iv) ensures that there is adequate stock of spare parts at the Service Centre at all times.

4) Head Technical Operations

The head technical operations is responsible for instructing and monitoring all the repair requirements/ needs of the rural water points including jurisdiction of the Service Centre.

- i) prepares a maintenance plan of water supply facilities including schedules for preventive maintenance,
- ii) coordinate activity of Hand Pump Mechanics employed by the Service Centre,
- iii) prepare performance/ activity report,
- iv) controls the requisition of spare parts and service tools by staff of the Service Centre, and
- v) supports the procurement of quality spare parts and other supplies in a cost effective manner.

5) Hand Pump Mechanic (HPM)

HPM is responsible for carrying out the proper maintenance and repair of water supply facilities as follows;

- i) works the preventive maintenance every six months for each source,
- ii) promotes safe water and proper hygiene and sanitation in the community,
- iii) trains and instructs the Caretakers,
- iv) encourages communities to pay a water charge, and
- v) routine check on facilities.

HPM shall record the result of maintenance and repair of water supply facilities and submit them to the Head Technical Operations after the works.

6) Other Staff

The Service Centre shall be able to employ other staff if necessary. The administrator shall have authority over personnel issues, though the employment of other staff shall be with the approval of JMC.

Annex 8: Sample of Contract Document

EMPLOYMENT CONTRACT (EXAMPLE)

EMPLOYMENT CONTRACT FOR ADMINISTRATOR

THIS EMPLOYMENT CONTRACT (this "Agreement") is made on this ---- day of ----- between ----- Service Centre (hereinafter referred to as the Employer) represented by the Joint Management Committee and Mr./Ms./_____ whose Tax Identification Number (TIN) is _____ (hereinafter referred to as the Employee), upon the terms and conditions as set forth hereunder.

1. Job Title and Description: The initial job title of the Employee is Administrator and the duties he / she is expected to perform include the following:

- i) Coordinate the activities of the Service Centre to ensure that all of rural water supply facilities are kept in a well maintained and operational manner in accordance with performance targets set by the Service Centre
- ii) Responsible for the supervision of staff at the Service Centre
- iii) Ensuring that staff report to work promptly and offer courteous service to clients.
- iv) Ensuring that staff of the Service Centre compile daily logs of all issues handled at the Service Centre
- v) Ensuring that staff of the Service Centre compile monthly reports detailing the nature of service requests brought to the Service Centre and the status of their resolution, status of spare parts supplies procured and utilized during the month.
- vi) Managing the staff of the Service Centre to ensure proper communication between the Service Centre and WSCs/Water Users
- vii) Establishing policy on budget compilation and submitting the draft budget to Joint Management Committee of the Service Centre (hereinafter referred to as "JMC").
- viii) Reporting the result of a budgetary variance analysis to JMC.
- ix) Any other duties assigned by the Employer.

2. Commencement Date and Term: The Employer will commence employment with the Employee on _____ (the "Commencement Date") for a period of three (3) years after a probation period of six (6) months.

3. Place of Work: The Employee's primary place of work shall be at ----- Service Centre.

4. Working Hours: From 8:00a.m. to 5:00pm inclusive of lunch break from 12:45pm to 2:00pm.

5. Remuneration: Basic salary is UGX _____ per month subject to statutory deductions under the relevant Laws.

6. Working Regulations: The attached Working Regulations form the terms and conditions of this Employment Contract.

7. Duty to devote full time: The Employee agrees to devote full time effort as an Employee of the Employer to the employment duties and obligations as described in this agreement

8. Termination: The contract shall terminate upon completion of the employment period or upon receipt of two (2) months' prior written notice from the Employer or the Employee.

9. Annual, Paternity and Maternity Leave: The provisions of the Employment Act shall be applicable

10. Governing Law: This agreement will be construed in accordance with and governed by the Laws of Uganda

11. Dispute Resolution: In the unlikely event of disputes between the Employer and Employee such disputes shall be settled amicably in accordance with the Arbitration and Conciliation Act, 2000.

12. Notices: Any notice required by this agreement or given in connection with it, shall be in writing and shall be given to the appropriate party by personal delivery or post.

13. Severability: If any term of this Agreement is held by a court of competent jurisdiction to be invalid or unenforceable, then this Agreement, including all the remaining terms, will remain in full force and effect as if such invalid or unenforceable term had never been included.

Date: _____

_____ Employer Joint Management Committee ----- Service Centre	_____ Employee
---	-------------------

Annex 9: The salary structure for the centres

Annex 10: Code of Conduct and Code of Ethics

1. PREAMBLE

The aim of this Code of Conduct and Ethics is to provide general guidance to the staff of the Service Centre in their relationships and dealings with water users, caretakers, commercial users. It compliments existing laws, regulations, guidelines and professional codes of conduct issued for the purpose of prescribing acceptable standard of behavior and conduct in the Service Centre. Provision has also been made for appropriate sanctions to be applied where the staff of the Service Centre's conduct is found to be inconsistent with the Code.

2. APPLICATION OF THE CODE OF CONDUCT AND ETHICS AND DEFINITIONS

2.1 Application of the Code

- i) This Code of Conduct and Ethics is applicable to persons working in the Service Centre.
- ii) The Code shall be reinforced by professional Codes of Conduct and Ethics for Public Service prevailing in Uganda.
- iii) Information on the Code shall be made available to all staff of the Service Centre.

2.2 DEFINITIONS

In this Code, unless the context otherwise requires;

Bribe	Means any gratification as an inducement to or a reward for otherwise on account of any public officer for doing or forbidding to do anything in respect of any matter or transaction whatever, actual or proposed in which the public body is concerned. It is anything offered or given to or given out by a staff of the Service Centre to gain favor and influence in a particular case.
Code	Means the Code of Conduct and Ethics for the staff of the Service Centre.
Conduct	Means behavior, attitude and character exhibited by a staff of the Service Centre within and outside the working environment.
Conflict of interest	Refer to a situation where a staff of the Service Centre has got to make a decision between his or her personal interest and public interest.
Employer	Means sub-county government.
Ethics	Means a code of morals applicable in the service provided by the Service Centre.
Family member	Means a staff of the Service Centre's spouse, biological children or legally adopted children.
Gift	Means any present, donation, grant or favor whether monetary or in kind or any other gain of a personal nature given as an appropriation after a service has been rendered.
Interdiction	Means temporary stoppage of a staff of the Service Centre from exercising the powers and functions of his or her office to pave away for investing of a case.
Sexual harassment	Means conduct of a sexual nature that affect the dignity of women and men, which is unwelcome, irritating, unreasonable and offensive to the recipient. Such a conduct may be explicit, verbal or non-verbal or implicit and creates an intimidating, hostile or humiliating working environment for the recipient.

3 GUIDING PRINCIPLES OF THE CODE OF CONDUCT AND ETHICS

The Code of Conduct and Ethics is based on the following principles;

Accountability	A staff of the Service Centre shall hold office in public trust and shall be personally responsible for his or her actions or inactions.
Decency	A staff of the Service Centre shall present himself or herself in a respectable manner that generally conforms to morally accepted standards and values of society.
Diligence	A staff of the Service Centre shall be careful and assiduous in carrying out his or her official duties.
Discipline	A staff of the Service Centre shall behave in a manner as to conform with the rules, regulations and the Code of Conduct and Ethics for the staff of the Service Centre generally and codes of professional conduct for the specific professions.
Effectiveness	A staff of the Service Centre shall strive to achieve the intended results in terms of quality and quantity in accordance with set targets and performance standards set for service delivery.
Efficiency	A staff of the Service Centre shall endeavor to optimally use resources including time in the attainment of organizational objectives, targets or tasks.
Impartiality	In carrying out his or her business, a staff of the Service Centre shall give fair and unbiased treatment to all water users and caretakers irrespective of gender, race, religion, disability or ethnic background. A staff of the Service Centre shall make choices based solely on merit.
Integrity	A staff of the Service Centre shall be honest and open in conducting his or her working and affairs.
Loyalty	A staff of the Service Centre shall be committed to the policies and regulations of the Service Centre.
Professionalism	A staff of the Service Centre shall adhere to the professional codes of conduct, exhibit high degree of competence and best practices as prescribed for in a given profession in the service Centre.
Selflessness	A staff of the Service Centre shall not put his or her own interest before the public interest. He or she would not take decision in order to gain financial and other benefits.
Transparency	A staff of the Service Centre shall be as open as possible about all the decision and action taken. He or she must always be prepared when called upon to give reasons for the decision he or she has taken.

4. WORK ETHICS

4.1 Attendance to duty

- i) A staff of the Service Centre shall observe the official working days in accordance with the regulations and shall always be available for official duty when called upon.
- ii) A staff of the Service Centre shall without exception perform his or her duty in a manner that conveys professionalism, respect and conforms to morally accepted standards.
- iii) A staff of the Service Centre shall commit working hours to official duties.
- iv) A staff of the Service Centre in position of authority shall exercise such authority with due diligence and trust and shall demonstrate a high standard of performance of duty and conduct.
- v) A staff of the Service Centre shall be results-oriented and committed to the performance of his or her duties.
- vi) A staff of the Service Centre shall set clear standards of performance that water users can reasonably expect.

4.2 Time management

- i) A staff of the Service Centre shall have strict regard to the working hours. He or she shall not come late to the office meetings and official functions without reasonable case.
- ii) A staff of the Service Centre shall endeavor to accomplish planned activities on time. He or she shall desist from engaging in behavior or conduct that disrupts or interferes with the work of other officers, such as, but not limited to;
 - a) Being lazy and idle at work.
 - b) Full time reading newspaper, keeping radio loud as to disrupt concentration, playing computer/ smart phone games or surfing the internet irresponsibly. The only exceptions are training related television and video programs, video conferencing, open and distance learning.
 - c) Transaction private business in office and during office hours.
 - d) Engaging in private conversation and gossip during working hours.

4.3 Absence from duty

- i) A staff of the Service Centre shall seek and obtain permission from his or her supervisor to be absent from duty. Permission shall not be unreasonably denied or granted.
- ii) A staff of the Service Centre shall, during official working hours, report his or her absence from office to his or her immediate supervisor or relevant persons.

4.4 Sexual Harassment

- i) A staff of the Service Centre shall avoid unethical and unbecoming behavior such as use of rude, abusive and obscene language, indecent dressing, hard supervision and sexual suggestive gestures which constitute sexual and hence a violation of violation of human rights.
- ii) A staff of the Service Centre shall not subject others or be subjected to conduct of a sexual nature affecting his or her dignity, which is unwelcome, unreasonable and offensive to the recipient.
- iii) A sexual suggestive and offensive behavior may manifest itself in such forms;
 - a) An employee being forced to choose between acceding to sexual demands or losing job benefits (sexual blackmail).
 - b) Verbal and non-verbal sexually offensive behavior exhibited by colleagues (or even customers)
- iv) A staff of the Service Centre who is subjected to sexual harassment overtures shall report such a case with the adduced evidence, where applicable, to the Administrator that is responsible for investing civil and criminal officers with a view to obtaining redress.
- v) A staff of the Service Centre who has lodged any complaint regarding sexual harassment using the established complains procedure shall not be unduly victimized.
- vi) Remedies for sexual harassment shall be those prescribed under the civil or criminal laws.

4.5 Water user Care

A staff of the Service Centre shall serve water users with fairness, transparency, promptness, clarity, respect and courtesy with a view to ensuring water user satisfaction and enhancing the image of the Service Centre.

Therefore, a staff of the Service Centre;

- i) Serve every water user in a professional manner in accordance with Code.
- ii) Not discriminate or harass any customer and ensure that the services are available and applied equally to all.
- iii) Accord courtesy, empathy and fairness to all water users with special attention to persons with disabilities, the aged, sick and expectant mothers.
- iv) Respond to all water users' requests with promptness and clarity.
- v) Uphold team and advance the public good for efficient service delivery.

4.6 Conflict of interest

- i) In the execution of Service Centre's business, a staff of the Service Centre shall not put himself or herself in a position where his or her personal interest conflicts with his or her duties and responsibilities. The staff of the Service Centre is required to inform his or her supervisor of the nature and extent of his or her interest.
- ii) A staff of the Service Centre shall not either directly or indirectly enter into any contacts with (local) government. This is unethical since it affects the impartiality of the Service Centre and mars his or her reasonable judgement.
- iii) Any staff of the Service Centre infringing this regulation shall be liable to disciplinary action.

4.7 Financial Credibility

A staff of the Service Centre shall not engage in any arrangement that would cause him or her financial embarrassment, e.g. bankruptcy.

4.8 Communication of Information

4.8.1 Secrecy and Confidentiality

- i) A staff of the Service Centre shall continue to maintain secrecy and confidentiality of information which is acquired in the course of his or her duty even after he or she has left the Service Centre, Such information shall not at any point in time be used against the Service Centre.
- ii) A staff of the Service Centre shall not at any time engage himself or herself in loose talk and make unguarded statements.

4.8.2 Publishing of Official Information

A staff of the Service Centre shall not publish any official information in any document, article, book, play, film or otherwise without explicit permission from the Joint Management Committee (JMC).

4.8.3 Communication to the Press

- i) A staff of the Service Centre shall not communicate with the media on issues related to work or official policy without due permission from the authorizing officer.

- ii) Official information will be released to the media by administrator who has been authorized to do so according to the laid down procedures.

4.8.4 Anonymous Communication

A staff of the Service Centre is prohibited from writing or disseminating anonymous and malicious letters and printing of graffiti intended to demean the image of the Service Centre.

4.8.5 Use of official information for personal gain

A staff of the Service Centre shall not use official information acquired in the course of Service Centre's duties to advance personal gain.

4.8.6 Chain of Command

A staff of the Service Centre aggrieved by the decisions or actions of his or her immediate supervisor shall follow the established disputes and settlement procedure in seeking redress.

4.9 Removal, destruction or altering of records

A staff of the Service Centre shall not, without the permission of the administrator immediately in charge, willfully remove, destroy, or alter public records from the office to which they belong or from any other office premises.

4.10 Accountability

A staff of the Service Centre shall hold office in public trust and shall be accountable to the public. He or she shall be accountable for all resources under him or her as follow;

4.10.1 Financial

- i) A staff of the Service Centre shall ensure proper and frugal utilization of public funds and value for money.
- ii) A staff of the Service Centre shall at all times promptly account for any financial resources entrusted to him or her in accordance with the financial regulation.

4.10.2 Service Centre's Property/ Assets

A staff of the Service Centre shall safeguard the Service Centre's property/ assets entrusted to him or her and shall ensure that no damage, loss, or misappropriation occurs in the process of procurement, storage, utilization and disposal.

4.10.3 Human Resource

- i) A staff of the Service Centre shall ensure that staff under his or her supervision have clear job descriptions and understand the scope of their work.
- ii) A staff of the Service Centre shall, without favor, support staff under his or her supervision to enhance their competencies and self-development
- iii) A staff of the Service Centre shall ensure respect for subordinates, colleagues, and supervisors.

4.10.4 Administrative

- i) A staff of the Service Centre shall be accountable both for actions and inactions through normal tiers of authority and will adhere to meritocratic principles in decision making.

- ii) Where a staff of the Service Centre believes that he or she is being required to act in any way which is inconsistent with this Code he or she shall refrain and report the JMC.

4.11 Handling of Gifts, Bribes, Favors and Presents by a staff of the Service Centre

4.11.1 Gifts

- i) A staff of the Service Centre or any member of his or her family shall not solicit or accept valuable gifts, presents, hospitality gratuity or favor or other benefits, if he or she has reason to believe that the acceptance of such gifts, presents and other benefits is bound to influence his or her judgement or action in a matter he or she is dealing with or handle in future.
- ii) A staff of the Service Centre shall not give such gifts to influence the judgement or action of another person in his or her favors.
- iii) iii) A staff of the Service Centre who, in the course of discharging his or her duties, receives any gifts or other benefits of a value of UGX _____ above from any one source shall disclose that gift or benefit to JMC.
- iv) A staff of the Service Centre may accept or give a gift if the gift is in the nature of a souvenir or ornament and does not exceed UGX _____.
- v) A staff of the Service Centre may accepts personal gift or donation from a relative or personal friend for such an extent and on such occasion as is recognized by custom.

4.11.2 Bribes

- i) A staff of the Service Centre who his or her personal or official capacity, demand, accepts or gives any bribe or is an agent of any person who intends to influence him ore her or another officer is in breach of this Code.
- ii) A member who corruptly gives promises or offers any gift or present or reward or gratuity to any staff of the Service Centre as an inducement is guilty of a misdemeanor and shall be dealt with in accordance with the laws of Uganda.

4.12 Dress and Appearance

For the promotion and projection of a good image of the Service Centre, a staff of the Service Centre shall at all times dress appropriately and appear decent and respectable in a way that is generally acceptable.

4.12.1 Mode of Dress

A staff of the Service Centre shall dress in a manner that is acceptable.

5. ENGAGEMENT OF PUBLIC OFFICERS IN POLITICAL ACTIVITIES

A staff of the Service Centre may participate in politics within the provisions of the law, rules and regulations. He or she shall avoid in particular;

- i) Engaging in active politics.
- ii) Canvassing political support for candidates.
- iii) Participating in public political debates.
- iv) Displaying party symbols.

Where the staff of the Service Centre's conduct is found to be inconsistent with the code, the relevant laws and regulations shall apply.

6. SANCTIONS

Unethical conduct by a staff of the Service Centre shall not be accepted. Sanctions for any breach of this Code shall be those prescribed by the laws and regulations in Uganda.

Depending on the gravity of the offence or misconduct, the following penalties shall apply;

- i) Warning or reprimand.
- ii) Suspension of increment.
- iii) Withholding or deferment of increment.
- iv) Stoppage of increment.
- v) Surcharge or refund.
- vi) Making good of the loss or damage of Service Centre's property/ assets.
- vii) Interdiction from duty with half pay.
- viii) Reduction in rank.
- ix) Removal from the Service Centre.
- x) Dismissal.

7. REWARDS

- i) An appropriate reward and recognition shall be accorded to a staff of the Service Centre who exhibits good ethical conduct.
- ii) A reward shall be accorded to a staff of the Service Centre by the administrator.
- iii) The rewards shall include; but not limited to;
 - a) Word of recognition of good performance
 - b) Open praise
 - c) Challenging work assignment normally done by seniors
 - d) Letter of commendation
 - e) Presents
 - f) Mementoes
 - g) Certificate of merit
 - h) Concessionary trips
 - i) Cash bonuses
 - j) Salary increments
 - k) Award of medals

8. OBLIGATIONS OF ____ SUB-COUNTY GOVERNMENT

While a staff of the Service Centre is expected to observe the Code, ____ sub-county government as the employer has the following obligations as laid down in the statutory instrument issued by the Ministry of Water and Environment dated on ____ under the Water Act and the relevant laws;

- i) To provide satisfactory, safe and healthy working environment
- ii) To ensure equal pay for work of equal value
- iii) To ensure that employees are accorded rest and reasonable working hours and periods of holidays with pay as well as remuneration for public holidays.
- iv) To protect the Service Centre's right, including the right to withdraw labor in accordance with the law.
- v) To accord protection to female workers during pregnancy and after birth.
- vi) To provide a staff of the Service Centre with the necessary tools, equipment, and gear for performance of his or her duties.

Appendix 2-2 : Human Resource Manual

Regional Service and Rehabilitation Centre

HUMAN RESOURCE MANUAL

<as a reference of DMS guideline>

June 2022

INSTITUTIONAL BACKGROUND

In 2015, the Direct management System (DMS) was established with support from Japan International Cooperation Agency (JICA) Technical Assistance Grant by the Government of Japan to the Government of Uganda in 2015 through the Ministry of Water and Environment (MWE). The Japanese Expert Team provides technical assistance towards establishment of the Direct Management System.

On 23rd January 2020, the Joint Coordination Committee (JCC) at its 7th meeting agreed and resolved to roll out the Direct Management System (DMS) to thirty-three (33) districts which are supervised by the following four (4) Regional Service and Rehabilitation Centres (RSRC):

- 1) Gulu Regional Service and Rehabilitation Centre: Lamwo, Agago, Kitgum, Pader, Gulu, Nwoya, Omoro, and Amuru
- 2) Mubende Regional Service and Rehabilitation Centre: Kiboga, Kyankwanzi, Mityana, Butambala, Gomba, Kassanda, Mubende, and Mpigi
- 3) Jinja Regional Service and Rehabilitation Centre: Pallisa, Kaliro, Serere, Kibuku, Butebo, Kayunga, Iganga, Buikwe, and Mukono
- 4) Masaka Regional Service and Rehabilitation Centre: Kyotera, Rakai, Lyantonde, Bukomansimbi, Masaka, Lwengo, Kalungu, and Sembabule.

Therefore, this Human Resource Manual consists of Rules that shall govern Administration and Personnel related matters at all the Regional Service and Rehabilitation Centres across Uganda.

ABBREVIATION AND ACRONYMS

RSRC	The Regional Service and Rehabilitation Centre
DMS	Direct Management System
NCC	National Joint Coordination Committee
PAYE	Pay As You Earn
URA	Uganda Revenue Authority
OSH	Occupational Safety and Health
OSHC	Occupational Safety and Health Committee
PPE	Personal Protective Equipment
PPW	Personal Protective Wear
SOPs	Standard Operating Procedures

DEFINITION OF TERMS

In this Manual, unless the context otherwise requires, the following words, phrases or terms used will have the meaning shown against them:

“Appointment”	means an offer of a job, or position to a person by The Regional Service and Rehabilitation Centre. This includes promotion from one post to another, or transfer from one post to another.
“Bullying”	means any unsolicited or unwelcome or unreasonable behavior that demeans, humiliates, intimidates, or undermines the dignity of an individual or a group against whom it is directed.
“Clean Desk Policy”	means a routine practice which ensures that office files and equipment are kept secure and safe once not in use.
“Code of Conduct”	means a written collection of rules, principles, values and Employee expectations, behavior and relationship considered essential for successful Project operations.
“Conflict of Interest”	means any interest that may affect or may reasonably be perceived to affect the Employee’s objectivity and independence.
“Continuous Service”	means an Employee’s period of uninterrupted service with The Regional Service and Rehabilitation Centre.
“Contract of Employment”	means a written legal document which lays out binding terms and conditions of the employment relationship between an Employee and The Regional Service and Rehabilitation Centre (as the Employer).
“Dependant”	refers to a member of an employee’s family who substantially depends on that employee for his or her livelihood and is not older than 24 years.
“Deployment”	means movement of an Employee from his/her current assignment to another within the same Directorate or Department, but in the same position and functional area.
“Disability”	means any permanent: a) physical disability or impairment; b) physical illness; c) psychiatric illness; d) intellectual or psychological disability or impairment; e) loss of abnormality of physiological, psychological, or anatomical structural function; f) reliance on a guide dog, wheelchair or any other remedial means; and g) presence in the body of organisms capable of causing illness.
Dismissal from Employment	means the discharge of an Employee from the employment at the initiative of The Regional Service and Rehabilitation Centre due to verifiable misconduct.
“Employee”	means a person who has entered into a contract of employment with the RSRG.

“Employer”	means The Regional Service and Rehabilitation Centre.
“Gift”	means anything of value or benefit given to an Employee directly or indirectly, gratuitously, or solicited in his or her official capacity.
“Grievance”	means the dissatisfaction of an Employee or group of Employees about an actual or perceived injustice suffered by such an Employee or group of Employees, in the course of their employment with The Regional Service and Rehabilitation Centre but excludes any disciplinary sanctions arising under the disciplinary code.
“Gross misconduct”	refers to extreme behavior and/or actions by an Employee that contravene the laid down rules and procedures of The Regional Service and Rehabilitation Centre.
“Home District”	means a place an Employee declares at the time of his/her employment as his/her permanent place of residence. Any change during the time of his/her employment should be notified to the Human Resource and Administrator.
“Immediate Family”	means an Employee’s spouse, children/dependants and parents.
“Insubordination”	means disobedience to lawful orders arising out of the Employee’s terms and conditions of service.
“Interdiction”	refers to temporary removal of an Employee from exercising the duties of his or her office while criminal investigations are being carried out.
“Internship”	refers to students who are required by recognized academic and professional qualification institutions to carry out training directly related to their academic or professional courses for purposes of gaining practical experience and practice for a period not exceeding six months.
“Leave”	means taking time off from work with prior approval or intimation.
Staff of the RSRC	refers to the Regional Coordinator, Administrator, Finance and Accounts Officer, People and Society Officer and Hand Pump Mechanic as a collective team.
“Misconduct”	refers to any behavior and actions that contravene laid down rules of the Regional Service and Rehabilitation Centre.
“Parent”	An Employee’s biological father and mother or legally adoptive father or mother
“Promotion”	means appointment to a higher office and is accompanied with a higher rank, responsibility and/or remuneration.

“Relocation”	refers to the movement of an Employee from one workstation to another.
Remote working	refers to a working style that allows an Employee to work from his/her home, or place of residence.
“Secondment”	means a temporary movement of an employee from the Public Service to the Regional Service and Rehabilitation Centre.
“Sexual Harassment”	means conduct of a sexual nature that affects the dignity of women and men, and is unwelcome, irritating, unreasonable and offensive to the recipient. Such conduct may be explicit, verbal or non-verbal or implicit and creates an intimidating, hostile or humiliating working environment for the recipient.
“Spouse”	means the Employee’s marital partner as recognized by the Laws of Uganda.
“Suspension”	refers to temporary stoppage of an Employee from carrying out his/her duties, where The Regional Service and Rehabilitation Centre has reason to believe that the investigations may reveal a cause for dismissal of the Employee.
“Transfer”	means movement of an Employee from one RSRC station and/or position to another RSRC and/or position.

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Chapter 1: ABOUT THIS MANUAL

1.1. Citation

This Manual and its provisions shall be cited as "RSRCs Human Resource Manual 2022".

1.2. Mandate of the Manual

This Manual derives its mandate from:

- a) The Constitution of the Republic of Uganda (as amended);
- b) The Employment Act, 2006.

The availability of this Manual to an Employee serves to meet the requirements of Section 59 of the Employment Act, which states that:

- (1). An employee is entitled to receive from his or her employer notice in writing of the following particulars of employment:
 - (a) the full names and addresses of the parties to the contract of service
 - (b) the date on which employment under the contract began, specifying the date from which the employee's period of continuous service for the purposes of this Act shall commence;
 - (c) the title of the job that the employee is employed to do;
 - (d) the place where the employee's duties are to be performed;
 - (e) the wages which the employee is entitled to receive or the means by which they can be calculated, and in either case, the intervals at which they will be paid, and the deductions or other conditions to which they shall be subject;
 - (f) the rate of any overtime pay applicable to the employee;
 - (g) the employee's normal hours of work and the shifts or days of the week on which such work is to be performed;
 - (h) the number of days' annual leave to which the employee is entitled and his or her entitlement to wages during such leave;
 - (i) the terms or conditions relating to incapacity for work due to sickness or injury, including any provision for sick pay;
 - (j) the length of notice in excess of that provided by this Act required for lawful termination of the contract by the employer or employee; and
 - (k) the terms or conditions relating to incapacity for work due to sickness or injury, including any provisions for sick pay.
- (2). For any or all of the information required by subsection (1), the employer may, in writing, refer the employee to a document which is reasonably accessible to the employee during working hours at the place of work which contains the relevant information in a form and in a language that the employee can reasonably be expected to understand.
- (3). The notice referred to in subsection (1) shall be given by the employer to the employee not later than twelve weeks after the date on which employment commences.

- (4). Where there has been an agreed change affecting any of the matters referred to in subsection (1), the employer shall issue a written notice to the employee of the change.
- (5). An employer shall retain a copy of the written particulars issued under subsection (1), and of any changes in them and shall produce the copy on demand, to a labour office.”

- c) The Data Protection and Privacy Act, 2019;
- d) The Equal Opportunities Act, 2007;
- e) The HIV and AIDS Control and Prevention Act, 2014;
- f) The Income Tax Act, [Cap. 340] (as amended);
- g) The Labour Disputes (Arbitration and Settlement) Act, 2006;
- h) The Labour Unions Act, 2006;
- i) The Leadership Code Act, 2002 (as amended);
- j) The National Social Security Fund Act, [Cap. 222];
- k) The Occupational Safety and Health Act, 2006;
- l) The Persons with Disability Act, 2006; and
- m) The Workers Compensation Act, [Cap. 225].
- n) The Public Service Standing Orders, 2021.

This Manual shall be used within the context of, and in compliance with the provisions of the laws of the Republic of Uganda. In case of conflict of any section in this Manual with any applicable law, the law takes precedence.

1.3. Objectives of the Manual

- a) To provide operational human resource management policies and procedures to implement the Regulations that establish the RSRC in compliance with best practices and relevant laws.
- b) To ensure that a document containing human resource policies and procedures is available to all employees of the RSRC.
- c) To provide guidance that underpins the policies and procedures approved by the NCC.
- d) To adequately describe the Operational processes of a the RSRC thus ensuring continuity of operations when staff is changed.
- e) To define the rights and obligations of the RSRC and its Employees in order to create a harmonious working environment for enhanced project performance.
- f) To ensure high ethical and professional standards which are a pre-requisite for accountability and transparency.

1.4. Scope of the Manual

- 1.4.1 This Manual applies to all Employees and seconded Public Officers of the RSRC.

1.5. Responsibility for Implementation of the Manual

- a) The NCC is responsible for overseeing the application of this Manual to all Employees and approving changes to this Manual whenever justified.
- b) The Administrator of the RSRC is responsible for reviewing and justifying any changes to this Manual that may be proposed at any time.
- c) The Administrator of the RSRC is responsible for the effective and consistent implementation of this Manual.
- d) The Regional Coordinator and Administrator are jointly responsible for interpreting the provisions of this Manual and ensuring its effective and consistent application.
- e) It is the responsibility of all Employees of the RSRC to read and understand this Manual in order to know their responsibilities, accountabilities, rights and limits so as to ensure compliance.

1.6. Revision and Amendment of the Manual

The Manual may be revised or amended any time, as and when necessary, by the NCC of the RSRC. Any change, revision or amendment to this Manual shall only be effective by issue of a new revision of that document or an addendum to the original document and only after the change has been reviewed, approved, and authorized by the NCC. The addendums shall be numbered serially, e.g. First Addendum, Second Addendum, and so on, but indicating the same document number and revision number of the original document to which the amendments in the addendum refer. All Employee shall be notified, in writing, whenever any change, revision or amendment is made to this Manual.

Chapter 2: INTERNAL COMMUNICATION

Internal communication is part of the RSRC's Communication. The staff communication shall be strengthened to harness the benefits of teamwork. In order to enhance the RSRC's delivery timelines, the staff shall treat each other as internal customers; hence they shall know their needs and aim at achieving their satisfaction. A request or communication made by one staff to another, shall be promptly acted upon and feedback given without undue delay. The RSRC shall hold at least one meeting every quarter to enhance awareness and understanding.

2.1. RSRC staff Meetings

All staff shall physically attend all staff meetings of the RSRC.

Notwithstanding the above, it shall be permissible to hold vital staff meetings via secure Internet live streaming technology platforms. A member of staff participating through the Internet-based audio-visual communication system shall be deemed to be present. A virtual staff meeting shall only be held if it is practically impossible to hold a physical meeting and only when the following conditions prevail:

- a) where a natural calamity or disaster has occurred in any part of Uganda and, such natural calamity or disaster has made it impossible for at least one (1) week to travel to offices of the RSRC, and such staff will not be able to travel for a period exceeding thirty (30) calendar days; or
- b) where Government regulations, including but not limited to lockdowns and quarantines, have restricted movement of persons for a period exceeding seven (7) calendar days.

2.2. Risk Management Related to Human Resource Management

The Regional Coordinator shall identify, assess, evaluate, monitor risks and opportunities related to human resource management which information the Administrator shall report to the NCC.

Chapter 3: EQUAL EMPLOYMENT OPPORTUNITY

All qualified individuals have equal access to employment opportunities without discrimination or preference based on tribe, race, colour, religion, sex, age, disability, political opinion, HIV status, national extraction, or social origin. Appointment and promotion shall be based on merit. The RSRC shall strive to make all reasonable efforts to ensure that preference is given, where appropriate, to Ugandan nationals. Any distinction, exclusion, or preference in respect of a particular job based on the inherent requirements of that particular job, shall not be deemed to be discrimination. The principle of equal opportunity shall form the fundamental framework for human resource development and shall be integrated into all policies and practices of the RSRC. The RSRC shall pay Employees equal remuneration for work of equal value and shall ensure female Employees returning from maternity leave or experiencing a pregnancy are not in any way prejudiced on account of these circumstances.

Chapter 4: THE RSRC CODE OF ETHIC

4.1. General

The purpose of the Ethical Code of Conduct is to provide every Employee with a clear set of guidelines regarding the expected ethical behaviour and integrity while working with the RSRC. This Code of Conduct is by no means exhaustive and shall be used in addition to any other applicable laws and regulations.

4.2. Bribery and Corruption

The RSRC expects the highest standards of integrity in relation to its Employees and their dealings with contractors, suppliers, agents, and with any government officials. An Employee shall not receive any payment or anything of value, directly or indirectly, whether in cash or in kind, from any person which would constitute a breach of any related Laws.

4.3. Declaration of Interest Policy

An Employee has a duty to promote the interest and reputation of the RSRC and shall not make any personal gain at the expense of, or as a result of his/her employment. Decisions and functions carried out in the course and scope of employment shall be directed at what is in the best interests of the RSRC.

No Employee shall wilfully gain financially or otherwise, from any situation arising from his employment to the prejudice of the interests of the RSRC. Personal interests shall not conflict with those of the RSRC. Where a possible conflict of interest is likely or where an Employee has or obtains a financial or other interest in a transaction, business, or company with which the RSRC enters into a business or commercial transaction, or where an interest is such that it may influence the outcome of any decision or benefit any person or company or firm the interest shall be disclosed in writing as soon as it arises and the Employee shall refrain from participating in any way in related business dealings.

During the course of employment with the RSRC, an Employee shall not be employed or engaged in any other business or occupation that directly relates to the RSRC's regulatory mandate. An Employee while at the RSRC, shall not be in full time employment at another institution unless the Employee is on unpaid leave as approved by the RSRC.

An Employee shall, as soon as it occurs, be required to declare any interests that he or she may have in any business that is providing goods, works or services to the RSRC. An Employee, therefore, shall be required to declare on an annual basis, or as soon as it occurs, any conflict of interest that may occur in the course of performing his/her duties, in the standard form (Appendix 1: Declaration of Interest Form for Employee).

4.3.1. Gifts

No Employee shall personally accept a gift given while on official duty. Any gift or donation to an Employee shall become the property of the RSRC. All gifts and donations received with a value shall be declared to the Regional Coordinator of the RSRC and recorded in the Gifts and Donations Received Logbook (listing recipient, estimated value, date, etc.). An Employee shall not personally commit the RSRC or give a gift, charitable donation or any contribution on behalf of the RSRC, without express authorization from the Regional Coordinator.

4.3.2. Employment and Family Relations

An Employee shall, on joining the RSRC or as soon as it occurs during the course of employment, be required to declare any relations with any other Employee by marriage or blood. No members of an "Immediate Family" and siblings, shall be permitted to serve in the same the RSRC. Where Employees are part of an "Immediate Family" or relatives, as defined in this Manual, conflict of interest in the deployment and reporting relationship of such Employees shall be avoided.

4.3.3. Private Business Undertaking

All Employees are prohibited from engaging in any business undertaking that puts them into a position of conflict of interest with the RSRC. All Employees are prohibited from engaging in any other business or employment during working hours. For avoidance of doubt, an Employee shall not be prohibited from conducting business or holding shares or stock of any company. However, where this raises a conflict of interest, the Employee shall declare it at all times.

4.4. Commitment to the RSRC and Interpersonal Relationships

An Employee shall, during normal working hours, devote the whole of his/her time, attention, skill and abilities to the performance of his/her duties and shall act in the best interests of the RSRC. An Employee shall be required to exhibit a high sense of interpersonal relationships and personal commitment to the goals and objectives of the project.

An Employee shall not, during normal working hours, be engaged for gain by other parties and/or carry out any sporting, physical or recreational and/or associated activities for pay or without pay, unless they obtain prior written consent of the Regional Coordinator of the RSRC.

4.5. Use of Property belonging to the RSRC

An Employee shall protect the RSRC's property from misuse and ensure that it is used for legitimate project work. The RSRC shall not accept liability for loss or damage to personal property while on any of our premises.

4.6. Dress Code

An Employee representing the RSRC shall at all times present him/herself in a decent, clean and professional appearance. Employees shall dress in formal wear from Monday to Friday.

Formal wear for male Employees shall mean smart well-fitting trousers (excluding jeans), shirts (long or short sleeves) and/or tie, socks and shoes (excluding sneakers and flip-flops). Male Employees are required to keep hair and beard well-groomed and generally short.

Formal wear for female Employees shall mean smart: decent skirt or dress (excluding jeans); dress or blouse that covers the cleavage, navel and back; trouser (excluding jeans) that is not tight-fitting (figure-hugging); and shoes (excluding sneakers, flip-flops). Female Employees are required to keep decent hair.

An Employee shall wear an official identity card of the RSRC the while on the RSRC's premises.

4.7. Harassment and Bullying

Any form of harassment or bullying at the RSRC is prohibited and subject to disciplinary action. Provocative conduct or approach with sexual or tribal and racial connotations are not allowed. Sexual harassment is prohibited whether it occurs at the workplace or elsewhere in the course of employment responsibilities or working relationships that is, at work related social functions, at work-related conferences or training events, or during work-related travel.

4.8. Insubordination

An Employee, who refuses, neglects or ignores to obey lawful instructions given by the Regional Coordinator, commits the offence of insubordination.

4.9. Fraud, Forgery and Dishonesty

An Employee shall not involve him/herself in acts of fraud, forgery or dishonesty. Every Employee shall be duty-bound to immediately report to the Regional Coordinator any malpractice, misconduct, fraud, error, dishonesty, forgery or any other concealed practice against the policies, procedures and interests of the RSRC.

4.10. Personal Financial Discipline

Every Employee is required to prudently manage his/her financial affairs to avoid situations that would cause him/her distress, embarrassment, arrest and imprisonment, or lead to any situation that would put the RSRC disrepute. An Employee found in such a compromising situation shall be subject to counselling or disciplinary action, depending on the gravity of the offence in accordance with this Manual.

4.11. Drug and Substance Abuse

An Employee shall not consume alcohol and/or drugs of addiction or be under the influence of alcohol/drugs during normal working hours.

4.12. No Smoking Policy

All RSRC's premises are non-smoking areas.

4.13. Political Involvement

An Employee who intends to run for political office shall first resign from his/her employment with the RSRC. An Employee is prohibited from wearing or using the RSRC corporate regalia and/or the RSRC's vehicles or property when attending political rallies or demonstrations.

Chapter 5: CONFIDENTIALITY UNDERTAKING

Employees shall not while employed by or after leaving the RSRC disclose any information of a confidential nature obtained in the course of their employment relating to the RSRC's affairs, its activities or on any third party, unless this is required by law or unless written permission has been given in advance by the Regional Coordinator or the NCC as the case may be. An Employee shall use confidential information only for the purpose(s) for which it is intended and should not disclose confidential information to any unauthorized person. An Employee shall ensure that he/she preserves confidentiality of information at all times. In particular, reading, discussing, creating or otherwise disclosing confidential information in public areas should be avoided. An Employee shall maintain confidentiality of information entrusted to him/her or that comes to his/her attention in the course of performing his/her duties and such information shall only be disclosed with express permission from the Regional Coordinator of the RSRC. An Employee shall, therefore, upon appointment be required to make a written confidentiality undertaking as a commitment to uphold the confidentiality provision in this Manual, in a standard form (Appendix 2: Confidentiality Undertaking Form).

5.1. Public Writing and Communication

An Employee shall not make any written or oral public statement to the media or otherwise relating to the affairs of the RSRC and shall not write any article for publication on any matter concerning the business or other affairs of the project without obtaining permission from the NCC.

Chapter 6: INTELLECTUAL PROPERTY RIGHTS

Any intellectual property rights an Employee generates in the course of employment or which affect or relate to the project in any way, or are capable of being used or adapted for use by the RSRC, shall be property of the RSRC. An Employee shall, at the commencement of his/her employment, be deemed to have waived any intellectual property rights that may arise in the course of his/her engagement.

Chapter 7: RECRUITMENT AND SELECTION

7.1. Policy Principles

Recruitment and selection of Employees shall be based on merit and conducted in a transparent, efficient and effective manner, promoting fairness and equality of opportunity for all. Job analysis shall be conducted to establish an appropriate job description. Job evaluation shall be carried out to ascertain the relative value or worth of each job before recruiting personnel into any position (Appendix 3: Job Description).

7.2. Policy Statement

The RSRC shall have an approved organizational structure and establishment, which shall be reviewed from time to time to ensure its continued suitability, effectiveness and alignment with the strategic direction of the project as stipulated in the DMS guideline. The Core staff at the RSRC shall hold the following job positions;

Sn	Title	Number
1	Regional Coordinator	1
2	Head- People, Society and Environment	1
3	Head- Technical Operations	1
4	Administrator	1
5	Accountant	1
6	Drivers (Including 2 No. drivers for rehabilitation/service trucks)	4

The number of staff may change as per need with approval from the NCC. The establishment of a new position on the organizational structure shall be authorized by the NCC.

7.3. Recruitment

Regarding the recruitment of staff for RSRC, all vacancies shall be advertised and filled competitively. The vacancies shall be advertised internally first before opening them up to external applicants. The RSRC may delegate and/or contract a third party to conduct part of the selection and recruitment process, where necessary. All positions shall be established after a job and needs analysis which shall bring out at least the following:

- a) definition of at least five key result areas;
- b) definition of corresponding key outputs;
- c) definition of key competencies in line with The Regional Service and Rehabilitation centre competence framework;
- d) appropriate budgetary provision.

Based on the needs' analysis, the Regional Coordinator shall give full justification to the NCC for the identified need.

7.4. Filling a Vacant Position

Justification for Employee requirements or filling of a vacant position shall arise out of any or all of the following:

- a) the need to fill a recently established job position;
- b) the need to replace an exited Employee;
- c) the need to temporarily replace an Employee who is on extended leave; and
- d) in the cases above, an Employee Requisition Form will be completed and accompanied by an up-to-date job description.

The Regional Coordinator shall submit a completed Employee Requisition Form accompanied by an up-to-date job description to the NCC to verify the existence of the job vacancy and initiate the recruitment process. The justification shall contain details of the job description, type of work to be carried out, the level at which it should be carried out, the competencies required to carry out the work and the reporting lines and the relationship with other positions at the RSRC.

7.5. Advertisement of a Vacancy

Job advertisement may be for internal or external prospective candidates. In all cases, the advert shall state the corporate background, job identification, reporting relationship, job purpose and

key qualifications and experience. A job advertisement for external prospective candidates shall be in the print, electronic and any other media (Appendix: Job Advert Format_Doc).

6.5.3 An internal job advertisement shall comply with the following:

- a) the advert for a vacant position shall be open for a period of seven working days;
- b) notification of a vacancy shall be circulated to all Employees via the email to all Employees
- c) the qualifications and experience required for the position will be stipulated in the Job advert;
- d) an Employee who wishes to be considered for an advertised position shall comply with the requirements of the Job advert;
- e) an Employee, who is on a short-term contract of employment with the RSRC for a period not less than five months, may be eligible to apply; and
- f) if no Employee is found suitable, the vacant position shall then be filled through external advertisement.

An external advertisement for a vacant position shall be circulated widely in the print media and on the website of the RSRC for fourteen working days. A job advertisement shall state the closing date and time for receiving applications. Delivery of the applications may either be by registered mail, hand-delivered, or electronic via a designated email of the RSRC.

7.6. Selective Recruitment

Selective recruitment may be undertaken where no suitable candidate has been identified through the normal recruitment process, or where the RSRC is seeking specialised skills and/or rare competencies. Initiation of the process of selective recruitment shall have prior approval of the NCC.

7.7. Receiving Job Applications

All job applications to the advertisement shall be recorded without exception. Upon the expiry of the period of receiving applications, the Administrator shall prepare a list of all applications. Canvassing or lobbying by an applicant directly or indirectly in connection with any job advertised shall disqualify the applicant from further consideration.

7.8. Shortlisting

The Administrator shall screen all candidates and provide a summary profile of all applicants and a longlist of qualifying applicants to the NCC. A panel of not less than three persons appointed by the NCC shall be constituted to review the longlist and determine the short-listing criteria. The short-listing panel shall comprise persons of higher rank than the position under consideration. External experts may be co-opted as and when necessary. Short-listing of applicants shall be as per the specifications and competencies set out in the job advertisement. Short-listing of applicants for a position will be coordinated by the Regional Coordinator. The Regional Coordinator shall give reasonable notice to short-listed applicants, specifying the place, date and time for the interview, but not less than five working days to the date of interview.

7.9. Interviewing

A panel of not less than three members shall be constituted to interview the short-listed candidates and recommend suitable candidate(s) for appointment. Where recruitment of a

given post requires technical expertise that is not available within the RSRC, such expertise may be co-opted. The short-listing report and applications of shortlisted candidates shall be provided to the interview panel. A candidate shall sit relevant interview tests which may be psychometric, written/ presentation, technical, face to face, and/or a combination thereof, as the panel shall deem appropriate. The interview panel shall independently determine the interviewing criteria and the score sheets immediately before the interview session. The persons involved in the short-listing shall not participate in the interviewing for transparency and avoidance of bias. During the interview, each panellist shall independently fill out a score sheet for each candidate being interviewed, indicating the score in each of the different areas being examined and make recommendations. The interview panel shall immediately discuss their individual assessments, compile and submit a report to the NCC with specific recommendation(s) on the most suitable candidate(s) for appointment.

7.10. Selection of Suitable Candidate

The NCC shall select the suitable candidate based on the recommendations of the interview panel. The NCC shall give written justification for the record if the selected candidate is not the highest ranked by the interview panel.

7.11. Feedback to Interviewed Candidates

The RSRC shall provide feedback to all candidates who attend final interviews. The feedback may be in two categories:

- a) Unsuccessful candidates not recommended at all by the interview panel, shall either be sent regret letters or contacted through phone calls not later than two weeks after the interview
- b) Candidates who performed well but did not emerge as the best and may be absorbed later, shall be contacted through phone call or sent regret letters after the recommended candidate has accepted the offer.

7.12. Background Reference Checks

All selected candidates shall be subjected to independent background checks before appointment. The background checks shall include:

- a) the identity of the applicant;
- b) confirmation of employment history;
- c) verification of academic qualification and professional membership; and
- d) verification from a minimum of two independent referees.

In addition to the above, background checks may include the following, as deemed appropriate by the NCC:

- e) publicly available information on court judgements;
- f) criminal history with institutions like the Uganda Police Force, the Internal Security Organization, and any other relevant organization;
- g) immigration status; and
- h) any other check, as the RSRC may determine.

Any misrepresentation in this regard shall result in disqualification of the selected candidate. Background checks may be done by (but not limited to) the following methods: email, written

letter with a form to fill, and telephone calls or physical visits. The NCC shall terminate the services of an Employee when unfavourable reference is obtained after engagement of the Employee. Reference checks of the selected candidate shall be done and verified by the Regional Coordinator and two other NCC Representatives prior to offer of appointment.

Chapter 8: APPOINTMENT, PROBATION AND CONFIRMATION

8.1. Offer of Employment and Acceptance

Upon satisfactory completion of the reference checks, the Administrator shall make an offer of employment in writing to the selected candidate, stating the post, and terms and conditions of employment (Appendix- Offer Letter Format). The validity of the offer shall not exceed fourteen days from the date of confirmation of receipt of the offer by the candidate, except in special circumstances as shall be determined by the NCC. Upon acceptance of the offer, the individual shall be expected to report within a period of three months. Upon commencement of duty, the individual shall be provided with a copy of this Manual and will be required to sign the following documents:

- a) Contract of Employment (Appendix: Contract of Employment Format);
- b) Job description;
- c) Oath of Secrecy, administered by a Commissioner for Oaths (Appendix: Oath of Secrecy Form);
- d) Confidentiality Undertaking Form (Appendix: Confidentiality Undertaking Form);
- e) Personal Particulars Form. (Appendix: Personal Particulars Form_Doc.); and
- f) Declaration of Interest for Employee Form (Appendix 1: Declaration of Interest Form).

A contract of employment shall be deemed to encompass the provisions of this Manual. The effective date of the appointment shall be the first day of reporting on duty. Salary and other benefits for the first month in employment shall be prorated as per first reporting date on duty.

8.2. Contract Appointments

All appointments for employment shall be on a five (5) years term contract. The NCC may appoint persons below officer level on a short-term contract for a period not exceeding six months under special circumstances such as maternity cover, study leave cover, need for specific expertise, work overload, backlog and donor-funded projects. The contract of employment; copy of the current Human Resource Manual, as amended and/or revised from time to time; and the current job description, as updated and/or revised from time to time; shall constitute the terms of employment between the Employee and the RSRC. The contract of employment shall be signed in triplicate by the Chairperson of the NCC, the Administrator the Employee, and witnessed by the Regional Coordinator.

8.3. Probation Terms

A new Employee shall serve a probationary period of six (6) months. During the probationary period, the Employee may not proceed on annual leave except under exceptional circumstances. The performance of an Employee on probation shall be monitored and recorded on a monthly basis (Appendix: Monthly Probation Monitoring Form). It shall be the responsibility of the Employee to ensure that he/she is appraised. Towards the end of the six months, an Employee shall be appraised, and if the performance has not been satisfactory, the probationary period may be extended for a further period of not more than two months with the agreement of the

Employee. Extension or termination of probationary appointment shall be effected within the probationary period, and the Employee shall be notified in writing within the last month of the probationary period. The RSRC shall confirm an Employee who has satisfactorily served the probationary period.

In case of ill-health or any other justifiable circumstances during probation, consideration may be given to extend an Employee's probation for a period not exceeding six months. During probation, either party may terminate the contract of employment by giving not less than fourteen (14) days' notice of termination, or by payment by the RSRC to the Employee, of seven days' wages in lieu of notice. The RSRC shall not employ an Employee under probationary contract on more than one occasion.

8.4. Induction and Orientation

Induction and orientation programs shall be organised and coordinated by the Head Human Resource and Administration (Appendix: Employee Induction Format). The Regional Coordinator and Administrator shall administer induction and orientation programs for an Employee who is assigned new roles and responsibilities. Induction and orientation shall be undertaken immediately and concluded within the first month of appointment or assignment of new roles and in accordance with an induction/orientation program. Where appropriate, the induction may include briefings and visits to Departments and selected regional service centre offices.

8.5. Confirmation

Confirmation in appointment shall be subject to satisfactory performance appraisal. The NCC shall approve recommendations for confirmation of all Employees. Confirmation shall be in writing, in the standard form (Appendix: Confirmation Letter Format_Doc).

8.6. Renewal of Contract of Employment

An Employee shall communicate to the Employer intentions to renew the contract of employment, six months before the expiry of the Contract (Appendix: Contract Renewal Form.). Renewal of contract of employment shall be based on, but not limited to, the following conditions:

- a) continued good performance and conduct as shall be assessed during the contract period;
- b) need for services stipulated in the job description; and
- c) availability of funds.

The NCC shall make a decision on the renewal of the contract of the Regional Coordinator and Administrator not less than six months before the expiry of the contract. For all other job position levels, the NCC shall make a decision on renewal of the contract to the Employee no less than one month before the end of the contract. The Administrator shall communicate decisions taken about renewal of contracts to Employees no less than one month before the end of the contract.

8.7. Acting Appointments

Where a filled position falls vacant, an appropriate Employee shall be appointed by the NCC to fill the vacant position in an acting capacity for a period not exceeding six months. An Employee appointed in acting capacity shall assume the duties and responsibilities of the position (with the exception of those that require prior authorisation by the NCC), and shall be

entitled to an acting allowance and benefits attached to that position as stipulated in this Manual. Where a position is filled and the incumbent is out of office for whatever reason other than annual leave for a period of twenty-two working days or more, the Employee shall be appointed by the NCC to act and shall be entitled to acting allowance. The duties of a position whose substantive holder is appointed to act in a higher position shall be assigned to another Employee

8.8. Assignment of Extra Duties

This is where an Employee is officially assigned duties for a minimum of ten consecutive working days for a position which is filled, but the substantive holder is away. Assignments of extra duties may also apply in circumstances where re-organisation/ structural changes are under consideration. The Administrator with guidance from the Regional Coordinator shall authorise in advance, in writing, assignments of extra duties.

8.9. Secondments to the RSRC

The NCC may, from time to time, accept personnel with specialised skills and competencies from other government departments/agencies on Secondment to the RSRC as may be needed, in accordance with the Public Service Standing Order, 2021. The NCC may subject the seconded person (secondee) to an assessment process to determine their suitability or choose to consider the recommendations of the seconding organization. The NCC reserves the right to accept or reject a proposal for secondment of a person or group of persons from another agency or organization. A person on secondment to the RSRC shall draw his/her salary from the parent Government department/ agency.

The tenure of a person or group of persons on secondment may be terminated by either party in writing, in accordance with the terms and conditions under the Public Service Standing Orders.

Extension of the tenure of a secondee shall be mutually agreed upon by all parties and confirmed in writing as per the Public Service Standing Orders. The NCC shall approve guidelines for the engagement of persons on secondment to the RSRC.

8.10. Volunteers

The NCC may approve the engagement of a volunteer for a specified time frame basing on terms of reference. The NCC shall approve procedures for the engagement of volunteers to the RSRC.

8.11. Casual Workers

The Regional Coordinator in consultation with the NCC shall approve procedures for the engagement of casual workers. The NCC may approve engagement of casual workers, depending on the urgency and needs of the function. The needs for these workers shall be originated by the Regional Coordinator and shall be approved by the NCC.

Chapter 9: WORKING CONDITIONS

9.1. Official Working Hours

An Employee shall work for five days a week and a minimum of eight hours per day. The normal working hours of the RSRC shall be as follows:

	From	To
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Morning	8:00am	1:00pm
Lunch	1.00pm	2.00pm
Afternoon	2:00pm	5:00pm

An Employee may; however, be required to work outside the normal working hours as the exigencies of duties may require. An Employee may be required to work on a shift system by nature of the RSRC's work to avoid disruption of flow of work.

9.2. Remote Working

An Employee may be allowed to work remotely under extra-ordinary circumstances, as shall be determined by Regional Coordinator from time to time. The Regional Coordinator shall approve remote working of an Employee. An Employee working remotely shall be expected to execute his/her job tasks normally as if the/she was at the office. An Employee allowed to work remotely shall be facilitated with mobile Internet data to enable him/her to complete the assignments that require Internet connectivity.

9.3. Weekends and Gazetted Public Holidays

Saturday and Sunday are the traditional days of rest, but shall not necessarily apply to all Employees, and may be adjusted in respect to particular Employee, depending on duty requirements. All gazetted public holidays and those that may be pronounced by Government from time to time shall be observed as days of rest. Access to the RSRC premises on weekends, public holidays and beyond the official working hours, shall be authorised by the Regional Coordinator.

9.4. Attendance

An Employee shall register his/her time of reporting to and departure from duty. The Regional Coordinator shall be responsible for managing attendance of the Employees under their supervision. An attendance register shall be maintained and monitored through an electronic clocking-in system and attendance reports shall be generated whenever necessary. An Employee is required to inform his/her supervisor in advance or immediately of the reasons for absenteeism so as to agree on the ways of managing work during the absence. The Regional Coordinator may grant permission to the Employee to be absent up to a maximum of two working days, beyond which the Employee shall be required to apply for leave. It is the responsibility of the Regional Coordinator and Administrator to monitor and enforce discipline in regard to Employee punctuality and duty attendance.

9.5. Unauthorized Absence

An Employee who is away from duty without authorization shall be required to account for his/her absence. In the event that the explanation is unsatisfactory, the Employee shall be subjected to disciplinary action. Where an Employee fails to attend duty for more than two working days without communication and permission, the immediate supervisor shall try to establish his/ her whereabouts, including inquiring from the family and relevant authorities. After five working days of no information, the matter shall be officially documented and reported to the Administrator as un-authorized absence for further consideration and guidance. Where an Employee has been absent without authorization for more than five consecutive working days, he/she shall be deemed to have absconded; hence his/her monthly salary shall be withheld. In the event that an Employee appears after fourteen (14) working days and gives satisfactory reasons for his/her absence, his/her salary may be re-instated. In the event that an

Employee appears after 14 working days, and gives unsatisfactory reasons for his/her absence, he/she shall be subjected to disciplinary action.

9.6. Transfers

Transfers shall be effected from time to time as shall be deemed appropriate by the NCC for overall improvement in organisational effectiveness and/or individual growth and development. Any transfer shall take into account the required competences for the position and the suitability of the person.

A transfer that involves a movement of an Employee from one position to another and/or different salary range or change in some aspects of his/her terms and conditions of service, shall be initiated by the Regional Coordinator in consultation with the NCC. Transfers shall be communicated to the concerned Employee in writing by the Administrator of the RSRC. An employee to be transferred shall be given notice of not less than one month or as mutually agreed by the Employee and NCC.

The Employee shall be paid a relocation allowance to settle in and facilitated to shift his/her property and family, basing on the RSRC's kilometrage if the transfer involves a distance of more than 50km.

An Employee who has been transferred shall report to his/her duty station on the first day as specified in the transfer letter or as mutually agreed with the releasing Regional Coordinator and the receiving Regional Coordinator. An Employee who has been transferred shall formally handover and complete the Handover Form (Appendix: Hand-Over /Clearance Report Form).

To enable an Employee arrange for his/her family obligations, a transfer may be effected at the beginning of a calendar year.

A self-initiated request for a transfer shall be subject to approval by the NCC.

9.7. Deployment and Assignment

Where necessary, an Employee shall be deployed or assigned other roles, or rotated within the RSRC. Deployments shall be effected by the Regional Coordinator and Administrator and shall be approved by the NCC. Where an Employee is deployed from one duty station to another outside a radius of 50km, he/she shall be eligible for a transfer allowance to enable him/her to relocate to the new station. All employees shall be flexible to serve in any of the RSRC in any part of the country, at any time. Deployment and assignment arrangements may be based on one, or a combination of any of the following:

- a) revitalizing business;
- b) managing working relationships;
 - (1). enhancing more efficient use of employees to improve performance;
 - (2). minimizing the need for recruitment;
 - (3). facilitating capacity building; and
 - (4). helping to resolve other administrative reasons.

A self-initiated request for a deployment shall be subject to approval by the Regional Coordinator. An employee on probation shall not be eligible for deployment or transfer. An Employee who has been deployed, shall formally handover as instructed by the supervisor and complete the Handover Form (Appendix: Hand-Over/ Clearance Report Form).

9.8. Personal Records

The RSRC shall maintain accurate Employee records for reference from time to time. The following shall constitute the important personal records for each Employee:

A confidential personal file for an Employee shall consist of the following documents:

- a) contract of employment;
- b) performance appraisal reports;
- c) a personal history record form;
- d) application letter;
- e) appointment and confirmation letter;
- f) curriculum vitae at the time of employment;
- g) academic certificates and credentials;
- h) record of changes in employment terms;
- i) reference letters;
- j) record of gratuity;
- k) disciplinary records; and
- l) payment records.

An open personal file for an Employee shall consist of the following documents:

- a) commendation records;
- b) training and development records; and
- c) leave records.

The Administrator shall be responsible for maintaining open personal files. The Regional coordinator shall be responsible for the authorisation of access to a confidential personal record (refer to Document Request Form Doc). An Employee who willfully gives false information with respect to any of the facts about him/herself, shall be liable to disciplinary action. It is the responsibility of the Employee to provide in writing any change in the records as detailed in the Personal Particulars Record Form (Appendix: Personal Particulars Record Form).

9.9. Retrieval and Access of Personal Records

The confidential personal file of an Employee may be made available to him/her upon request, and with permission from the Regional Coordinator. The information in the confidential file of an Employee may be made available to persons other than the Employee on request, upon consent of the Employee and approval by the Regional Coordinator. Movement of personal files and documents trail shall be monitored and tracked to ensure that a file moved from one point to another is signed and accounted for to ensure audit trail. Personal files shall not be removed from the HR Registry, except at the request of the Administrator, and this shall be approved by the Regional Coordinator.

Consistent with the applicable law(s), personal records shall be retained as current records up to seven years and thereafter archived up to thirty (30) years

Chapter 10: PERFORMANCE MANAGEMENT

10.1. Performance Management System

The Regional service and Rehabilitation Centres shall apply a performance management system through which Employees and supervisors shall together plan, monitor, measure and evaluate performance. The RSRC performance management system shall provide for linkage between the objectives of the Direct Management System (DMS) and individual performance targets. The RSRC shall support each Employee to optimally contribute and recognize their contributions through continuous assessment of performance throughout the year. The RSRC shall focus on creating an enabling environment in which Employees are expected to perform and contribute to the achievement of strategic objectives of the DMS. The RSRC shall use a participatory performance management system to ensure ownership and continuous performance improvement.

10.2. Objectives of the Performance Management

To provide a framework for monitoring and evaluating performance throughout the year and thus:

- a) provide Employees with timely feedback on their performance;
- b) promote and reward good performance and also mitigate underperformance; and
- c) contribute to an objective basis for making decisions relating to Employees.

To provide a participatory environment in which Employee-supervisor communication is enhanced and the Employees develop, monitor and evaluate their performance. Achieve the project set objectives by helping each Employee reach his/her full performance potential in his or her current position. Reward the Employees for achieving the organizational objectives either individually or as teams.

10.3. Performance Management Principles

The RSRC shall implement a performance management system through which each Employee's contribution to the organisation shall be assessed for purposes of placement, reward, promotion, Employee development, contract renewal and other relevant decisions. The performance of an Employee shall be assessed against agreed objectives and targets every financial year (Appendix Employee Performance Appraisal Form).

10.4. Performance Management Procedures

A performance assessment shall be conducted at the end of the financial year to produce an Employee's comprehensive annual performance report. The Regional Coordinator and Administrator shall prepare a summary report from the Employees' performance reports and extract training and development needs of the project. The report shall be submitted to management for consideration and approval of the human resource development plan and key issues for feedback to Employees. A performance appraisal report shall be signed by the Employee to confirm that he/she has participated in the appraisal process. In addition, the Regional Coordinator and Administrator, as applicable, shall sign the appraisal report.

10.4.1. Rating for Employees on Probation

An Employee on probation shall undergo a formal end-of-probation performance appraisal within six months of employment and any period of extension, if any. An Employee on

probation shall be confirmed upon satisfactory performance in the probationary appraisals. Where an Employee's probationary performance is unsatisfactory, he/she:

- a) may have the probation extended for two (2) months, with his/her consent, and a performance improvement plan shall be drawn by the immediate supervisor and the Employee; or
- b) may not be confirmed in appointment.

In case the assessment of the plan after two (2) months proves satisfactory, the Employee shall be confirmed, and where it is unsuccessful, the contract of employment shall be terminated.

10.4.2. Rating of Confirmed Employees

All confirmed Employees shall be assessed at least once a year to determine their performance on the set targets. An Employee who attains successful performance in the assessments shall be deemed to have satisfied the requirements for continuity of the contract. An Employee who is rated underperforming in a performance assessment shall be subjected to a maximum of three (3) months' performance improvement plan reviewed after every one (1) month.

In the course of the performance improvement plan, the RSRC shall give all the necessary support to the Employee to enable him/her improve performance. In the process of administering the performance improvement plan, the necessary documentation shall be maintained to support decisions regarding the Employee's future with the RSRC.

10.5. Performance Review Outcomes

Management may recommend actions based on the annual performance review. These may include:

- a) renewal or non-renewal of contract of employment;
- b) training and development programs;
- c) promotion, deployment, or transfers;
- d) notch increment; or
- e) any other appropriate actions.

Underperformance shall be followed by appropriate counselling, coaching, retraining and establishment of specific dates for achieving satisfactory targets of which failure to achieve may result in termination after fair hearing.

10.6. Managing Performance Disagreements

Where an Employee and Regional Coordinator/Representative of NCC disagree on performance, the reasons for disagreement shall be stated on the appraisal form as evidence of the discussion. The appraisal form shall be forwarded to the NCC representative to review the assessment.

In the event that the disagreement is not resolved by the Regional Coordinator, the matter shall be referred to the NCC for consideration.

10.7. Appraisal Reports

The Regional Coordinator shall review and approve performance reports of all Employees. The NCC shall review performance reports of the Regional Coordinator. The NCC shall appraise

the Regional Coordinator and Administrator. The final appraisal report shall be kept on the Employees' personal file and the Employee shall be provided with a copy.

Chapter 11: CONDUCT AND DISCIPLINE

11.1. Disciplinary Policy Statement

The disciplinary procedure is meant to institute good conduct and discipline in the Employees. Disciplinary rules shall be non-discriminatory and applied irrespective of race, colour, sex, religion, political opinion, national extraction, social origin, marital status or affiliation, or intended affiliation to a union.

11.2. Disciplinary Procedure

Following an allegation against an Employee, the immediate supervisor shall bring it to the attention of the employee and seek an explanation. The Employee concerned shall be required to prepare a written explanation in response to the allegation within five days of receipt of the statement. Where the Employee fails to provide such explanation, sufficient cause shall be given, and where no sufficient cause is given, disciplinary procedure shall proceed.

If the Regional Coordinator is satisfied with the written explanation, he/she shall communicate the same, in writing, and the allegation shall be put to rest. Where the Regional Coordinator finds the written explanation insufficient, he/she shall apply the necessary disciplinary procedure.

Depending on the gravity and nature of the offence, the necessary disciplinary measure shall be applied. The Regional Coordinator shall raise such a matter NCC for record purposes. Gross misconduct warranting an Employee's summary dismissal shall, in all cases, be after a disciplinary hearing by a duly constituted Disciplinary Committee.

11.3. Verbal Warning

This is a caution with clear correction and guidance information issued out to an Employee for a first time offence or aberration. Verbal warnings shall be given in cases of isolated minor offences if matters warned of are not persistent. Where an Employee commits the same or a similar offence, the immediate Regional Coordinator shall issue a note-to-file of the verbal warning and recommend disciplinary action.

11.4. Written Warning

Written warning:

- a) is a warning given in writing clearly spelling out the offence, the time and date, and signed by both parties;
- b) may be given severally;
- c) is a higher form of caution to change behaviour; and
- d) is issued by the immediate Regional Coordinator who may escalate it to the NCC to issue a second written warning when an offence is repeated.

11.5. Dismissal from Employment

An Employee, depending on gravity of an offence, shall be dismissed if found guilty of gross misconduct or repeated cases of misconduct, or where an Employee is criminally convicted by a court of law, or where the RSRC has reasonable and justifiable ground to believe that the

Employee has committed the offence for which he/she is liable to dismissal. An Employee who is dismissed shall forfeit all his/her gratuity benefits.

11.6. Summary Dismissal from Employment

The contract of employment of an Employee who is found guilty of a gross misconduct shall be summarily terminated. An Employee whose contract of employment has been summarily terminated shall forfeit his/her terminal benefits. Reason(s) for summary dismissal shall be provided to the Employee. Pursuant to Section 69(b) of the Employment Act, no contract of employment of an Employee shall be terminated without notice or with less notice than that to which the Employee is entitled by any statutory provision or contractual term.

11.7. Suspension

An Employee maybe suspended from duty where the NCC has reason to believe that the investigations may reveal a cause for dismissal of the Employee. An Employees shall not be suspended from work for more than fifteen (15) days in any six (6) month period. Suspension shall be in writing, specifying the cause, and shall not exceed four (4) weeks or the duration of the investigation, whichever is shorter. Where such investigation exceeds four (4) weeks, the Employee's salary shall be restored to full pay until the investigation is completed.

An Employee who is suspended shall hand over the office and all official property in his/her possession. An Employee on suspension shall be on half-pay and only entitled to his/her benefits, other than those attached to the office.

Once investigations are completed, the NCC may proceed to impose any disciplinary action as deemed fit. Where an Employee has been exonerated he/she shall be paid the arrears of the proportion of his salary withheld during the suspension.

11.8. Interdiction

An Employee shall be interdicted by the NCC while investigations over a particular misconduct are being carried out. An Employee on interdiction shall:

- a) be required to stay away from office until the matter is settled;
- b) receive half of his or her basic salary, subject to a refund of the other half, in case the interdiction is lifted and the charges are dropped; and
- c) only entitled to his/her benefits, other than those attached to the office.

11.9. Criminal Offence

An Employee suspected to have committed an offence of a criminal nature, which leads to institution of legal proceedings, shall be suspended. An Employee convicted of a criminal offence shall be liable to termination of contract of employment.

11.10. Offences and Disciplinary Actions

Disciplinary actions shall be imposed on any Employee found in breach of discipline in accordance with Table 1 below. Any breach amounting to a criminal offence shall, in addition, be liable to prosecution in a court of law. An Employee faced with disciplinary action shall be given an opportunity to state his/her case either personally, or through a representative of his/her choice. The NCC shall, before reaching any decision to dismiss an Employee, hear and consider any representations which the Employee, on grounds of misconduct or gross misconduct, may make. Where the NCC fails to impose a disciplinary penalty within fifteen

(15) days from the time it becomes aware of the occurrence giving rise to the disciplinary action, the right to do so shall be deemed to have been waived, except in exceptional circumstances.

Table 1: Offences and Disciplinary Actions

	Offence	Disciplinary Action
1.	Absence from duty without permission or reasonable cause	1 st offence: first written warning 2 nd offence: second and final written warning 3 rd offence: liable to termination
2.	Abusive or obscene language or gesture at work	1 st offence: first written warning 2 nd offence: second and final written warning 3 rd offence: liable to termination
3.	Alcohol / substance abuse or intoxication on duty	1 st offence: first written warning 2 nd offence: second and final written warning 3 rd offence: liable to termination
4.	Assaulting any person at any of our the RSRC's premises	Depending on the gravity of the offence, it may take any of the three disciplinary actions below: a) written warning; or b) termination; or c) dismissal.
5.	Assisting in unauthorized access to any of the RSRC's premises	1 st offence: first written warning 2 nd offence: second and final written warning 3 rd offence: liable to termination
6.	Behaving and acting in a manner that puts the RSRC into disrepute	1 st offence: first written warning 2 nd offence: second and final written warning 3 rd offence: liable to termination
7.	Absence from duty without justified cause for more than ten (10) days consecutively	Depending on the gravity of the breach, liable to termination
8.	Conviction of criminal offence other than traffic offence	Liable to dismissal or termination depending on the nature and gravity of the offence and the record of the Employee
9.	Disclosure of confidential information or record without authorization from the Administrator of the RSRC	Liable to termination from employment
10.	Dishonesty, giving false information	Depending on the gravity of the offence, it may take any of the three disciplinary actions below: a) written warning; or b) termination; or c) dismissal.
11.	Fighting with any person on any of the RSRC's premises	Liable to termination
12.	Fraudulently removing the RSRC record(s) or any document from its designated place or making any unauthorized entry, amendment, or erasure in any documents or records without	Depending on the gravity of the offence, it may take any of the three disciplinary actions below: a) written warning; or b) termination; or c) dismissal.

	authorisation	
13.	Habitual lateness	1 st offence: first written warning 2 nd offence: second and final written warning 3 rd offence: liable to termination
14.	Inciting an illegal strike or riot	Summary dismissal
15.	Incompetence or inefficiency (means inability to perform up to the expected standards)	1 st offence: first written warning 2 nd offence: second and final written warning 3 rd offence: liable to termination or dismissal
16.	Indecent dressing or appearing on duty untidy or dirty in person or clothing	1 st offence: first written warning 2 nd offence: second and final written warning 3 rd offence: liable to termination or dismissal
17.	Insubordination or deliberate refusal to obey lawful orders	1 st offence: first written warning 2 nd offence: second and final written warning 3 rd offence: liable to termination
18.	Misuse of funds, stores, equipment, the RSRC's property or official symbols, for instance, stamps, letterheads	Depending on the gravity of the offence, it may take any of the three disciplinary actions below: a) written warning; or b) termination; or c) dismissal.
19.	Negligence or omission to perform duties that causes financial loss or damage to The RSRC's property	Depending on the gravity of the case, it may lead to dismissal.
20.	Negligence or omission to perform duties without causing financial loss or damage to property of the RSRC.	1 st offence: first written warning 2 nd offence: second and final written warning 3 rd offence: liable to termination or dismissal
21.	Sexual harassment	Depending on the gravity of the offence, it may take any of the three disciplinary actions below: a) written warning; or b) termination; or c) dismissal.
22.	Smoking on any of the RSRC's premises	1 st offence: liable to termination
23.	Theft, misappropriation of the RSRC's funds or property, forgery, or corruption, for example, offering or soliciting or accepting a bribe, or fraudulently collecting money from the public using the name of the RSRC	Summary dismissal
24.	Wilfully or negligently exposing others to psychological / physical danger or injury	Depending on the gravity of the offence, it may take any of the three disciplinary actions below: a) written warning; or b) termination; or c) dismissal.
25.	Any other offence	Depending on the gravity of the offence, it may

	take any of the three disciplinary actions below: a) written warning; or b) termination; or c) dismissal.
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11.11. Disciplinary Committee of the RSRC

The RSRC shall have a Disciplinary Committee comprising of the following five (5) members appointed by the NCC:

- a) three (3) representatives of the NCC;
- b) the Regional Coordinator
- c) the Administrator;

An alternate member shall be appointed in the event that a substantive member among those listed above, is justifiably absent or affected by the proceedings. In appointing the members of the Committee, gender consideration shall be observed. The Committee shall be appointed by the NCC for a term of two years. All members of the Committee shall be required to be present for a disciplinary hearing to take place.

An Employee who has an objection to any members of the Committee, shall put the reasons in writing to the Regional Coordinator and Administrator who may consider nominating an alternate(s). Such alternate(s) shall not be objected to.

Disciplinary matters concerning the Regional Coordinator and Administrator of the RSRC, shall be handled by the NCC.

The responsibility of the Committee shall be to receive disciplinary cases and deliberate on disciplinary hearings. The Committee shall prepare a report with findings and recommendations to the Administrator for consideration and onward action.

The Administrator shall submit the findings and recommendations of the NCC for consideration and necessary action, where the disciplinary penalty relates to suspension, termination, or dismissal.

11.12. Appeals against Recommendations of the Disciplinary Committee

An Employee who is not satisfied with the recommendation(s) of the Disciplinary Committee of the RSRC has the right to appeal in writing to the NCC. Upon receipt of the Appeal, the NCC shall nominate three (3) of its Members who did not constitute the Disciplinary Committee to constitute an Appeals Committee.

The Composition of the Appeals Committee of the RSRC shall exclude people that served on the Disciplinary Committee but at their discretion may call any for clarification and more information.

Appeals shall be made to the Chairperson NCC in writing, stating the grounds of appeal, and shall be submitted within five days of receiving the notification of the recommendation of the Disciplinary Committee.

The Appeals Committee shall determine if it is necessary to hear further evidence, or to allow further submissions to be made, and may confirm, vary or uphold the recommendation of the Disciplinary Committee of the RSRC.

All proceedings of the Appeals Committee of the RSRC shall be completed within thirty days from the date of the appeal.

In handling appeals, the principles of natural justice and fair hearing shall be upheld.

Chapter 12: GRIEVANCE AND APPEAL HANDLING

12.1. Employee Grievance Policy

An Employee who is aggrieved or dissatisfied in any area relating to their employment shall feel free to seek settlement of such grievances without fear or coercion or reprisal. An Employee is required to handle any grievances within or against the RSRC through the grievance handling mechanism laid out in this Manual, and is advised against seeking legal redress in the courts of law before exhausting the internal grievance-handling procedures of the RSRC. Every effort should be made in all grievance cases to arrive at an amicable settlement. All forms of information about the grievance should be restricted to those individuals who need to know the information in order to resolve the grievance.

12.2. Grievance Handling Procedures

A grievance should be investigated and resolved within a period not exceeding fifteen working days from the date of receipt of the grievance. Where a grievance arises out of a lawful and reasonable order given by the Regional Coordinator, the order shall be complied with first, before the Employee invokes the grievance procedure. Failure to do so may be construed to be a misconduct.

A Grievance Handling Committee of the RSRC shall be appointed by the NCC. In all grievance cases, the Employee may be represented by representatives of his/her choice. Records of proceedings should be kept by the Administrator.

It shall be presumed that the Employee accepts decisions made at any stage of the proceedings unless he/she submits an appeal or written notice of continued dissatisfaction, within five working days of being notified of the decision.

12.3. Grievance Hearing

Grievances shall be raised in writing and addressed to the Grievance Handling Committee of the RSRC. The nature of the grievance shall be clearly set out (for example, relevant facts, dates and names of individuals involved) and wherever possible, details provided of how the Employee wants the grievance to be resolved to his/her satisfaction. Minutes of the Grievance Handling Committee of the RSRC shall be taken as evidence of the deliberation of the Committee. The accused and the aggrieved party shall provide evidence and the allegations shall be clearly stated for record purposes to facilitate an investigation.

Where the grievance is not resolved by the Grievance Handling Committee of the RSRC within ten working days, it shall be forwarded to the NCC. The NCC shall consider and make a decision within five working days from the date of receipt of the grievance. If the grievance relates to the Regional Coordinator and Administrator, the matter shall be escalated to the NCC.

All information about the grievance shall be restricted to those individuals who need to know the information in order to resolve the grievance.

12.4. Appeal on Unsatisfactory Grievance Hearing

An Employee has the right of appeal if they feel their grievance has not been satisfactorily resolved by the Grievance Handling Committee of the RSRC or by Management, within five working days of being notified of the decision. The appeal shall be made in writing to the Administrator who shall refer the matter to the Disciplinary Committee of the Authority. In

handling an appeal, the principles of natural justice and fair hearing shall be upheld. The decision of the NCC on an appeal against unsatisfactory grievance hearing shall be final.

Chapter 13: SEXUAL HARASSMENT AND ABUSE

13.1. Protection against Sexual Harassment

Sexual harassment is real and needs to be prevented, contained and addressed, whether it occurs at the workplace or elsewhere in a working environment, or work-related engagements, thus making the RSRC's socially secure and safe working environment. The RSRC recognizes that:

- a) sexual harassment is a health and safety issue as it builds resentment, leads to low esteem, poor performance and is ultimately a form of violence – psychological and thus an occupational hazard;
- b) sexual harassment can happen in any working environment among fellow workers, clients and other stakeholders in the wider working environment during activities of the RSRC; and
- c) anyone is vulnerable whether a workmate, supervisor, agent, customer or a member of the community.

13.2. Sexual Harassment

Any unwelcome sexual advance by any Employee is against the right of the individual and is contrary to international practice, against social liberties and international conventions. An Employee shall be deemed to have been sexually harassed if a fellow Employee, or any representative of the RSRC.

- a) directly or indirectly makes a request to that Employee for sexual intercourse, sexual contact or any other form of sexual activity that contains:
 - (1). an implied or express promise of preferential treatment in employment,
 - (2). an implied or express threat of detrimental treatment in employment, or
 - (3). an implied or expressed threat about the present or future employment status of the Employee;
- b) uses a language whether written or spoken of a sexual nature;
- c) uses visual material of a sexual nature; and
- d) shows physical behaviour of a sexual nature,

which directly or indirectly subjects the Employee to behaviour that is unwelcome or offensive to that Employee and that, either by its nature or through repetition, has detrimental effect on Employee's employment, job performance, or job satisfaction

13.3. Investigations of Cases of Sexual Harassment

Complaints of harassment shall be handled and investigated under the grievance procedure in this Manual. Allegations of sexual harassment shall be acted on promptly to eliminate the harassment and commence disciplinary action against the culprits.

Any Employee, who believes that another Employee's actions or words constitute harassment, shall report or complain about the situation as soon as possible. Such report or complaint should be made to Administrator, and if the complaint involves the Administrator, to the Regional Coordinator; and if the complaint should involve the Regional Coordinator, the case should be

reported to the NCC. Reporting shall be done in writing. When a complaint is received, the respective officer where the complaint has been made will then investigate the allegation in a fair and expeditious manner. The investigation shall include a private interview with the person filing the complaint and with witnesses, if any. The person alleged to have committed sexual harassment will also be interviewed.

At all times the Administrator shall coordinate and support any investigation into sexual harassment, and shall advise any Officer conducting such investigation. The Regional Coordinator shall be notified of all sexual harassment complaints. Where the Regional Coordinator is affected, such complaint shall be directed to the NCC.

13.4. Confidentiality in Handling Sexual Harassment Matters

The handling of the cases of sexual harassment, for example, reporting, investigations, interviews and all records and recommendations, shall be strictly confidential and any violation of this code, shall be subject to disciplinary action.

13.5. Sanctions Relating to Sexual Harassment

Sanctions relating to cases of proven sexual harassment shall be determined by their gravity and imposed as provided for in the disciplinary penalties provided for in this Manual. Any Employee who raises false accusations of sexual harassment shall also be subjected to disciplinary actions and penalties provided in this Manual.

13.6. Protection of Sexual Harassment Victims

An Employee who feels harassed and wishes to raise this matter shall be protected by treating the complaint confidential, and provided with counselling services as well as speedy investigations and disposal of the complaint. In addition, other protection options such as transfer or relocation may be considered.

13.7. Measures to Prevent Sexual Harassment

The RSRC shall endeavour to conduct training on sexual harassment and such training records shall be kept on Employees' personal files. Such training may include:

- a) induction and orientation;
- b) reading or visual materials;
- c) seminars or workshops; and
- d) regular briefings and toolbox talks.

13.8. Documentation Relating to Sexual Harassment

The following records relating to sexual harassment shall be maintained on an Employee's personal file:

- a) sexual harassment complaint;
- b) investigation;
- c) disciplinary action taken; and
- d) sexual harassment training records.

Chapter 14: REMUNERATION, PAY AND WELFARE BENEFITS

14.1. Remuneration Policy Statement

The RSRC shall have an approved salary structure offering remuneration that shall attract, motivate and retain competent Employees to achieve its objectives. Salary and other benefits for the first month in employment shall be prorated as per first reporting date of duty. A Cost-of-Living-Adjustment (COLA) shall be made to the salary structure, upon approval by the NCC.

The RSRC shall conduct a remuneration survey at least every two (2) years to determine its level of competitiveness in the labour market. The result of the survey shall inform the review of the salary and benefits. The salary structure shall be reviewed at least every year by the NCC.

The remuneration and benefits structure of the RSRC includes salary, allowances and Employee benefits.

14.2. Salary Payment Procedures

The RSRC shall pay its Employees a salary. The salary shall be indicated in an Employee's Contract of Employment. Salaries shall be paid to the Employee by the 28th day of the month through the Employee's bank account. All Employees shall be paid their salaries on approved payroll, where statutory deductions shall be effected.

Any changes in salary shall be communicated in writing to the Employee and Finance and Accounts Officer. Monthly pay slips shall be issued to Employees after paying the salaries.

14.3. Salary Deductions

Deductions shall be made from the gross salary of all Employees in accordance with the law to cover Pay As You Earn tax (PAYE), National Social Security Fund (NSSF) payments, Local Service Tax (LST), and any other statutory obligations that may come into force from time to time. The RSRC reserves the right to make compulsory deductions in whole or in parts from an Employee's salary to make good unaccounted-for advances, wilful or careless damage or loss of property of the RSRC.

Any compulsory deductions other than statutory shall be communicated to the Employee in writing prior to the deduction and shall not exceed 40%.

14.4. Salary Advance

Salary advance shall be paid to an Employee on application in writing of an amount not exceeding two (2) months' gross pay, recoverable from salary as a monthly deduction within six (6) months. Any salary advance shall be subject to statutory deductions, save for low interest loan which is not rolled over or replaced by another advance and whose repayment period does not exceed three months as guided by Practice Note URA/1RD/CIR/3/98 in line with Section 20 of the Income Tax Act, [Cap. 340] (as amended).

Employees on probation may be considered for salary advance of not more than one (1) month gross pay, recoverable in a period not exceeding six (6) months within the financial year.

14.5. Allowance

14.5.1. Acting Allowance

An Employee in acting position shall be entitled to an additional 25% increase of their current monthly remuneration, or the difference between the entry salary grade point of the position in

which they are acting and the salary of their substantive position, whichever is greater. Acting allowance is not payable unless the acting appointment lasts for at least 22 consecutive working days.

14.5.2. Extra Duties Allowance

Extra Duties Allowance shall be paid to an Employee who is assigned extra responsibilities which are not sufficient to warrant creation of a higher post, or relate to a position for which the substantive holder is officially away, or to a vacant position that cannot be filled immediately. Extra duties allowance shall be paid for a period not less than 10 consecutive working days or 22 staggered days within three consecutive months, at a rate of 25% of the basic salary of the higher position.

14.5.3. Leave Allowance

An Employee proceeding on annual leave shall be entitled to a leave allowance equivalent to the Employee's one-month salary. Leave allowance shall be payable once during a calendar year between July and December.

14.5.4. Safari Day Allowances

Safari day allowance shall be paid when a staff of the RSRC travels on duty within Uganda for a period of six (6) hours or more in any one day and returns to the station the same day. It is paid to cater for incidentals and lunch. The rate for safari day allowance shall be determined per day.

14.6. Gratuity

An Employee shall be entitled to 25% of their monthly basic salary for the period of his/her contract payable at the end of each financial year. In the event that an Employee has not completed a year of service, gratuity shall be prorated.

14.7. Insurance

All the contracted staff members/staff of the RSRC shall be entitled to medical insurance cover for the individual staff and their immediate family members. The immediate family members shall include spouse and biological children.

14.8. Mobile Internet Data and Airtime

The RSRC shall, where necessary, provide mobile Internet data and/or airtime to an Employee to be able to do his/her work. The rates receivable by an Employee shall be determined by the NCC from time to time.

14.9. Official Use of Motor Vehicles at the RSRC

The RSRC shall provide vehicles to Employees in the execution of their duties. An Employee who requires to travel on official duty in Uganda shall request for a vehicle (Appendix Vehicle Requisition for Official Use Form_Doc.).

An Employee of the RSRC not employed as a driver, but with a valid driving permit may, in exceptional circumstances and with written permission of the Regional Coordinator, be authorised to drive a the RSRC's vehicle while on official duties. Such an authorized Employee shall only use the vehicle as prescribed by the authorizing officer, and shall not carry

unauthorized passengers or cargo or drive under the influence of alcohol or any intoxicating drugs.

Where an Employee is authorized to use his/her vehicle for official duty, kilometrage allowance shall be paid in accordance with the Schedule of Allowances and Benefits (Appendix: Schedule of Allowances and Benefits).

14.10. Private Use of the RSRC's Motor Vehicle

Under extraordinary circumstances, the Regional Coordinator may authorise an Employee to use a vehicle of the RSRC for private purposes (Appendix : Vehicle Requisition for Private Use Form). This discretion may be exercised, but not limited to any of the following circumstances:

- a) where private use is with respect to compassionate circumstances; and
- b) where private use is with respect to transport to a social, cultural or religious ceremony of an Employee.

The vehicle shall be driven by a driver of the RSRC who shall be facilitated by the Employee. Where the person requesting for the vehicle is a driver of the RSRC, he/she shall not be allowed to drive himself/herself.

14.11. Death and Bereavement Contributions

14.11.1. Death of an Employee

The RSRC shall contribute towards burial expenses of an Employee (Appendix: Death and Bereavement Entitlement). The RSRC shall pay the Estate of the deceased Employee a sum equivalent to three months' salary of the deceased Employee. A coffin, if applicable, and transport shall be provided for the deceased Employee to his/her burial place. Transport shall be provided to Employees of the RSRC to attend the burial ceremony of a deceased Employee. The Estate of an Employee who dies as a result of an accident while on duty, shall be entitled to compensation as stipulated in the Workers Compensation Act 2000 (Cap. 225 of Laws of Uganda).

14.11.2. Death of an Employee's spouse, registered child / dependant or parent

The RSRC shall contribute towards burial expenses of an Employee's spouse, registered child / dependant or parent (Appendix: Death and Bereavement Entitlement). Transport shall be provided to Employees to attend the burial ceremony of an Employee's spouse, registered child / dependant or parent.

14.12. Employee Indemnity

Where an Employee of the RSRC has been sued in his or her Individual Capacity arising from performance of their duties under the Act, the RSRC shall provide legal representation for the Employee until the suit is disposed of.

Chapter 15: OCCUPATIONAL SAFETY AND HEALTH

15.1. Safety and Health

The RSRC shall provide a safe and healthy work environment for its Employees, clients, contracted workers and visitors. Working environment is understood to refer to formal

workplaces such as offices, stores and informal workplaces and work situations such as motor vehicles, motorcycles, and field-based work areas inside and outside Uganda.

15.2. Workplace Safety and Health Promotion Objectives

To reinforce the principles of decent work by promoting workplace-related safety and health for all Employees and their “Immediate Family” members, clients, contracted workers and visitors in all project operations and undertakings.

To guide the RSRC in provision of a comprehensive, effective and efficient Occupational Safety and Health (OSH) program by addressing the following:

- a) protection of all Employees of the RSRC against work-related health hazards and resultant risks;
- b) adaptation of a given job or task to suit the Employee’s health status;
- c) compliance to the national and international OSH laws and standards;
- d) contribution to the establishment and maintenance of the highest degree of physical, mental and social well-being of workforce of the RSRC; and
- e) protection of the national ecosystems.

To protect and promote the safety and health of an Employee so as to achieve:

- a) a healthy and safe workplace and environment for all;
- b) a strengthened capacity for implementation of OSH services;
- c) trained and empowered Employees with capacity to make OSH conscious decisions, and collective responsibility;
- d) adequate protection of all Employees, clients, contracted workers and visitors;
- e) increased productivity as a result of improved morale, job satisfaction and low levels of absenteeism;
- f) reduced maintenance costs due to reduced breakdowns and medical cost to Employees of the RSRC;
- g) improved public image of the project and corporate responsibility; and
- h) protection of the environment to promote sustainable development.

15.3. Obligations of the RSRC

- a) Provide and regularly revise a written policy with respect to the safety and health of employees while at work.
- b) Take all measures to protect all Employees and the general public from dangerous aspects likely to cause danger to their safety or health at the cost of the RSRC.
- c) Ensure as far as is reasonably practicable that the working environment is kept free from any hazard due to pollution by:
 - (1). employing technical measures applied to new facilities or processes in design;
 - (2). installation or addition to the existing facility or processes; and
 - (3). putting in place supplementary organizational measures.

- d) Consult with safety representatives with a view of making and maintenance of arrangements which will enable the RSRC and the Employees to ensure safety and health at the workplace.
- e) Protect Employees from exposure to hazardous substances and chemicals, asphyxiants, irritants and ionising radiation.
- f) Provide adequate Personal Protective Equipment (PPEs), including protective clothing and instructions for their use, free of charge to the employees so as to prevent the risks of accidents or of adverse effects on health.
- g) Provide a mechanism to ensure that an Employee is not required to lift, carry, or move a load which is heavy and likely to cause him or her injury.
- h) Mobilize and train all Employees so that they have adequate knowledge, attitude and practice to manage OSH diseases and ill-health.
- i) Promote good OSH practice through, for example, team building and stress relieving activities.
- j) Establish an Occupational Safety and Health Committee (OSHC).
- k) Designate an Employee to chair the OSHC and coordinate implementation of OSH activities.

15.4. Obligations of an Employee

It is the duty of the Employee while at work to take reasonable care of the health and safety of himself or herself and of any other person who may be affected by his or her acts or omission at work.

- a) An Employee shall report immediately to the supervisor any situation which the Employee has reasonable grounds to believe presents an imminent or serious danger to his or her life or health or the health of any other persons in the premises.
- b) An Employee shall strictly adhere to established workplace health and safety guidelines and proper use of Personal Protection Equipment (PPEs) and Standard Operating Procedures (SOPs).
- c) An Employee shall participate in workplace safety and health consultation and training initiatives.
- d) An employee shall cooperate with the Regional Coordinator and Administrator so that the RSRC meets its workplace safety and health objectives.
- e) An Employee shall not intentionally put himself or herself or anyone else at risk, or misuse anything provided in the interest of safety and health.

15.5. Occupational Safety and Health Committee

The Occupational Safety and Health Committees (OSHC) shall be established. The Committee shall be the basic unit for safety and health activities with a Safety Representative trained and certified as being conversant with and committed to the health and safety of their unit members. A Safety and Health Representative shall be appointed in accordance with terms of reference. His/her major roles shall be to:

- a) provide health and safety talks to their unit before commencing work activities or when the need arises;

- b) ensure availability of fully stocked first aid kits and that Employees are trained to administer first aid;
- c) ensure the existence of an Emergency Response Plan;
- d) attend health and safety training of trainers as may be required by management;
- e) record any incidents and occurrences required by the Health and Safety Coordinator;
- f) establish and manage a safety area for the group; and
- g) attend Occupational Safety and Health Committee meetings

The Administrator shall oversee the health and safety activities, and shall be responsible for the development, implementation, assessment and review of the occupational, health and safety plan and programs through Employee involvement in the preparation of safe work practices, and to maintain the RSRC as a healthy and safe working environment.

15.6. Promotion of Workplace Safety

15.6.1. First Aid

The RSRC shall install First-Aid equipment, tools and First-Aid boxes in designated areas, where they are easily identified, and train Employees on their use. Each First-Aid box should be clearly marked and strategically placed so as to be readily accessible and should be managed by someone qualified in First- Aid. The OSH Representatives shall monitor compliance with First-Aid procedures and good practices.

15.6.2. Floors in Workplaces

All floors, steps, stairways, passages, walkways, gangways, and supporting structures in all workplaces at the RSRC shall be kept clean, tidy and clear of any obstacles which may cause an Employee to slip, fall or suffer any other injury. An Employee shall be required to take due diligence and extra care while on duty to ensure that the floors or stairs are tidy and clear for safety and security.

15.6.3. Fire Preparedness

The Human Resource Department shall ensure that:

- a) all fire extinguishing equipment is properly installed, regularly inspected and serviced;
- b) the Employees are trained in handling fire extinguishing equipment and fire- fighting;
- c) all means of escape from fire are properly maintained and kept free of any obstruction;
- d) all Employees are familiar with the means of escape in case of fire and the routine to be followed in case of fire; and
- e) facilities are available for the safe keeping and handling of inflammable substances.

15.6.4. Personal Protective Wear

The RSRC shall provide personal protective wear (PPW) to an Employee whose nature of work requires such protective wear.

15.6.5. Damaged Equipment

An Employee shall report any equipment in a dangerous or worn-out condition to the immediate supervisor for onward reporting to the responsible officer in- charge for appropriate

action. An Employee shall switch off equipment when not in use and plugs removed from socket outlets.

15.6.6. Health and Safety for Non-Employees of the RSRC

The RSRC shall incorporate necessary health and safety guidelines into contractors' contracts and ensure that they are applied to subcontractors, letters of undertaking and memorandum of understanding of clients, and provide information to visitors on critical health and safety tips.

15.6.7. Accident or Illness

Appropriate insurance cover shall be provided to all Employees against accidents/ injuries of the RSRC.

The RSRC shall take care of its Employees in case of an emergency situation caused by an illness or accident.

An Employee shall immediately report any accident or illness occurring during execution of work to his/her supervisor or Head of Department, who shall liaise with the Administrator to seek treatment immediately.

15.6.8. Employee Fitness

The RSRC may engage its Employees in sport activities, where such activities are likely to promote the honour and public image of the project and physical wellbeing of the Employees.

15.6.9. Security of Employees

The RSRC shall provide systems to ensure security of its premises, property and personnel. The Security personnel of the RSRC reserves the right to search all people and vehicles entering or leaving premises of the RSRC.

An Employee shall display his/her identification tag during working hours for identification as required by the operating procedures.

15.6.10. Safe Usage of Vehicles belonging to the RSRC

- a) An Employee travelling on duty, whether driver or passenger, shall be required to use safety belts.
- b) The RSRC shall ensure maintenance and road worthiness of its vehicles.
- c) An Employee using a motorcycle to carry out activities of the project at the RSRC shall be required to wear protective gear when riding.
- d) An Employee who drives an official vehicle shall regularly undergo routine medical examination.
- e) Fully stocked emergency First-Aid boxes and fire extinguishers shall be fitted in all vehicles.
- f) Every vehicle belonging to the RSRC shall have a toolbox and a torch at all times.

Chapter 16: HIV/AIDS AT THE WORKPLACE

16.1. HIV/AIDS Workplace Policy

The RSRC is committed to the following:

- a) ban all forms of discrimination to and harassment of an Employee with HIV/AIDS;
- b) an Employee shall not be transferred, denied promotion or have his or her employment terminated on grounds of his or her actual, perceived or suspected HIV status;
- c) support HIV/AIDS prevention control programs in the workplace;
- d) support provision of HIV/AIDS information, education and counselling to all Employees; and
- e) make budgetary allocation to HIV/AIDS, chronic illness and other novel diseases of public health concern.

16.2. Minimizing Spread of HIV/AIDS at the Workplace

The RSRC shall take precautions to reduce the risk of HIV infection and transmission.

An Employee shall take reasonable steps and precaution to protect him or herself and others from HIV infection.

16.3. Managing Infected and Affected Employees

- a) The RSRC shall through information and counseling promote good interpersonal relationships in the workplace in a bid to prevent stigmatization of Employees with HIV/AIDS or any other chronic illness.
- b) The RSRC shall organize appropriate work situations and institutional support for HIV infected Employees to protect them from stigmatization and discrimination by co-workers.

16.4. The Right to Counselling

The RSRC shall ensure that an Employee with HIV/AIDS has access to counselling services, relevant information and support groups, where practicable.

An Employee with HIV/AIDS shall be allowed time off to attend counselling sessions if they are within the prescribed working hours.

Chapter 17: LEAVE MANAGEMENT

17.1. Leave Management

Subject to the conditions herein, an Employee will be entitled to the following types of leave:

- a) annual leave;
- b) compassionate leave;
- c) examination leave;
- d) maternity/paternity leave;
- e) sick leave;
- f) study leave; and
- g) unpaid leave.

An Employee shall apply for leave using the Leave Application Form (Appendix: Leave Application Form_Doc.), at least two weeks before the intended start date of the leave, and

shall proceed for leave after receiving approval. An Employee who extends leave without authorisation shall be subjected to disciplinary action.

17.2. Annual Leave

Annual leave shall be processed after completion of the probationary period. All Employee shall be entitled to twenty one (21) days of annual paid at any time during the year in which the leave has been earned, unless the schedule of duties does not permit.

Notwithstanding the above provision, the RSRC shall have approved annual (January to December) leave rosters for all Employees before the end of January of each year. An Employee shall proceed on annual leave depending on the approved annual leave roster for that year (Appendix: Annual Leave Roster Format, Doc. No.).

An Employee proceeding on annual leave shall be paid leave allowance equivalent to one month's salary of the Employee.

An Employee who fails to apply for and/or proceed on leave during the calendar year, without justification, shall forfeit the earned leave.

Annual leave may be interrupted at any time if the demands of duty so require. Where an Employee is recalled from leave, this shall be done in writing and any outstanding leave thereof shall be carried forward. The Employee shall be paid travel and incidental expenses. Sickness contracted during annual leave will not affect the leave period. Continued sickness beyond the period of leave, if certified by a medical practitioner, will count as sick leave.

17.3. Carry Forward of Annual Leave Days

Any outstanding leave may be deferred to a subsequent year with the authorization by the Administrator, but shall be taken not later than three months into the subsequent calendar year.

Where leave is applied for and not approved, it shall be deemed carried forward, and where the Employee is unable to take the leave before end of March of the following calendar year, it shall be forfeited.

Notwithstanding the foregoing above, the Administrator may permit an Employee to carry forward outstanding days of leave to the following year; and for the Administrator or Regional Coordinator, by the Chairperson of the NCC.

17.4. Payment in lieu of Leave

Payment in lieu of annual leave applies on exit (separation) from the RSRC, where the Employee has not taken their earned leave days and shall be computed as follows:

basic monthly salary x number of days of leave / 22 working days in a month

17.5. Compassionate Leave

Compassionate leave of up to ten (10) working days in a calendar year may be approved by the Administrator of the RSRC under special circumstances such as:

- a) in the event of death of a spouse, child, dependant, parent, or sibling;
- b) where one of the members of the Employee's family is critically ill;
- c) where an Employee suffers personal catastrophe or tragic loss, e.g., burglary, floods, fire, serious house damage; and
- d) any other compelling circumstance.

Each request for compassionate leave shall be handled on its own merit

17.6. Examination Leave

An Employee who undertakes a course with a view to attaining professional certification or an academic qualification by formal examination, shall be granted examination leave of up to twenty working days in a calendar year. The examination leave shall be based on an approved timetable of an examination body or a professional body or an institution of higher learning recognised by the National Council for Higher Education. The examination leave shall not be chargeable to the annual leave.

17.7. Maternity Leave

A female Employee shall, as a consequence of pregnancy, be granted maternity leave of sixty working days on full pay, out of which at least four weeks shall follow the childbirth or miscarriage. If at the time of giving birth a female Employee has actual accrued leave, she may utilize it to extend her maternity leave if necessary, provided this is agreed upon with the Administrator. An Employee may be granted bed rest as sick leave before delivery subject to presentation of a recommendation from a registered medical doctor.

17.8. Paternity leave

After a wife of an Employee has delivered or miscarried, the Employee shall immediately be entitled to four (4) working days of paternity leave in a year.

17.9. Sick Leave due to Sickness Arising from Natural Causes

An Employee absent from work due to sickness or injury shall immediately notify his or her immediate supervisor as well as the Human Resource Department on the first day of absence. If the period of absence continues beyond three days, a medical certificate from a recognised medical service provider covering that period must be submitted to the Employee's immediate Administrator as soon as possible, but not later than the date of resumption of duty.

On recommendation of a registered medical practitioner, an Employee may be granted sick leave on full pay up to sixty (60) calendar days. Sick leave may be extended for sixty (60) calendar days on full pay on review and recommendation of a medical practitioner appointed by The Regional Service and Rehabilitation centre. After four (4) months, the employee shall be on half-pay for a period of up to sixty (60) calendar days.

17.10. Sick Leave Due to Sickness Arising from Accident

An Employee who has been involved in an accident shall be granted sick leave until the he/she recovers to resume duty; or until the end of the contract. Where such an accident results in permanent incapacity, the Employee shall continue to receive salary and all benefits until expiry of his/her contract. Upon expiry of the contract, the RSRC shall provide a compassionate package as shall be determined by the NCC from time to time.

17.11. Study Leave

Study leave shall be granted to an Employee who proceeds to a course of study or training that is approved by the NCC. An Employee on an approved training shall be granted study leave on full pay.

An employee proceeding to a training which is approved and funded by the RSRC, shall not engage in formal employment elsewhere without approval from the NCC. Study leave shall be

within the contract period of an Employee. Approved study leave shall not be leave earning, therefore, the Employee is not entitled to annual leave during the period of study.

17.12. Unpaid Leave

An Employee may apply to the Administrator for unpaid leave. The maximum time limit of such leave for confirmed Employees is one (1) months in a contract period. Unpaid leave shall be taken within an Employees contract period and after all outstanding leave has been taken.

All benefits, except medical cover, shall cease during the period of unpaid leave, and prior to commencement of the unpaid leave, the Employee shall be required to formally hand over duties and relevant properties of the RSRC to the immediate supervisor. An Employee who does not resume duty on time without written justification shall be subjected to disciplinary proceedings

17.13. Continuing Professional Development

All employees of the RSRC are entitled to Two working two (2) working days of continuing professional development per year.

Chapter 18: EMPLOYEE WELFARE

18.1. General Welfare Provisions

The RSRC shall encourage and support Employee welfare schemes to ensure that Employees are well motivated. The RSRC may provide letters of recommendation to Employees to financial institutions, embassies, high commissions, insurance companies, educational/or research institutions, and others, for purposes of obtaining necessary assistance.

The RSRC may organize team building activities for Employees from time to time. Such activities may include end of year get-together parties, picnics and informative talks.

An Employee who gets married may be supported socially, financially, morally and shall be given a gift (Appendix: Schedule of Allowances and Benefits).

18.2. National Social Security Fund

The RSRC shall ensure that all Employees, irrespective of duration of contract, are members and contribute to the National Social Security Fund Scheme as provided for under the National Social Security Act, as amended.

18.3. Sports and Recreation

The RSRC shall encourage Employees to participate in sports and recreation activities, and where possible, provide recreation facilities.

18.4. The Staff Council

A Staff Council shall be elected at the RSRC comprising members elected by Employees to promote Employee welfare and enhance motivation of Employees. The Staff Council shall operate in accordance with terms of reference approved by Management. The objectives of the Staff Council shall be to:

- a) promote and safeguard the rights, interests and welfare of all provide a framework where Employees collectively express their interests or concerns in an organized and appropriate manner; and

- b) negotiate with the RSRC on matters that are aimed at improving the well-being of Employees.

18.5. Safe Space for Nursing / Lactating female Employees

A safe space for nursing / lactating female Employees shall be made available at the RSRC. Alternatively, nursing / lactating mothers shall be entitled to two hours off the normal working hours agreed upon with their supervisors as nursing / lactating time during the period of three months after maternity leave.

Chapter 19: SEPERATION FROM EMPLOYMENT

19.1. Causes of Separation from Employment

An Employee may separate from employment with the RSRC as a result of any of the following causes:

- a) death;
- b) non-renewal of contract of employment (on expiry);
- c) termination of contract of employment;
- d) redundancy; and
- e) resignation.

The RSRC take necessary steps to ensure that the rights of the departing Employee's rights and responsibilities are respected.

19.2. Non-renewal of Contract

A contract of employment may come to an end on expiry of its term. The employer shall notify the Employee that the contract shall not be renewed not less than one month before the expiry date.

19.3. Termination of Contract

Separation initiated by the RSRC shall consider the nature and severity of the cause, and shall only be done after exhausting all possible retention strategies as well as the disciplinary procedure.

A contract of employment may be terminated at any time by either party, according to the Employment Act, by giving a required period of notice or payment in lieu.

The RSRC shall pay the Employee all outstanding dues and salary for days worked up to the date of termination.

19.4. Termination Notice Periods

Notice of termination of employment will be given in writing. The notice given by the RSRC or an Employee shall be:

- a) not less than two weeks, where an Employee has been employed for a period of more than six months, but less than one year;
- b) not less than one month, where an Employee has been employed for a period of more than twelve months, but less than five years;

- c) not less than two months, where an Employee has been employed for a period of five, but less than ten years; and
- d) not less than three months, where the Employee has been employed for a period of ten years or more.

Any outstanding period of annual leave to which an Employee is entitled on the termination of his/her employment, shall not be included in any period of notice which the Employee is entitled to.

19.5. Resignation

An Employee wishing to terminate his/her contract of employment by way of resignation shall notify the Administrator in writing giving the required notice before a formal resignation acceptance can be made.

19.6. Redundancy

A contract of employment may be terminated as a result of restructuring, downsizing or a similar exercise. The Employee laid off shall be selected taking into consideration their integrity, performance record, skills base, convertibility and capacity to learn, conduct and length of service. Affected Employees, as a result of redundancy, shall be entitled to the following:

- a) severance pay for loss of employment at a rate of the current monthly salary per year of service while at the RSRC;
- b) gratuity for the financial year period prorated to contract termination date;
- c) payment in lieu of leave not taken; and
- d) any outstanding benefits as outlined in this Manual.

19.7. Death of an Employee

The contract of employment of an Employee shall cease at the end of the month in which the death occurs. Any pending benefits and payments minus liabilities with the RSRC shall be paid to the Estate of the deceased Employee.

19.8. Exit Interview

The Administrator may conduct an exit interview with an Employee to explain the procedure for leaving the RSRC, and to clarify to the Employee any terminal benefits that may be due to him or her. The aforementioned shall facilitate the feedback session and the information received shall be recorded on the Exit Interview Form (Appendix: Employee Exit Interview Form_Doc.). An exit interview with an Employee is optional and does not apply in case of summary dismissal.

19.9. Handover of Office

An Employee who has been transferred, deployed or is separating from employment with the RSRC, shall be required to handover office, including property of the RSRC. The Employee shall complete a Handover/Clearance Form (Refer to Appendix : Hand-over / Clearance Report Form_Doc.) to facilitate necessary payments.

19.10. Certificate of Service

All Employees are entitled to a certificate of service at separation from employment, signed by the Chairperson of the NCC (Appendix: Certificate of Service For Employee Format, indicating the following:

- a) the names and addresses of the RSRC and the Employee;
- b) the nature of the RSRC's business;
- c) the length of the Employee's period of continuous employment with the RSRC;
- d) the capacity in which the Employee was employed prior to separation; and
- e) where the Employee so requests, the reason or reasons for the separation.

The certificate of service shall not contain any judgment on, or evaluation of the Employee's work, but where it is requested by the Employee, the RSRC may provide it in a separate document.

Appendix 1: Declaration of Interest Form for Employees

DECLARATION OF INTEREST FORM FOR EMPLOYEE

(To be used by the Regional Service and Rehabilitation Centre (RSRC) Staff)

Name:	Date of Declaration:
Title:	Date of First Appointment:

SECTION A

(To be completed by the staff declaring)

1.0 EMPLOYMENT AND CONSULTING

Within the past two (2) years, have you or your spouse received remuneration from a commercial entity or any other organization(s) with an interest related to the work of the Regional Service and Rehabilitation Centre (RSRC)?

1.1 Employment?	Yes	No
1.2 Consulting, including service as a technical or other advisor?	Yes	No

2.0 RESEARCH SUPPORT

Within the past two (2) years, have you/your spouse or has your/your spouse's research unit received support from a commercial entity or any other organisation(s) with an interest related to the work of the RSRC?

2.1 Research support, including grants, collaborations, sponsorships, and other funding?	Yes	No
2.2 Non-monetary support or gift valued at more than US\$ 1,000 overall (include equipment, facilities, research assistants, paid travel to meetings, etc.). Support (including honoraria) for being on a speakers' bureau, giving speeches or training for a commercial entity or other organisation with an interest related to the work of the RSRC?	Yes	No

3.0 INVESTMENT INTERESTS

Do you or your spouse have current investments or business in a commercial entity with an interest related to the RSRC? Please also include indirect investments such as a trust or holding company. You may exclude mutual funds, pension funds or similar investments that are broadly diversified and on which you exercise no control?

3.1 Stocks, bonds, stock options, other securities (e.g., short sales)?	Yes	No
3.2 Commercial business interests related to RSRC work (e.g., proprietorships, partnerships, joint ventures, memberships, and controlling interest in a company)?	Yes	No

4.0 INTELLECTUAL PROPERTY

Do you or your spouse have any intellectual property rights that might be enhanced or diminished by working with the RSRC?

4.1 Patents, trademarks or copyrights (including pending applications)?	Yes	No
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4.2 Proprietary know-how in a substance, technology or process?	Yes	No
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5.0 ADDITIONAL INFORMATION

5.1 If not already disclosed above, will your work enable you to obtain access to a competitor's confidential proprietary information or create for you a personal, professional, financial or business competitive advantage?	Yes	No
5.2 To your knowledge, would the outcome of the work benefit or adversely affect interests of others with whom you have substantial common personal, professional, financial or business interests (such as your adult children or siblings, close professional colleagues, administrative unit or department)?	Yes	No
5.3 Is there any other aspect of your background or present circumstances not addressed above that might be perceived as affecting your objectivity or independence?	Yes	No

6.0 EXPLANATION OF "YES" RESPONSES: If the answer to any of the above questions is "Yes", check above and briefly describe the circumstances in the relevant box below.

6.1 Complete the section below for any interests arising from questions 1 to 4 above:				
Type of interest, question number and category (e.g. Intellectual Property & copyrights) and basic descriptive details. (Refer to Table 1 below for guidance)	Name of company, organisation, or institution	Belongs to you, a family member, employer, research unit or other?	Amount of income or value of interest. (if not disclosed, it is assumed to be significant)	Current interest (or year ceased)
6.2 Complete the section below for any interests arising from questions in 5 above. Describe the subject, specific circumstances, parties involved, time frame and other relevant details.				

Note: If you do not describe the nature of an interest or if you do not provide the amount or value involved where relevant, the conflict will be assumed to be significant.

7.0 DECLARATION

I, the undersigned, hereby declare on my honour that the disclosed information is true and complete to the best of my knowledge.

Should there be any change to the above information, I will promptly notify the Regional Service and Rehabilitation Centre and complete a new declaration of interest form that describes the changes. This includes any change that occurs before or during the meeting or work, and through the period up to the publication of the final results or completion of the activity concerned.

Name:	Position:
Sign :	Date:

ASSESSMENT OF THE DECLARATION AND DECISION TO BE TAKEN

(To be completed by the Regional Coordinator/Administrator/Representative of NCC)

ASSESSMENT OF THE DECLARATION AND DECISION TO BE TAKEN

(To be completed by the authorised official)

1.1 Assessment of the declaration of interest made (write summary of assessment below):

1.2 Decision taken on the appointment of, or assignment of work to the declaring person (tick applicable box):

a) FULL PARTICIPATION ALLOWED

(i.e. the person allowed to be appointed, engaged or assigned work and FULLY PARTICIPATE as the interest was deemed insignificant or irrelevant).

b) PARTIAL EXCLUSION

(i.e. the person allowed to be appointed, engaged or assigned work, but EXCLUDED from that portion of work related to the declared interest and from the corresponding decision making process on the issue related to the declared interest).

c) TOTAL EXCLUSION

(i.e. the person NOT ALLOWED to be appointed, engaged or assigned work as the interest was assessed to be potentially or clearly significant).

Authorizing person (The Regional Coordinator or Administrator or Representative NCC (in case the person is the Regional Coordinator or Administrator) or other authorized person (please specify title)

Authorizing person (The Regional Coordinator or Administrator or Representative of NCC (in case the person is the Regional Coordinator or Administrator) or other authorized person *(please specify title)*

Name:	Position:
Sign :	Date:

Appendix 2: Confidentiality Undertaking Form

CONFIDENTIALITY UNDERSTANDING FORM

In the course of discharging your functions as a (*insert title of assignment*), you will gain access to certain information which is proprietary to the Regional Service and Rehabilitation Centre or entities collaborating with the Regional Service and Rehabilitation Centre, including the regulated industry. You undertake to treat such information (hereinafter referred to as “the Information”) as confidential and proprietary to the RSRC or the aforesaid parties collaborating with the Regional Service and Rehabilitation Centre. In this connection, you agree:

- a) not to use the Information for any other purpose than discharging your assignment obligations;
- b) not to disclose or provide the Information to any person who is not bound by similar obligations of confidentiality and non-use as contained herein; and
- c) Not to tamper, alter, edit, or delete or cause any other form of destruction on the data or information resources of the Regional Service and Rehabilitation Centre, including databases and systems.

However, you will not be bound by any obligations of confidentiality and non-use to the extent that you are clearly able to demonstrate that any part of the Information:

- a) was known to you prior to any disclosure by or on behalf of the Regional Service and Rehabilitation Centre; or
- b) was in the public domain at the time of disclosure by or on behalf of the Regional Service and Rehabilitation Centre or
- c) becomes part of the public domain through no fault of your own; or
- d) becomes available to you from a third party not in breach of any legal obligations of confidentiality.

You also undertake not to communicate your deliberations and findings and/or those of other people working with or under you, or sub-contracted by you, as well as any resulting recommendations and/or decisions of the Regional Service and Rehabilitation Centre to any third party, except as explicitly agreed by the Regional Service and Rehabilitation Centre.

You undertake to promptly advise the Regional Service and Rehabilitation Centre on any change in the above circumstances, including if an issue arises **during and after the course of your assignment** with the Regional Service and Rehabilitation Centre.

Declaration

I, the undersigned, hereby accept and agree to the conditions and provisions contained in this document.

Name:	Sign:	Date:
Designation:	Tel:	Email:
	Address:	

Appendix 3: Job Description Format

Document Type: Job Description		Doc. Number :
	Job Title:	Revision Number :
		Revision Date :
		Effective Date :
		Review Due Date :

1.0 JOB IDENTIFICATION

Salary:

Reports to:

Direct Reports:

Area of Operation/ Location:

2.0 MAIN PURPOSE OF JOB

3.0 DUTIES & RESPONSIBILITIES

3.1

3.2

3.3 Undertake any other responsibilities, tasks or activities as reasonably required as the above is given as a broad range of duties and is not intended to be a complete description of all tasks

4.0 LIST OF KEY COMPETENCIES *(Appropriate education, training, or experience required to achieve intended job results)*

4.1 Education

4.2 Training

4.3 Experience

5.0 ACCEPTANCE STATEMENT

5.1 Job Holder

I, the undersigned, certify that to the best of my knowledge and belief that I have read, understood and accept the duties, responsibilities, and expectations described in this job description.

I hereby affirm my good faith and compliance with all the Regional Service and Rehabilitation Centre's policies, guidelines and procedures, and to perform my duties and responsibilities to the best of my ability.

Full names:

Signature..... Date.....

Immediate Supervisor

Full names:

Signature..... Date.....

	Checked by		Authorized by	Page 1 of n
Title	Administrator	Regional Coordinator	Representative of NCC	
Signature & Date				

Notes:

** Job description to be authorized by the incumbent's Regional Coordinator or Administrator, whichever is applicable*

This job description is to be signed in duplicate

The Administration Office to keep one original in incumbent's personal file.

Incumbent to keep the second original.

Appendix 4: Job Advert Format

JOB ADVERT

Job Title :.....

Reports to:.....

Direct reports:.....

Salary :.....

Location:.....

Job Purpose:.....

Key Responsibilities:.....

Minimum Qualifications:.....

Minimum Experience:.....

Additional Requirements:.....

Added Advantage :.....

Closing date:.....

Delivery of the application may either be by registered email, hand delivered, or via a designated RSRC email.

Appendix 5 : Regret Letter Format

Date:

Name:

Address:

Dear *[Insert name of candidate]*,

Re: Your interview with the _____ Regional Service and Rehabilitation Centre.

Thank you for taking the time to be interviewed for the *(title of the position)*

.....position at _____RSRC. We appreciate your interest in the job. It was a pleasure to learn more about your skills and accomplishments.

EITHER *[Select this option for unsuccessful candidates that were not recommended at all]*

I am writing to inform you that, unfortunately, the interview panel did not select you as the best candidate for this job. Once again, thanks for your interest in _____ the RSRC and best of luck in your job search.

OR *[Select this option for candidates who performed well but did not emerge the best]*

I am writing to inform you that despite not being the best candidate for this position, your potential has been noted. Once again, thanks for your interest in _____RSRC and best of luck in your job search.

Yours faithfully,

Administrator/Regional Coordinator/Representative of NCC

Appendix 6: Offer Letter Format

OFFER LETTER FORMAT

Name:

Address:

Dear.....,

Re: Job Offer in the Service Of _____ Regional Service and Rehabilitation Centre.

I am pleased to inform you that following the interviews held on _____ the _____ RSRC has offered you an appointment as a _____

Your salary is _____ and the starting point is UGX /=
per

month, before tax. The duration of the contract of employment will be five (5) years, renewable subject to continued good performance as shall be assessed by the Management and need for services of the employee and availability of funds.

You will serve a probationary period of six months from the date of assumption of duty. The job will be governed by the Regional Service and Rehabilitation Centre (RSRC) Human Resource Manual.

Please confirm your acceptance of this position within 14 days on the basis of the terms set out in this letter, and when you anticipate to start.

I congratulate upon this achievement.

Yours faithfully,

REPRESENTATIVE

NCC/ADMINISTRATOR RSRC

I _____ Confirm acceptance of the job offer position on the basis of the terms set out in this letter. I anticipate reporting on (date) _____

Signature: _____ Date: _____

Appendix 7: Contract of Employment Format

PROPOSED EMPLOYMENT CONTRACT

THIS EMPLOYMENT CONTRACT (this “Agreement”) is made on this ____ day of _____ 20____ between Regional Service and Rehabilitation Centre (hereinafter referred to as the Employer) and Ms./Mr. _____ (hereinafter referred to as the Employee), upon the terms and conditions as set forth hereunder.

WHEREAS.

- a) The Employee has expressed and represented herself as having the skills, ability, experience and competence to provide her/his services as Employee in the service of the Employer,
- b) The Employer relying on the representation of the Employee has offered the Employee the position stated in hereunder and the Employee has accepted the same on the terms and conditions set out below;

NOW IT IS AGREED AS FOLLOWS:

1. POSITION AND DUTIES

Subject to the availability of the work, the Employer employs and the Employee hereby accepts employment to the position of _____ the Employee shall perform all duties and activities outlined in Schedule 2 to this Contract.

2. COMMENCEMENT DATE

- a). The Employee is deemed to have commenced employment with the Employer on the “Commencement Date” as detailed in Schedule 1
- b). The Employee fully acknowledges and agrees that this is a fixed term contract and not a contract of permanent employment.

3. PROBATION

- a). The Employee will serve a six (6) months probationary period from the effective date of employment specified in Schedule 1. During this probationary period, the employer shall determine if the employee is suitable for the job description referred to in Schedule 2. Either party may terminate by giving the other party notice in writing or the employer paying fourteen (14) days salary in lieu of such notice in accordance with the “Probationary Notice Period” specified in Schedule 1.
- b). At the end of the probationary period, the Employer may;
 - i. In its absolute discretion upon satisfactory performance of the duties and responsibilities, confirm the Employee as staff member of the Regional Service and Rehabilitation Centre by offering him/her a ____ year contract. Without satisfactory performance of duties and responsibilities, the employment may be terminated.

4. PLACE OF WORK

- a). The Employee’s principle place of work shall be at

b). The Employee may be required to undertake travel as required from time to time.

5. DURATION OF THE CONTRACT AND WORKING HOURS

- a). Once the employment has commenced it shall remain in force for a period of _____ years and it may be renewed for _____
- b). The working Hours shall be 8:00a.m. to 5:00pm inclusive of lunch break from - _____ pm to _____ pm.
- c). The Employee shall perform his / her duties within working hours. However, from time to time, the Employee may be required to work outside normal working hours (longer working hours), on weekends and public holidays in order to meet exigencies Except for any agreed reimbursable out of pocket expenses, such work will not attract additional overtime payments or other remuneration
- d). The Employee agrees to devote full time effort as an Employee to the employment duties and obligations as described in this agreement.

6. REMUNERATION

- a). The Employee will pay a monthly base salary as set out in Schedule 1 (the ‘‘ Remuneration’’). The remuneration will be paid to the Employee in accordance with the standard payroll practices and policies in such manner and to such Bank Account as the Employee shall notify the Employer of.
 - i. Upon acceptance of this employment offer, the Employee shall provide the Employer with details of his/her Bank account.
 - ii. The remuneration will be subject to statutory deductions, towards National Social Security Fund (NSSF) and any additional required statutory deductions that come into force, which will be made on the Employee’s behalf before net value is deposited into his/her Bank Account.
 - iii. In the event that there is a change in law providing for variation in the rates or application of statutory deductions, the Employee shall be notified of such change and where necessary or required apply the new rates.
 - iv. The Employer may make further deductions (Authorized Deductions) from the Employee’s salary with his/her consent in furtherance of his/her directions.
 - v. The Employee hereby acknowledges deducting from his/her remuneration on a monthly basis all statutory contributions due and payable in accordance with all applicable laws.

7. WORKING REGULATION

The attached Working Regulations form the terms and conditions of this Employment Contract.

8. LEAVE

- a). Annual leave

An employee who has been in continuous employment with a Regional Service and Rehabilitation Centre for a period of more than six (6) months shall be entitled to twenty-one (21) working days of Annual Leave. However, the approval of such leave is subject to the exigencies of the Regional Service Rehabilitation Centre and unless otherwise stated in this agreement the decision to grant such leave is at the discretion of the _____ Employer

b). Paternity leave

A male employee shall be entitled to four (4) working days of paternity leave on full pay immediately after the delivery or miscarriage of his wife.

c). Maternity Leave

Every female employee upon delivery of a baby or miscarriage shall be entitled sixty (60) working days maternity leave on full pay.

d). Sick Leave

An Employee shall be entitled to sick leave in accordance with the Employment Act, 2006, Laws of Uganda, as set out in Schedule 1.

- i) The employee is required to notify the Employer of any pre-existing medical or psychological condition that may subsequently limit their ability to work before taking up the appointment.
- ii) In the event of absence on account of sickness or injury, the employee or some one on his/her behalf must inform the Employer of the reason for the employee's absence as soon as possible.
- iii) In respect of any absence lasting more than five working days, the employee must provide the Employer with a medical certificate stating the reason for his/ her absence.

9. TERMINATION

- a). The Employer may terminate the Contract upon completion of the employment period.
- b). The Employment maybe terminated by either party giving one (1) months' prior written notice.
- c). The Employer has the right to summarily dismiss in the circumstances prescribed in the employment Act, 2006 or offer payment in lieu of notice which include but are not limited to;
 - i) In the event of serious or persistent misconduct by the Employee
 - ii) Commits breach of any of the provisions hereof, or of any of the policies of the Regional Service and Rehabilitation Centre.
 - iii) Refuses or fail to comply with any lawful order given by the Employer or authorized agents.
 - iv) Exhibits continuous or persistent neglect of duty.
 - v) Lies or material misrepresentations in the application for employment.
- d). The Employee hereby acknowledges and agree that all property belonging to the Regional Service Rehabilitation Centre will be promptly returned upon termination of Employment.

11. GOVERNING LAW

This agreement shall be governed and construed in accordance with the Laws of Uganda and the parties submit to the exclusive jurisdiction of the Ugandan courts.

12. DISPUTE RESOLUTION

In the unlikely event of disputes between the Employer and Employee such disputes shall be settled amicably in accordance with the Employment laws of Uganda.

13. NOTICES

Any notice required by this agreement or given in connection with it, shall be in writing and shall be given to the appropriate party by personal delivery, post or via email.

14. AMENDMENT

The term ‘‘Agreement’’ includes any amendments, modifications or supplements herein. The terms, provisions and conditions of this Agreement may be modified, altered, amended, changed or supplemented only in writing executed by both parties.

15. SEVERABILITY

If any term of this Agreement is held by a court of competent jurisdiction to be invalid or unenforceable, then this Agreement, including all the remaining terms, will remain in full force and effect as if such invalid or unenforceable term had never been included.

16. ACCEPTANCE

If the terms and conditions contained in this agreement are agreeable to the Employee, The Employee shall be required to signify acceptance of this offer of employment by endorsing _____ his/her signature on the space provided in duplicate copy of this agreement and return the same not later than (7) days from the date of receipt, after which the offer contained will lapse.

Date: _____

<hr style="border: 1px solid black;"/> Employer Regional Service Rehabilitation Centre	<hr style="border: 1px solid black;"/> Employee
--	--

SCHEDULE 1

POSITION AND EMPLOYEE PARTICULARS

NAME OF EMPLOYEE	
DATE OF BIRTH	
PERMANENT ADDRESS	
PERSONAL EMAIL ADDRESS	
GENDER	
JOB TITLE	
DATE OF COMMENCEMENT OF EMPLOYMENT	

EFFECTIVE DATE OF CONTRACT	
EMPLOYMENT CONTRACT DURATION	
PROBATION	6 months
PROBATIONARY NOTICE PERIOD	15 days
NOTICE PERIOD	Section 58 Employment Act,2006
PRINCIPLE PLACE OF WORK	
HOURS OF WORK	8:00 A.M – 5:00 P.M
WORK WEEK	Monday - Friday
REMUNERATION	
STATUTORY CONTRIBUTIONS	
LEAVE PERIODS	21 working days
MARTENITY LEAVE	S.56 Employment Act,2006
PARTENITY LEAVE	S.57 Employment Act, 2006
SICK LEAVE	S.55 Employment Act, 2006
NOTICE OF TERMINATION	1 Month
GRIEVANCE AND DISCIPLINARY	Code of Conduct, Schedule 1, Employment Act, 2006
JOB DESCRIPTION	Schedule 2

Signed for on behalf of the Employer

SCHEDULE 2

JOB TITLE AND DESCRIPTION

Appendix 8: Oath of Secrecy Form

Oath of Secrecy
THE REPUBLIC OF UGANDA
THE OATHS ACT (CAP.19)
OFFICIAL OATH

I _____ swear/affirm that I will not directly or indirectly communicate or disclose to any person any official matter or confidential or sensitive information regarding the Regional Service and Rehabilitation Centre business which shall come to my knowledge in the discharge of my official duties, except as may be required for the discharge of these duties.

DECLARANT

Sworn before me _____

this _____ day of _____ (month) _____ (year).

COMMISSIONER FOR OATHS

Appendix 9 : Personal Particulars Record Form

FILE NO.

STAFF PARTICULARS

1. Surname:
.....

2. Other Names:
.....

3. Date of Birth:

4. Home District:
 District: Village:
 Sub-County:
 County: District:
 Town/Municipality:

Note: Remember to update record if name of district changes

5. If district changed after marriage, indicate district where you are married
 Village: Sub-County:
 County: District:

6. Date of Assumption of Duty:

7. Designation:

8. Salary on Appointment:

9. Name of Next of Kin:
 Relationship:
 Next of Kin's: Telephone No.:.....
 Email:
 Postal Address:

10. Educational Background

From	To	Institution	Particulars of Course & Qualification Attained

11. Previous Employment

Name and Physical Address of Employer	Position Held	Date

12. State other responsibilities outside the Regional Service and Regional Centre (RSRC) (if any)

Responsibility Held	Organization / Community

13. Details of Immediate Family (Parents, Spouse, Children / Dependents)

Parents		
	Name	Alive / Deceased
Father		
Mother		
Spouse		
Marital Status: Single Married Divorced Widow Widower Name of Spouse Date of Birth <i>(include maiden name where applicable)</i> Date of Marriage: Type of Marriage:		
Details of Children / Dependents (Attach birth certificate / proof of adoption)		
Full Name	Date of Birth	

14. Current Residence

Name of Village:

L.C. I: L.C. II :
Parish: L.C. III :
Division: Town/Municipality:
District:

15. Have you ever been convicted by a court of law? Yes No

16. If Yes, what was the cause?

17. Certification

I, hereby declare
that all the above information and particulars are correct in all respects and
to the best of my knowledge and understanding.

Name: Signed: Date:

FOR OFFICIAL USE ONLY

1. Date of Assumption of Duty:
2. Date of Confirmation:
3. Date of Expiry of Present Contract:.....
4. Date of Renewal of Contract:.....
5. Identity Card No.:
6. NSSF No.....

Name: Signature: Designation:

Appendix 10: Monthly Probation Monitoring Form

MONTHLY PROBATION PERFORMANCE MONITORING FORM

1. *To be completed monthly by all staff on probation*
2. *The completed report to be submitted by the 5th day of each month to the Administrator*

Month	Probation Period fromto.....
Job Title	
RSRC Station	
Prepared by	
Date Submitted	

1. Overall objective(s)
2. Accomplishments for the month (List your completed activities and outputs as compared to the targets for the month with respect to the work plan)
3. Challenges faced during the month
4. Regional Coordinator/Administrator's/Representative of NCC comments

Appendix 11: Confirmation Letter

CONFIRMATION LETTER FORMAT

To be printed on the letter head

Name :

Position Title:

Dear.....,

RE: CONFIRMATION IN APPOINTMENT AS

Following your successful completion of probation, you have been confirmed into position as with effect from

Yours faithfully,

.....

ADMINISTRATOR/REGIONAL COORDINATOR/REPRESENTATIVE NCC

Appendix 12: Contract Renewal Form

CONTRACT RENEWAL FORM

HIGHLIGHTS OF YOUR CONTRACT PERIOD

1. Name: _____
2. Current position: _____
3. Current Contract period: From _____ to _____
4. Length of overall service with the Regional Service and Rehabilitation Centre:

5. Desired Contract Extension Period: From _____ to _____

6.	Please list / state your key achievements within the contract period. Where possible, provide evidence:
7.	What have been your work-related challenges and how would you advise RSRC to address them?
8.	Any disciplinary issue, what was it and when?
9.	Promotions (if any)
10.	Performance ratings for the period under review. For example: 2022 / 2023: 68% 2023/2024: 78%
11.	Any academic, trainings and skills development undertaken within the period of review. <i>Please state institution, duration and certification.</i>
12.	Any other comment(s)

Name: Signature: Date:

Appendix 13: Handover/ Clearance Report Form

HANDOVER/ CLEARANCE REPORT FORM

Instructions:

- 1. Complete only Part 1 of this Form if you are being transferred, deployed or promoted.
- 2. Complete the entire Form if you are separating from the Regional Service and Rehabilitation Centre (RSRC).

Part 1: Handover on Transfer, Deployment, Promotion or on Separation from the Regional Service and Rehabilitation Centre.

1.1 Particulars of the Employee

Name:Staff No.:

Position:Salary :.....

Date of Assumption of Duty:

1.2 Details of Handover

a) Date of Handover:

b) Reason for Handover

Transfer.....

Separation from RSRC

Deployment

Other specify.....

1.3 List of items handed over Status

	Yes	No
a) Handed over Activity Report	<input type="checkbox"/>	<input type="checkbox"/>
b) Returned Office Assets	<input type="checkbox"/>	<input type="checkbox"/>
c) Handed in all files – Electronic/Hard Copies	<input type="checkbox"/>	<input type="checkbox"/>
d) Any other items handed over		

.....

1.4 List Items not returned to the RSRC (list with values where applicable)

.....

.....

1.5 Confirmation of Handover

Employee Comments:

 Signature:Date:
 Regional Coordinator/Representative of NCC Comments:

 Name:Signature:.....Date:
 Administrator's Comments:
 Name:Signature:Date:

Part 2: Clearance with the Finance and Accounts Officer

2.1. Finance

- 2.1.1. Monies owed to RSRC by separating employee
- a) Salary Advance

 - b) Imprest (If applicable).....
 - c) Amount Payable to RSRC.....
 - d) Total Amount Payable to the separating Employee.....

2.1.2. Clearance by Accounts

Cleared *Not Cleared

**State reason, if not cleared:*

.....

Name:

Signature:Date:.....

2.2. Information and Communications Technology

2.2.1. List of Items Handed Over

Status

Yes No

- a) Has Surrendered the PC & Accessories
- b) Has Handed in Computer, Laptop, IPAD (Asset No.....)
- c) Laptop Bag
- d) Has Handed in Modem Other (*specify*)

2.2.2. Clearance by Regional Coordinator/Administrator/Representative by NCC

Cleared *Not Cleared

**State reason, if not cleared:*

.....

Name:

Signature:Date:.....

2.3. Administration

2.3.1. RSRC's Liabilities to separating Employee

a) Accumulated Leave

b) Accrued Benefit Dues.....

c) Payment in lieu of notice.....

2.3.2. Separating Employee's Liabilities to RSRC

a) Payment in Lieu of Notice.....

b) Compliance with Contract of Employment
Requirements (if any).....

c) Completion of Exit Form Yes No

d) Handed over Identity Card: Yes No

e) Identity Card Deactivated: Yes No

f) Handed over Office Keys(If applicable) Yes No

g) Handed over Medical Insurance Card(s) Yes No

2.3.3. Clearance by Administrator (*State cleared or Not Cleared*)

.....

State reason if not cleared

.....

Name:

Signature:Date:.....

Part 3: CONFIRMATION OF CLEARANCE BY SEPARATING EMPLOYEE

Signature:.....Date:.....

Part 4: CONFIRMATION OF PAYMENT TO SEPARATING EMPLOYEE

All accrued dues to the Employee shall be paid through the Employee's salary account. Dues owed by the Employee may be paid directly to the RSRC Account or recovered from an Employee's terminal dues.

I confirm that the payment was made in the form of (proof of payment attached): EFT <input type="checkbox"/> Mobile Money <input type="checkbox"/>		
Other (<i>Please Specify</i>)		
Name: (<i>Admin.</i>)	Signature:	Date:

Appendix 14: Employee Performance Appraisal Form

EMPLOYEE PERFORMANCE APPRAISAL FORM

TYPE OF APPRAISAL *(tick as applicable)*

Annual Performance End of Probationary Period

Other (Specify below)

.....

Appraisal Period: From to

SECTION 1: PERSONAL DETAILS

Name	
Designation	
Office	
Date of first appointment in the RSRC	
Name of Regional Coordinator/Administrator/ Representative of NCC	

SECTION 2: A) PERFORMANCE PLANNING AND APPRAISAL

1. Objectives / activities and performance indicators shall be set at the beginning of the probation period or the Financial Year in July.
2. Achievements shall be documented and completed at the end of the probation period or Financial Year in June.
3. End of probation or year comments and ratings shall be documented during a joint performance review with the Individual's immediate supervisor.
4. Sections 3 and 4 are not applicable to probation performance evaluation

Objectives / Activities	Performance Indicators <i>(what evidence will show that the planned output is achieved)</i>	Achievements <i>(What, When and How)</i> and reason for any variance	Probation / Appraisal Comments	Overall Rating
-------------------------	---	--	--------------------------------	----------------

1. Objective:			
2. Objective:			
3. Objective:			
4. Objective:			
5. Objective:			
Total			

THE PERFORMANCE SCORING SCALE FOR EACH OBJECTIVE	
Individual performance exceeds performance on set objectives on both the what and the how.	10 - 15
Individual performance fully meets expectations on set objectives on both the what and the how.	6 - 9
Individual performance meets some and not all of the expectations. Both the what and the how are achieved in the delivery against RSRC goals.	1 - 5
Individual performance does not meet expectations on the what and/or the how of delivery against set objectives and requirements.	0

SECTION 2: B) ASSESSMENT OF KEY COMPETENCES

(Refer to Table 1 for guidance)

Key Competence Required for Effective Performance in this Role	Comments by Appraisee	Performance Level Attained (agreed after joint discussion)					Comments by Immediate Supervisor
		1	2	3	4	5	

1. Professional Knowledge / Skills							
2. Productivity (Quantity and Quality of Work)							
3. Ethics and Integrity							
4. Teamwork and Cooperation							
5. Customer Service							
6. Planning, Organizing & Coordinating							
7. Decision Making							
8. Innovation & Creativity							
9. Communication							
10. Professional Development and Learning							
11. Result Orientation							
12. Leadership Ability							
13. Time Management							
14. Any other relevant Competence							
Total							

SECTION 2: C) OVERALL PERFORMANCE

	Score
Total Final Year End Rating (Out of 75) Section 2 A)	
Assessment of Key Competences (Out of 25) Section 2 B)	
Total (out of 100)	
Percentage	

SECTION 3: ACTION PLAN TO IMPROVE PERFORMANCE

<p>TRAINING ATTENDED</p> <p>Employee's comment</p>
<p>Did Employee attend any training during the review period?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>Regional Coordinator's comment</p> <p>Was the training effective (e.g positive change in performance or conduct that could be attributed to the training)</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Please rate the change in performance or conduct</p> <p>Minimal <input type="checkbox"/> Moderate <input type="checkbox"/> Significant <input type="checkbox"/></p>

Areas for improvement	Agreed Actions (e.g. on-the-job training, formal training course) and by whom	Timelines

Key training and development needs	How will this be achieved (job rotation, self-guided, attending formal training, on job training, attachment, secondment etc.)	Support required	Duration

SECTION 4: CAREER DISCUSSION

Potential next role	Timescales

SECTION 5 OVERALL PERFORMANCE REVIEW COMMENTS

OVERALL PERFORMANCE RATING SCALE		
Individual performance fully meets expectations and frequently exceeds RSRC 's goals on both the what and the how.	≥90%	Exceptional
Individual performance meets expectations. Both the What and the How are achieved in the delivery against RSRC's goals. Improvement might be required in the what and/or the how depending on overall performance.	65% - 89%	Successful
Individual performance does not meet expectations on the what and/or the how of delivery against RSRC's goals and requirements.	<65%	Underperforming
Performance Rating: Exceptional Successful Underperforming		

SUMMARY OF PERFORMANCE
Employee's Comment
Regional Coordinator's Comment
Administrator's Comment

SECTION 6: APPROVAL OF PERFORMANCE REVIEW PROCESS

	Name	Signature	Date
Appraisee			
Regional Coordinator			
Administrator			

Note: Copies of this form should be retained by the administrator and by the Individual

Table 1: Guidance to Completing the Assessment of Competences in Section 2B above

- 1) The section should be filled by the Appraiser after joint discussions between the Appraiser and Appraisee.
- 2) The assessment will help establish any areas where some training or development is necessary. The Appraiser should be rated only in areas, which are relevant to his/her job.
- 3) The maximum points per competences are 5 where **5** is for **Excellent**, **4** for **Very good**, **3** for **Good**, **2** for **Fair**, **1** for **Poor**, **N/A** for **Not applicable**.
- 4) The appraiser should give work related examples under comments, to justify their rating. Particular attention should be paid to areas requiring improvement and comments made accordingly.

Sr. No.	Key Competence Required for Effective Performance in Role	Examples of how Competence is Conveyed
1.	PROFESSIONAL KNOWLEDGE/SKILLS	<ul style="list-style-type: none"> a) Exhibits job-relevant knowledge and skill needed to perform the duties and requirements of the position. b) Exhibits knowledge of the methods, practices and equipment (where applicable) needed to do the job. c) Seeks to maintain current knowledge of changes in policies and procedures. d) Keeps abreast of new developments and major issues in the field. e) Exhibits willingness to be consulted by others for guidance. f) Has understanding and creative application of technical and professional knowledge, skills and experience appropriate for the job. g) Continuously updates professional expertise.
2.	PRODUCTIVITY (Quantity and Quality of work)	<ul style="list-style-type: none"> a) The person uses available working time, plans and prioritizes work, sets and accomplishes goals/objectives, uses available resources, and completes assignments on schedule. b) Seeks out additional tasks to handle or help others to complete their tasks. c) Produces results effectively and efficiently and focuses on outputs.

3.	ETHICS AND INTEGRITY	<ul style="list-style-type: none"> a) The employee is honest, transparent, and accountable at all times. b) Promotes fairness through equitable treatment and nurturing of Employees and partners
4.	TEAMWORK & COOPERATION	<ul style="list-style-type: none"> a) The Employee exhibits a good level of interpersonal skills and has good working relationship with most of his/her peers, subordinates, supervisors, partners and the general public. b) Shows respect and courtesy to others. c) Behaves positively to enhance the work of others and the work area. d) Exhibits willingness to accept supervision, and exhibits appropriate supportive behaviour toward the RSRC and its partners. e) Does not unnecessarily get involved in trivial disputes and misunderstandings. f) Exhibits willingness to work as a team member and provide support and assistance to others.
5.	CUSTOMER SERVICE	<ul style="list-style-type: none"> a) Responds well and attends to clients of the RSRC. b) Reflects a good image of the RSRC.
6.	PLANNING, ORGANISING AND COORDINATING	<ul style="list-style-type: none"> a) Plans and prioritises work effectively. b) Sets realistic goals for self and Employees. c) Manages and monitors progress against targets.
7.	DECISION MAKING	<ul style="list-style-type: none"> a) Makes logical analysis of relevant information and factors b) Develops appropriate solutions and takes action. c) Generates ideas that provide new insight and provides reasons for objective decisions or actions.
8.	INNOVATION & CREATIVITY	<ul style="list-style-type: none"> a) Able to think radically and challenge old ideas and traditional thinking. b) Provides practical solutions to problems. c) Makes useful suggestions for improvements. d) Forward thinking and keen to seek and grasp new opportunities and ideas.

9.	COMMUNICATION	<p>a) Employee demonstrates ability to communicate effectively in both oral and written expression with supervisor, peers and juniors.</p> <p>b) Keeps others informed of decisions and plans</p>
10.	PROFESSIONAL DEVELOPMENT AND LEARNING	<p>a) Ability to gather more information and different perspectives and apply these to the overall business strategy.</p> <p>b) A training that is intended to help a worker perform better.</p>
11.	RESULT ORIENTATION	Takes up duty willingly and produces results.
12.	LEADERSHIP ABILITY	<p>a) Able to get employees and co-workers to perform willingly and well the duties needed to be accomplished.</p> <p>b) Able to get the work done while being sensitive to the morale and satisfaction of those doing the work.</p>
13.	TIME MANAGEMENT	The Employee is able to perform his/her duties within the designated working hours

Appendix 15: Schedule of Allowances and Benefits

1	ALLOWANCES		
1.1	Acting Allowance		
	An additional _____% increase of the employee's current monthly remuneration or the difference between the entry salary scale point of the position in which they are acting, and the salary of their substantive position, whichever is greater.		
	25% of the basic salary of the higher position		
1.2	Per Diem Foreign Travel (Outside Uganda)		
	RSRC JOB TITLE	USD	
	1. Regional Coordinator		
	2. Administrator		
	3.		
1.3	Extra duties allowance		
	_____ % of the basic salary of the higher position		
1.4	Leave Allowance		
	One month's salary		
1.5	Local Travel (Within Uganda)		
		Safari Day Allowance (UGX)	Local Per Diem (UGX)
	a) Regional Coordinator		
	b) Management		
	c)		
	d)		
1.6	Kilometreage		
	i)	UGX ----- for a distance within -----km	
	ii)	UGX ----- per km for a distance beyond a radius of ----- km	
1.7	Out-of-Pocket Allowance		
	Equivalent to ----- per diem rate		
1.8	Overtime Allowance		
	One and half times (1.5) of the normal hourly rate if the overtime is on normal working days (Monday to Friday)		

	Two times (2.0) the hourly rate where the overtime is worked on gazetted public holidays, Saturdays and Sundays.
1.9	Special Duty Allowance (Honorarium)
	$\frac{\text{Number of days worked} \times \text{-----}}{22 \text{ working days}} \text{--- \% of basic salary}$
	Relocation Allowance
1.10	a) ----- days' worth of local per diem
	b) Applicable kilometreage for distances beyond -----km radius
1.11	Transit Allowance
	USD -----
2	BENEFITS
2.1	Gratuity
	-----% of monthly basic salary for a contract period, payable at the end of each financial year.
2.2	Insurance
	a) A comprehensive group personal accident insurance policy cover.
	b) Travel Insurance, including adequate medical cover, for the period between leaving and re-entering Uganda.
2.4	Medical benefit in Uganda
	Medical Insurance for employee, spouse and ----- children / dependants.
	Additional Optical Treatment per Employee per year Maximum of UGX _____/=
	Additional Dental Treatment per Employee per year Maximum of UGX _____/=
2.5	Membership to Professional Bodies
	Registration and membership fees

Appendix 16: Vehicle Requisition for Official use Form

VEHICLE REQUISITION FOR OFFICIAL USE FORM

1. Particulars of the Employee and the Journey

Name _____ of _____ Employee:

Date _____

Purpose of the Journey:

Destination(s): (Please *list all the movements from start to end, e.g., Kampala-Arua-Lira- Kampala*).

Name(s) of other persons travelling:

Date of departure: _____ Return date: _____

No. of Days out: _____ Employee's signature: _____

2. Approval by Regional Coordinator/ Administrator

Approved Not Approved

Comment _____

Name: _____ Signature: _____ Date: _____

3. Vehicle Allocation

Availability of RSRC Vehicle: Yes

Driver assigned _____ Vehicle Assigned _____

No (If No, please recommend alternative action below)

4. If no vehicle is Allocated, Recommended Alternative Action

Use of Private Vehicle Use of Hired Vehicle

Name: _____ Signature: _____ Date: _____

5. Approval by the Administrator/ Regional Coordinator for Use of Private Car

Approved Not Approved

Comment (If any)

Name: _____ Signature: _____ Date: _____

**6. Status of Vehicle and Travel Details:
To be Completed by the assigned Driver**

Kilometrage at start of journey: ___ Date: _ Start: _____

7. Brief report on the condition of the RSRC vehicle after travelling

Return Date: _____ Time in: _____

Kilometrage at end of Journey: _____

Total Kilometres Covered: _____

Drivers Signature: _____ Date: _____

Appendix 17: Death and Bereavement Entitlement

1. Contribution Towards Burial Expenses* of an Employee

Where an Employee dies, the Regional Service and Rehabilitation Centre shall make the following contribution towards burial expenses:

2. Contribution towards burial expenses* of a spouse, registered child / dependant, or parent

Contribution of UGX

**These contributions are intended to cover coffin (if applicable), body treatment, transportation of the body to the burial place, construction of the grave, food and drinks at the vigil, and a wreath, among other funeral expenses.*

Appendix 18: Leave Application Form

LEAVE APPLICATION FORM

Section 1: Particulars of the Applicant

Name: Designation:

Duty Station:

Mobile Tel. No.: Email

Section 2: Type of Leave and Number of Days Applied for *(Tick applicable box)*

Annual leave	Unpaid leave	Maternity leave	Compassionate leave
Sick leave <input type="checkbox"/>	Paternity leave <input type="checkbox"/>	Examination leave <input type="checkbox"/>	Study leave <input type="checkbox"/>

Justification: *(Briefly explain why you have to take leave and attach all relevant supporting documents e.g., approved annual leave roster. Attach justification memorandum if necessary.)*

.....

Leave days' entitlement per year...days *(Indicate no. of days applicable to the type of leave being applied for)*

Number of working days applied for (both days inclusive)
 from.....to.....**Date** of last annual leave: fromto

Annual leave allowance claim *(One month's gross salary payable once a year)*
 UGX

While I am away, my official duties will be carried out allocated by
(tick as applicable)

Name: Designation:

Signature of Applicant: **Date:**

Section 3: Regional Coordinator/Administrator/Representative of NCC Recommendation

The above application is **Recommended** **Not Recommended**
(tick as applicable)

*State reason(s), if not recommended:

.....

Name: Signature: Date:

Section 4: Annual Leave Computation *(To be completed by HR & Admin Department)*

Leave days carried forward from previous year days

Leave earned in Current Year (out of 25 days): from to

1) Total number of leave days due days	Remarks:
2) Number of days applied for days	
3) Balance days	
4) Leave taken in current year days	
5) Balance as at year end days	

Computed by: Name..... Signature.....
 Date.....

Note: Completed form to be retained by Regional Coordinator/Administrator and Copy given to Employee

Appendix 19: Annual Leave Roster Format

ANNUAL LEAVE ROSTER FORMAT

	RSRC STATION			Year _____			
Sr. No.	Name	No. of days carried forward (from previous year)	Leave Entitlement (for current year)	Date of 1st leave	Date of 2nd leave	Date of 3rd leave	Date of 4th Leave
Prepared by Name: Signature: Date:				Approved by the Administrator Name: Signature: Date:			

Appendix 20: Employee Exit Interview Form

EMPLOYEE EXIT INTERVIEW FORM

Name:	
Salary on leaving:	Location:
Start Date:	Date of Leaving:
Position on Starting Date:	Position on Leaving Date:
Briefly outline main responsibilities.	
1. What did you like most about your job and why?	
2. What did you like least about your job and why?	
3. Did you feel able to deal with the demands of the job? If not why?	
4. Were your duties clearly defined? Was your job description accurate?	
5. Did you receive adequate training / skills development (both on the job and specialized)?	
6. Any suggested improvements to the job?	
7. The morale in your team was: Very Good Good Fair Poor (If poor, why do you think it was so, and how do you think it can be improved?)	
8. Did your immediate supervisor provide you with the support you needed? If not, please explain.	
9. How do you feel about the pay and benefits provided by the RSRC?	
10. What are your views of the RSRC as an equal opportunities employer? (For example, to what extent do you feel you received fair and consistent treatment, and did the RSRC take into account of your individual needs or circumstances?).	
11. To what extent do you feel you were treated with dignity and respect at work?	
12. What are your views on ways of working within the RSRC? What works well and what improvements would you suggest?	
13. Reasons for leaving End of fixed term contract Family / personal reasons Organisational issues	Issues with Any member of staff Retirement Inadequate salary

Promotion in another organisation Redudancy	Other terms and conditions Going to study / train Other (please state)
Further details, if applicable	
14. Who are you going to work for (if applicable)? What is the job title? How do the terms, conditions and benefits compare with the RSRC ?	
15. Other information: Would you work for RSRC again? Yes No Do you consider RSRC to be a good employer? Yes No	
Confidentiality The information disclosed in this form will be treated in confidence, however, it is normal practice to release the contents of the form to the Regional Coordinator and Administrator, so that your feedback can be used constructively to make any appropriate changes. Do you have any objection to sharing this completed form with the above people? Yes <input type="checkbox"/> No <input type="checkbox"/> (If 'Yes', please list individuals with whom you have no objection to sharing this completed form).	

Signature of Employee: _____ Date: _____

Thank you for completing this form. Please return it either via email or in confidence to the Administrator.

Appendix 21: Certificate of Service for Employee Format

CERTIFICATE OF SERVICE FORMAT FOR EMPLOYEE

Certificate of Service

Date:.....

Name of Employee:.....

Address of Employee:.....

Position held:.....

RSRC Station.....

This Certificate is granted towho has been an employee of the Regional Service and Rehabilitation Centre (RSRC) fromto.....

The Regional Service and Rehabilitation Centre (RSRC) is a project of the Government of Uganda through the Ministry of Water and Environment with support from Japan International Cooperation Agency (JICA) to facilitate the management for water supply infrastructure in rural areas.

He/she held the following position (s) (start and end dates if more than one position was held)

Position Held	Date From	To

Details of work performed (may be left out if not requested for).

Note: This certificate has been issued without any erasure or alteration whatsoever.

REGIONAL COORDINATOR/ADMNISTRATOR/ REPRESENTATIVE OF NCC.

Appendix 2-3: Internal Audit Policies and Procedures Manual

Regional Service and Rehabilitation Centre

INTERNAL AUDITING POLICIES AND PROCEDURES MANUAL

<as a reference of DMS guideline>

June 2022

INSTITUTIONAL BACKGROUND

In 2015, the Direct management System (DMS) was established with support from Japan International Cooperation Agency (JICA) Technical Assistance Grant by the Government of Japan to the Government of Uganda in 2015 through the Ministry of Water and Environment (MWE). The Japanese Expert Team provides technical assistance towards establishment of the Direct Management System.

On 23rd January 2020, the Joint Coordination Committee (JCC) at its 7th meeting agreed and resolved to roll out the Direct Management System (DMS) to thirty-three (33) districts which are supervised by the following four (4) Regional Service and Rehabilitation Centres (RSRC):

- 1) Gulu Regional Service and Rehabilitation Centre: Lamwo, Agago, Kitgum, Pader, Gulu, Nwoya, Omoro and Amuru
- 2) Mubende Regional Service and Rehabilitation Centre: Kiboga, Kyankwanzi, Mityana, Butambala, Gomba, Kassanda, Mubende and Mpigi
- 3) Jinja Regional Service and Rehabilitation Centre: Pallisa, Kaliro, Serere, Kibuku, Butebo, Kayunga, Iganga, Buikwe and Mukono
- 4) Masaka Regional Service and Rehabilitation Centre: Kyotera, Rakai, Lyantonde, Bukomansimbi, Masaka, Lwengo, Kalungu and Sembabule.

The function of Internal Audit for all the RSRCs shall be outsourced through competitive Procurement processes. As such this Internal Auditing Policies and procedures Manual in addition to International Internal Auditing Standards (IIA) are expected to guide the Internal Auditor/Accounting Firm in their auditing process of the RSRCs.

ABBREVIATIONS AND ACRONYMS

DMS	Direct Management System
IIA	International Internal Auditing Standards
JCC	Joint Coordination Committee
JICA	Japan International Cooperation Agency
MWE	Ministry of Water and Environment
NCC	National Coordination Committee
RSRC	Regional Service and Rehabilitation Centres

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Chapter 1: INTERNAL AUDIT OVERVIEW

1.1. Rationale

The Regional Service and Rehabilitation Centre (RSRC) has established an Internal Audit (IA) function in line with the Water Act, Cap 152 and section 48(1) of the Public Finance Management Act 2015 which requires every vote to have an Internal Auditor.

Internal Audit function reports functionally to the National Coordination Committee (NCC) and administratively to the Regional Coordinator of the RSRC. The Internal Audit function bears primary responsibility for all audits. Internal Audit coverage and service extends to all functions and activities of the RSRC. Internal Audit is also a control which functions by examining and evaluating the adequacy and effectiveness of other controls throughout the RSRC. Finally, Internal Audit provides assistance to the RSRC's external auditors – Office of the Auditor General in their performance of the annual external audits.

1.2. Charter, Statement of Principle and Standards for Internal Auditing

1.2.1. Introduction

The purpose of the charter is to list the purpose and objectives of the Internal Audit function and to describe its authority and responsibility.

1.2.2. Purposes and Objectives

The internal audit function is an independent activity outsourced through competitive bidding by the RSRC under the direction of the NCC. The Internal Auditor or Accounting Firm reports to the NCC to assist the RSRC in discharging their duties and responsibilities.

The principle areas of concern to the internal audit department include:

- a) Appraise the soundness and application of the accounting, functional and operational controls of the RSRC.
- b) Evaluate the effectiveness and contribute to the improvement of risk management processes of the RSRC.
- c) Provide assurance on the efficiency and the effectiveness of the economy in the administration of the programmes and operations of the RSRC.
- d) Appraising the accuracy and reliability of financial information.
- e) Ascertaining compliance with laws, regulations, and policies.

1.2.3. Authority and Responsibility

The Internal Auditor or Accounting Firm shall have unlimited access to information and property to be audited and shall be provided with all the required explanations.

The Internal Auditor or Accounting Firm has the full authority vested to perform examinations, audits, and investigations of all financial records, operations, activities, and affairs of the RSRC.

The Internal Auditor or Accounting Firm shall report to the NCC in such manner as the audit committee may prescribe.

1.2.4. Statement of Principle

Internal auditing is a function that independently evaluates the adequacy, effectiveness, and efficiency of the systems of control within the RSRC and the quality of ongoing operations.

The systems of internal control comprise the RSRC's plans, methods, and measures to:

- a) Provide reasonable assurance that assets are safeguarded, information (financial and other) is timely and reliable, and errors and irregularities are discovered and corrected promptly.
- b) Promote operational efficiency.
- c) Encourage compliance with managerial policies, laws, regulations, and sound fiduciary principles.
- d) Reviewing the efficiency of operations.

1.2.5. Standards for the Practice of Internal Auditing

The internal audit function at the RSRC subscribes to the "Statement of Principle and Standards for Internal Auditing" as approved by the RSRC. These standards are:

- a) Organization Standards
 - (1). The RSRC shall have an internal audit function responsible for evaluating the adequacy, effectiveness, and efficiency of its system of controls and the quality of ongoing operations.
 - (2). The RSRC shall maintain an environment within which the auditor has the freedom to act.
 - (3). The RSRC shall maintain an environment within which the audit function can conform to the standards of internal auditing.
 - (4). The RSRC shall require management to respond formally to adverse audit findings and to take appropriate corrective action.
 - (5). The RSRC's systems of control shall include measurement of audit effectiveness and efficiency.
- b) Personal Standards
 - (1). An internal auditor/Accounting Firm shall possess professional qualifications stipulated under the Accountants Act, 2013.
 - (2). An internal auditor/Accounting Firm shall maintain a sufficiently independent state of mind to clearly demonstrate objectivity in matters affecting audit conclusions.
 - (3). An internal auditor/Accounting Firm shall respect the confidentiality of information acquired while performing the audit function.
 - (4). An internal auditor/Accounting Firm shall engage only in activities that do not conflict with the interests of the RSRC.
 - (5). An internal auditor/Accounting Firm shall adhere to conduct that enhances the professional stature of internal auditing.
 - (6). An internal auditor/Accounting Firm shall exercise due professional care in the performance of all duties and the fulfillment of all responsibilities.
- c) Performance Standards

- (1). The internal auditor/Accounting Firm shall prepare a formal audit plan that covers all significant organizational activities over an appropriate cycle of time.
 - (2). The audit plan shall include an evaluation of controls within new systems and significant modifications to existing systems before they become operational.
 - (3). Internal Audit procedures shall provide sufficient and competent evidential matter to support conclusions regarding the adequacy, effectiveness, and efficiency of the systems of control and quality of ongoing operations.
 - (4). The organization of the audit function and related administrative practice shall provide for the proper supervision of Internal Auditors performing audits and for the proper review of work performed.
- d) Communication Standards
- (1). The auditor/Accounting Firm shall prepare a formal report on the scope and results of each audit performed.
 - (2). Each audit report shall contain an opinion on the adequacy, effectiveness, and efficiency of the systems of control and the quality of ongoing operations; the degree of compliance with previously evaluated systems of control; or an explanation of why an opinion cannot be expressed. When an adverse opinion is expressed, the report shall contain a statement about the exposures that may exist if corrective action is not taken.
 - (3). The internal auditor/Accounting Firm shall communicate audit findings in a timely manner to the staff of the RSRC responsible for corrective action.
 - (4). At least once each year, the Internal Auditor/Accounting Firm shall make a summary report of audit activities to the NCC. The report shall include an opinion on the overall condition of the RSRC's controls and operations.

1.2.6. Role of Internal Audit/Accounting Firm

The internal audit/Accounting Firm shall be outsourced by the RSRC and its responsibilities are defined by the NCC as part of the over sight function.

In discharging their responsibilities, the Internal Auditor/Accounting Firm will:

- a) Develop, document, implement, test, and maintain a comprehensive internal audit plan and system of internal controls to help provide assurance that applicable laws, regulations, and the RSRC's policies and procedures are complied with judiciously;
- b) Examine financial transactions for accuracy and compliance with the RSRC's policies and applicable laws and regulations;
- c) Evaluate financial and operational procedures to assure adequate internal controls are present;
- d) Identify, assess, and evaluate the RSRC's risk areas; make appropriate recommendations for improved internal controls and accounting procedures; and research and adopt industry best practices where appropriate;
- e) Work with the RSRC to identify key business risks, assess those risks, and establish risk management procedures and practices based on industry best practices;

- f) Identify pertinent portions of the financial reporting standard and best practices emerging within the higher education industry which can assist the RSRC in producing accurate and reliable financial reporting information;
- g) Complete other projects and perform other duties as assigned by the NCC.

1.2.7. Professional Standards

- a) The Internal Auditor/ Accountancy Firm shall be governed by adherence to the Institute of Internal Auditors' code of "Ethics."
- b) The Institutes' International Standards for the professional practice of Internal Auditing (standards) shall constitute the operating procedures for the /Accounting Firm.
- c) The Institute of Internal Auditor practice advisories will be adhered to as applicable.
- d) The Internal Audit function will also adhere to RSRC policies in place.

1.2.8. Authority

Authority is granted for free and unrestricted access to any and all of the RSRC's records, computer files, physical properties and personnel relevant to the function under reviews. All staff of the RSRC are required to assist the Internal Auditor/Accounting Firm in fulfilling the Audit function. Internal Audit shall also have free and unrestricted access to the NCC.

Documents and information given to internal auditing during a review will be handled in the same prudent and confidential manner as by those RSRC staff normally accountable for them.

1.2.9. Reporting by the Internal Auditor/Accounting Firm

The Internal Auditor/Accounting Firm shall report administratively to the Regional Coordinator and functionally to the NCC.

1.2.10. Independence

All internal audit Activities shall remain free of influence by any element within the RSRC including matters of audit selection, scope procedures, frequency, timing and or report content to permit maintenance of an independent and objective attitude necessary in rendering audit service.

Internal Auditors/Accounting Firm shall have no direct operational responsibility or authority over any of the activities they review. They shall not be involved in the installation of systems, procedures or prepare records which would normally be audited.

1.2.11. Audit Scope

The scope of Internal Audit encompasses the examination and evaluation of the adequacy and effectiveness of the RSRC's governance, risk management process, system of internal control structure, and the quality of performance in carrying out assigned responsibilities to achieve the RSRC's stated goals and objectives. It includes:

- a) Reviewing the reliability and integrity of financial and operating information and the means used to identify measure, classify, and report such information.
- b) Reviewing the systems established to ensure compliance with those policies, plans, procedures, laws, and regulations which could have a significant impact on operations and reports and whether the RSRC is in compliance.

- c) Reviewing the means of safeguarding assets and, as appropriate, verifying the existence of such assets.
- d) Reviewing and appraising the economy and efficiency with which resources are employed.
- e) Reviewing operations or programs to ascertain whether results are consistent with established objectives and goals and whether the operations or programs are being carried out as planned.
- f) Reviewing specific operations at the request of the NCC as appropriate.
- g) Monitoring and evaluating the effectiveness of the RSRC's risk management system.
- h) Coordinating with the external auditors while executing their assigned duties.

1.2.12. Audit Planning

Annually, the Internal Auditor/Accounting Firm shall submit to NCC a summary of the audit work schedule, for the following fiscal year. The audit work schedule is to be developed based on a prioritization of the audit universe using a risk-based methodology. Any significant deviation from the formally approved work schedule shall be communicated to NCC through periodic activity reports.

1.2.13. Reporting

A written report shall be prepared and issued by the Internal Auditor/ Accounting Firm following the conclusion of each audit and shall be distributed as appropriate. A copy of each audit report and a summary shall be forwarded to the Regional Coordinator and NCC.

The Internal Auditor/ Accounting Firm may include in the audit report the auditee's response and corrective action taken or to be taken in regard to the specific findings and recommendations. The auditee's response shall include a timetable for anticipated completion of action to be taken and an explanation for any recommendations not addressed.

In cases where a response is not included within the audit report, the responsible staff of the audited area shall respond, in writing, within thirty days of publication to Internal Auditor/ Accounting Firm.

Internal Auditor/ Accounting Firm shall be responsible for appropriate follow-up on audit findings and recommendations. All significant findings shall remain in an open- issues file until cleared by the Internal Auditor/ Accounting Firm.

1.2.14. Periodic Assessment

The Internal Auditor/ Accounting Firm in consultation with the NCC shall periodically assess (at least annually) whether the purpose, authority, and responsibility, as defined in this manual, continue to be adequate to enable the Internal Audit/Accounting Firm to accomplish its objectives.

1.3. Mission Statement, Objectives and Values

1.3.1. Mission Statement

Internal Auditor/ Accounting Firm exists to support the RSRC and NCC in the effective discharge of their responsibilities. Using knowledge and professional judgment, the Internal Auditor/ Accounting Firm shall provide an independent appraisal of the RSRC's financial, operational, and control activities. Internal Auditor shall report on the adequacy of internal

controls, the accuracy and propriety of transactions, the extent to which assets are accounted for and safeguarded, and the level of compliance with institutional policies and government laws and regulations. Additionally, Internal Auditor shall provide analysis, recommendations, counsel, and information concerning the activities reviewed.

1.3.2. Objective of Internal Audit

- a) Determine the accuracy and propriety of financial transactions.
- b) Evaluate financial and operational procedures for adequacy of internal controls and provide advice and guidance on control aspects of new policies, systems, processes, and procedures.
- c) Verify the existence of the RSRC assets and ensure that proper safeguards are maintained to protect them from loss or damage.
- d) Determine the level of compliance with the RSRC policies and procedures, laws and regulations.
- e) Evaluate the accuracy, effectiveness, and efficiency of the RSRC's electronic information and processing systems.
- f) Determine the effectiveness and efficiency of the RSRC in accomplishing its mission and identify operational opportunities for cost savings.
- g) Investigate all forms of misconduct.

1.3.3. Value

In carrying out its mission, the following shall Laws and Values shall be relevant:

- a) The primary focus of Internal Audit is to provide excellent service to the RSRC. Its examinations shall be performed in accordance with applicable standards established by the Institute of Internal Auditors (IIA), Government of Uganda regulatory instruments, Water Act Cap. 152, Public Finance Management Act 2015 and any other applicable regulatory instruments.
- b) Internal Audit is committed to the highest degree of fairness and integrity in the performance of its mission. Internal Auditors/ Accounting Firm shall adhere to the Code of Ethics as established by the IIA.
- c) The audit relationships with the Centre community shall be characterized by integrity.
- d) Internal Audit is committed to maintaining professionalism through continuance of education/ training and other forms of upgrading audit skills and development.

1.4. Standards for the Profession Practice of Internal Audit

1.4.1. Independence

The Internal Auditor/ Accounting Firm shall be independent of the activities audited. The Internal Auditor/ Accounting Firm is independent when it can undertake its work freely and objectively. Independence permits the Internal Auditor/ Accounting Firm to render the impartial and unbiased judgments essential to the proper conduct of audits. It is achieved through professionalism.

1.4.2. Position of the Internal Auditor/Accounting Firm

- a) The Internal Auditor/ Accounting Firm shall promote independence and to ensure broad audit coverage, adequate consideration of audit reports, and appropriate action on audit recommendations.
- b) The Internal Auditor/ Accounting Firm shall have direct communication with the NCC. Regular communication with the NCC helps ensure independence and provides a means for the NCC and the Internal Auditor/ Accounting Firm to keep each other informed on matters of mutual interest.
- c) The purpose, authority, and responsibility of Internal Auditor/Accounting Firm shall be defined by the NCC. The NCC shall; (a) authorize access to records, personnel, and physical properties relevant to the performance of audits, and (c) define the scope of Internal Audit activities.
- d) The Internal Auditor shall submit activity reports to RSRC and the NCC annually or more frequently as necessary or as required by the NCC. Activity reports shall highlight significant audit findings and recommendations and shall inform NCC of any significant deviations from approved audit work schedules, and the reasons for them.

1.4.3. Objectivity

The Internal Auditor/Accounting Firm IA shall be objective in performing an audit.

- a) Objectivity is an independent mental attitude which IA shall maintain in performing audits. The Internal Auditor/ Accounting Firm shall not subordinate their judgment on audit matters to that of others.
- b) Objectivity requires the Internal Auditor/ Accounting Firm to perform audits in such a manner that they have an honest belief in their work product and that no significant quality compromises are made. IA are not to be placed in situations in which they feel unable to make objective professional judgments.
- c) The Internal Auditor Internal Auditor/ Accounting Firm shall report to the NCC any situations in which a conflict of interest or bias is present or may reasonably be inferred.

The Internal Audit function objectivity is not adversely affected when the auditor recommends standards of control for systems or reviews procedures before they are implemented. Designing, installing, and operating systems are not audit functions. Also, the drafting of procedures for systems is not an audit function. Performing such activities is presumed to impair audit objectivity.

1.4.4. Professional Proficiency

Internal Audit shall be performed with proficiency and due professional care. Professional proficiency is the responsibility of the Internal Auditor/ Accounting Firm.

1.4.5. Compliance with Standards of Conduct

The Internal Auditor/ Accounting Firm shall comply with professional standards of conduct. The Code of Ethics of the IA sets forth standards of conduct and provides a basis for enforcement among its members. The Code calls for high standards of honesty, objectivity, diligence, and loyalty to which the Internal Auditor/ Accounting Firm shall conform.

They shall perform internal auditing services in accordance with international standards for the professional practice of internal Auditing.

1.4.6. Human Relations and Communications

The Internal Auditor/ Accounting Firm shall be skilled in dealing with people and in communicating effectively.

- a) The Internal Auditor/ Accounting Firm shall understand human relations and maintain satisfactory relationships with auditees.
- b) The Internal Auditor/ Accounting Firm shall be skilled in oral and written communications so that they can clearly and effectively convey such matters as audit objectives, evaluations, conclusions and recommendations.

1.4.7. Due Professional Care

The Internal Auditor/ Accounting Firm shall exercise due professional care in performing the Audit function.

- a) Due professional care calls for the application of the care and skill expected of a reasonably prudent and competent an Internal Auditor/ Accounting Firm in the same or similar circumstances. Professional care shall, therefore, be appropriate to the complexities of the audit being performed. In exercising due professional care, the Internal Auditor/ Accounting Firm shall be alert to the possibility of intentional wrongdoing, errors and omissions, inefficiency, waste, ineffectiveness, and conflicts of interest. They shall also be alert to those conditions and activities where irregularities are most likely to occur. In addition, they shall identify inadequate controls and recommend improvements to promote compliance with acceptable procedures and practices.
- b) Due care implies reasonable care and competence, not infallibility or extraordinary performance. Due care requires the auditor to conduct examinations and verifications to a reasonable extent, but does not require detailed audits of all transactions.
- c) When an Internal Auditor/ Accounting Firm suspects wrongdoing, the appropriate authorities within the RSRC shall be informed. The Internal Auditor/ Accounting Firm may recommend whatever investigation is considered necessary in the circumstances. Thereafter, the auditor shall follow up to see that Audit responsibilities have been met.
- d) Exercising due professional care means using reasonable audit skill and judgment in performing the audit. To this end, the Internal Auditor/Accounting Firm shall consider:
 - (1). The extent of audit work needed to achieve audit objectives;
 - (2). The relative materiality or significance of matters to which audit procedures are applied;
 - (3). The adequacy and effectiveness of internal controls; and
 - (4). The cost of auditing in relation to potential benefits.

Due professional care includes evaluating established operating standards and determining whether those standards are acceptable and are being met. When such standards are vague, authoritative interpretations shall be sought. If the Internal Auditor/ Accounting Firm are required to interpret or select operating standards, they shall seek agreement with auditee's as to the standards needed to measure operating performance.

1.4.8. Use of technology

The Internal Auditor/ Accounting Firm shall deploy technology in the following areas. All audit work shall be maintained in audit management automated software that Audit will acquire to enhance efficiency and effectiveness in the use of audit resources throughout the audit cycle. The audit system shall be comprehensively designed to facilitate the following key internal audit processes:

- a) Preparing/updating annual audit plans including risk assessment;
- b) Scheduling and monitoring audit assignments and staff resources;
- c) Creating and maintaining audit working papers for the audit process;
- d) Draft audit findings, recommendations and report;
- e) Generating management reports; and
- f) Recommendation's monitoring.

1.4.9. Scope of Work

The scope of the Audit shall encompass the examination and evaluation of the adequacy and effectiveness of the RSRC's system of internal control and the quality of performance in carrying out assigned responsibilities. The scope of Audit work, as specified in international auditing standards encompasses what audit work shall be performed. It is recognized, however, that the NCC may provide general direction as to the scope of work and the activities to be audited.

- a) The purpose of the review for adequacy of the system of internal control is to ascertain whether the system established provides reasonable assurance that the RSRC's objectives and goals shall be met efficiently and economically.
- b) The purpose of the review for effectiveness of the system of internal control is to ascertain whether the system is functioning as intended.
- c) The purpose of the review for quality of performance is to ascertain whether the RSRC's objectives and goals have been achieved.
- d) The primary objectives of internal controls are to ensure:
 - (1). The reliability and integrity of information;
 - (2). Compliance with policies, plans, procedures, laws, and regulations;
 - (3). The safeguarding of assets;
 - (4). The economical and efficient use of resources; and
 - (5). The accomplishment of established objectives and goals for operations or programs.

1.4.10. Reliability and Integrity of Information

The Internal Auditor/ Accounting Firm shall review the reliability and integrity of financial and operating information and the means used to identify measure, classify, and report such information. Information systems provide data for decision making, control, and compliance with external requirements. Internal Auditor/ Accounting Firm shall examine information systems and, as appropriate, ascertain whether:

- a) Financial and operating records and reports contain accurate, reliable, timely, complete, and useful information.

- b) Controls over record keeping and reporting are adequate and effective.

1.4.11. Compliance with Policies, Plans, Procedures, Laws, and Regulations

The Internal Auditor/ Accounting Firm shall review the systems established to ensure compliance with those policies, plans, procedures, laws and regulations which could have a significant impact on operations and reports, and shall determine whether the organization is in compliance.

The RSRC is responsible for establishing the systems designed to ensure compliance with such requirements as policies, plans, procedures, and applicable laws and regulations. The Internal Auditor/ Accounting Firm is responsible for determining whether the systems are adequate and effective and whether the activities audited are complying with the appropriate requirements.

1.4.12. Safeguarding of Assets

The Internal Auditor/ Accounting Firm shall review the means of safeguarding assets and, as appropriate, verify the existence of such assets. The Internal Auditor/ Accounting Firm shall review the means used to safeguard assets from various types of losses such as those resulting from theft, fire, improper or illegal activities, and exposure to the elements. The Internal Auditor/ Accounting Firm, when verifying the existence of assets, shall use appropriate audit procedures.

1.4.13. Economical and Efficient Use of Resources

The Internal Auditor/ Accounting Firm shall appraise the economy and efficiency with which resources are employed.

- a) The RSRC is responsible for setting operating standards to measure an activity's economical and efficient use of resources. The Internal Auditor/ Accounting Firm is responsible for determining whether:
- (1). Operating standards have been established for measuring economy and efficiency.
 - (2). Established operating standards are understood and are being met.
 - (3). Deviations from operating standards are identified, analyzed, and communicated to those responsible for corrective action.
 - (4). Corrective action has been taken.
- b) Audits related to the economical and efficient use of resources shall identify such conditions as:
- (1). Underutilized facilities
 - (2). Non-productive work
 - (3). Procedures which are not cost justified
 - (4). Overstaffing or understaffing

1.4.14. Accomplishment of Established Objectives and Goals for Operations or Programs

The Internal Auditor/ Accounting Firm shall review operations or programs to ascertain whether results are consistent with established objectives and goals and whether the operations or programs are being carried out as planned.

The RSRC is responsible for establishing operating or program objectives and goals, developing and implementing control procedures, and accomplishing desired operating or program results. The Internal Auditor/ Accounting Firm shall ascertain whether such objectives and goals conform to those of the organization and whether they are being met.

1.4.15. Management of the Audit Function

The Internal Auditor/ Accounting Firm must effectively manage the audit activity to ensure that it adds value to the RSRC. The Internal Auditor/Accounting Firm is responsible for properly managing the Audit function of the RSRC so that:

- a) Audit work fulfills the general purposes and responsibilities approved by the NCC.
- b) Audit work conforms to the Standards for the Professional Practice of Internal Audit.

1.4.16. Planning

The Internal Auditor/ Accounting Firm shall establish risk based plans to determine priorities of the internal audit activity, consistent with the organizational goals. The Internal Auditor/ Accounting Firm activity's plan shall be based on a documented risk assessment, undertaken at least annually. The input of the NCC and RSRC must be considered in this process.

Audit activities shall be carried out according to an Audit work plan prepared by the Internal Auditor/Accounting Firm, in consultation with the RSRC. The Internal Auditor/Accounting Firm shall prepare audit work plans on a three year rolling cycle, based on risk assessment exercises carried out by December of each year. Audit work plans shall be sufficiently flexible to cover unanticipated demands on the audit function. It shall be emphasized that the final determination as to which areas shall be included in the audit plan cannot be based solely on the results of this audit risk assessment. Rather, the performance of the assessment is a tool for use by Internal Auditor/ Accounting Firm.

The Audit work plan shall be submitted to the RSRC and NCC for their information.

In preparation and implementation of the work plan, the Internal Auditor/ Accounting Firm shall actively cooperate and coordinate efforts with agencies and other oversight bodies in order to ensure proper coverage and minimize duplication of efforts.

Activity reports shall be submitted periodically to RSRC and NCC. These reports shall compare performance with the RSRC's goals and audit work schedules. They shall explain the reasons for major variances and indicate any action taken or needed.

Internal Auditor/ Accounting Firm shall report on its activities annually to the NCC. The report shall cover a description of significant findings during the year and related recommendations including costs savings recommended and amounts recovered. The report shall also give the status of implementation of recommendations.

1.4.17. External Auditors

The Internal Auditor/Accounting Firm shall coordinate external audit efforts.

The internal and external audit work shall be coordinated to ensure adequate audit coverage and to minimize duplicate efforts. Coordination of audit efforts involves:

- a) Periodic meetings to discuss matters of mutual interest.
- b) Access to each other's audit programs and working papers.
- c) Exchange of audit reports and management letters.

- d) Common understanding of audit techniques, methods, and terminology.

1.4.18. Quality Assurance

External reviews of the Audit function shall be performed to appraise the quality of the function's operations. These reviews shall be performed by Office of Internal Audit of Ministry of Water and Environment. Such reviews shall be conducted at least once every three years. On completion of the review, a formal, written report shall be issued. The report shall express an opinion as to the function's compliance with the Standards for the Professional Practice of Audit and, as appropriate, shall include recommendations for improvement.

1.4.19. Overview of the audit process

Audit work shall include planning the audit, examining and evaluating information, communicating results and following up.

1.4.20. Planning the Audit

The Internal Auditor/Accounting Firm shall plan each audit. Planning shall be documented and shall include:

- a) Obtaining background information about the activities to be audited.
- b) Determining the resources necessary to perform the audit.
- c) Notifying the audit agency/auditee.
- d) Conducting an entry meeting
- e) Establishing audit objectives and scope of work.
- f) Writing the audit program.
- g) Determining how, when, and to whom audit results shall be communicated.
- h) Obtaining approval of the audit work plan.

1.4.21. Audit field work

The audit fieldwork involves executing the audit plan and audit programme in accordance with the IIA standards and this manual. Activities central to field work phase include collecting, analyzing, interpreting, and documenting information to support audit findings, conclusions and recommendations. The fieldwork phase ends with holding an exit meeting. The process of examining and evaluating information is as follows:

- a) Information shall be collected on all matters related to the audit objectives and scope of work.
- b) Information shall be sufficient, competent, relevant, and useful to provide a sound basis for audit findings and recommendations. Sufficient information is factual, adequate, and convincing so that a prudent, informed person would reach the same conclusions as the auditor. Competent information is reliable and the best attainable through the use of appropriate audit techniques. Relevant information supports audit findings and recommendations and is consistent with the objectives for the audit. Useful information helps the RSRC meet its goals.
- c) Audit procedures, including the testing and sampling techniques employed, shall be selected in advance, where practicable, and expanded or altered if circumstances warrant.

- d) The process of collecting, analyzing, interpreting, and documenting information shall be supervised to provide reasonable assurance that the auditor's objectivity is maintained and that audit goals are met.
- e) Working papers that document the audit shall be prepared by the Internal Auditor/ Accounting Firm. These papers shall record the information obtained and the analyses made and shall support the bases for the findings and recommendations to be reported.

1.4.22. Communicating Results

The Internal Auditor/ Accounting Firm shall report the results of their audit work in the following manner:

- a) A signed, written report shall be issued after the audit examination is completed. Interim reports must be written and shall be transmitted formally.
- b) The Internal Auditor/Accounting Firm shall discuss conclusions and recommendations with the RSRC before issuing final written reports.
- c) Reports shall be objective, clear, concise, constructive, and timely.
- d) Reports shall present the purpose, scope, and results of the audit; and, where appropriate, reports shall contain an expression of the auditor's opinion.
- e) Reports may include recommendations for potential improvements and acknowledge satisfactory performance and corrective action.
- f) The auditee's views about audit conclusions or recommendations may be included in the audit report.

1.4.23. Following up

The Internal Auditor/ Accounting Firm shall follow up to ascertain that appropriate action is taken on reported audit findings.

The Internal Auditor/ Accounting Firm shall determine that corrective action was taken and is achieving the desired results, or that the RSRC has assumed the risk of not taking corrective action on reported findings. The planning process includes establishing:

- a) Goals
- b) Audit work schedules
- c) Staffing and financial budgets
- d) Activity reports

The goals of the Audit should be capable of being accomplished within specified operating plans and to the extent possible, should be measurable.

Audit work schedules should include:

- (1). what activities are to be audited
- (2). when they should be audited
- (3). The estimated time required taking into account the scope of the audit work planned.

To establish the audit work scheduled, the following priorities should be taken into consideration.

- (1). The date and results of the last audit.
- (2). Financial exposure.
- (3). Potential loss and risk.
- (4). Requests by the management.
- (5). Major changes in operations, systems and controls.
- (6). Opportunities to achieve operating benefits.

Activity reports should be submitted periodically to the RSRC and NCC. These reports should compare performance with the RSRC's goals and audit work schedules.

1.4.24. Quality Assurance Reviewers

All working papers shall be independently reviewed to ensure that there is sufficient evidence to support conclusions and that all audit objectives have been met. A detailed review shall be conducted by the Internal Auditor/ Accounting Firm or assigned quality assurance staff. Initialling working papers, signing the "review/approval form," and filing "cleared" review notes in the current working papers shall serve as documentation of the review process. The reviewer shall:

- a) Determine working papers compliance to general working paper standards.
- b) Review from audit program steps to the referenced working papers ensuring cross-referencing is proper, the working papers support the steps performed, and all steps have been completed.
- c) Review working papers from the report(s), the summary of significant findings, working paper summaries, to the detailed working papers to ensure that all findings are stated adequately and documented and support the opinions, findings, and recommendations stated in the report.
- d) Ensure that working papers "stand alone" in that they clearly stated what work was performed, how and from where samples were selected, the purpose of the working paper, what findings were made, etc.
- e) Document review comments on review notes form.
- f) After all audit review notes have been resolved, sign off on working paper section of final working paper/report approval form.
- g) Determine report(s) compliance with Audit function report standards.
- h) Sign off on report(s) section of final working paper/report approval form.
- i) Determine Permanent/Continuing Audit File's compliance with Audit function standards.

Chapter 2: AUDIT PROCESS

2.1. Planning - General Rationale

Risk assessment is an integral part of the Audit planning process. The audit planning process encompasses all activities related to the development of the Audit plan including audit scope

and objectives, timing, design of detailed procedures, and audit resource planning for the audit activity. The primary objective of the audit planning process is to design the audit approach to ensure that audits are performed in the most effective and efficient manner. In undertaking this process the Internal Auditor/Accounting Firm shall undertake the following:

- a) Define the potential audit universe at the RSRC.
- b) Define the significant risks to the activity, its objectives, resources and operations and the means by which the potential impact of risk is kept to acceptable levels.
- c) Assess the adequacy and effectiveness of the activities risk management and control systems compared to a relevant control framework or model.
- d) Assessing opportunities for making significant improvements to the activities risk management and control process.

2.2. Planning – Research, Scheduling, and Audits

Selection of individual assignments shall be from an approved annual work plan. If a proposed assignment is not from the approved annual work plan, approval to take the assignment must be obtained from the NCC after giving reasons for the request to add the assignment. The NCC will review the justification for the request and determine the effect of the proposed assignment on the resources and planned activities for the year. If in agreement, the NCC will approve the request and forward to the Internal Auditor/ Accounting Firm to update the work plan and schedule the assignment.

2.3. Scope of Objectives

The scope section shall define the limitations of the audit/task assignment. The scope shall generally include a time period, which records, processes, funds, transactions, policies, controls, etc that shall be reviewed. Scope limitations that restrict audit work shall be mentioned in the audit report. For example: “We did not test actual expenditure transactions”.

The objectives shall explain what the audit is trying to accomplish. Audit objectives shall generally:

- a) Determine the accuracy and propriety of financial transactions.
- b) Evaluate financial and operational procedures for adequacy of internal controls and provide advice and guidance on control aspects of new policies, systems, processes, and procedures.
- c) Verify the existence of RSRC assets and ensure that proper safeguards are maintained to protect them from loss and damage.
- d) Determine the level of compliance with RSRC policies and procedures, Public Finance Management Act, 2015, other applicable laws, contracts, agreements and government regulations.
- e) Evaluate the accuracy, effectiveness, and efficiency of the RSRC's electronic information and processing systems.
- f) Determine the effectiveness and efficiency of the RSRC in accomplishing its mission and identify operational opportunities for cost savings.
- g) Provide assistance and a coordinated audit effort with the Auditor General and other external auditors.

- h) Determine if a loss occurred, if so the amount of the loss and circumstances (control weaknesses) that contributed to it.

2.4. Announcement Letter

The auditee shall be informed of the audit project through an Aud-1.4 Announcement Letter from the Internal Auditor/ Accounting Firm. However, shall not provide advance notifications for cash counts, subsidiary business audits and fraud investigations. Additionally, may not send an announcement letter for requested consulting services.

The announcement letter shall communicate an approximate date for the entry meeting, the scope and objectives of the audit, the period covered, and the auditor(s) assigned to the project. The Internal Auditor/ Accounting Firm mission statement shall also be enclosed for the client's information. The announcement letter should be issued at least one month prior to the commencement of the field work to give the RSRC sufficient time to make proper logistical and other arrangements to conduct the audit.

2.5. Preliminary Review

2.5.1. General/Rationale

The objective of the Preliminary Review is to gain sufficient knowledge of the unit being reviewed so that the auditor can design an audit program to accomplish the assigned objectives. The review shall help the auditor to determine if the assigned objectives are attainable with the allocated resources and what audit procedures shall be performed, based on assessed risks and exposures, to achieve the objectives.

The preliminary review work can be broken down into four distinct phases:

- (1). Familiarization
- (2). Identification of potential problem areas
- (3). Evaluation of internal controls
- (4). Planning the detailed audit

2.5.2. Entry Meeting

A formal entry meeting with the agency should be arranged in the timeframe indicated in the announcement letter. In preparation for the meeting the Internal Auditor/ Accounting Firm should gather background information to obtain an overview of the nature of the agency's mandate, operations, risk profile and the current issues it faces. Recommendations from prior internal and external oversight assignments should be reviewed. The entry meeting should be held prior to the travel of the audit team for the audit exercise. This is to ensure that pertinent issues facing the audit entity are identified at the appropriate level and the audit is focused on the areas of relevance and risk. It also enables the field office to be prepared for the audit before the arrival of the auditors. The entry meeting should be used to set the tone for the audit and should obtain information in the following areas:

- a) Discuss and obtain the agencies view on the status of previous oversight findings and recommendations. (If no action is taken the issues should be included for follow up)
- b) Discuss the areas determined to be high and moderate risk during development of the work plan, the preliminary objectives and scope as well as the audit criteria for the targeted audit areas

- c) Discuss the RSRC’s concerns in the area under audit and determine the extent to which areas identified can be incorporated into the audit
- d) Agree on the focal point from the RSRC’s responsible for handling audit queries, administrative and logistical matters and establish lines of communication with the entity

An agenda for the entry meeting should be sent ahead of the scheduled date. A supplementary meeting may be held with RSRC staff to introduce the audit team. The Internal Auditor/Accounting Firm should ensure that an Aud-1.6 Entry Meeting Note summarizing agreements reached, comments from the RSRC on the preliminary objectives, scope and criteria on targeted areas is prepared

2.5.3. Initial Research (Familiarization)

Prior to meeting with the auditee the assigned auditor(s) shall obtain a basic understanding of the auditee to understand how the entity plans, organizes directs and controls its activities. The following sources of information should be reviewed:

Management function	Source of information
Planning	<ul style="list-style-type: none"> • Strategic plan, annual work plans • Copies of policies • Internal management reports
Organising	<ul style="list-style-type: none"> • Organisational charts and job descriptions • Relations with other agencies • Delegation of authority • Location, nature size and field offices
Directing	<ul style="list-style-type: none"> • Copies of relevant regulations and rules
Controlling	<ul style="list-style-type: none"> • Copies of manuals and operating procedures • Historical financial data • Prior audit reports

In order to obtain a thorough understanding of the RSRC’s operations and be in position to conduct an objective appraisal of its activities, auditors must analyse and assimilate the information collected and on the basis of their analyses, make decisions about the work to be performed in the subsequent stages of the audit. The following techniques may be adopted to carry out analyses:

(i) Interviews

Interviews are conducted to help auditors understand the RSRC’s operations. In order to obtain useful information, right questions must be asked and posed in an appropriate manner that puts an interviewee at ease and gains his trust. Successful interviews are based on (i) determining areas to be covered in advance and the questions to be asked (ii) scheduling an appropriate time and place (iii) establishing a rapport with an interviewee (iv) explaining the purpose of the interview and how the results will be used (v) asking the questions (vi) listening to the responses, and (vii) wrapping up or closing the interview. Notes to the interview should be prepare as soon as possible afterwards.

(ii) Questionnaires

A list of questions on a particular area or function may be developed to obtain information relating to the audit objective. The questionnaire should be as short as possible and the questions should be designed such that they (i) avoid ambiguity, vagueness or confusion (ii) do not lead to obvious response (iii) require narrative response and (iv) are within the capabilities of the respondent. Questionnaires may be sent to staff of the RSRC for completion or may be completed during an interview session or by telephone.

(iii) Flow charts

Flow charts are two dimensional graphic representations of an operation in terms of flow of activities through a process. A flow chart is beneficial because it visually depicts processes designed or intended for control purposes. Flow-charting provides the auditor with a good understanding of the process being evaluated. Guidance on flow charting including the standard flow chart format.

(iv) Narrative Notes

Narrative notes provide a step by step description of the RSRC's major systems or operations. The primary purpose of preparing narrative notes is to identify key control activities. Information for preparing narrative note is obtained from interviewing personnel and reviewing procedure manuals and other system documentation. The notes should include all significant parts of the process especially control points, the names and positions of the people performing actions and taking decisions and the timing of such actions.

(v) Walk throughs

Auditors may conduct walk through tests after they have documented the audited RSRC's process. This involves following one or two transactions through the process from beginning to the end. A walk through test helps to confirm the accuracy of the auditor's documentation of the process and ensure that it is understood. Walk throughs are more effective in understanding the RSRC's process than a general review of manuals and operating procedures as they provide a faster and more effective identification of weaknesses and potential problem areas.

(vi) Analytical procedures

Analytical procedures are used to obtain an understanding of the entity and its environment. They highlight significant variations and trends and assist the Internal Auditor/Accounting Firm in identifying conditions that may need to be addressed during the assignment. Analytical procedures involve the study, comparison, and evaluation of relationships among financial and non-financial data at a point in time and a trend in those relations over a period. They also encompass the investigation of identified fluctuations and relationships that are inconsistent with the relevant information or deviate significantly from predicted amounts. Analytical procedures are useful in identifying:

- a. Differences that are not expected and the absence of differences when they are expected.
- b. Potential errors, fraud or illegal acts; and
- c. Unusual or non-recurring transactions or events

There are three general steps in performing analytical procedures: (i) develop an expectation of an account balance or item (ii) compare the expected amount to the recorded balance (iii) determine the nature and extent of further audit testing based on the difference between the recorded and estimated balance.

(vii) Data analysis

Data analysis is the act of transforming data with the aim of extracting useful information and facilitating conclusions. By using data analysis software auditors are able to analyse data from many dimensions, categorise them and summarise relationships or patterns identified. Instances where the data do not follow a predictable pattern could be indications of possible errors and potential fraud. Questionable differences should be subject of detailed testing. Data analysis software is available for Audit use.

(viii) **Physical observations**

Personal observations reveal what is going on, how and whether what is purported to exist corresponds to reality. They involve touring facilities, site visits, reviewing processes, flow of materials and documents.

2.5.4. Identification of Potential Problem Areas

Risk assessment is conducted at the activity level to identify and evaluate risk exposures at the operations or micro level of the RSRC. It involves considering business process risks, quality of local management and individual performance in different situations. A part of the planning activities the risks that threaten the objectives of each process within the activity to be audited should be identified and classified into the respective categories. The purpose of risk assessment at activity level is to determine the audit objectives. The audit will concentrate on those areas which are assessed as moderate or high risk. The risk categories of the areas indicate the types of objectives that should be included in the audit programme. For example, if compliance risks are rated as moderate or high, the Internal Auditor/Accounting Firm should ensure that audit objectives include review of compliance with the procedures related to the activity.

2.5.5. Review and Evaluation of the design of Internal Control System

All audits, regardless of the nature, typically involve providing assurance on the design and effectiveness of the system of internal control. After obtaining an understanding of the internal control system by way of interviews, questionnaires, systems documentations, walk-throughs and/or performing some initial analytical procedures or data analysis, auditors should make a preliminary assessment of the internal control system to determine whether identified controls are designed to meet the control objectives and mitigate risks. Limited examination of documents, records and reports should be undertaken to assess the design of the controls.

The auditor is responsible for determining how much reliance can be placed on the RSRC's controls to protect its assets, ensure accurate information, ensure compliance with applicable laws and regulations, promote efficiency and economy, and produce effective results.

A complete review of all controls is not always necessary because some controls may be irrelevant to basic issues which are the subject of the audit effort. Therefore, the auditor must identify those controls which are the most important and critical to the operation and concentrate on them. Some controls which can normally be identified as critical are those which are designed to protect against:

- (a) Substantial financial losses
- (b) Program violations
- (c) Mismanagement
- (d) Legal violations
- (e) Adverse publicity
- (f) Lack of program or mission accomplishment

Evidence gathered during the planning activities shall be documented and filed in a logical manner, in the Planning Activities section of the audit file. On reviewing the data collected, the Internal Auditor/Accounting Firm should finalize the audit objectives and scope of the audit. The Internal Auditor/Accounting Firm shall also determine the extent of testing i.e. sample sizes, that will be required to enable reach a conclusion on the audit objectives, and the methodology to be adopted to extract samples.

2.5.6. Audit of activities with significant MIS component

Where the audit relates to an activity or unit which maintains its information primarily on an Information Communication Technology platform, auditors should (i) determine the size and complexity of the system and the extent of the activity's dependence on it, (ii) gain an understanding of how the information system is used to support the RSRC, and (iii) assess the application level risks the activity may face. These risks include:

- (i) Availability risks – lack of system operational capability;
- (ii) Security risks – unauthorized access to systems and/or data;
- (iii) Integrity risks – incomplete, inaccurate, untimely, or unauthorized processing of data;
- (iv) Maintainability risks – inability to update the system when required in a manner that continues to provide for system availability, security, and integrity; and
- (v) Data risks – relating to completeness, integrity, confidentiality, privacy, accuracy and timeliness of data.

The review should be conducted regardless of whether the system is established like IMIS or Sun, or it is developed by the end-user. Reference should be made.

2.6. Audit Sampling

2.6.1. Rationale

Audit sampling is performing an audit test on less than 100 percent of a population. In 'sampling', the auditor accepts the risk that some or all errors shall not be found and the conclusions drawn (i.e. all transactions were proper and accurate) may be wrong. Audit sampling can either be statistical or non-statistical approach.

2.6.2. Types of Sampling

- (i) Statistical or probability sampling allows the auditor to stipulate, with a given level of confidence, the condition of a large population by reviewing only a percentage of the total items. Several sampling techniques are available to the auditor.
- (ii) Attribute sampling - is used when the auditor has identified the expected frequency or occurrence of an event. It allows the auditor to determine whether the rate of occurrence of a characteristic or attribute (usually errors) in a population is small enough to assume that procedures are working effectively or is indicative of an issue which needs to be included in the audit report. It is applied to test items that have only two possible values (e.g. correct or incorrect) Attribute sampling should most widely be used in tests of control.

Attribute sample selection techniques include survey sampling and decision sampling.

- (iii) Variable sampling - is used when the auditor samples for values in a population which vary from item to item. Variable sampling provides answers to the question "How much?" It is

usually applied to stated monetary amounts and attempts to provide information about their accuracy. By taking a sample and drawing an inference about a population, The Internal Auditor/Accounting Firm can reach a conclusion on whether the amount is materially misstated. The Internal Auditor/Accounting Firm should use variable sampling in substantive tests of details.

Variable sampling selection techniques include simple and systematic random sampling and stratified sampling.

- (iv) Judgment sampling - is used when it is not essential to have a precise determination of the probable condition of the universe, or where it is not possible, practical, or necessary to use statistical sampling. It is based on the auditor's judgment. It is appropriate when looking for existence of a problem or when the auditor does not need to draw conclusions about the whole population.

Non statistical selection techniques include haphazard, judgment, and biased sampling.

2.6.3. Sampling Criterion

The decision whether to use a statistical or non-statistical sampling approach is a matter for the auditor's professional judgment regarding the most efficient manner to obtain appropriate audit evidence in the particular circumstances. To the extent possible, statistical sampling should be used in all audits.

Sampling is not always required and it may be possible to apply audit procedures to the entire population if all the data is held on computer systems and data analysis software is available. The Internal Auditor/Accounting Firm may also decide not to sample if the audit focus is on rear occurrences or known problems.

2.7. Planning the Detailed Audit

- (i) The elements of materiality and relative risk must be considered in performing the audit. The due professional care standards do not imply unlimited responsibility for disclosure of irregularities and other deficiencies. The auditor's principal effort shall be in those areas where significant problems or deficiencies may exist, rather than in areas that are relatively less important. Time shall not be spent examining or developing evidence beyond what is necessary to afford a sound basis for a professional opinion.
- (ii) The results of the preliminary review shall be analyzed to determine the need for a detailed audit and the specific areas to be covered. The detailed audit program shall be prepared allocating the project budget time established for the fieldwork to the specific areas to be covered in the audit.

2.8. Statement of Risk and Exposure

2.8.1. Rationale

A risk/exposure analysis shall be performed to prioritize audit testing that must be performed to achieve the audit objectives. This determination is essential for providing reasonable assurance that Audit resources are deployed in an optimal manner. (*Most time is spent examining areas with the greatest risk exposure*).

Exposure is the potential loss or liability to the RSRC. It is not only loss of money but also the RSRC's reputation, etc.

A Risk/Exposure analysis shall involve determining the highest possible combined factors. (High risk/high exposure as opposed to high risk/low exposure or low risk/high exposure).

2.8.2. Policy

During the preliminary review/internal control evaluation stage of the audit, the auditor shall make a determination of what areas contain the greatest risks and potential exposures. This determination shall be discussed with the audit administration before the audit program is written.

2.8.3. Process

During the preliminary review/internal control evaluation stage of the audit, the auditor shall complete a schedule detailing the greatest risks and potential exposures and discuss with audit administration.

2.9. Audit Program

- (i) Preparation of the audit program concludes the Preliminary Review phase. The audit program outlines the necessary steps to achieve the objectives of the audit within the defined scope as listed on the assignment sheet. The audit program is a detailed plan for the work to be performed during the audit. A well-constructed program is essential to completing the audit project in an efficient manner.
- (ii) A well-constructed program provides:
 - (a) A systematic plan for each phase of the work that can be communicated to all audit personnel concerned
 - (b) A means of self-control for the audit staff assigned
 - (c) A means by which the Internal Auditor/Accounting Firm can review and compare performance with approved plans
 - (d) Assistance in training inexperienced staff members and acquainting them with the scope, objectives, and work steps of an audit
 - (e) An aid to the Internal Auditor/Accounting Firm in making possible a reduction in the amount of direct supervisory effort needed
 - (f) Assistance in familiarizing successive audit staff with the nature of work previously carried out
- (iii) Standardized audit programs should be prepared and used or modified to achieve the audit objectives using the **AUD-1.9 Audit Programme** form.

2.9.1. Objectives

The audit program shall contain a statement of the objectives of the area being reviewed. The statement of objectives in the audit program shall correspond with the audit objectives stated in the assignment sheet. These objectives shall be achieved through the detailed audit program steps.

2.9.2. Audit Steps

A well-constructed audit program provides specific, detailed steps (procedures) for achieving the audit objectives. Standardized audit programs with specific audit steps for achieving objectives, once prepared, shall be used or modified as appropriate.

2.9.3. Time Budget

- (i) A project time budget provides overall guidelines for the performance of the audit. In addition, it enables the Internal Auditor/Accounting Firm to control the audit work in process. It is essential that Internal Auditor/Accounting Firm control their time carefully so that it is utilized in the most effective manner possible. The detailed project time budget shall be completed at the conclusion of the preliminary review.
- (ii) The budget process shall be broken down into two phases. A portion of the budget shall be allocated for the planning process. This shall provide the necessary control over this phase of audit work.
- (iii) Near the completion of the planning process, the remaining budget shall be allocated to the rest of the audit and recorded on the Time Budget Summary. For purposes of overall control, the time budget shall be broken down into the following general categories:
 - (a) *Planning* - initial planning, preliminary survey, audit program.
 - (b) *Fieldwork* - allocated to the various segments of the audit project.
 - (c) *Audit report and wrap-up* – Audit review, quality assurance review, report writing and editing, report review, auditee's review, exit meeting, etc).
 - (d) *Preparation and Approval* - The project time budget shall be prepared by the Internal Auditor/Accounting Firm
 - (e) *Budget Revisions* - Any revisions to the project time budget shall be documented on the Time Budget Summary.

2.10. Field Work

2.10.1. Introduction

Fieldwork is the process of collecting, analyzing, interpreting and documenting information on matters related to the audit objectives and scope. The objective is to obtain sufficient, competent, relevant, and useful information to provide a sound basis for audit findings and recommendations. Some preliminary audit testing would have been conducted as part of the planning stage of the audit. During the fieldwork the auditor performs more detailed reviews and analyses, tests the operation of established controls and evaluates the effectiveness of the internal control system.

2.10.2. Audit Evidence

Audit evidence refers to all the information used by the auditor in arriving at the audit opinions, conclusions and recommendations. It is obtained through applying audit procedures such as observing conditions, interviewing people, examining records and analyzing data. In forming the audit opinion, the auditor need not review all the information available because conclusions can sometimes be reached by using sampling approaches and other means of selecting items for examination. Audit evidence is cumulative in nature and is persuasive rather than conclusive. Audit inferences are drawn from the body of evidence collected.

Evidential matter obtained during the course of the audit provides the documented basis for the auditor's opinions, findings, and recommendations as expressed in the audit report. The Internal Auditor/Accounting Firm is obligated by their professional standards to act objectively, exercise due professional care, and collect sufficient, competent, relevant, and useful

information to provide a sound basis for audit findings, recommendations and conclusions.

- (i) Sufficient information is factual, adequate, and convincing so that a prudent, informed person would reach the same conclusions as the auditor. There should be enough of it to support the auditor's findings. In determining the sufficiency of evidence it may be helpful to ask such questions as: Is there enough evidence to persuade a reasonable person of the validity of the findings? When should appropriate statistical sampling methods be used to establish sufficiency?
- (ii) Competent information is reliable and the best attainable through the use of appropriate engagement techniques such as statistical sampling and analytical audit procedures. Information is more competent if it is (i) obtained from an independent source, (ii) corroborated by other information, (iii) obtained directly by the auditor, such as through personal observation, (iv) documented, and (v) an original document rather than a copy.
- (iii) Relevant information supports engagement observations and recommendations and is consistent with the objectives for the engagement. Relevant information should have a logical, sensible relationship with the associated audit finding.
- (iv) Useful information helps the organization meet its goals. Evidence collected by the Internal Auditor/Accounting Firm should possess all of these qualities. For example, it is not enough to merely interview staff of the RSRC without corroborating the information obtained with that from other sources. Sample sizes should be representative so that conclusions reached may be validly extended to the rest of the population.

Evidence may be categorised as physical, documentary, testimonial and analytical and is obtained by using various procedures:

(i) Physical evidence

Physical evidence is obtained by direct inspection or observation of people, property or events. Inspection of tangible assets provides reliable audit evidence about their existence, but not necessarily as to their ownership or value. Observation consists of looking at a process or procedure being performed by others, for example, physically counting inventory and making observations. The observations of certain procedures are important particularly those that do not leave an audit trail.

(ii) Documentary evidence

Documentary evidence consists of information that exists in some permanent form such as letters, contracts, accounting records, invoices, and management information on performance. It is the most common form of evidence; it may be internal, external or a combination of both. The source of documentary evidence affects its reliability.

(iii) Testimonial evidence

Testimonial evidence is obtained through inquiries, interviews, or questionnaires. Inquiry and confirmation consist of seeking information from knowledgeable persons inside or outside the RSRC. Responses to inquiries may provide auditors with information not previously possessed or with corroborative audit evidence. Testimonial evidence may not always be conclusive and should be supported by other forms of information where possible.

(iv) Analytical evidence

Analytical evidence arises from the application of analytical procedures. Analytical procedures produce information in the form inferences or conclusions based on examining data for consistencies, inconsistencies, cause-effect relationships.

2.10.3. Audit Criteria

The Audit should clarify the specific explicit or implicit criteria against which evidence collected will be evaluated. Criteria are explicit when they are clearly set out in policies, manuals, standard operating procedures, standards, laws and/or regulations. Where the RSRC has not yet established goals and objectives or determined the controls needed in a particular area, it may be necessary to develop implicit criteria based on what the RSRC considers to be satisfactory performance standards or industry best practices. The acceptability of implicit criteria should always be confirmed with the audited RSRC. Conducting an audit without agreeing the criteria may result in conclusions and recommendations that may not be accepted by the audited entity and lead to wasted audit effort and fruitless arguments.

2.11. Analysis and Evaluation of Data

After data is collected, it should be analysed and evaluated. Analysis means breaking down data/activities/processes into smaller, more manageable parts to determine attributes, relationships, cause, effect, etc. and make inferences or determine whether further examination is required. Evaluation is the systematic determination of the merit, worth, or significance of the subject matter to arrive at a judgment in terms of adequacy, efficiency or effectiveness.

2.12. Analysis of Financial Data

During fieldwork, analytical procedures should be used to support the results of the assignment. The Internal Auditor/Accounting Firm should consider the factors listed below in determining the extent to which analytical audit procedures should be used. After evaluating these factors, the Internal Auditor/Accounting Firm should consider the use of additional audit procedures, as necessary, to achieve the engagement objectives:

- (i) The significance of the area being examined;
- (ii) The assessment of risk and effectiveness of risk management in the area being examined;
- (iii) The adequacy of the system of internal control;
- (iv) The availability and reliability of financial and non-financial information;
- (v) The precision with which the results of analytical audit procedures can be predicted;
- (vi) The availability and comparability of information regarding the industry in which the RSRC operates; and
- (vii) The extent to which other engagement procedures provide support for engagement results.

When analytical audit procedures identify unexpected results or relationships, the Internal Auditor/Accounting Firm should examine and evaluate such results or relationships. This examination and evaluation should include making inquiries of management, and applying other engagement procedures until satisfied that the results or relationships are sufficiently explained. Unexplained results or relationships from applying analytical audit procedures may be indicative of a significant condition such as a potential error, irregularity, or illegal act. Results or relationships that are not sufficiently explained should be communicated to the appropriate levels of management. Internal Auditor/Accounting Firm may recommend appropriate courses of action, depending on the circumstances.

2.13. Detailed Audit Procedures

In addition to analytical procedures and techniques, the following detailed audit tests may be performed during the fieldwork:

- (i) Vouching – testing recorded amounts by examining supporting documents to determine whether they represent an actual transaction.
- (ii) Tracing – following a document through its processing cycles to the accounting records to determine whether all transactions have been recorded
- (iii) Re-computation – verifying the mathematical accuracy of figures. The value of this procedure is limited as the reliability of the evidence obtained depends on the validity of the underlying input.
- (iv) Scanning – searching for obvious exceptions in a large quantity of data.

2.14. Evaluation

Evaluation is a means of arriving at a professional judgment. As the Internal Auditor/Accounting Firm compares circumstances observed against relevant criteria, they evaluate the significance of any variance and determine whether corrective action is necessary. The analysis and evaluation of evidence obtained should give rise to issues (positive and negative), to report to the RSRC.

The Internal Auditor/Accounting Firm should draw conclusions for each audit objective. Conclusions are logical inferences about the audit subject based on the Audit findings. Conclusions should be specified and not left to be inferred by readers. The strength of a conclusion depends on the persuasiveness of the evidence supporting the findings, and the convincingness of the logic used to formulate the conclusions. They should be free from personal biases or prejudices, and be objective. The conclusion reached by Internal Auditor/Accounting Firm should be the same as would have been reached by a similar experienced professional reviewing the same evidence. The analysis and evaluation of evidence should be recorded in **Aud-2.1 Audit Issue Summary.**

Chapter 3: WORKING PAPER DOCUMENTATION

3.1. Rationale/ Policy/ Purpose

- (i) Working papers serve both as tools to aid the auditor in performing work, and as written evidence of the work done to support the auditor's report. Information included in working papers shall be sufficient, competent, relevant, and useful to provide a sound basis for audit findings and recommendations.
- (ii) In addition to serving as a reference for the preparer when called upon to report findings or answer questions, other individuals may find it necessary to use the working papers.
- (iii) The Audit function shall use the papers to review the quality of the audit and to evaluate the audit staff assigned to the work.
- (iv) The Internal Auditor/Accounting Firm whose unit is being audited may use details included in the working papers to help implement corrective action to a problem or refute the assertion that a problem exists.
- (v) The RSRC requires timely reports. Well-organized working papers help to accomplish this goal.
- (vi) External auditors review the work performed by the Internal Audit function and evaluate the effect that its activities had on the RSRC's system of internal control.

- (vii) In fulfilling their public responsibility, certain regulatory agencies monitor operations of the RSRC, and working papers may be subjected to their review. Solid working paper documentation is essential for questions from these and other potential outside reviewers.

3.2. Qualities of Good Working Papers

- (i) **Complete** - Working papers must be able to "stand alone." This means that all questions must be answered, all points raised by the reviewer must be cleared, and a logical, well-thought out conclusion must be reached for each audit segment.
- (ii) **Concise** - Working papers must be confined to those that serve a useful purpose.
- (iii) **Uniform** - All working papers shall be of uniform size and appearance. Smaller papers shall be fastened to standard working papers, and larger papers shall be folded to conform to size restrictions.
- (iv) **Neat** - Working papers shall not be crowded. Allow for enough space on each schedule so that all pertinent information can be included in a logical and orderly manner. At the same time, keep working papers economical. Forms and procedures shall be included only when relevant to the audit or to an audit recommendation. Also, try to avoid unnecessary listing and scheduling. All schedules shall have a purpose which relates to the audit procedures or recommendations.

3.3. Types of Working Papers

All working papers shall be maintained in binders and include schedules, analyses, documents, flow charts, and narratives (if prepared outside an automated system).

3.3.1. Schedules and Analysis

Schedules and analyses are useful for identifying statistical trends, verifying the accuracy of data, developing projections or estimations, and determining if tasks or records have been properly completed. Each record review, data schedule, or analysis shall include the following items:

- (a) An explanation of its purpose (reference audit step).
- (b) The methodology used to select the sample, make the calculation, etc.
- (c) The criteria used to evaluate the data
- (d) The source of data and time frame considered.
- (e) A summary of the results of the analyses.
- (f) The auditor's conclusion.

3.3.2. Documents

- (i) Copies or actual samples of various documents can be used as examples, for clarification, and as physical evidence to support a conclusion or prove the existence of a problem. These documents can be memos, reports, computer printouts, procedures, forms, invoices, flow charts, contracts, or any of numerous other items. Any copied document shall serve a useful audit purpose.

- (ii) The following suggestions are offered for preparation of working papers using documents rather than the auditor's notes:
 - (a) Indicate both the person and/or file that the document came from (source).
 - (b) Copy and insert only that portion of the report, memo, procedure, etc., which is needed for purposes of explanation or as documentation of a potential finding. Do not include the entire document in the working papers unless absolutely necessary.
 - (c) Fully explain the terms and notations found on the document, as well as its use. This is especially true when including maps, engineering drawings, or flow charts in the papers. These explanations may be made on an attached preceding page or on the face of the document itself.
 - (d) Each document shall be cross-referenced either to the page or separate analysis where it was discussed.
 - (e) No document shall be included in the working papers without an explanation of why it was included.

3.3.3. Process Write-ups and Flow charts

- (i) In many audits, it is necessary to describe systems or processes followed by the audit subject. Describe such procedures or processes through the use of write-ups or flow charts or some combination of the two. The choice of which method to use shall depend on the relative efficiency of the method in relation to the complexities of the system being described.
- (ii) Write-ups are often easier to use, and shall be used, if the system or process can be described clearly and concisely. However, when write-ups are lengthy, and description of related control points difficult to integrate in the narrative, flow-charting (or a combination of write-ups and flow-charting) is an appropriate alternative. Flow charts conveniently describe complex relationships because they reduce narrative explanations to a picture of the system. They are concise and may be easier to analyze than written descriptions.

3.3.4. Interviews

- (i) Most verbal information is obtained through formal interviews conducted either in person or by telephone. Formal interviews are most desirable because the interviewers know they are providing input to the audit. However, impromptu interviews, or even casual discussions can often provide important information. Any verbal information which is likely to support a conclusion in the audit working papers shall be documented. Interviews are useful in identifying problem areas, obtaining general knowledge of the audit subject, collecting data not in a documented form, and documenting the audit subject's opinions, assessments, or rationale for actions. Interview notes shall contain only the facts presented by the person interviewed, and not include any of the auditor's opinions.
- (ii) In preparing interviews for working papers, consider the following suggestions:
 - (a) Be sure to include the name and position title of all persons from whom information was obtained. This includes data gathered during casual conversations.
 - (b) Indicate when and where the meeting occurred.
 - (c) Organize notes by topic wherever possible.
 - (d) Identify sources of information quoted by interviewee.

3.3.5. Observations

- (i) What the auditor observes can serve the same purposes as interviews. If observations can be used to support any conclusions, then they shall be documented. They are especially useful for physical verifications.
- (ii) Observations used as supporting documentation shall generally include the following items:
 - (a) Time and date of the observation
 - (b) Where the observation was made
 - (c) Who accompanied the auditor during the observation?

What was observed (when testing is involved, the working papers shall include the sample selections and the basis of the sample)

3.3.6. Findings

All audit findings must be documented. Unfavourable findings shall be summarized on a Significant Findings working paper whether or not they are to be included in the audit report.

3.4. Function of Working Papers

- (i) Support auditor's opinion
- (ii) Aid in the conduct and supervision of the engagement
- (iii) Provide a record of:
 - (a) Procedures applied
 - (b) Tests performed
 - (c) Information obtained
 - (d) Pertinent conclusions reached
- (iv) Provide evidence that the audit was conducted in accordance with the Standards for the Professional Practice of Internal Audit.

3.5. Example of Working Papers

- (i) Working papers may include any or all of the following:
 - (a) audit programs, summaries, schedules, computations, or analysis prepared or obtained
 - (b) memoranda, interviews, letters of confirmation or representation
 - (c) data stored on tapes, films, disk, or other media
- (ii) The working papers listed below constitute the minimum required support for an assignment:
 - Working Papers Index
 - Assignment Form
 - Draft Report
 - Significant Findings
 - Quality Assurance Review
 - Audit Program
 - Worksheet or Lead Schedules
 - Final Report
- (iii) The following working papers shall generally be prepared, but may not be considered mandatory for all assignments:
 - (a) Permanent/Continuing Audit File

- (b) Summary of Audit Objectives and Time Control
- (c) Announcement Letter
- (d) Contact List
- (e) Auditee Financial Statements
- (f) Interim Memorandums and Meetings
- (g) Exit Meeting Record

3.6. Cross-Referencing of Working Papers

All significant amounts and items shall be cross-referenced.

3.7. Indexing of Working Papers

- (i) Every page shall have an index number
- (ii) The index shall be simple
- (iii) The index shall be capable of infinite expansion

Chapter 4: STARTING FINDINGS/ CONCLUSIONS

Upon the conclusion of the fieldwork, the auditor summarizes the audit findings, conclusions, and recommendations necessary for preparation of the audit report discussion draft. Each audit finding documented in the section summary shall have the following attributes:

- (a) Statement of Condition (What is!)
- (b) Criteria (What should be!)
- (c) Effect (So what?)
- (d) Cause (Why did it happen?)
- (e) Recommendation (What should be done?)

4.1. Statement of Condition

The condition identifies the nature and extent of the finding or unsatisfactory condition. It often answers the question: "What was wrong?" Normally, a clear and accurate statement of condition evolves from the auditor's comparison or results with appropriate evaluation criteria.

4.2. Criteria

This attribute establishes the legitimacy of the finding by identifying the evaluation criteria and answers the question: "By what standards was it judged?" In financial and compliance audits, criteria could be accuracy, materiality, consistency, or compliance with applicable accounting principles and legal or regulatory requirements. In audits of efficiency, economy, and program results (effectiveness), criteria might be defined in mission, operation, or function statements; performance, production, and cost standards; contractual agreements; program objectives; policies, procedures, and other command media; or other external sources of authoritative criteria.

4.3. Effect

- (i) This attribute identifies the real or potential impact of the condition and answers the question: "What effect did it have?"
- (ii) The significance of a condition is usually judged by its effect. In operational audits, reduction in efficiency and economy, or not attaining program objectives (effectiveness), are appropriate measures of effect. These are frequently expressed in quantitative terms; e.g., dollars, number of personnel, units of production, quantities of material, number of

transactions, or elapsed time. If the real effect cannot be determined, potential or intangible effects can sometimes be useful in showing the significance of the condition.

4.4. Cause

- (i) The fourth attribute identifies the underlying reasons for unsatisfactory conditions or findings, and answers the question: "Why did it happen?"
- (ii) If the condition has persisted for a long period of time or is intensifying, the contributing causes for these characteristics of the condition shall also be described.
- (iii) Identification of the cause of an unsatisfactory condition or finding is a prerequisite to making meaningful recommendations for corrective action. The cause may be quite obvious or may be identified by deductive reasoning if the audit recommendation points out a specific and practical way to correct the condition. However, failure to identify the cause in a finding may also mean the cause was not determined because of limitation or defects in audit work, or was omitted to avoid direct confrontation with responsible officials.

4.5. Recommendations

- (i) This final attribute identifies suggested remedial action and answers the question: "What should be done?"
- (ii) The relationship between the audit recommendation and the underlying cause of the condition shall be clear and logical. If a relationship exists, the recommended action shall most likely be feasible and appropriately directed.
- (iii) Recommendations in the audit report shall state precisely what needs to be changed or fixed. How the change shall be made is the client's responsibility. More generalized recommendations (e.g., greater attention be given, controls be re-emphasized, a study made, or consideration be given) shall not be used in the audit report, but they are sometimes appropriate in summary reports to direct top management's attention to compliance-type findings disclosed in several areas.
- (iv) Unless benefits of taking the recommended action are obvious, they shall be stated. The cost of implementing and maintaining recommendations shall always be compared to risk.
- (v) Recommendations shall be directed to an individual capable of taking action.

Chapter 5: AUDIT QUALITY ASSURANCE

The purpose of "quality assurance" is to provide reasonable assurance that audit work performed by the Internal Auditor/Accounting Firm function of the RSRC conforms to the IIA's Standards for the Professional Practice of Internal Audit, additional standards set by the RSRC and appropriate guidelines.

5.1. Quality Assurance Policy

- (i) All working papers shall be independently reviewed to ensure there is sufficient evidence to support conclusions, documentation of the extent of audit work performed, all audit objectives have been met, as well as substantiate compliance with applicable auditing standards.

- (ii) A detailed review shall be conducted by the Office of the Internal Audit MWE.
- (iii) Initialling working papers (Section Summaries, Audit Programs, and Draft Report) and completing the "**Quality Assurance Review form**," shall serve as documentation of the review process and shall be filed with the working papers.

5.2. Quality Assurance Review Process

In performing the review the reviewer shall:

- (a) Review working papers from audit program steps to the referenced working papers ensuring cross-referencing is proper, the working papers support the steps performed, and all steps have been completed (or why steps were not completed).
- (b) Review working papers from the report(s), working paper summaries, to the detailed working papers to ensure that all findings are stated, adequately documented and support the *opinions, findings, recommendations, management responses and conclusions* stated in the report.
- (c) Determine working papers' compliance to Internal Audit function working paper standards.
- (d) Determine reports' compliance with Internal Audit function report standards.
- (e) Record any deficiencies, comments, etc. on a Working Paper Review Notes form.
- (f) The auditor(s) who prepared the working papers shall then respond (if necessary) to these points on the same form.
- (g) After the reviewer has "cleared" the points and completed (initialed) the "**Quality Assurance Review form**," the working papers shall be forwarded to Internal Auditor/Accounting Firm (if that was not the person undertaking the review).
- (h) The Internal Auditor/Accounting Firm shall review the working papers and discuss the findings and review comments, then complete the relevant parts of the "Quality Assurance Review form," and approve the draft report for the exit meeting.
- (i) The Report Reviewer shall perform a pre-exit meeting edit check for spelling, cursory grammatical, and consistency review.
- (j) The assigned auditor shall forward a copy of the draft report to the Regional Coordinator prior to the exit meeting.
- (k) After exit meeting amendments, the Report Reviewer shall perform a spell check, as well as a cursory grammatical and consistency review, then print out the *final* version of the report.
- (l) The Internal Auditor from the Internal Audit Office of MWE shall review and sign the final report.

5.3. General Standards - Report(s)

- (i) Audit reports shall conform to the Audit function format guidelines.
- (ii) The report title shall specifically state what was audited.
- (iii) Audit reports shall only be copied to the RSRC and NCC.
- (iv) The audit objectives shall be stated clearly and in agreement with those stated in the announcement letter or audit assignment form.
- (v) The scope shall clearly state what the Audit examined including, if applicable, what period, transactions, documents, and limitations thereof.
- (vi) The auditor's opinion (*where appropriate*) shall be supported by audit findings.

- (vii) The audit background shall contain the mission and other information of value to the reader.
- (viii) A statement of Condition shall normally be stated in first sentence.
- (ix) The report shall state the criteria used, policies adopted, etc.
- (x) The report shall state the effect, potential or actual exposure to the RSRC and the cause and how the event happened.
- (xi) The report shall state recommendations which are specific enough so that the auditee understands what is expected, something that can be accomplished, cost beneficial, and can be followed-up on.
- (xii) The draft report shall be referenced to the working papers.
- (xiii) The audit reports should be objective, clear, concise, constructive, and timely.
- (xiv) The Internal Auditor/Accounting Firm should present to the RSRC a draft of the final report for discussion before issuance of the final report.

The format and content of the audit reports shall be in the form summarised in **AUD-3.2 Draft and Final Audit Reports**

Chapter 6: REPORTING AND FOLLOW-UP

- (i) The most successful audit projects are those in which the RSRC and the Internal Auditor/Accounting Firm have a constructive working relationship. The Audit objective is to have the client's continuing involvement as well as communication at every stage, so that the RSRC understands what the auditors are doing and why they are doing it.
- (ii) Although every audit project is unique, the audit process is similar for most engagements. The audit process normally consists of four stages: Preliminary Review, Fieldwork, Audit Report, and Follow- up Review.

6.1. Audit Report, Transmittal Letter, and Management Letter

- (i) The Audit's principal product is the final report in which Internal Auditor/Accounting Firm express their opinions about the audit findings and discuss their recommendations for improvements. Therefore, in order for Internal Auditor/Accounting Firm to be effective, their reports must clearly and persuasively convey the results of the audits and convince readers to recognize the validity of the findings and the benefit of implementing any recommendations.
- (ii) To facilitate communication and ensure that the recommendations presented in the final report are practical, Internal Auditor/Accounting Firm discusses the rough draft with the staff of the RSRC prior to issuing the final report.
- (iii) Internal Auditor/Accounting Firm prints and distributes the final report to the Regional Coordinator and Chairperson of NCC.
- (iv) The first page, **AUD-3.1 Transmittal Letter** of the report is a letter requesting the RSRC's written response to the report recommendations within 30 days. The RSRC shall explain, in the written response, when and how report findings shall be resolved with an implementation timetable.

- (v) A management letter written to and distributed to only the Regional Coordinator of the RSRC may be issued. This letter shall contain suggestions for improving controls, operations, and anything the audit recommends in writing.

6.2. Confidentiality – Reports

6.2.1. Rationale

Although Audit reports are internal documents exclusively for the use of the RSRC, certain reports shall contain information that *should not be disclosed outside of the areas receiving the report*.

6.2.2. Policy

- (i) Audit reports shall be classified as **CONFIDENTIAL** if they meet the following criteria:
 - (a) Report discloses a weakness (potentially resulting in a loss) which has not been corrected at the time of distribution.
 - (b) Report discloses sensitive information which could prove an embarrassment to the RSRC (if made public).
 - (c) Report discloses information classified as "restricted data".
 - (d) At the discretion of the NCC with a recommendation by the Internal Auditor.
- (ii) Audit reports classified as Confidential shall contain the words “**CONFIDENTIAL REPORT**” on the title page and the footnote "**Confidential - Do not disclose information in this document.**" on each page.

6.2.3. Process

The Internal Auditor/Accounting Firm shall discuss their recommendation and rationale regarding the classification of a report.

6.3. Exit Meeting/Interviews

- (i) Pre-exit meeting items:
 - (a) There shall be no surprises - everything in the draft shall have been discussed during the fieldwork.
 - (b) Be sure you can easily find supporting documentation for findings in the working papers in case questions arise at the exit meeting.
 - (c) Try to anticipate potential questions/conflicts
- (ii) Go through verbal recommendations.
- (iii) Discuss the following and go through report and management letter:
 - (a) Do they want to respond after receiving the final report or would they like their response either included or attached to the final report? (Preference is to include or attach the audit response with the final report).
 - (b) Results of audit, response, and follow-up shall be included in Internal Auditor/Accounting Firm report to the NCC.
 - (c) Were there any questions about the scope and objectives?
 - (d) Are there any questions about the opinion?
 - (e) Are there any questions, comments, additions, or deletions on background?
 - (f) Any comments or questions about other sections? (Go through each).
 - (g) General comments about audit process?

The Internal Auditor, IA should ensure that a form, Aud-2.3 Exit Meeting Note summarizing agreements reached, comments from the agency is documented for the exit meeting.

6.4. Closing Of the Audit

- (i) The Internal Auditor/Accounting Firm then prepares a draft, taking into account any revisions resulting from the exit meeting and other discussions. When the changes have been reviewed by the NCC and RSRC, the final report is issued.
- (ii) The report is then printed in final version and distributed to RSRC and NCC.

6.5. Input to the Report of the RSRC

- (i) The establishment of a clear reporting structure enhances Internal Auditor/Accounting Firm independence and strengthens RSRC ability to function freely. It also provides Internal Auditor/Accounting Firm the opportunity to acquaint the RSRC with any critical audit findings or issues, assessments of operations during the past year, and concerns, goals and plans for the next fiscal year.
- (ii) The results of all report findings and recommendations, the response from the RSRC, and the follow-up shall be reported in an annual report to the NCC.

6.6. Audit Feedback Questionnaire

6.6.1. Purpose

To continuously improve the quality of service to the RSRC by requesting and reviewing their feedback of the level of satisfaction with audit work.

6.6.2. Process

An audit feedback questionnaire shall be sent to the auditee immediately after an audit report (excluding cash count and follow-up reports) has been issued. Returned questionnaires shall be recorded and summarized.

6.7. Follow-up Review

- (i) Within three months of the final report, Internal Auditor/Accounting Firm shall perform a follow-up review with RSRC to ascertain the resolution of the report findings.
- (ii) The actions taken to resolve the findings are reviewed and may be tested to ensure that the desired results were achieved. In some cases, RSRC may choose not to implement an audit recommendation and to accept the risks associated with an audit finding. The follow-up review shall note this as an unresolved finding.
- (iii) The follow-up report shall list the actions taken by the auditee to resolve the original report findings. Unresolved findings shall also appear in the report and shall include a brief description of the finding, audit recommendation, auditee response, current condition, and the continued exposure of the RSRC. In addition to the original report, recipients and other officials as deemed appropriate, the follow-up review results shall also be included in the Audit Report to the NCC.

Chapter 7: MISCELLANEOUS POLICIES

7.1. Purging Working Papers

Working papers shall be retained for 7 years after the date of the report. The working papers shall be purged once a year after the Board's approval. The exception to this policy is when IA is required to retain working papers longer by law or by agreement.

Appendix I Code of Ethics

The IIA Code of ethics comprises two essential elements:

- (i) Principles that are relevant to the profession and practice of internal auditing
- (ii) Rules of conduct that describe behavior norms expected of Internal Auditors

Principles

Internal Auditors/Accountancy Firm are expected to apply and uphold the following principles:

Integrity

The integrity of Internal Auditors/Accountancy Firm establishes trust and thus provides a basis of reliance on their judgment

Objectivity

Internal Auditors/Accountancy Firm exhibit the highest level of professional objectivity in gathering, evaluating, and communicating information about the activity or process being examined. Internal Auditors make a balanced assessment of all the relevant circumstances and are not unduly influenced by their own interests or by others in forming judgment

Confidentiality

Internal Auditors respect the value and ownership of information they receive and do not disclose information without appropriate authority unless there is a legal or professional obligation to do so.

Competency

Internal auditors apply the knowledge, skills and experience needed in the performance of internal audit services

Rules of Conduct

Integrity

Internal Auditors/Accountancy Firm:

1. Shall perform their work with honesty, diligence, and responsibility.
2. Shall observe the law and make disclosures expected by the law and the profession
3. Shall not knowingly be a party to an illegal activity or engage in acts that are discreditable to the profession of internal auditing or to the RSRC
4. Shall respect and contribute to the legitimate and ethical objectives of the RSRC

Objectivity

Internal Auditors/Accountancy Firm:

1. Shall not participate in any activity or relationship that may impair or be presumed to impair their unbiased assessment. This participation includes those activities or relationships that may be in conflict with the interests of the RSRC.
2. Shall not accept anything that may impair or be presumed to impair their professional judgment
3. Shall disclose all material facts known to them that, if not disclosed may distort the reporting of activities under review

Confidentiality

Internal Auditor/Accounting Firm:

1. Shall be prudent in use and protection of information acquired in the course of their duties
2. Shall not use information for any personal gain or in any manner that would be contrary to the law or detrimental to the legitimate and ethical objectives of the RSRC

Competency

Internal Auditor/Accounting Firm:

1. Shall engage only in those services for which they have the necessary knowledge, skills and experience.
2. Shall perform internal audit services in accordance with the international standards for the Professional Practice of Internal Auditing
3. Shall continually improve their proficiency and effectiveness and quality of their services

APPENDIX II LIST OF TEMPLATES

	Title of the Form	Form no.
A: Planning		
1.	Amendment to work plan form	
2.	Statement of Independence	Aud-1.2
3.	Assignment Sheet	Aud-1.3
4.	Announcement letter	Aud-1.4
5.	Auditors Introductory letter	Aud-1.5
6.	Entry Meeting Note	Aud-1.6
7.	Audit plan: Internal Audit	Aud-1.7
8.	Audit plan: In house Operations Audit	Aud-1.8
9.	Audit programme	
B: Field work		
10.	Audit Issue Summary	Aud-2.1
11.	Exit meeting notes	Aud-2.2
C: Reporting and audit closure		
12.	Transmittal letter	
13.	Draft and final audit report	Aud-3.2
14.	Recommendations coding sheet	
D: Monitoring		
15.	Closing unimplemented recommendations	

AUD-1.2: STATEMENT OF INDEPENDENCE

Auditor:

Position:

Internal Auditors/Accountancy Firms are independent when they can carry out their work freely and objectively. Independence permits internal auditors to render the impartial and unbiased judgments essential to the proper conduct of audits. It is achieved through organizational structure and objectivity.

The RSRC expects its Internal Auditors/Accountancy Firm to maintain independence of mental attitude in the conduct of all assigned work; to be objective, fair, and impartial; and to conduct themselves so that agencies and third parties will see our office in this way.

Examples of Personal Impairment

- Official, professional, personal, or financial relationships that might cause the Internal Auditor/Accountancy Firm to limit the extent of the inquiry, to limit disclosure, or to weaken or slant audit findings in any way (includes relatives of the Internal Auditor/s).
- Preconceived ideas toward individuals, groups, organizations, or objectives of a particular program that could bias the audit.
- Previous responsibility for decision-making or managing an entity that would affect current operations of the entity of program being audited.
- Biases, including those induced by political or social convictions that result from employment in or loyalty to, a particular group, organization, or level of government.
- Subsequent performance of an audit by the same individual who, for example, had previously approved invoices, payrolls, claims, and other proposed payments of the entity or program being audited.
- Concurrent or subsequent performance of an audit by the same individual who maintained the official accounting records.
- Financial interest, direct or substantial indirect, in the audited entity or program.
- Offer of or application for a position with the RSRC during the preceding year (note: an offer of or intention to apply for a position with the RSRC once the audit is in progress must also be reported)*.

* - Details may be communicated to the Chairperson NCC separately by confidential memorandum.

Identify audit areas that may be affected by the above situations:

Possible Personal Impairments to My Independence

I have reviewed my personal situation with respect to **insert organization name** and related institutions. I am not aware of any circumstances that might impair my ability to be independent on any audit or that might lead others to question it, except as indicated above or on attached pages.

Responsibility to Update This Disclosure

I understand that I am also responsible to make timely written notification in the event any other circumstance arises during the course of this year that might impair or appear to impair my independence with respect to any audit.

Signature: _____ **Date:** _____

AUD-1.3: ASSIGNMENT SHEET

ASSIGNMENT SHEET	
Title of Project:	
Assignment date	
Allocated Hours	
Expected Completion Date	
Assigned Staff	
List the names of the assigned staff:	
Scope and Objectives	
A short description of the scope and objectives that will be covered.	

UD-1.4: AUDIT ANNOUNCEMENT LETTER

Your ref:

Our ref:

Date:

The Regional Coordinator

Address of RSRC to be audited

Re : INTERNAL AUDIT OF THE RSRC

Reference is to the above subject.

This is to inform you that **insert name of RSRC** has been selected for a technical and financial audit on projects financed by the RSRC.

The purpose of the audit is to provide independent assurance to the NCC, the Government and other interested parties that the monies to the RSRC are judiciously applied for the intended purpose. Further, the audit aims to verify that the use of such resources is efficient, effective and transparent.

The audit will commence on **Insert date of commencement** and is expected to take **Insert duration as per approved work plan** days. Please provide us the name of the contact person during the audit process. The RSRC recommends the person to be the **insert title of head of engineering**, though you may nominate any other suitable person. The Internal Auditor/Accounting Firm expects you to provide a lockable office with working stations for the team.

It is important that you avail the audit team with all the documents maintained for the projects selected for audit. These include:

1. Documents required in the procurement process
2. Signed contracts and documents attached to it
3. Documents to be submitted by the contractor in accordance with stipulations of the contract
4. Documents related to payments
5. Documents to be prepared by the RSRC for purpose of contract administration, quality control and other purposes in accordance with its rule/regulation
6. Documents related to completion of works and handover
7. Any other documents affecting any parts of your works

The audit exercise will commence with a pre-audit meeting on **insert a date and time** and the following officials are required to attend:-

1. The Regional Coordinator
2. Finance and Accounts Officer

After completion of the audit exercise, a draft report will be availed to you for your comments, a response to which will be expected within a period of **insert number of days** working days from receipt. After incorporating your comments a final copy of the report with our recommendations shall be issued to you and also circulated to NCC or office of Auditor General for action. Please note that on failure to submit your written comments within the specified time period, the shall proceed to process the final report.

The Internal Auditor/Accounting Firm looks forward to full cooperation with your staff and trusts that we shall have ready access to all records, documentation and other information required in connection with the audit.

Please acknowledge receipt of this letter and confirm in writing that you will be available for this exercise.

INTERNAL AUDITOR/ACCOUNTING FIRM

AUD-1.5: AUDITORS INTRODUCTORY LETTER

Your ref:

Our ref:

Date:

The Regional Coordinator

Address of RSRC to be audited

INTERNAL AUDITOR/ACCOUNTING FIRM INTRODUCTORY LETTER

We refer to the letter dated **insert date** to you on the subject matter above.

The purpose of this letter is to introduce M/s **insert full names of audit firm** whom we have sent to carry out the audit under the supervision of the Internal Auditor. We confirm that M/s **insert full name of the firm** has been contracted by the RSRC to undertake this audit.

The audit exercise will commence with on **insert a date** and is expected to take **Insert duration as per approved work plan** days.

The following are the officials permitted to conduct the audit on behalf of M/s **insert full names of audit firm**:-

List Names	List titles
------------	-------------

It is your responsibility to ensure that you do not grant unauthorized access to information by persons not introduced to you by RSRC.

REGIONAL COORDINATOR

AUD-1.6: ENTRY MEETING NOTE

Date:		Time:	
Meeting No.			
Meeting Type:	Entry meeting note		
Place:			
Present:			
In Attendance:			

Absent with Apology:	
Agenda:	<ol style="list-style-type: none"> 1. Prayer. 2. Communication from the Internal Auditor/Accounting Firm 3. Status of previous oversight findings and recommendations. 4. Areas determined to be audited in the work plan. 5. RSRC's concerns in the area under audit 6. Focal point and lines of communication 7. Any other business.

		Action by
Min. 1.0		
Min 2.0		
Min. 3.0		
Min. 4.0		
Min 5.0		
Min. 6.0		
Min 7.0		

Chairperson

Secretary

AUD-1.7: AUDIT PLAN: AUDIT FOCUS

GENERAL INFORMATION	
Name of RSRC	
Scheduled date of auditing:	Auditor:
Contract Effective on:	Completion date:
MAJOR ISSUES	
List major points to be inspected such as the following <ul style="list-style-type: none">• Procurement process• Design, Technical specifications, Work Items and Volume• Cost Estimate/Contract Amount/Unit Price• Timing of Start/Completion of Works	
DOCUMENTS TO BE FILED	
(List the documents which are supposed to be submitted by the RSRC)	
SITE INSPECTION	
(List here the items and interval/location of measurement to be done at the site)	

Prepared by:

Approved by:

Date of Approval

AUD-2.1: AUDIT ISSUE SUMMARY

NAME OF RSRC								
Subject of Audit								
Audit Date:								
Topic								
Observations								
Risk								
Recommendation								
RSRC Response								
Regional Coordinator Signature and Date								
Significance	<table border="1"> <tr> <td>High</td> <td></td> <td>Moderate</td> <td></td> <td>Low</td> <td></td> <td>Value</td> </tr> </table>	High		Moderate		Low		Value
High		Moderate		Low		Value		
Include in report?	<table border="1"> <tr> <td>Yes</td> <td></td> <td>No</td> <td></td> <td>Order in report</td> <td></td> </tr> </table>	Yes		No		Order in report		
Yes		No		Order in report				
Reviewed by:								

AUD-2.2: EXIT MEETING NOTES

Date:		Time:	
Meeting No.			
Meeting Type:	Exit meeting		
Place:			
Present:			
In Attendance:			

Absent with Apology:	
Agenda:	<ol style="list-style-type: none"> 1 Prayer. 2 Communication from the Internal Auditor/ Accounting Firm 3 Audit findings and recommendations. 4 Any other business.

		Action by
Min. 10		
Min 20		
Min. 30		
Min. 40		

Chairperson

AUD-3.2: DRAFT AND FINAL AUDIT REPORT

Section	Institute of Internal Auditors	Leading Practice
Background	Back ground information may identify the organizational units and activities reviewed and provide relevant explanatory information.	The background description of the area or process audited should be brief and provide a short overview of the area. It also can demonstrate our understanding of the area audited.
Objectives	Purpose statements should describe the internal audit focus and when necessary inform the reader why the audit was conducted and what it was expected to achieve.	The objectives of the audit are described in the report
Scope	Scope statements should identify the audited activities and include where appropriate, the supportive information such as time period audited. The nature and extent of audit performed should also be addressed.	The scope is described in the report and should not be a listing of steps of the audit program.
Period	The time and period audited should be included in the scope statements	All reports should indicate the period covered by the audit
Findings	Findings are pertinent statements of fact. Less significant findings may be communicated orally or through informal correspondence.	<ul style="list-style-type: none"> • Observation, Risk and implication is the last section of the report. The heading will include the client name and area or process audited. The risks identified as a result of finding should always be listed. • Appropriate sections of the issue summary can be copied to the audit report If the Issue Summary is properly written, the audit report writing process should be streamlined and be more consistent • Each observation and risk should be listed in the order of importance. It may enhance the readers experience if like observations and risks are grouped together under each topic. In situations where recommendations for several

Section	Institute of Internal Auditors	Leading Practice
		<p>observations are the same, consider grouping findings together under one topic related to the recommendation.</p> <ul style="list-style-type: none"> • Bullet points also make it easier for the reader • Working papers should document less significant findings which have been reviewed with the RSRC noting the date and name of RSRC.
Recommendations	Recommendations are based on the auditor's findings and conclusions. They call for action to correct existing conditions or improve operations	The recommendations are actions that the RSRC should consider to address the audit findings
Signature	A signed written report should be issued after the audit examination is completed. The term signed means that the authorized Internal Auditor's name should be manually signed in the report	The report is signed after all required reviews are completed and issuance of the report has been authorized by the team leader.
Date		The report is dated on the day it is issued and is substantially completed.
Managements response and action plan	The RSRC's views about conclusions or recommendations may be included in the audit report. As part of the internal audit discussions with the auditee, the internal auditor should try to obtain agreement on the results of the audit and on a plan of action to improve operations as needed.	RSRC's response should be included in the internal audit report to put the finding in perspective. The reader can then understand the finding and the status of action taken to correct it at one time.

**Appendix 3 : The monitoring sheet for managing the Service
Centre**

Date: _____

Monitoring form

This monitoring sheet is filled by WSC to monitor the Service Center's activity.
Please tick (✓) and answer the following questions and submit to Service Center.

Service Center ID: _____ DWD No. _____

Sub-county: _____ Parish: _____

Village: _____ WSC chairman: _____

#	Questions	Yes	No	Remarks
1	Did Service Center appoint the caretaker?			
2	Did Service Center rehabilitate the borehole for service start?			
3	Did Service Center inform the service date?			
4	Does the caretaker collect water user fee and keep a record on the account book?			
5	Does the caretaker manage and maintain the borehole properly?			
6	Does a Service Center staff collect water user fee from the caretaker monthly?			
7	Does a HPM repair the borehole as requested?			
8	Does a HPM conduct preventive maintenance every 6 months?			

Name of WSC chairman

Signature of WSC chairman

Monitoring sheet of caretaker

Date: _____

Sub-county: _____ Parish: _____

Village name: _____ Water source name: _____

1. Situation of collection of water user fees

*Refer to the “account book of caretaker” and “record of water user fee collection”.

- 1) Does caretaker update the water user list on account book timely?
Yes / No
- 2) Does caretaker keep the record of water user fee collection? Yes / No
- 3) Does caretaker urge unpaid users to pay water user fee? Yes / No

If there is No, please describe the reason.

- 4) Are there any problems when caretaker collects water user fees?

2. Regular maintenance

*Refer to the “regular maintenance check sheet”.

- 1) Does caretaker conduct regular maintenance daily? Yes / No

If No, please describe the reason.

3. H&S

*See surrounding of boreholes and ask to water users.

1) Does caretaker conduct H&S activities?

✓ To keep clean the borehole surroundings

Yes / No

✓ To keep animals/someone washing clothes/someone eating away from the borehole

Yes / No

✓ To sensitize the water users to use clean jerry can to fetch and store water

Yes / No

If No, please describe the reason.

4. If there are any other concerns, describe below.

Name of Hand pump mechanic

Name of caretaker

Signature

Signature

Remarks;

✓ This monitoring activity will be done in quarterly by hand pump mechanic.

✓ After monitoring, hand pump mechanic should submit this sheet to Service Center.

Monitoring sheet of WSC

Date: _____

Sub-county: _____ Parish: _____

Village name: _____ Water source name: _____

1. Water user list

1) Does WSC keep water user list? Yes / No

2) Does WSC inform the updated water user list to caretaker timely? Yes / No

If No, please describe the reason.

2. Water source rules and regulations

1) Does WSC keep water source rules and regulations? Yes / No

2) Does WSC enforce water source rules and regulations? Yes / No

(e.g. inform and train at the community meeting etc.)

If No, please describe the reason.

3. Water user fee

1) Does Secretary finance keep the record of water user fee collection? Yes / No

If No, please describe the reason.

4. MoU

1) Does WSC keep MoU between with Service Center and WSC? Yes / No

If No, please describe the reason.

5. Reporting

1) Does WSC report to water user in the community meeting? (As need arises)

Yes / No

If No, please describe the reason.

6. If there are any other concerns, describe below.

Name of Hand pump mechanic

Name of Extension worker

Signature

Signature

Name of WSC's chairman

Signature

Remarks;

✓ This monitoring activity will be done in quarterly by extension workers. Besides, hand pump mechanics shall interview WSC when he/she monitor the caretaker.

✓ After monitoring, extension workers should submit this sheet to District Water Office(DWO) and DWO reports to Service Center

Appendix 4: The various formats on managing the Service Centre

Appendix 4-1 : The format of Monthly Report

**THE PROJECT FOR OPERATION AND MAINTENANCE OF RURAL WATER
SUPPLY AND IMPROVED HYGIENE AND SANITATION IN THE REPUBLIC OF
UGANDA**

MUBENDE RURAL WATER SUPPLY SERVICE CENTER

MONTHLY REPORT

[Name of staff of Service Center]

[Month Year]

Introduction

Repair of break downs

Table1 history of repair

No	Sub county	ID	Name	Cause of Break down	Type of repair	Details of repair done

Challenges

Recommendations

Appendix 4-2: The format of Quarterly Report

**MINISTRY OF WATER AND ENVIRONMENT
RURAL WATER SUPPLY AND SANITATION DEPARTMENT**



*Quarterly report for Mubende /Kassanda Service Centre activities conducted in the month of
[____, ____, ____] (quarter [year])*

Compiled
By
ADMINISTRATOR

INTRODUCTION

1. SOFTWARE REPORT

Below are the activities conducted in quarter one.

[Write the activities conducted in quarter]

[Example: (a) Accounting and finance, (b) Circumstances of DMS, (c) Monitoring Sunda, (d) Challenges, etc]

PHOTOS FOR THE ACTIVITIES

<i>Photo1:</i>	<i>Photo2:</i>

<i>photo3:</i>	<i>photo4:</i>

2. TECHNICAL REPORT

[Write the technical activities conducted in quarter]

[Example: (a)Records of Repairs], (b) Preventive Maintenance, (c) Challenges, etc.]

PHOTOS FOR THE ACTIVITIES

<i>Photo5:</i>	<i>Photo6:</i>

<i>Photo7:</i>	<i>Photo8:</i>

3. RECOMMENDATION

4. CONCLUSION

**Appendix 5: The various documents on managing the Service
Centre (Regulation, Manual etc.,)**

Appendix 5

Contents

Appendix 5 : The various documents on managing the Service Centre (Regulation, Manual etc.,)

5-1 : MoU and Contract

5-1-1 : Memorandum of Understanding for the Starting of District Direct Management System between the Sub-County Government and the Service Centre

5-1-2 : Contract for the Usage of Water Supply Facility Maintained by the Service Centre

5-1-3 : Minutes of Understanding between Water Sanitation Committee and Water Users

5-1-4 : Contract of The District Direct Management System between the Hand Pump Mechanics Association and the Service Centre

5-1-5 : Memorandum of Understanding for Operation and Maintenance of Water Facility

5-1-6 : Consent to Join District Direct Management System (DDMS)

5-2 : Regulation

5-2-1 : Accounting Regulation

5-2-2 : Budget Management Manual

5-2-3 : Code of Conduct and Ethics for the Service Center

5-2-4 : Duty Schedules of Staff of Service Centre

5-2-5 : Management Regulation of JMC

5-2-6 : Caretaker Register

5-2-7 : Employee Register

5-2-8 : Cash book

5-2-9 : Commercial User Register

5-2-10 : Record book of water user fees

5-2-11 : Record of water user fee collection

5-2-12 : Accounting Manual of the Service Center

5-2-13 : Bank account book

5-2-14 : Complaints & Feedback

5-2-15 : Staff Performance Appraisal Form for Mubende Rural Water supply Service Centre

5-2-16 : Record of key handling

5-2-17 : Water user list

5-2-18 : Human Resource Manual

5-2-19 : Public Communication Manual

5-2-20 : Operations and Maintenance Manual

5-2-21 : Internal audit Manual for the Service Centre

5-2-22 : Information Communication Technology Manual

5-2-23 : Board Manual for Mubende Service Centre

5-2-24 : Sexual Harassment Policy

5-2-25 : Roles and Responsibilities of the District Direct Management Players

5-2-26 : Criteria for Selection of Caretaker

5-2-27 : Water source Rules and Regulations

5-2-28 : Water user fee receipt

5-3 : Employee Agreement

5-3-1 : Employment Contract for Accountant

5-3-2 : Employment Contract for Administrator

5-3-3 : Employment Contract for Assistant Accountant

5-3-4 : Employment Contract for Caretaker

5-3-5 : Employment Contract for Head Technical Operations

5-3-6 : Hand Pump Mechanic

Appendix 5-1 : MoU and Contract

**Appendix 5-1-1: Memorandum of Understanding for the Starting
of District Direct Management System between
the Sub-County Government and the Service
Centre**

MEMORANDUM OF UNDERSTANDING FOR THE STARTING OF DISTRICT DIRECT MANAGEMENT SYSTEM BETWEEN THE SUB-COUNTY GOVERNMENT AND THE SERVICE CENTER

This memorandum is concluded to promote understanding of the roles and responsibilities of both parties between Mubende Sub-county Government (hereinafter referred to as “the Sub-county Government”) and the Mubende Rural Water Supply Service Center (herein after referred to as “the Service Center”) for the introducing of the District Direct Management System.

1. ROLE OF THE SUB-COUNTY GOVERNMENT (SENIOR ASSISTANT SECRETARY: SAS)

The Sub-county Government shall coordinate between the WSC and the Service Center about the tasks as follows;

- i. the Sub-county Government shall contact with each WSC on the usage of water supply facilities maintained by the Service Center and
- ii. the Sub-county Government shall oversee the signing the MoU between Water and Sanitation Committee and the Service Center, and make this MoU with the Service Center on the usage of water supply facilities maintained by the Service Center.
- iii. the Sub-county Government shall promote the communities to contract with Sub-county Government on the usage of water supply facility maintained by the Service Center.
- iv. the Sub-county Government shall submit the list of WSCs contracted with Sub-county to the Service Center when the list is updated.

2. RESPONSIBILITY OF THE SUB-COUNTY GOVERNMENT (SENIOR ASSISTANT SECRETARY: SAS)

SAS is responsible for the coordination of WSCs, monitoring of support from the Service Center, and activities of WSC trainings and awareness campaigns including hygiene and sanitation activities for water users.

The Sub-county Government has a responsibility to evaluate the monitoring sheet submitted by WSCs and report to Mubende District Local Government. The Sub-county Government has a right to audit WSCs’ activities as the occasion demands, and the Sub-county Government also has a right to implement the administrative guidance against the Service Center including the Caretakers and HPMS if necessary. The result of all activities defined by this paragraph shall be reported to Mubende District Local Government and relevant WSCs.

3. ROLE OF THE SERVICE CENTER

The service area of the Service Center includes the rural water points specified by each Sub-county in Mubende District. The Service Center shall implement the following works;

- i. maintain and rehabilitate water supply facilities in rural area,
- ii. implement full maintenance (regular maintenance, preventive maintenance, minor repair, and major repair),

- iii. collect water charges from water users directly as counter values on the full maintenance, and
- iv. work with Sub-county Government to implement awareness campaigns regarding safe water and H&S.

4. RESPONSIBILITY OF THE SERVICE CENTER

The Service Center is responsible for the operation, maintenance and management of rural water supply facilities in the Mubende District. The specific responsible activities of the Service Center are as below;

- i. preventive maintenance every six months at each water supply facility,
- ii. respond to the reported water supply failures,
- iii. ongoing awareness campaign for H&S for water users,
- iv. consultation and response on improving water supply facilities and functions for better improved service delivery. and
- v. Where necessary, upgrade existing water sources.

5. AMENDMENT

This Memorandum can be amended with the consultation of both parties, and no such amendment or modification of this Memorandum of Understanding shall be valid unless evidenced in writing and signed by duly authorized representatives of the Parties.

6. RESOLUTION OF DISPUTES

Resolution through Discussions; If any dispute or difference of any kind ("a Dispute") arises between the Service Center and the Sub-County in connection with, or arising out of, this Memorandum of Understanding, the Service Center and the Sub-County within 30 days shall attempt to settle such Dispute in the first instance through discussions under the presence of a representative of the Water Supply and Sanitation Board (WSSB) . The designated representatives of the Service Center and the Sub-County shall promptly confer and exert their best efforts in good faith to reach a reasonable and equitable resolution of such Dispute.

In the event that the dispute is not resolved within thirty (30) days, the aggrieved party/parties shall refer such a dispute to the Water Supply and Sanitation Board (WSSB) within fourteen (14) days after expiry of the said thirty (30) days.

7. APPENDIX

Form 1; Contract organize information table between the Sub-county Local Government and WSC

Name:

Name:

Signature:

Signature:

Date:

Date:

Senior Assistant Secretary,
Mubende Sub-county Government

Administrator,
Mubende Rural Water Supply Service Center

**Appendix 5-1-2: Contract for the Usage of Water Supply Facility
Maintained by the Service Centre**

CONTRACT FOR THE USAGE OF WATER SUPPLY FACILITY MAINTAINED BY THE
SERVICE CENTER

This CONTRACT FOR THE USAGE OF WATER SUPPLY FACILITY MAINTAINED BY THE SERVICE CENTER is made and entered into as of _____ by and between the Water and Sanitation Committee of _____ in _____ (the WSC) and _____ Sub-county Government (the S/C).

RECITALS

WHEREAS, the WSC desires to contract for the operation, maintenance, and management of the water facility by the Service Center,

WHEREAS, the S/C shall organize this Contract with the WSC based on the MoU with the Service Center for the usage of the water supply facility maintained by the Service Center,

WHEREAS, the Service Center has agreed to provide the service for the terms and conditions set forth in this Contract,

NOW THEREFORE, in consideration of the mutual covenants, undertakings and conditions set forth below, the receipt and sufficiency of which are hereby acknowledged, the parties hereby agree as follows:

ARTICLE 1

CONTRACT

Section 1.1 - *Contract*. This Contract consists of the terms and conditions set forth in the sections captioned by numbered article designations (“Articles”) and the following appendices, which is incorporated and made part this Contract by this reference and are included in any reference to this Contract.

Appendix A – CONTENTS OF MAINTENANCE SERVICE

Appendix B – MUBENDE RURAL WATER SERVICE CENTER REGULATION OF CERTAIN FEES
AND CHARGES FOR APPLICATION AND MEMBERSHIP.

If the terms and conditions of the Articles of this Contract vary or are inconsistent with any portion of the Appendices, the terms of the Articles of this Contract shall control and be given priority, and the provisions of the Appendices shall be subject to the terms of the Articles. This Contract contains the entire agreement between the parties and supersedes all prior agreements, whether oral or written, between the

parties with respect to the subject matter of this Contract. Neither party will be bound by or be deemed to have made any representations, warranties, commitments or other undertakings with respect to the subject matter of this Contract that are not contained in this Contract.

Section 1.2 - *Effective Date and Term*. This Contract shall be effective and shall govern the rights and obligations of the parties from _____ (the commencement date of the Service) for a period of one year.

Section 1.3 – *Relationship of the Parties*. The Service Center has been designated by the S/C as an independent contractor to maintain the water supply facility of the WSC. The WSC has delegated to the Service Center overall responsibility for maintaining the water supply facility of the WSC.

ARTICLE 2 DEFINITIONS

Section 2.1 - *Definitions*. Unless otherwise required by the context in which a defined term appears, the following terms shall have the meanings specified in this Article 2. Terms that are defined in other Articles shall have the meanings given to them in those Articles.

“Caretaker” means the caretaker who has contracted with the Service Center. Caretaker shall be selected from the candidates who are recommended by the WSC.

“Hand Pump Mechanic (HPM)” means the hand pump mechanic who has contracted with the Service Center or dispatched from the Service Center.

“The Service Center” means a semi-autonomous government agency based on the Statutory Instrument [Name of Statutory Instrument] issued by the Minister of Water and Environment dated on [the issued date of Statutory Instrument] under the current Water Act.

“Water Charge” means the payment of money which shall be paid by Water Users, who use the water facility maintained by the Service Center. The rate is regulated in “MUBENDE RURAL WATER SERVICE CENTER REGULATION OF CERTAIN FEES AND CHARGES FOR APPLICATION AND MEMBERSHIP”.

“Water Users” means all people, including water vender, who use the water facility maintained by the Service Center.

ARTICLE 3 SERVICES

Section 3.1 – *Scope of Maintenance Services*. The Service Center shall (i) maintain and rehabilitate water supply facilities in rural area, (ii) implement full maintenance (regular maintenance, preventive maintenance, minor repair, and major repair), and (iii) collect water charges from water users directly as counter values on the full maintenance.

Section 3.2 – *Personnel Standards of the Service Center*. The personnel provided by the Service Center shall be qualified to perform the duties to which they are assigned and shall meet any requirements for the Services under the Contract. All individuals employed by the Service Center to perform the Services shall be employees or contractors of the Service Center, and their working hours, rates of compensation and all other matters relating to their employment shall be determined solely by the Service Center. With respect to labor matters, hiring personnel, and employment policies, the Service Center shall comply with all applicable Laws.

Section 3.3 - *Compliance*. The Service Center shall comply with all Laws applicable to the operation and maintenance of the performance of the Services. The Service Center shall apply for and obtain, and the S/C shall assist the Service Center in applying for and obtaining, all necessary permits, licenses and approvals (and renewals of the same) required to allow the Service Center to perform the Services in the jurisdictions where the Services are to be performed.

Section 3.4 - *Service Records and Reports*. The Service Center shall maintain the operating records and reports that document the maintenance of the Service. The Service Center shall provide the WSC reasonably necessary assistance in connection with the WSC's compliance with reporting requirements. Such assistance shall include providing reports and records and other information that the WSC may reasonably request as to the Service.

ARTICLE 4

RESPONSIBILITIES OF THE WSC

Section 4.1 - *Responsibilities of the WSC*. The WSC shall have the responsibilities of (i) the coordination of Water Users, (ii) rule making on the usage of their water point, (iii) selection and recommendation of Caretaker, and (iv) monitoring Caretaker and the Service Center support activities.

Section 4.2 - *Responsibilities of Water Users*. Water Users shall make a payment of water charge to Caretaker employed by the Service Center in return for using the water supply facility maintained by the Service Center.

ARTICLE 5

COMPENSATION AND PAYMENT

Section 5.1 - *Payments*. As compensation to the Service Center for performance of the Services hereunder, Water Users shall pay Caretaker the water fees which are regulated in MUBENDE RURAL WATER SERVICE CENTER REGULATION OF CERTAIN FEES AND CHARGES FOR APPLICATION AND MEMBERSHIP.

ARTICLE 6

MONITIRING AND REPROTING

Section 6.1 – *Monitoring of Support from the Service Center by the WSC*. The WSC shall monitor and evaluate the support from the Service Center every 6 months in accordance with the monitoring sheet provided by Ministry of Water and Environment (MWE). The WSC shall submit the monitoring sheet to the S/C to improve the service quality from the Service Center.

Section 6.2 – *Feedback to the Water Users*. The WSC shall monitor and provide feedback to the Water Users on the payment, sanitation and hygiene regularly. The WSC shall disclose the monitoring sheets for Water Users after every monitoring activity.

Section 6.3 – *Monitoring of Support from the Service Center by the S/C*. The S/C shall evaluate the monitoring sheet submitted by the WSC and report to Mubende District Local Government.

Section 6.4 – *Accounts and Reports by the WSC*. The WSC (the secretary finance of the WSC) shall monitor of cash flow between Water Users, Caretaker, and the Service Center to secure the transparency and accountability of the collected water charges. The secretary finance shall witness the delivery of collected water charges from Caretaker to the staff of the Service Center monthly and check the account book with Caretaker and the staff of the Service Center. The secretary finance shall record the balance of water charges in accordance with the monitoring sheet provided by MWE and submit to the WSC. The WSC shall confirm it, and approve it if the WSC validates it.

Section 6.5 – *Accounts and Reports by the S/C*. The S/C has a right to audit the WSC's activities as the occasion demands, and the S/C also has a right to implement the administrative guidance against the Service Center includes Caretaker and HPM if necessary. The result of all activities defined by this section shall be reported to Mubende District Local Government and the relevant the WSCs.

ARTICLE 7

TERM AND TERMINATION

Section 7.1 – *Term*. Upon agreement of the WSC, the S/C, and the Service Center, the term written in Section 1.2 may be extended for one period of years each.

Section 7.2 – *Termination upon Notice by the WSC.* The WSC may terminate this Contract upon 30 days prior written notice to the S/C. In such a case, the WSC shall submit the reason statement to the S/C, and the S/C shall inform the Service Center promptly. If the Contract is terminated by the WSC pursuant to this Section 7.2, the Service Center shall be compensated for all reimbursable costs incurred by the Service Center.

Section 7.3 – *Termination upon Notice by the Service Center.* The Service Center may terminate this Contract upon 30 days prior written notice to the S/C, upon the occurrence of (i) the WSC does not pay monthly collected water charge to Caretaker by due date, (ii) collecting rate of Water Users is less than 50 %, (iii) Non-registered water user and/or water vender does not pay his/her water charge in spite of the countermeasures against the person in question, or (iv) other injustices are recognized.

ARTICLE 8

RESOLUTION OF DISPUTES

Section 8.1 - *Resolution through Discussions.* If any dispute or difference of any kind (“a Dispute”) arises between the WSC and the Service Center in connection with, or arising out of, this Contract, the WSC and the Service Center within 30 days shall attempt to settle such Dispute in the first instance through discussions under the presence of the S/C. The designated representatives of the WSC and the Service Center shall promptly confer and exert their best efforts in good faith to reach a reasonable and equitable resolution of such Dispute. If the parties are unable to resolve the Dispute using the procedure described in this section, either party may deliver notice to the other party of its intent to submit the Dispute to arbitration (“Arbitration Notice”). The Arbitration Notice shall include the specific issues concerning the Dispute which must be resolved by the arbitration.

Section 8.2 - *Arbitration.* Any Dispute arising out of, or in connection with, this Contract and not settled by the procedure prescribed in Section 8.1, shall (regardless of the nature of the Dispute) be finally settled in accordance with the arbitration of the Joint Management Committee (JMC).

Section 8.3 - *Continued Performance.* During the pendency of any arbitration, the Service Center and the WSC shall continue to perform their obligations under this Contract.

ARTICLE 9

MISCELLANEOUS ROVISIONS

Section 9.1 – *Force Majeure.* If either the WSC or the Service Center is rendered wholly or partially unable to perform its obligations under this Contratct (other than payment obligations) due to a Force Majeure Event, the party affected by such Force Majeure Event shall be excused from whatever performance is impaired by such Force Majeure Event, provided that the affected party promptly, upon

learning of such Force Majeure Event and ascertaining that it will affect its performance hereunder, (i) promptly gives notice to the other party stating the nature of the Force Majeure Event, its anticipated duration, and any action being taken to avoid or minimize its effect and (ii) uses its reasonable commercial efforts to remedy its inability to perform. The suspension of performance shall be of no greater scope and no longer duration than that which is necessary. No obligations of either party which arose before the occurrence causing the suspension of performance and which could and should have been fully performed before such occurrence shall be excused as a result of such occurrence. The burden of proof shall be on the party asserting excuse from performance due to a Force Majeure Event.

Section 9.2 – *Pollution of the water source*. If the pollution is detected from the water sources operated and maintained by the Service Center and the safe water supply becomes difficult, the Service Center may stop the service from the viewpoint of hygiene. In such a case, the S/C shall request the MWE to secure alternative water sources.

Section 9.3 - *Amendments*. No amendments or modifications of this Contract shall be valid unless evidenced in writing and signed by duly authorized representatives of the Parties.

IN WITNESS WHEREOF, the parties have executed this Contract through their duly authorized officers as of the date set forth in the preamble to this Contract.

Name:

Name:

Signature:

Signature:

Chairperson of the Water User Committee

Senior Assistant Secretary of

_____ Sub-county

WITNESS

WITNESS

Name:

Name:

Signature:

Signature:

Chief Administrative Officer of
Mubende District

Administrator of the Service Center

APPENDIX A CONTENTS OF MAINTENANCE SERVICES

The Service Center shall perform each of the services listed in this Appendix A in accordance with the roles and responsibilities of the District Direct Management System (DDMS).

1. Regular (daily) maintenance by Caretaker

The responsibility of Caretaker;

- 1) collect water user fees from Water Users and record the accounting book,
- 2) transfer the collected water user fees to the Service Center,
- 3) stay and control the water usage at his/her managed water point at the appointed time by WSC every day,
- 4) alert unpaid Water Users to pay a water user fees,
- 5) conduct regular (daily) maintenance at his/her managed water point,
- 6) conduct community sensitization,
- 7) report to the Service Center about the condition of water point and others, and
- 8) other activities which are determined as the working rule between the Caretaker and the Service Center.

The task of Caretaker;

- 1) unlock the source by the start of supply time,
- 2) clean drainage and hand pump surrounding before the supply time,
- 3) check all flange bolts and nuts for tightness,
- 4) check the handle axle nuts, chain bolt, and lock nut are tight,
- 5) check the water flow come during the first 5 strokes at the first use of the day,
- 6) grease the chain if the handle doesn't work smoothly,
- 7) repair wooden barand fence (if applicable),
- 8) lock the source after the supply time, and
- 9) fill the daily maintenance log of the water source.

2. Preventive maintenance by HPM

The responsibility of HPM;

- 1) preventive maintenance every six months for each source,
- 2) promote safe water and proper hygiene and sanitation in the community,
- 3) train and instruct the Caretaker, and
- 4) encourage communities to pay a water user fees.

The task of HPM;

- 1) dismantle above ground and below ground components and check everything,
- 2) replace rubber seatings (upper valve & lower valve), cup seals and sealing rings,
- 3) replace ball bearings,
- 4) replace and repair all other worn, rusted and missing parts, and
- 5) repair holes and cracks on pump foundation, pump platform and drainage, and
- 6) update/ fill the water point status report on every visited water source.

Hand Pump Facility Regular (Daily) Maintenance Check Sheet

Sub-county _____ Parish _____ Source name _____

Month / Year _____ Name of Caretaker _____ Name of HPM _____

Day	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	
Unlock the source by the start of supply time																																
Clean drainage and hand pump surrounding before the supply time																																
Check all flange bolts and nuts for tightness																																
Check the handle axle nuts, chain bolt, and Nyloc nut are tight																																
Check the water flow come during the first 5 strokes at the first use of the day																																
Grease the chain if the handle does not work smoothly																																
Repair wooden bar and fence (if applicable)																																
Lock the source after the supply time																																
Other notices	(Date and Comments)										(Date and Comments)										(Date and Comments)											

Hand Pump Facility Preventive Maintenance Record

Sub-county _____ Parish: _____

Source name _____ Date: _____

Name of HPM _____ Name of Caretaker _____

1. Replaced parts

Parts	Check	Comment
Upper Valve		
Lower Valve		
Cup Seals		
Sealing Rings		
Ball Bearings		
Pipes (if necessary)		
Rods (if necessary)		
Assembly (if necessary)		

2. Concrete Platform

Check	Item	Comment
	Pump Platform	
	Drainage	
	Pump Stand	

3. Additional necessary repair (request through the Service Center)

Check	Item	Specify
	Well Developing /De-sitting	

Approved by
Name and Title of WSC _____

Name and Title of Sub-county _____

MUBENDE RURAL WATER SERVICE CENTER
REGULATION OF CERTAIN FEES AND CHARGES FOR
APPLICATION AND MEMBERSHIP
(Current as of October 1st, 2017)

The following is an explanation of some of the fees and charges associated with application for membership and membership with the Mubende Rural Water Supply Service Center (“the Center”). The following are currently in force, but they are subject to change by the Center in accordance with the Joint Management Committee established by the Minister of Water and Environment dated on August 25th, 2017 under the current Water Act.

A. Hand Pump Facility

A.1. Application Fee

The application fee for using a hand pump facility is not charged to any water users. Every water users are able to use a hand pump facility with the payment of monthly water user fees by household or each fetch. However, in case the water user has a will to pay monthly water user fees by household, he/she has to contract with the Water and Sanitation Committee (“WSC”) as a registered water user to use their managed hand pump facility.

The commercial users, who is selling water as his/her business by taking the water from hand pump facility managed by the Center, he/she is able to register to WSC as a water vender without any application fee. However, the water vender is not able to use their hand pump facility without registration to WSC.

A.2. Contribution on the Rehabilitation of Hand Pump Facility

The contribution on the rehabilitation of hand pump facility is not necessary due to the implementation of full maintenance of hand pump facility by the Center. However, the water users have to pay a water userfees monthly or every fetch instead of the payment of contribution on the rehabilitation of hand pump facility.

A.3. Rate of Water User Fees

Every water users have to pay the water user fees as indicated below;

- i) UGX 2,000- per household as a monthly water user fees for registered water users to WSC,
- ii) UGX 50- per 20 liter for non-registered water users to WSC, and

- iii) water user fees for commercial users shall be decided and agreed by WSC in each community.

WSC shall identify and exempt the vulnerable members of community from contributing water charges.

A.4. Unpaid/Overdue Water Fees

WSC has to decide the due date for the monthly payment of water fee and the water user and water vendor have to pay his/her water user fees to the caretaker contracted with the Center by the defined due date.

Non-registered water user also has to pay his/her water user fees monthly by the defined due date depending on his/her consumption of water. The caretaker records every his/her fetch.

In case water user and/or commercial user does not pay the designated water user fees by the defined due date, the caretaker reports to the Center and WSC. The Center and WSC will discuss and take countermeasures against the person in question.

A.5. Usage of Collected Water Fees

The Center can use the collected water user fees for the following purposes in accordance with the Joint Management Committee established by the Minister of Water and Environment dated on August 25th, 2017.

- i) preventive maintenance and major/minor repair,
- ii) tools, equipment and materials for the activities of Service Center,
- iii) spare parts of pump,
- iv) salary and allowance for staff of the Service Center,
- v) remuneration for the temporary staff of Service Center,
- vi) running cost and consumables,
- vii) depreciation of equipment and assets of the Service Center and water supply facilities,
- viii) fuel,
- ix) improvement/upgrading of water supply facility, and
- x) construction of new water supply facility.

(END)

**Appendix 5-1-3: Minutes of Understanding between Water
Sanitation Committee and Water Users**

Minutes of Understanding between Water Sanitation Committee and Water Users

Since we (Water Users) understand the concept of District Direct Management System, we agree that the Service Center will manage the water source, and we hope to use that water source.

Date of sensitization: _____

_____ Sub-county _____ Parish _____ Village

Name of Water Source: _____ DWD No. _____,

Deep /Shallow No. _____ Tap/ GFS No. _____

WSC chairperson name and signature: _____

No.	Name of Water User	Signature
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		
11		
12		
13		
14		
15		

Appendix 5-1-4: Contract of The District Direct Management System between the Hand Pump Mechanics Association and the Service Centre

**CONTRACT OF THE DISTRICT DIRECT MANAGEMENT
SYSTEM BETWEEN THE HAND PUMP MECHANICS
ASSOCIATION AND THE SERVICE CENTER**

THIS CONTRACT (this "Agreement") is made this _____ day of _____ between the Mubende Rural Water Supply Service Center (hereinafter referred to as the Employer) represented by the Administrator, Mr./Ms. _____ and Mubende Hand Pump Mechanics Association (hereinafter referred to as "the HPMA"), upon the terms and conditions as set forth hereunder.

The purpose of this contract is to establish a formal working relationship between the HPMA, Hand Pump Mechanics (hereinafter referred to as "HPM") and the Mubende Rural Water Supply Service Center (hereinafter referred to as "the Service Center") under the newly introduced District Direct Management System (hereinafter referred to as "DDMS").

1. OBLIGATIONS OF HPMA

HPMA as an association in Mubende District whose membership is comprised of HPMS operating in the district shall have the following obligations under this contract;

- i. submit their member list of HPMS to the Service Center,
- ii. manage the duty of HPM in order to complete the tasks effectively and efficiently,
- iii. assign the HPM to repair the broken handpump each time the Service Center requests for dispatch,
- iv. collect completion report of maintenance/ repair signed by Water and Sanitation Committee (hereinafter referred to as "WSC") and the Caretaker from each HPM, and
- v. confirm the accuracy of the completion report of maintenance/ repair and submit it to the Service Center before the end of each month.

2. OBLIGATIONS OF HPM

HPM shall be responsible for carrying out the proper maintenance and repair of water supply facilities as follows;

- i. preventive maintenance/minor service every six months for each source,
- ii. promote safe water and proper hygiene and sanitation in the community,
- iii. train and instruct the Caretaker,
- iv. when completing the maintenance and/ or repair, obtain the completion report of maintenance/ repair signed by WSC and the Caretaker,

- v. submit the completion report of maintenance/ repair to HPMA on a timely basis, and
- vi. report failure of water supply facility to HPMA and the Service Center when identified.
- vii. Training of Caretakers – HPMs shall train caretakers as new sources are sensitized by extension workers and join DDMS. HPMs shall contact Service Center before training caretakers for confirmation and preparation.
- viii. Monitoring of Caretakers: HPMs shall conduct monitoring of caretakers on a quarterly basis using the Monitoring Sheet developed by the Service Center.

3. RESPONSIBILITIES OF THE SERVICE CENTER

The service area of the Service Center includes the rural water points specified by each Sub-county in Mubende District. The Service Center shall be responsible for the implementation of the following works;

- i. rehabilitate and maintain water supply facilities in rural area,
- ii. implement full maintenance (regular maintenance, preventive maintenance, and minor repair),
- iii. collect user fees from water users directly as counter values on the full maintenance, and
- iv. work with Sub-county Government to implement awareness campaigns regarding safe water and H&S.

4. OBLIGATIONS OF THE SERVICE CENTER

The Service Center is responsible for the operation, maintenance and management of rural water supply facilities under DDMS in the Mubende District Local Government. Under this contract, the obligations of the Service Center are as follows;

- i. request HPMA to dispatch HPM for preventive maintenance every six months at each water supply facility,
- ii. request HPMA to dispatch HPM for repair on the day the Service Center is informed of malfunction or the next working day,
- iii. pay 90% of the labor charge per repair work¹ to the HPM upon completion of the repair work and withhold 10% of the labor charge for every repair done as contribution to HPMA,
- iv. pay the withheld 10% from each repair work¹ to the HPMA at the end of each month,

¹ Repair work is categorized as either minor service or major service. The details of what constitutes minor and major service and the fee payable for each is shown in Appendix 1

- v. transport the HPM to the broken hand pump site, and
- vi. provide spare parts and other supplies for each HPM to perform repair and preventive maintenance.

5. FEES AND PAYMENT TERMS

Fees payable

Upon completion of the repair work, the Service Center will pay the HPM for each of the various services as summarized in the table below

Service to be performed	Extent of work	Transport Allowance	Labor Fee
Minor Service (Repair)	As defined in Appendix 1	N/A (Service Center will transport HPM to the site.)	25,000 UGX/service
Major Service (Repair)	As defined in Appendix 1	N/A (Service Center will transport HPM to the site.)	70,000 UGX/service
Preventive Maintenance	As defined in Appendix 1 (all items under minor service)	20,000 UGX/day	25,000 UGX/service
Training / Monitoring of Caretakers	As defined under 2(vii) and 2(viii) above	20,000 UGX/day	12,000 UGX/day

Terms of payment

- 10% of all payments made for labor charge will be withheld and remitted to HPMA as HPM’s contribution to the association.
- Payment shall be made in cash directly to the HPM who will acknowledge receipt.

6. AMENDMENT

This contract can be amended by the consultation between HPMA and the Service Center.

7. TERMINATION

The contract shall terminate upon receipt of two (2) months prior written notice from the Service Center or HPMA.

8. DISPUTE RESOLUTION

In the unlikely event of disputes between the Service Center and the HPMA, such disputes shall be settled amicably in accordance with the Arbitration and Conciliation Act, 2000.

9. APPENDICES

Appendix 1: Description of minor service/preventive maintenance and major service.

Name: _____

Signature:

Date: _____

Chairman,

Mubende Hand Pump Mechanics Association

Name: _____

Signature:

Date: _____

Administrator,

Mubende Rural Water Supply Service Center

MEANING OF MINOR SERVICE/PREVENTIVE MAINTENANCE AND MAJOR SERVICE

Repair work that constitutes minor service

1. Ensuring the handpump and the surrounding area are clean.
2. Ensuring the handpump drainage is working properly.
3. Lubrication of parts.
4. Tightening loose bolts, nuts, etc.
5. Making sure all nuts, bolts and washers are in position.
6. Ensuring water discharge is satisfactory.
7. Fixing shaky handle.
8. Replacing above ground components of handpump
9. Checking for cracks in platform and, if present, recommending repairs to Service Center.
10. Ensuring that Soak-away is working and, if not, recommending repairs to Service Center.

The above items 1-10 shall constitute the Checklist that the HPM will use when performing preventive maintenance i.e. HPM will ensure that the conditions of all the above items are checked and repaired where necessary.

Repair work that constitutes major service

Major service refers to work that involves pulling out rods and insides of pump cylinder including:

1. Checking condition of rods and centralisers
2. Checking condition of water tank and riser pipe holder
3. Pulling out plunger, checking valve assemblies and replacement
4. Checking and replacing pump buckets, upper and lower rubber seatings and 'O' ring.
5. Reinstalling the plunger and rods.

COMPLETION REPORT OF SERVICE

To Hand Pump Mechanic Association and Service Center

Document No. _____

We, _____ Water and Sanitation Committee, confirmed the completion of
 Minor Service/ Major Service/ Preventive Maintenance/ Training or Monitoring of
Caretakers of the following water supply facility;

Village; _____ Parish; _____

Sub-County; _____

Name of HPM; _____ National ID No. _____

Name of well; _____

DWD No. _____ Well No. _____

Tap/ GFS No. _____

Duration of work; from _____ / _____ / _____ to _____ / _____ / _____

Date of completion; _____ / _____ / _____

Name: _____

Signature:

Date: _____

Chairperson,
_____ Water and Sanitation Committee

Name: _____

Signature:

Date: _____

Caretaker

RESULT OF PREVENTIVE MAINTENANCE

Inspection Items	Condition (check)			Remarks
	Good	Improved	Need Repair	Taken Measures/ Remaining Problem
1. Ensuring the handpump and the surrounding area are clean.				
2. Ensuring the handpump drainage is working properly.				
3. Lubrication of parts.				
4. Tightening loose bolts, nuts, etc.				
5. Making sure all nuts, bolts and washers are in position.				
6. Ensuring water discharge is satisfactory.				
7. Fixing shaky handle.				
8. Replacing above ground components of handpump.				
9. Checking for cracks in platform and, if present, recommending repairs to Service Center.				
10. Ensuring that Soak-away is working and, if not, recommending repairs to Service Center.				

<u>Name of MPM</u>	<u>Name of Caretaker</u>	<u>Name of WSC chairperson</u>
<u>Signature</u>	<u>Signature</u>	<u>Signature</u>
<u>Date</u>	<u>Date</u>	<u>Date</u>

Hand Pump Facility Regular (Daily) Maintenance Check Sheet

Sub-county _____ Parish _____ Source name _____

Month / Year _____ Name of Caretaker _____ Name of HPM _____

Day	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31			
Unlock the source by the start of supply time																																		
Clean drainage and hand pump surrounding before the supply time																																		
Check all flange bolts and nuts for tightness																																		
Check the handle axle nuts, chain bolt, and Nyloc nut are tight																																		
Check the water flow come during the first 5 strokes at the first use of the day																																		
Grease the chain if the handle does not work smoothly																																		
Repair wooden bar and fence (if applicable)																																		
Lock the source after the supply time																																		
Other notices	(Date and Comments)																																	
	(Date and Comments)										(Date and Comments)										(Date and Comments)													

**Appendix 5-1-5: Memorandum of Understanding for Operation
and Maintenance of Water Facility**

MEMORANDUM OF UNDERSTANDING FOR OPERATION AND MAINTENANCE OF WATER FACILITY

This MEMORANDUM OF UNDERSTANDING FOR OPERATION AND MAINTENANCE OF WATER FACILITY (“MoU”) is made and entered into as of _____ by and between the Service Center, Mubende (“The Service Center”), and the Water and Sanitation Committee of _____ (“The WSC”).

WITNESSETH:

WHEREAS, The Service Center provides the operation and maintenance service which is defined as the role of the District Direct Management System (“DDMS”) to the rural water supply facility (“The Facility”).

WHEREAS, The WSC consigns to the Service Center about the operation and maintenance of the Facility which is named _____.

NOW, THEREFORE, in consideration of the mutual covenants hereinafter contained, the parties agree as follows:

ARTICLE 1. AGREEMENT

- 1.1 This MoU is the agreement concerning the operation and maintenance of the rural water supply facility signed between the Service Center established as the service provider in DDMS demonstrated in the pilot subprogram of The Project for Operation & Maintenance for Rural Water Supply and Improved Hygiene and Sanitation (“The Project”), and the WSC.
- 1.2 This MoU is effective from _____ and valid for one year. As long as there is no indication from either party of the intention to terminate, this MoU will be automatically renewed.

ARTICLE 2. DEFINITIONS

“**The Caretaker**” has the responsible role of daily maintenance of the Facility. The Caretaker is deployed to the Facility by the Service Center and his/her remuneration is provided by the Service Center. The Caretaker is trained by the hand pump mechanic (“the HPM”) using the DDMS training manual.

“**DDMS**” is the abbreviation of District Direct Management System. It is a new operation and maintenance system for rural water supply facilities. DDMS is the demonstration experiment in Mubende district as the pilot subprogram of the Project.

“**The HPM**” has undergone training of trainers according to the DDMS training manual and has responsibility for preventive maintenance, other repair work for the Facility, and the Caretaker training. Remuneration for HPM's work is paid by the Service Center.

“**The Preventive Maintenance**” is a service provided by the Service Center. The Preventive Maintenance will be implemented by trained HPM once every six months. The Service Center pays the cost of Preventive Maintenance to the Facility. The money for this service is obtained from the Water Charge collections. It is expected that The Facility upon receiving Preventive Maintenance will have its functionality guaranteed for at least 6 months of normal usage.

“**The Service Center**” is the service provider defined in DDMS. The Service Center is established under

the power of Water Act (Sections 50, 51, and 52) and is directed by Water Supply and Sanitation Board here in referred to as the Joint Management Committee (“the JMC”).

“**The Service Hour**” refers to the operational hours of the Service Center. The service hour is from 8 AM to 5 PM each working day. The working day does not include Saturdays, Sundays and national holidays.

“**The Water Charge**” refers to the user fee that the Caretaker will collect and remit to the Service Center every month less Caretaker’s commission. The water users shall pay water fees to the Caretaker at the rates that will be communicated by the Service Centre through the WSC. The Facility that is paid the Water Charge will be provided the service from the Service Center.

“**The WSC**” is the abbreviation of Water and Sanitation Committee which is appointed on behalf of the water user group. The WSC receives training from the Sub-county extension workers and the HPM to promote DDMS.

ARTICLE.3. SCOPE OF SERVICE

3.1 The scope of work provided by the Service Center is (i) the daily maintenance by the Caretaker, (ii) the preventive maintenance by the HPM, and (iii) other repairs in case of malfunction of the Facility.

3.2 The daily maintenance by the Caretaker includes the Facility patrols, the Facility cleaning, collection of water fees from water users, contact with the Service Center in case of malfunction, and report of requests of water users to the Service Center. The services provided by the Caretaker are included in the Water Charge. The caretaker enforces the water source rules and regulations set by WSC.

3.3 The Preventive Maintenance by the HPM shall be held every six months. The Preventive Maintenance includes adjustment of hand pump and replacement of deteriorated or worn out parts due to normal use. The services provided by the HPM are included in the Water Charge.

3.4 The other repair of malfunction of the Facility shall be operated as below;

If the Service Center is informed of the breakdown of the Facility within the Service Hours, the Service Center dispatches HPM to the Facility on the same day or the next working day to repair the malfunction in principle, and the WSC will be continuously informed on the status of the repair works.

ARTICLE 4. RESPONSIBILITY OF THE WSC

The responsibility of the WSC includes (i) management of the change of residents (new and moved residents) and notification to the Caretaker, (ii) making of water fee rules (fee setting for reduction and business, etc.) and encouragement of payment, (iii) making the rules regarding usage of the Facility, (iv) monitoring of the work of Caretaker and the HPM. WSC shall implement bylaws with support from the Sub-county.

ARTICLE 5. RENEWAL AND TERMINATION

This MoU will be renewed automatmaically every one year, as long as there is no indication from either party of the intention to terminate. In case of desire by one party to terminate this MoU, it shall be submitted to the other party at least one month before the termination date in writing.

ARTICLE 6. MODIFICATION OF THIS MEMORANDUM OF UNDERSTANDING

Any modification and/or alteration of this Memorandum of Understanding shall be by mutual agreement of all parties and shall be made in writing.

The Service Provider

Name: _____

Signature: _____

For Mubende Water Supply Service Center

WITNESS

Name: _____

Signature: _____

For District Water Office, Mubende District

The Customer

Name: _____

Signature: _____

For Water and Sanitation Committee

WITNESS

Name: _____

Signature: _____

For _____ Sub-county

Appendix 5-1-6: Consent to Join District Direct Management System(DDMS)

CONSENT TO JOIN DISTRICT DIRECT MANAGEMENT SYSTEM(DDMS)

To: Service Center

Sub-county _____ Parish _____ Village _____

Name of Water Source: _____ DWD No. _____

Deep /Shallow No. _____ Tap/ GFS No. _____

Contact person: _____ Tel: _____

Date	Sensitization Activity	Signature (Extension Worker)	Signature (Community Chairperson)

- We agree to join to DDMS with subscribers.
- We agree to organize WSC by the date scheduled for WSC training.
- We agree to select 3 caretaker candidates for an interview.
- We agree to pay the water user fee of 2,000 Ush per month per household.
- We agree to decide on the water user fee for Commercial Users (categorized groups of people who over use the water facility) like brick makers, Irrigation, water vender, watering animals and construction purpose and to pay the water user fee.

We are fully informed about the District Direct Management System (DDMS) and understand the above. By signing this consent form, we agree to follow the necessary steps as above and the Service Center will manage the water source, and we shall use the above water source.

- We don't participate in DDMS.

Community chairperson name

Signature

Date

WSC chairperson name

Signature

Date

Appendix 5-2 : Regulation

Appendix 5-2-1: Accounting Regulation

ACCOUNTING REGULATIONS

SECTION 1: GENERAL RULES

(Purpose)

Article 1 These regulations are set forth for the purpose of the accurate and speedy processing of the Service Center accounting, in accordance with generally accepted accounting principles, and in order to clarify the Service Center's fiscal status and management performance.

(Treatment Principles)

Article 2 Accounting work must be done in accordance with the regulations set forth herein. The accountant as set forth in Article 4 shall provide direction when following these regulations is difficult, or for items not set forth herein.

(Fiscal Year)

Article 3 The fiscal year shall start July 1st and finish June 30th.

(Accounting Manager)

Article 4 The overall responsibility for accounting work shall be borne by the accountant, or by the designated proxy of the same in his or her absence.

(Document Storage)

Article 5 Storage of documents created based on these regulations shall be the responsibility of the accountant, who shall also dispose of documents at the conclusion of their storage period. The storage period of documents shall be as determined by laws and regulations.

(Alterations to Regulations)

Article 6 Alterations to these regulations shall be approved by the Joint Management Committee (JMC).

SECTION 2: ACCOUNTING CATEGORIES AND ACCOUNTING STANDARDS

(Accounting Categories)

Article 7 Service Center accounting shall be organized according to the following accounting categories.

1. Balance sheet items
2. Profit and loss items

(Treatment of Accounting Categories)

Article 8 Treatment of accounting categories shall be as governed by "The Public Finance Management Act, 2015".

(Accounting Standards for Sales and Purchases)

Article 9 Sales and purchases shall be recognized in accordance with accounting standards set forth by "The Public Finance Management Act, 2015".

SECTION 3: ACCOUNTING STANDARDS

(Types of Accounting Vouchers)

Article 10 Types of accounting vouchers are as follows.

1. Receipt slip
2. Payment slip
3. Sales voucher
4. Purchase voucher (bill of delivery)

(Alterations to Accounting Voucher Formats)

Article 11 Alterations to formats of accounting slips and vouchers shall be approved by Administrator.

(Types of Account Books)

Article 12 Account books shall be classified into general ledger and sub-ledger.

(Posting in Account Books)

Article 13 Postings in account books shall be done based on accounting slips and vouchers.

(Updating of Account Books)

Article 14 Account books shall in principle be prepared every fiscal year.

SECTION 4: FINANCIAL ACCOUNTING

(Scope)

Article 15 Cash and cash equivalent, deposits, and other items that fall into these categories. Others that have the same function as money shall be treated in the same manner.

(Classification of Responsibilities)

Article 16 Responsibilities for cash managements are as follows.

1. Administrator
Administrator with jurisdiction over running the Service Center shall be responsible for cash managements.
Administrator shall designate an accountant and an assistant accountant for cash management to perform cash receipts and payments, and shall have overall responsibility for that work.
2. Accountant
The accountant shall have direct responsibility for cash receipts and payments.
3. Assistant accountant
The assistant accountant shall have day-to-day responsibility for cash receipt and payment.
Cash management work shall be done by the administrator, accountant, and assistant accountant.

(Receipts)

Article 17 Receipt of cash must be done with the signature of the assistant accountant of the service center, caretaker and secretary of finance of the water user group on validating documents.

(Payments)

Article 18 Payment of cash shall be done based on the signature of the accountant on validating documents, and

appropriate documents, such as receipts, must be received by the vendors/ suppliers.

(Payment Dates)

Article 19 Payment of cash shall in principle be done on a specific date.

(Balance Confirmation)

Article 20 The assistant accountant shall reconcile the following in order to confirm balance of cash, and submit a result of reconciliation to the accountant. The accountant shall check the result of reconciliation and approve it.

1. Cash balances shall be reconciled with the ending balance in cash ledger after making daily cashier.
2. Bank deposit balances shall be reconciled with the ending balance in bank deposit ledger on the last day of the month on a monthly basis.

(Excess or Insufficient Monies)

Article 21 In the event of excesses or shortages of cash due to overpayments, embezzlement, loss, etc., the accountant shall without delay identify the cause, and report the cause to the administrator, following instructions as to measures.

The administrator shall take into consideration the gravity of the aforementioned report, and any important items shall be handled upon the decision of JMC.

SECTION 5: INVENTORY ASSET ACCOUNTING

(Scope)

Article 22 Inventory assets refer to spare parts and tools.

(Classification of Responsibilities)

Article 23 Responsibility for inventory managements are as follows.

1. Administrator

Administrator with jurisdiction over running the Service Center shall be responsible for inventory managements.

Administrator shall designate Head Technical Operations and a Hand Pump Mechanic for inventory management to perform receive, delivery and store inventories.

2. Head Technical Operations

Head Technical Operations shall have direct responsibility for inventory management work.

3. Hand Pump Mechanic (HPM)

HPM has day-to-day responsibility for inventory management.

(Management of Inventory Assets)

Article 24 The Senior HPM responsible for inventory assets shall strictly manage storage, and must ensure there is no theft or loss. In the event of theft or loss, the Senior HPM must report to the accountant.

The accountant shall consider the gravity of the aforementioned report, and take necessary action.

(Purchase Arrangements)

Article 25 Purchases of inventory assets shall in principle be performed with the purchase order process specified by the Senior HPM.

(Acceptance)

Article 26 Acceptance of inventory assets shall in principle be performed by HPM according to the delivery notes. The result of acceptance of inventory assets shall be approved by the Senior HPM.

(Delivery)

Article 27 Delivery from a storage shall be performed based on a delivery request form signed by the Senior HPM.

(Management of Inventory Assets)

Article 28 Inventory assets shall be managed according to item types or categories.

(Inventory Taking Method)

Article 29 Inventory taking methods shall include book inventory taking and physical inventory taking.

1. Book inventory taking is a method of valuing the inventory assets balances according to an inventory asset ledger.

2. Physical inventory taking is a method of valuing inventory assets balances by physical inventory taking.

(Timing of Inventory Taking)

Article 30 Physical inventory taking shall be taken at the end of every month.

(Implementation of Inventory)

Article 31 The Senior HPM shall reconcile the result of physical inventory taking against the ending balance of inventory assets in inventory asset ledger.

Physical inventory taking must be done accurately to ensure no double-counting or missed inventory. Should quantities of physical inventory taking be found to be in excess or loss, the reasons for such excess or loss shall be ascertained. A report made to the Senior HPM, whose instructions shall be followed in the matter.

SECTION 6: RECEIVABLES AND LIABILITIES ACCOUNTING

(Awareness of Receivables and Liabilities)

Article 32 Receivables and liabilities shall be recorded and summarized by customer and vendor/ supplier from the date of originate to the date of completion, and the accountant shall recognize and manage the same.

(Collection of Receivables)

Article 33 Collection of receivables shall be done by the caretaker. Uncollected over due date receivables shall be managed as appropriate by the accountant.

(Settlement of liabilities)

Article 34 Settlement of liabilities shall be done by payment according to the Service Center's payment terms.

(Confirmation of Receivables and liabilities)

Article 35 The accountant shall reconcile receivables and liabilities balances with the third party, and in addition to continually having a correct understanding of balances, must endeavor to prevent long-term receivables.

(Allowance for Doubtful Receivables)

Article 36 The Accountant shall appropriately estimate uncollectible receivables and provide for bad receivable

allowance.

SECTION 7: FIXED ASSET ACCOUNTING

(Scope)

Article 37 Within this process, fixed assets are as follows.

1. Tangible fixed assets: buildings and attached equipment, machinery and devices, vehicles and transportation equipment, tools and fixtures
2. Intangible fixed assets: software, etc.

(Acquisition Costs)

Article 38 Total purchase cost of fixed assets and related costs shall be considered acquisition costs of fixed assets.

(Depreciation)

Article 39 Depreciation of fixed assets shall be calculated annually based on the acquisition cost of Article 38.

SECTION 8: BALANCE SHEET ACCOUNTING

(Types of Closing of Accounts)

Article 40 Closing of accounts is on monthly, quarterly, and annual basis.

(Types of Financial Reports)

Article 41 The following documents are for monthly, quarterly, and annual financial report.

1. Balance sheets
2. Profit and loss statements
3. Other documents

Reporting documents for annual financial reports are set forth by law as follows.

1. Finance reports as set forth in "The Public Finance Management Act, 2015".
2. Other materials

The following documents are for quarterly financial reports.

1. Finance reports as set forth in "The Public Finance Management Act, 2015".
2. Other materials

SECTION 9: BUDGET ACCOUNTING

(Purpose)

Article 42 Budgets are based on management plans and coordinate the management activities of each division.

They are a means of pursuing profits and controlling expenditures, and have the purpose of improving management efficiency.

(Regulations)

Article 43 Budget accounting and budget management are performed in accordance with the separate document, "Budget Management Regulations".

May 10, 2017

SUPPLEMENTARY PROVISIONS

These regulations shall be implemented beginning of August 2017

Appendix 5-2-2: Budget Management Manual

BUDGET MANAGEMENT REGULATIONS

SECTION 1: GENERAL PROVISIONS

(Purpose)

Article 1 These regulations are set forth for budget accounting and budget management, per the stipulations of “Accounting Regulations”.

(Budget Period)

Article 2 The period of the budget shall correspond to the Service Center’s fiscal year, and shall be for one year.

SECTION 2: MANAGEMENT ORGANIZATION

(Accounting Officer)

Article 3 The Accounting Officer of budget management shall be Administrator.
The administrator shall have overall responsibility for deciding upon budget compilation policies and effect their implementation.

(Overall Manager)

Article 4 The executive of budget management shall be Accountant.
The accountant must perform all necessary actions related to budget management, including compilation of the budget for which they are responsible, providing direction, analysis of difference between budget and actuals, etc.

(Budget Deliberation Meeting)

Article 5 The administrator may organize a budget deliberation meeting to discuss draft budgets.
The accountant shall report on draft budgets in the budget deliberation meeting, and provide overall management.

SECTION 3: ORGANIZATION

(Budget Compilation Policy)

Article 6 The administrator shall decide upon budget compilation policies based on the profit plan and profit goals.
The accountant shall collect and submit information for drafting budget compilation policies and perform all necessary items.

(Compilation, Coordination, and Decision-making of Budget)

Article 7 The accountant shall coordinate each budget based on budget compilation policies, and must prepare the draft budget.
Draft budget shall be deliberated in Budget Deliberation Meetings, and Joint Management Committee (JMC) shall make final decisions after a deliberation.

(Budget Document)

Article 8 The administrator shall distribute the decided budget to JMC and the Service Center as budget documents.

SECTION 4: IMPLEMENTATION AND MANAGEMENT

(Budget Implementation and Management)

Article 9 The accountant has responsibility for executing and managing budgets.

(Prohibition of Non-Budget Transactions)

Article 10 The Service Center may not make any transactions without budgets.

Budget rollovers shall in general not be allowed.

Budget misappropriations shall in general not be allowed.

(Amendment of Budgets)

Article 11 Amendment of Budgets shall in general not be allowed.

The accountant may follow the procedure for budget amendment based on the budget compilation process when it becomes necessary to make an amendment to an original budget due to changing circumstances after an original budget has been set.

(Budgetary Variance Analysis)

Article 12 The accountant shall constantly compare projected figures in budgets and actual figures, and must make a budgetary variance analysis.

The administrator shall comprehensively make a budgetary variance analysis, and must report the result of an analysis to JMC.

SUPPLEMENTARY PROVISIONS

These instructions shall be implemented beginning of August 2017

**Appendix 5-2-3: Code of Conduct and Ethics for the Service
Centre**

May 3, 2017

Mubende Rural Water Supply Service Center

**THE CODE OF CONDUCT AND ETHICS
FOR THE SERVICE CENTER**

1. PREAMBLE

The aim of this Code of Conduct and Ethics is to provide general guidance to the staff of the Service Center in their relationships and dealings with water users, caretakers, commercial users. It compliments existing laws, regulations, guidelines and professional codes of conduct issued for the purpose of prescribing acceptable standard of behavior and conduct in the Service Center. Provision has also been made for appropriate sanctions to be applied where the staff of the Service Center's conduct is found to be inconsistent with the Code.

2.1 APPLICATION OF THE CODE OF CONDUCT AND ETHICS AND DEFINITIONS

2.1 Application of the Code

- i) This Code of Conduct and Ethics is applicable to persons working tin the Service Center.
- ii) The Code shall be reinforced by professional Codes of Conduct and Ethics for Public Service prevailing in Uganda.
- iii) Information on the Code shall be made available to all staff of the Service Center.

2.2 DEFINITIONS

In this Code, unless the context otherwise requires;

Bribe	Means any gratification as an inducement to or a reward for otherwise on account of any public officer for doing or forbidding to do anything in respect of any matter or transaction whatever, actual or proposed in which the public body is concerned. It is anything offered or given to or given out by a staff of the Service Center to gain favor and influence in a particular case.
Code	Means the Code of Conduct and Ethics for the staff of the Service Center. Conduct means behavior, attitude and character exhibited by a staff of the Service Center within and outside the working environment.
Conduct	Means behavior, attitude and character exhibited by a staff of the Service Center within and outside the working environment.
Conflict of interest	Refer to a situation where a staff of the Service Center has got to make a decision between his or her personal interest and public interest
Employer	Means sub-county government
Ethics	Means a code of morals applicable in the service provided by the Service

	Center.
Family member	Means a staff of the Service Center's spouse, biological children or legally adopted children.
Gift	Means any present, donation, grant or favor whether monetary or in kind or any other gain of a personal nature given as an appropriation after a service has been rendered.
Interdiction	Means temporary stoppage of a staff of the Service Center from exercising the powers and functions of his or her office to pave away for investing of a case.
Sexual harassment	Means conduct of a sexual nature that affect the dignity of women and men, which is unwelcome, irritating, unreasonable and offensive to the recipient. Such a conduct may be explicit, verbal or non-verbal or implicit and creates an intimidating, hostile or humiliating working environment for the recipient.

3.0 GUIDING PRINCIPLES OF THE CODE OF CONDUCT AND ETHICS

The Code of Conduct and Ethics is based on the following principles;

Accountability	A staff of the Service Center shall hold office in public trust and shall be personally responsible for his or her actions or inactions.
Decency	A staff of the Service Center shall present himself or herself in a respectable manner that generally conforms to morally accepted standards and values of society.
Diligence	A staff of the Service Center shall be careful and assiduous in carrying out his or her official duties.
Discipline	A staff of the Service Center shall behave in a manner as to conform with the rules, regulations and the Code of Conduct and Ethics for the staff of the Service Center generally and codes of professional conduct for the specific professions.
Effectiveness	A staff of the Service Center shall strive to achieve the intended results in terms of quality and quantity in accordance with set targets and performance

standards set for service delivery.

Efficiency	A staff of the Service Center shall endeavor to optimally use resources including time in the attainment of organizational objectives, targets or tasks.
Impartiality	In carrying out his or her business, a staff of the Service Center shall give fair and unbiased treatment to all water users and caretakers irrespective of gender, race, religion, disability or ethnic background. A staff of the Service Center shall make choices based solely on merit.
Integrity	A staff of the Service Center shall be honest and open in conducting his or her working and affairs.
Loyalty	A staff of the Service Center shall be committed to the policies and regulations of the Service Center.
Professionalism	A staff of the Service Center shall adhere to the professional codes of conduct, exhibit high degree of competence and best practices as prescribed for in a given profession in the service Center
Selflessness	A staff of the Service Center shall not put his or her own interest before the public interest. He or she would not take decision in order to gain financial and other benefits.
Transparency	A staff of the Service Center shall be as open as possible about all the decision and action taken. He or she must always be prepared when called upon to give reasons for the decision he or she has taken.

4.0 WORK ETHICS

4.1 Attendance to duty

- i) A staff of the Service Center shall observe the official working days in accordance with the regulations and shall always be available for official duty when called upon.
- ii) A staff of the Service Center shall without exception perform his or her duty in a manner that hat conveys professionalism, respect and conforms to morally accepted standards.
- iii) A staff of the Service Center shall commit working hours to official duties.

- iv) A staff of the Service Center in position of authority shall exercise such authority with due diligence and trust and shall demonstrate a high standard of performance of duty and conduct.
- v) A staff of the Service Center shall be results-oriented and committed to the performance of his or her duties.
- vi) A staff of the Service Center shall set clear standards of performance that water users can reasonably expect

4.2 Time management

- i) A staff of the Service Center shall have strict regard to the working hours. He or she shall not come late to the office meetings and official functions without reasonable case.
- ii) A staff of the Service Center shall endeavor to accomplish planned activities on time. He or she shall desist from engaging in behavior or conduct that disrupts or interferes with the work of other officers, such as, but not limited to;
 - a) Being lazy and idle at work.
 - b) Full time reading newspaper, keeping radio loud as to disrupt concentration, playing computer/ smart phone games or surfing the internet irresponsibly. The only exceptions are training related television and video programs, video conferencing, open and distance learning.
 - c) Transaction private business in office and during office hours.
 - d) Engaging in private conversation and gossip during working hours.

4.3 Absence from duty

- i) A staff of the Service Center shall seek and obtain permission from his or her supervisor to be absent from duty. Permission shall not be unreasonably denied or granted.
- ii) A staff of the Service Center shall, during official working hours, report his or her absence from office to his or her immediate supervisor or relevant persons.

4.4 Sexual Harassment

- i) A staff of the Service Center shall avoid unethical and unbecoming behavior such as use of rude, abusive and obscene language, indecent dressing, hard supervision and sexual suggestive gestures which constitute sexual and hence a violation of violation of human rights.
- ii) A staff of the Service Center shall not subject others or be subjected to conduct of a sexual nature affecting his or her dignity, which is unwelcome, unreasonable and offensive to the recipient.

- iii) A sexual suggestive and offensive behavior may manifest itself in such forms;
 - a) An employee being forced to choose between acceding to sexual demands or losing job benefits (sexual blackmail).
 - b) Verbal and non-verbal sexually offensive behavior exhibited by colleagues (or even customers)
- iv) A staff of the Service Center who is subjected to sexual harassment overtures shall report such a case with the adduced evidence, where applicable, to the Administrator that is responsible for investing civil and criminal officers with a view to obtaining redress.
- v) A staff of the Service Center who has lodged any complaint regarding sexual harassment using the established complains procedure shall not be unduly victimized.
- vi) Remedies for sexual harassment shall be those prescribed under the civil or criminal laws.

4.5 Water user Care

A staff of the Service Center shall serve water users with fairness, transparency, promptness, clarity, respect and courtesy with a view to ensuring water user satisfaction and enhancing the image of the Service Center.

Therefore, a staff of the Service Center;

- i) Serve every water user in a professional manner in accordance with Code.
- ii) Not discriminate or harass any customer and ensure that the services are available and applied equally to all.
- iii) Accord courtesy, empathy and fairness to all water users with special attention to persons with disabilities, the aged, sick and expectant mothers.
- iv) Respond to all water users' requests with promptness and clarity.
- v) Uphold team and advance the public good for efficient service delivery.

4.6 Conflict of interest

- i) In the execution of Service Center's business, a staff of the Service Center shall not put himself or herself in a position where his or her personal interest conflicts with his or her duties and responsibilities. The staff of the Service Center is required to inform his or her supervisor of the nature and extent of his or her interest.
- ii) A staff of the Service Center shall not either directly or indirectly enter into any contacts with (local) government. This is unethical since it affects the impartiality of the Service Center and mars his or her reasonable judgement.
- iii) Any staff of the Service Center infringing this regulation shall be liable to disciplinary action.

4.7 Financial Credibility

A staff of the Service Center shall not engage in any arrangement that would cause him or her financial embarrassment, e.g. bankruptcy.

4.8 Communication of Information

4.8.1 Secrecy and Confidentiality

- i) A staff of the Service Center shall continue to maintain secrecy and confidentiality of information which is acquired in the course of his or her duty even after he or she has left the Service Center, Such information shall not at any point in time be used against the Service Center.
- ii) A staff of the Service Center shall not at any time engage himself or herself in loose talk and make unguarded statements.

4.8.2 Publishing of Official Information

A staff of the Service Center shall not publish any official information in any document, article, book, play, film or otherwise without explicit permission form the Join Management Committee (JMC).

4.8.3 Communication to the Press

- i) A staff of the Service Center shall not communicate with the media on issues related to work or official policy without due permission from the authorizing officer.
- ii) Official information will be released to the media by administrator who has been authorized to do so according to the laid down procedures.

4.8.4 Anonymous Communication

A staff of the Service Center is prohibited from writing or disseminating anonymous and malicious letters and printing of graffiti intended to demean the image of the Service Center.

4.8.5 Use of official information for personal gain

A staff of the Service Center shall not use official information acquired in the course of Service Center's duties to advance personal gain.

4.8.6 Chain of Command

A staff of the Service Center aggrieved by the decisions or actions of his or her immediate

supervisor shall follow the established disputes and settlement procedure in seeking redress.

4.9 Removal, destruction or altering of records

A staff of the Service Center shall not, without the permission of the administrator immediately in change, wilfully remove, destroy or alter public records from the office to which they belong or from any other office premises.

4.10 Accountability

A staff of the Service Center shall hold office in public trust and shall be accountable to the public. He or she shall be accountable for all resources under him or her as follow;

4.10.1 Financial

- i) A staff of the Service Center shall ensure proper and frugal utilization of public funds and value for money.
- ii) A staff of the Service Center shall at all times promptly account for any financial resources entrusted to him or her in accordance with the financial regulation.

4.10.2 Service Center's Property/ Assets

A staff of the Service Center shall safeguard the Service Center's property/ assets entrusted to him or her and shall ensure that no damage, loss or misappropriation occurs in the process of procurement, storage, utilization and disposal.

4.10.3 Human Resource

- i) A staff of the Service Center shall ensure that staff under his or her supervision have clear job descriptions and understand the scope of their work.
- ii) A staff of the Service Center shall, without favor, support staff under his or her supervision to enhance their competencies and self-development
- iii) A staff of the Service Center shall ensure respect for subordinates, colleagues and supervisors.

4.10.4 Administrative

- i) A staff of the Service Center shall be accountable both for actions and inactions through normal tiers of authority and will adhere to meritocratic principles in decision making.
- ii) Where a staff of the Service Center believes that he or she is being required to act in any way which is inconsistent with this Code he or she shall refrain and report the JMC.

4.11 Handling of Gifts, Bribes, Favors and Presents by a staff of the Service Center

4.11.1 Gifts

- i) A staff of the Service Center or any member of his or her family shall not solicit or accept valuable gifts, presents, hospitality gratuity or favor or other benefits, if he or she has reason to believe that the acceptance of such gifts, presents and other benefits is bound to influence his or her judgement or action in a matter he or she is dealing with or handle in future.
- ii) A staff of the Service Center shall not give such gifts to influence the judgement or action of another person in his or her favors.
- iii) A staff of the Service Center who, in the course of discharging his or her duties, receives any gifts or other benefits of a value of UGX_____above from any one source shall disclose that gift or benefit to JMC.
- iv) A staff of the Service Center may accept or give a gift if the gift is in the nature of a souvenir or ornament and does not exceed UGX_____
- v) A staff of the Service Center may accepts personal gift or donation from a relative or personal friend for such an extent and on such occasion as is recognized by custom.

4.11.2 Bribes

- i) A staff of the Service Center who his or her personal or official capacity, demand, accepts or gives any bribe or is an agent of any person who intends to influence him ore her or another officer is in breach of this Code.
- ii) A member who corruptly gives promises or offers any gift or present or reward or gratuity to any staff of the Service Center as an inducement is guilty of a misdemeanor and shall be dealt with in accordance with the laws of Uganda.

4.12 Dress and Appearance

For the promotion and projection of a good image of the Service Center, a staff of the Service Center shall at all times dress appropriately and appear decent and respectable in a way that is generally acceptable.

4.12.1 Mode of Dress

A staff of the Service Center shall dress in a manner that is acceptable.

5.0 ENGAGEMENT OF PUBLIC OFFICERS IN POLITICAL ACTIVITIES

A staff of the Service Center may participate in politics within the provisions of the law, rules and regulations. He or she shall avoid in particular;

- i) Engaging in active politics.
- ii) Canvassing political support for candidates.
- iii) Participating in public political debates.
- iv) Displaying party symbols.

Where the staff of the Service Center's conduct is found to be inconsistent with the code, the relevant laws and regulations shall apply.

6.0 SANCTIONS

Unethical conduct by a staff of the Service Center shall not be accepted. Sanctions for any breach of this Code shall be those prescribed by the laws and regulations in Uganda.

Depending on the gravity of the offence or misconduct, the following penalties shall apply;

- i) Warning or reprimand.
- ii) Suspension of increment.
- iii) Withholding or deferment of increment.
- iv) Stoppage of increment.
- v) Surcharge or refund.
- vi) Making good of the loss or damage of Service Center's property/ assets.
- vii) Interdiction from duty with half pay.
- viii) Reduction in rank.
- ix) Removal from the Service Center.
- x) Dismissal.

7.0 REWARDS

- i) An appropriate reward and recognition shall be accorded to a staff of the Service Center who exhibits good ethical conduct.
- ii) A reward shall be accorded to a staff of the Service Center by the administrator.
- iii) The rewards shall include; but not limited to;
 - a) Word of recognition of good performance
 - b) Open praise
 - c) Challenging work assignment normally done by seniors
 - d) Letter of commendation
 - e) Presents
 - d) Mementoes
 - g) Certificate of merit

- h) Concessionary trips
- i) Cash bonuses
- j) Salary increments
- k) Award of medals

8.0 OBLIGATIONS OF _____ SUB-COUNTY GOVERNMENT

While a staff of the Service Center is expected to observe the Code, _____ sub-county government as the employer has the following obligations as laid down in the statutory instrument issued by the Ministry of Water and Environment dated on _____ under the Water Act and the relevant laws;

- i) To provide satisfactory, safe and healthy working environment
- ii) To ensure equal pay for work of equal value
- iii) To ensure that employees are accorded rest and reasonable working hours and periods of holidays with pay as well as remuneration for public holidays.
- iv) To protect the Service Center's right, including the right to withdraw labor in accordance with the law.
- v) To accord protection to female workers during pregnancy and after birth.
- vi) To provide a staff of the Service Center with the necessary tools, equipment and gear for performance of his or her duties.

SUPPLEMENTARY PROVISIONS

These regulations shall be implemented beginning of August 2017

Appendix 5-2-4: Duty Schedules of Staff of Service Centre

DUTY SCHEDULES OF STAFF OF SERVICE CENTER

1. Purpose

The purpose of this regulation is to smoothly operate tasks between the Mubende Rural Water Supply Service Center (hereinafter referred to as “the Service Center”) and the staff of the Service Center.

2. Scope of the regulation

This regulation will cover the rules and responsibilities between the Service Center and the staff of the Service Center.

3. Devotion and confidentiality

The staff of the Service Center shall be obliged to devote himself/herself to his or her duties to keep secrecy.

The staff of the Service Center shall be results-oriented and committed to the performance of his or her duties.

4. Duty of loyalty

The staff of the Service Center shall be obliged to obey the working regulation and execute his or her duties with loyalty and candor.

The staff of the Service Center shall be committed to the relevant policies and regulations of the Service Center.

The staff of the Service Center shall be honest and open in conducting his or her working and affairs.

5. Rules and Responsibilities of each staff of the Service Center

The staff of the Service Center shall be employed by the Joint Management Committee of the Service Center (hereinafter referred to as “JMC”) to control the water facilities managed by the Service Center. The major responsibilities of each staff of the Service Center are as follows;

5.1 Administrator

The administrator shall have the overall responsibility for running the Service Center. He or she will give overall guidance and direction to the staff of the Service Center as well as coordinate between them. The administrator is responsible for the following works;

- i) coordinates the activities of the Service Center to ensure that all of rural water supply facilities are kept in a well maintained and operational manner in accordance with performance targets set by the Service Center,
- ii) responsible for the recruitment of staff at the Service Center,
- iii) ensures staff report to work promptly and offer courteous service to their clients,
- iv) ensures the staff of the Service Center compile daily logs of all issues handled at the Service Center,
- v) ensures the staff of the Service Center compiles monthly reports detailing the nature of service requests brought to the Service Center and the status of their resolution, status of spare part supplies procured and utilized during the month,
- vi) manages the staff of the Service Center to ensure the communication between the Service Center and WSCs/Water Users,
- vii) establishes the policy on budget compilation and submit a draft budget to Joint Management Committee of the Service Center (hereinafter referred to as “JMC”), and
- viii) reports the result of a budgetary variance analysis to JMC.

5.2 Accountant

The accountant is responsible for handling all the accounting functions of the Service Center as follows;

- i) processes salary and allowance payments to the staff of the Service Center as well as payment of invoices for supplies to the Service Center,
- ii) maintains a proper book of accounts for the Service Center and ensure that all transactions at the Service Center are managed in accordance with accounting rules and accountability procedures,
- iii) manages petty cash and other recurrent expenses of the Service Center,
- iv) manages operational expenses including fuel, repair costs, etc.,
- v) executes and manages the budget in a proper manner, and
- vi) constantly compares projected figures in budgets and actual figures, and make a budgetary variance analysis.

5.3 Assistant Accountant

The assistant accountant is responsible for the collection of water user fees, payment for the Caretakers and the procurement and management of spare parts supplies at the Service Center as follows;

- i) prepares a collecting plan of water charges and collects water charges from the Caretakers,
- ii) reconciles between the cash on hand and the cash balance in the accounting ledger on daily basis,
- iii) prepares a procurement plan for the purchase of spare parts and other supplies required at the Service Center on a monthly, quarterly or bi-annual basis, or as may be agreed upon with the administrator, and
- iv) ensures that there is adequate stock of spare parts at the Service Center at all times.

5.4 Head Technical Operations

The head technical operations is responsible for instructing and monitoring all the repair requirements/ needs of the rural water points including jurisdiction of the Service Center.

- i) prepares a maintenance plan of water supply facilities including schedules for preventive maintenance,
- ii) coordinate activity of Hand Pump Mechanics employed by the Service Center,
- iii) prepare performance/ activity report,
- iv) controls the requisition of spare parts and service tools by staff of the Service Center, and
- v) supports the procurement of quality spare parts and other supplies in a cost effective manner.

5.5 Hand Pump Mechanic (HPM)

HPM is responsible for carrying out the proper maintenance and repair of water supply facilities as follows;

- i) works the preventive maintenance every six months for each source,

- ii) promotes safe water and proper hygiene and sanitation in the community,
- iii) trains and instructs the Caretakers,
- iv) encourages communities to pay a water charge, and
- v) routine check on facilities.

HPM shall record the result of maintenance and repair of water supply facilities and submit them to the Head Technical Operations after the works.

5.6 Other Staffs

The Service Center shall be able to employ other staff if necessary. The administrator shall have authority over personnel issues, though the employment of other staff shall be needed to obtain the approval of JMC in advance.

6. Working Hours

The working hours of the staff of the Service Center is decided by the Service Center in advance. The designated working hours is indicated in the Employment Agreement of the Service Center.

The staff of the Service Center shall have strict regard to the working hours. He or she shall not come late to the office meetings and official functions without reasonable case.

7. Payment of Remuneration

The Remuneration is composed of a basic salary, allowances and any other privilege provided for the staff of the Service Center.

$$\boxed{\text{Remuneration} = \text{basic salary} + \text{allowances}}$$

The calculation term of the remuneration is 1st of this month through the last day of this month and the Service Center shall pay the remuneration a month to the staff of the Service Center at the 28th of the month. When payment date falls on holiday, it will be paid on the day before holiday.

The Service Center will pay the remuneration and allowances described in chapter 8. to the bank account which the staff of the Service Center designated.

The Service Center will deduct the following items from the remuneration;

- i) individual income tax (PAYE)
- ii) local service tax

- iii) social insurance (NSSF)
- iv) other deduction items which is subject to law/ regulation

When the staff of the Service Center takes an unpaid leave, the Service Center will deduct it from the basic salary.

$$\text{Unpaid leave} = \text{basic salary} / \text{scheduled working days} * \text{unpaid working days}$$

When the staff of the Service Center enters or leaves the Service Center, remuneration of the month will be paid at a daily rate.

$$\text{Daily rate} = \text{basic salary} / \text{scheduled working days} * \text{actual working days}$$

8. Payment of Allowance

The calculation term of the allowances is 1st of the month through the last day of the month and the Service Center has to pay the allowances a month to the staff of the Service Center at the 28th of the month.

The Service Center has to pay the following allowances a month to the staff of Service Center.

- i) Overtime allowance

The Service Center has to pay overtime allowance when the Service Center requests him or her overtime working.

weekday: over time on weekday is calculated based on following formula.

$$\text{Overtime allowance} = \text{basic salary} / \text{scheduled working days} * \text{over time hour(s)} / 8$$

holiday: over time on holiday is 112% of that on weekday.

- ii) Business trip allowance

The staff of the Service Center is entitled to receive business trip allowance amounting to UGX _____ when traveling for six hours or more in any one day.

- iii) Night allowance

The staff of the Service Center is entitled to receive night allowance amounting to UGX _____ per night when working in redious of Kilometers from distant Mubende headquarter.

- iv) Out of station/ Safari day allowance

Day allowance is an allowance which the staff of the Service Center may claim when he or she is absent except for regular duties from duty station within Uganda for a period of six hours or more in any one day, although he or she may return to the duty station the same day.

In order to claim the allowance, the staff of the Service Center must travel a distance of 40 kilometers or more from his or her station by the most direct route.

9. Paid holiday

The Staff of the Service Center is entitled to have a paid holiday on an annual basis. The annual paid holidays are as follows;

Administrator Head Technical Operations Accountant	3 days per month
Assistant Accountant Hand Pump Mechanic	2 and half days per month

The staff of the Service Center must apply the paid holiday to the administrator in advance to get his or her approval.

10. Maternity leave

A female staff of the Service Center regardless of status and terms of service is entitled to sixty (60) working days of maternity leave on full pay.

A female staff of the Service Center should be allowed to on maternity leave, when she is between 36 and 38 weeks pregnant as determined by the Service Center.

11. Paternity leave

After a wife of the staff of the Service Center has had a delivery or miscarriage, the staff of the Service Center shall immediately be entitled to four (4) working days of paternity leave on full pay.

12. Dismissal

In case the Service Center detects the following situation, the Service Center shall recommend to the JMC to dismiss the staff of the Service Center.

- i) illegal or fraudulent procedure by the staff of the Service Center is detected,
- ii) unserious work behavior and lack of commitment of the staff of the Service Center is found
- iii) physical disorder of the staff of the Service Center is found and,
- iv) lack of competence of the staff, he or she cannot accomplish the tasks.

Prior to making the determination of the dismissal, the Service Center shall investigate the situation of the staff of the Service Center and report the result to JMC. The staff of the Service Center has a right to raise an appeal to JMC. JMC may deliberate on the advocacies between both sides and resolve the decision to caution or suspend the staff of the Service Center.

The Service Center will proclaim the dismissal of his or her duties within two (2) month prior written notice. dismissal of his or her duties within two (2) month prior written notice.

13. Collection of Water User Fees

At every water point, there shall be a portable cashbox with a depositor record card. The card shall be filled with the amount formed at every visit by the assistant accountant and jointly signed by the Caretaker, Secretary Finance of the WSC and the assistant accountant. The card shall at all times be in the portable cashbox.

The assistant accountant of the Service Center has to visit the Caretaker once every month and the assistant accountant of the Service Center opens a portable safety box in the presence of the secretary finance of water users group. All of them have to confirm the amount of collected water charges and records of account book together, and the Caretaker transfers the collected water charges to the assistant accountant of the Service Center. The assistant accountant of the Service Center has to issue a delivery note of transferred water charges to the Caretaker. The secretary finance of water users group signs on to a delivery note as a witness.

The assistant accountant of the Service Center has to transfer the collected water charges to the Service Center's account by bank remittance at the nearest bank branch office on the same date of collecting. The assistant accountant of the Service Center shall submit the bank statement to the accountant of the Service Center. The accountant of the Service Center shall confirm the bank statements and the amount of money received, and shall report it to the administrator of the Service Center every month.

When the Caretaker does not collect monthly charge per household from the Water Users, the Caretaker shall summarize it as an uncollectible list and report the list to the Service Center. The accountant inform the HPM of uncollected water user fees to enhance communities to pay a water

user fees.

14. O&M of water supply facilities

The service area of the Service Center in Mubende District Local Government is the rural water point specified by Mubende District Local Government. The Service Center shall implement the following works;

- i) maintain and rehabilitate water supply facilities in rural area,
- ii) implement full maintenance (regular maintenance, preventive maintenance, minor repair and major repair),
- iii) collect water charges from water users directly as counter values on the full maintenance on behalf of the JMC,
- iv) support sub-county governments to implement awareness campaign regarding safe water and H&S,
- v) upgrade and/or construct a water supply facility if necessary, and
- vi) consult new water supply facilities.

The Service Center is responsible for the operation, maintenance and management of rural water supply facilities in Mubende District Local Government. The specific responsible activities of the Service Center are as follows;

- i) preventative maintenance every six months at each water supply facility,
- ii) response to water supply failures within 24 hours,
- iii) ongoing awareness campaign for H&S for water users, and
- iv) consultation and response on improving water supply facilities and functions.

15. Accountability and transparency of the Service Center

All the transactions of the Service Center shall be managed in accordance with the established accounting regulations. The accountant of the Service Center shall control and manage all the accounting services of the Service Center.

To ensure the transparency and accountability of accounting function, the Service Center shall be subject to audit in accordance with the audit charter as agreed JMC. In addition, the staff of the Service Center shall be as open as possible about all the decision and action taken. He or she must always be prepared when called upon to give reasons for the decision he or she has taken.

16. Amendment

May 10, 2017

This regulation can be amended by the consultation between the Service Center and the authorization from the JMC.

SUPPLEMENTARY PROVISIONS

This instruction shall be implemented beginning of August 2017

Appendix 5-2-5: Management Regulation of JMC

MANAGEMENT REGULATION OF JOINT MANAGEMENT COMMITTEE

(Purpose)

1. This regulation is set forth for ways of management of Joint Management Committee (herein after refer to as "JMC"), and the purpose of proper and smooth processing of the JMC.

(Members of JMC)

2.1 The JMC will execute the functions of the Board of the Service Center and shall be composed of all directors and will decide on significant matters regarding execution of duties at the center.

2.2 Each director shall monitor execution of duties by each other.

2.3 The director shall attend the JMC and address opinions.

(Attendance other than director)

3. The JMC shall request a person other than director to attend their board meeting and to address opinions and/or explanations.

(Types of the JMC Meetings)

4.1 The JMC shall have both regular JMC meetings and extraordinary JMC meetings.

4.2 The regular JMC meetings shall be held 4 times a year on quarterly basis.

4.3 The extraordinary JMC meetings shall be held on the basis of a request.

(Convocation)

5.1 The JMC meeting shall be convoked by the Board Chairperson. When the Board Chairperson is absent, the Vice Chairperson shall convoke the JMC.

5.2 When the JMC meeting is convoked, convocation notice described below shall be sent out to each board member one (1) week before the meeting.

- i. date and time of the meeting
- ii. meeting venue
- iii. purpose of the meeting

5.3 When all directors agree to hold the JMC, the procedure described in 5.2 shall be omitted

(Chairman)

6. The Board Chairperson shall chair the board meetings. When the Board Chairperson is absent, the Vice Chairperson shall chair the meeting.

(Resolution)

7. The resolution of the JMC meeting shall be decided by a simple majority.

(Matters of resolution)

8. The JMC meeting shall decide on the following matters;
- i. the execution of duties of the JMC,
 - ii. selection and dismissal of the Board Chairperson and the Vice Chairperson,
 - iii. approval of financial statement and budget of the Mubende Rural Water Supply Service Center,
 - iv. management system for Mubende Rural Water Supply Service Center, and
 - v. matters to be required by laws and regulations.

(Minutes of JMC meeting)

9.1 The JMC shall prepare the minutes of JMC meeting which will be distributed to members for review before signature.

9.2 All the board members who attended the JMC meeting shall bear signature on the minutes of the JMC meeting.

(Amendment)

10. This regulation shall be amended by a resolution of the JMC.

Appendix 5-2-6: Caretaker Register

Appendix 5-2-7: Employee Register

Appendix 5-2-8: Cash book

Cash Book

FY 2017

Jul

#	Date		Description	Type		Cash In	Cash Out	Balance
	Month	Day		1:Project	2:Service Center			
	Jul	1	Beginning Balance			100,000		100,000
1	Jul		Loarn from MWE	1:Project		300,000		400,000
2	Jul		Water user fee		2:Service Center	500		400,500
3	Jul		Withdraw from bank		2:Service Center		600	399,900
4	Jul		Loarn from MWE	1:Project		50,000		449,900
5	Jul		Water user fee		2:Service Center	800		450,700
6	Jul		Prepayment for service p	1:Project			300	450,400
7	Jul		Purchase of fuel	1:Project			200	450,200
8	Jul		Bank transfer		2:Service Center		400	449,800
9	Jul		Return of prepayment #6	1:Project		100		449,900
10	Jul		Water user fee		2:Service Center	500		450,400
11	Jul		Salary for accountant		2:Service Center		300	450,100
12	Jul		Purchase of office supply	1:Project			500	449,600
13	Jul		Water user fee		2:Service Center	200		449,800
14	Jul		Withdraw from bank	1:Project		400		450,200
15	Jul		Water user fee		2:Service Center	300		450,500
16	Jul		Salary for administrator		2:Service Center		500	450,000
17	Jul							450,000
18	Jul							450,000
19	Jul							450,000
20	Jul							450,000
21	Jul							450,000
22	Jul							450,000
23	Jul							450,000
24	Jul							450,000
25	Jul							450,000
26	Jul							450,000
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34	Jul							450,000
35	Jul							450,000
36	Jul							450,000
37	Jul							450,000
38	Jul							450,000
39	Jul							450,000
40	Jul							450,000
41	Jul							450,000
42	Jul							450,000
43	Jul							450,000
44	Jul							450,000
45	Jul							450,000
46	Jul							450,000
47	Jul							450,000
48	Jul							450,000
49	Jul							450,000
50	Jul							450,000
			Ending Balance			452,800	2,800	450,000
				Total		352,800	2,800	0

<Recap> (Beginning balance)

1:Project	70,000
2:Service Center	30,000
Total	100,000

<Recap> (Ending balance)

1:Project	419,500
2:Service Center	30,500
Total	450,000
Check !	0

<Recap>

1:Project	350,500	1,000
2:Service Center	2,300	1,800
Check !	0	0

Appendix 5-2-9: Commercial User Register

Appendix 5-2-10: Record book of water user fees

Record book of water user fees

No. 1 Name : Jackline Nakasaga Water user fee : 2,000UGX

Service Date: 15th

Date	Month	Paid amount Payment amount	Balance	Sign	
				User	Caretaker
			2000		
15	January	200	1800		
20	January	100	1700		
22	January	100	1600		
24	January	200	1400		
29	January	300	1100		
2	February	200	900		
5	February	100	800		
8	February	200	600		
11	February	100	500		
14	February	200	300		
	Total	1700	300		
		Payment amount	2300		
15	February	300	2000		
17	February	200	1800		
20	February	100	1700		
25	February	200	1500		
28	February	200	1300		
1	March	200	1100		
4	March	100	1000		
6	March	200	800		
10	March	300	500		
13	March	100	400		
	Total	1900	400		

Instruction to make format:

1. Write the user No. and user name according to the water user list
2. Draw the line as above and make format.(add lines below in every payment for 1 month)
3. After finish 1 month, add the balance of previous month and water user fee for this month in next month

At the payment:

1. Write the date and month when user pay water user fee to caretaker.
 2. Write the payment in "Paid amount".
 3. Calculate the balance and write it in "Balance".
- *Balance = Balance of previous line - Paid amount of today
4. Confirm "Paid amount" and "Balance" with user and caretaker, and they write the signature.

Date	Month	Paid amount Payment amount	Balance	Sign	
				User	Caretaker
			2400		
15	April	200	2200		
20	April	100	2100		
22	April	100	2000		
24	April	200	1800		
29	April	300	1500		
2	May	200	1300		
5	May	100	1200		
8	May	200	1000		
11	May	300	700		
14	May	700	0		
	Total	2400	0		
		Payment amount	2000		
15	May	300	1700		
17	May	200	1500		
20	May	100	1400		
25	May	200	1200		
28	May	200	1000		
1	June	200	800		
4	June	100	700		
6	June	200	500		
10	June	300	200		
13	June	200	0		
	Total	2000	0		

Appendix 5-2-11: Record of water user fee collection

Appendix 5-2-12: Accounting Manual of the Service Centre

Accounting Manual of the Service Center

-Introduction

1. Title

This manual may be cited as Accounting Manual of the Service Center.

2. Commencement

This manual shall come into force on the 1st day of July, 2017.

3. Application

This manual shall apply to all procedures regarding accounting process in the Service Center.

4. Modification

This manual shall be modified by administrator and accountant of the Service Center as needed.

-Abbreviations and acronyms

AA	Assistant Accountant
HPM	Hand Pump Mechanic
HTO	Head Technical Operations
JMC	Joint Management Committee
WSC	Water and Sanitation Committee

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1. Annual

1.1. Annual Budget

In the 1st week of April, Accountant shall prepare Draft Estimated Actual Annual Performance/Result in comparison with budget below:

- (a) Sales (User Fee Collection);
- (b) Remuneration to Caretaker;
- (c) Salary to HTO/HPM;
- (d) Salary to Administrator, Accountant and AA;
- (e) Maintenance Expenses; and
- (f) Others

AA shall support Accountant preparing it. Accountant submit it to Administrator. Administrator shall have interview with Caretaker, HTO, Accountant and AA about their performance/result in comparison with budget. After that, Administrator shall scrutinize the reason of fluctuation it and submit Estimated Actual Annual Performance/Result to JMC. JMC shall check it and prepares Next Year Basic Policy. JMC submit it to Service Center. Administrator shall check Next Year Basic Policy and submit it to Caretaker, HTO, Accountant and AA have interview with them.

HTO shall prepare and submit Draft Annual Maintenance Plan to Administrator. Administrator shall check it and submit it to Accountant. Accountant compile the budget.

In accordance with Next Year Basic Policy and Annual Maintenance Plan Accountant shall prepare Draft Annual Budget below:

- (a) Sales (Water Fee Collection);
- (b) Remuneration to Caretaker;
- (c) Salary to HTO/HPM;
- (d) Salary to Administrator, Accountant and AA;
- (e) Maintenance Expenses; and
- (f) Others

AA shall support Accountant preparing it. Accountants shall submit it to Administrator. Administrator shall check it. Administrator shall add notes of interview with employees on it and submit Draft Annual Budget and notes to JMC. JMC shall check and approve it as Annual Budget. JMC submit it to Administrator.

In the last week of May, Administrator shall receive Annual Budget from JMC and submit it to Accountant.

Accountant shall prepare Draft Annual Operational Plan according to Annual Budget and submit it to Administrator. Administrator shall check it and prepare Annual Operational Plan and submits it to Accountant.

From the 1st of July, Service Center shall implement Annual Budget according to Annual Operational Plan.

1.2. Annual Closing

In preparation of Annual Closing, in the 3rd week of June, AA shall prepare for Physical Inventory Taking and Cash Inspection. (Refer “Physical Inventory Manual” and “Cash Inspection Manual”.) In the last week of June, AA shall take Physical Inventory Taking with HTO and take Cash Inspection. Accountant shall make journalizing of them as needed. Administrator shall approve the journalizing.

For Annual Closing, in the 1st week of July, Accountant shall prepare Closing Journalizing List. Closing Journalizing contains: e.g. Cash Inspection and Check Cash Balance; Reserve Allowance and Provision; Calculate Depreciation of Cars, Equipment, etc.; Calculate Deferred and Accrued Accounts; Reconcile provisional receipts and payments; Reconcile Sales, Expenses; and etc. AA shall support Accountant preparing all these procedures for Annual Closing.

Accountant shall prepare Accounts Details List, Tax Payment, and Trial Balance.

In the last week of July, Accountant shall complete set of Financial Statements below:

- (a) A statement of financial position;
- (b) A statement of financial performance;
- (c) A statement of changes in net assets/equity;
- (d) When the entity makes publicly available its approved budget, a comparison of budget and actual amounts either as a separate additional financial statement or as a budget column in the financial statements.
- (e) Notes, comprising a summary of significant accounting policies and other explanatory notes; and
- (f) Comparative information in respect of the preceding period as specified in paragraphs 53 and 53A of IPSAS 1.

Accountant shall submit them to Administrator. Administrator shall

check and submit them to JMC. JMC shall approve it.

1.3. Annual Audit

In preparation of Annual Audit, in the 1st week of May, Administrator shall talk to Auditor regarding next Audit: Audit Plan; Audit Term; and etc.

In the last week of June, AA shall take Physical Inventory Taking under supervision of Auditor, if Auditor requires.

Accountant shall submit all necessary documents and set of Financial Statement to Administrator. Administrator shall check them and submit them to Auditor.

Until WHEN? JMC shall receive Audit Report from Auditor. JMC submit it to Administrator with notes, if any. Administrator shall check and submit it to Accountant. In response to Audit Report, Accountant shall prepare Draft Improvement Plan of accounting activities and submit Draft Improvement Plan of accounting activities to Administrator. AA shall support Accountant preparing it. Administrator shall check it and submit Improvement Plan of accounting activities to Accountant.

After that, Accountant shall carry out Improvement Plan.

2. Monthly

2.1. Monthly Budget

In preparation of Monthly Budget, in the last week of the previous month, Accountant shall prepare Draft Estimated Actual Monthly Performance/Result of the month in comparison with budget.

- (a) Sales (Use Fees Collection);
- (b) Remuneration to Caretaker;
- (c) Salary to HTO/HPM;
- (d) Salary to Administrator, Accountant and AA;
- (e) Maintenance Expenses; and
- (f) Others

AA shall support Accountant preparing it. Accountant submit it to Administrator. Administrator shall check it and submit Estimated Actual Monthly Performance/Result to JMC.

JMC shall check Estimated Actual Annual Performance/Result and give advices to administrator, if any.

Administrator shall submit JMC's advices to Accountant. Accountant

shall prepare Draft Monthly Budget below.

- (a) Sales (User Fee Collection);
- (b) Remuneration to Caretaker;
- (c) Salary to HTO/HPM;
- (d) Salary to Administrator, Accountant and AA;
- (e) Maintenance Expenses; and
- (f) Others

AA shall support Accountant preparing it. Accountant shall submit it to Administrator. Administrator shall check it and add notes on it, submit it to JMC. JMC shall check it and submit Monthly Budget to Administrator.

Accountant shall prepare Monthly Plan according to Monthly Budget.

Service Center shall implement Monthly Budget according to Monthly Plan. AA shall support Accountant preparing it.

2.1. Monthly Closing

2.1.1. Physical Inventory Taking

In preparation of Monthly Closing, in the 3rd week of the previous month, AA shall prepare for Monthly Physical Inventory Taking and Monthly Cash Inspection. In the last week of the month, AA shall take Monthly Physical Inventory Taking with HTO and Monthly Cash Inspection. Accountant shall make journalizing of them as needed. Administrator shall approve the journalizing.

For Monthly Closing, in the 1st week of the month, Accountant shall prepare Closing Journalizing List. Closing Journalizing contains: Cash Inspection and Check Cash Balance; Reserve Allowance and Provision; Calculate Depreciation of Cars, Equipment, etc.; Calculate Deferred and Accrued Accounts; Reconcile provisional receipts and payments; Reconcile Sales, Expenses; and etc.

AA shall support Accountant preparing all procedures for Monthly Closing.

Accountant shall prepare Accounts Details List, Tax Payment, Trial Balance, and Brief Financial Statements to Administrator. Administrator shall check them and submit them to JMC. JMC shall approve it.

3. Daily and Others

3.1. Caretaker

Accounting processes regarding Caretaker are explained below.

[Monthly]

3.1.1. User Fee Collection Preparation

In the 2nd week of the previous month, AA shall receive Caretaker List, Water User List and Water Vender List from Administrator. Accountant shall prepare Estimated User Fee Collection List according to Caretaker List, Water User List and Water Vender List and make journalizing of revenue and General Ledger and other books. Administrator shall approve the journalizing.

AA shall prepare Long Overdue Account Receivable List. Administrator shall check it.

3.1.2. Remuneration Payment Preparation

In the 3rd week of the previous month, Accountant shall prepare Estimated Caretaker Remuneration List according to Caretaker List, Water User List and Water Vender List and Caretaker Remuneration Payment Slip.

[Water User and Water Vender: Monthly / Accountant and AA: Daily]

3.1.3. User Fee Collection (Water User) and Caretaker Remuneration Payment

Caretaker shall collect User Fee from Water User and sign User Fee Book of Water User. Water User shall sign Water User List.

AA shall receive the collected User Fee under the supervision of secretary finance of WSC. Secretary finance of WSC shall sign on Water User List and submit it to AA.

Accountant shall reconcile Accounts Receivable Ledger and Water User List. AA shall transfer the collected User Fee (cash) to bank account of Service Center. Accountant shall revise General Ledger, Cashbook and other books. Administrator shall approve the journalizing.

AA shall calculate and pay Caretaker Remuneration to Caretaker according to Water User List under supervision of WSC. AA shall submit Caretaker Remuneration Payment Slip to Caretaker. Caretaker shall sign Caretaker List. Accountant shall revise Cashbook. Administrator shall approve the journalizing.

3.1.4. Vender Fee Collection (Water Vendor) and Caretaker Remuneration Payment

Caretaker shall measure and record amount of water use of Water Vender. Caretaker shall receive Vender Fee and fill in and sign Vender Fee Book of Water Vendor.

AA shall receive the collected User Fee under the supervision of secretary finance of WSC. Secretary finance of WSC shall sign on Water Vendor List and submit it to AA.

Accountant shall reconcile Account Receivable Ledger and Water User List. AA transfer the collected Vender Fee (cash) to bank account of Service Center. Accountant revise Cashbook. Administrator shall approve the journalizing.

AA shall calculate and pay Caretaker Remuneration to Caretaker according to Water Vendor List under supervision of WSC. Service Center shall submit Caretaker Remuneration Payment Slip to Caretaker. Caretaker shall sign Caretaker List. Accountant shall revise Cashbook. Administrator shall approve the journalizing.

3.2. HTO/HPM

Accounting processes regarding HTO/HPM are explained below.

[Monthly]

3.2.1. Maintenance Plan

Accountant shall receive Monthly Maintenance Plan from Administrator.

3.2.2. Salary Payment to HTO/HPM

Accountant shall receive HTO/HPM List from Administrator and prepare Draft HTO/HPM Salary Payment List. Accountant shall submit it to Administrator. Administrator shall check it and submit HTO/HPM Salary Payment List to Accountant.

Accountant shall prepare HTO/HPM Salary Payment Slip according to HTO/HPM Salary List. Accountant shall transfer salary to HTO/HPM's bank accounts and submit HTO/HPM Salary Payment Slip to HTO/HPM. Administrator shall approve the journalizing.

[Daily]

3.2.3. Maintenance (Purchase new stock)

HTO shall submit Maintenance Payment Request to AA. AA shall

check it. Accountant shall pay suspense payment with Suspense Payment Sheet to HTO and revise General Ledger, Cashbook and other books. Administrator shall approve the journalizing.

Accountant shall receive receipt (and change) with Maintenance Payment Request and Maintenance Report from HTO. Accountant shall journalize expense/asset and file them in Maintenance Expense Ledger or Maintenance Asset Ledger. Administrator shall approve the journalizing.

3.2.4 Maintenance (Use stock)

HTO shall submit Maintenance Report to AA. Accountant shall check Maintenance Report and journalize expense/asset and file it in Maintenance Expense Ledger and Maintenance Asset Ledger. Administrator shall approve the journalizing.

3.3. Administrator, Accountant and AA

[Monthly]

3.3.1. Salary Payment to Administrator

Accountant shall receive Administrator List from Administrator and prepare Draft Administrator Salary Payment List. Accountant shall submit it to JMC.

At the last day of every month, after checking by JMC, Accountant shall prepare Administrator Salary Payment Slip. Accountant shall transfer salary to Administrator's bank account and submit Administrator Salary Payment Slip to Administrator. Administrator shall approve the journalizing.

3.3.2. Salary Payment to Accountant and AA

Accountant shall receive Accountant/AA List from Administrator and prepare Draft Accountant Salary Payment List. Accountant shall submit it to Administrator.

At the last day of every month, after checking by Administrator, Accountant shall prepare Accountant/AA Salary Payment Slip. Accountant shall transfer salary to Accountant/AA's bank accounts and submit Accountant/AA Salary Payment Slip to Accountant and AA. Administrator shall approve the journalizing.

[Daily]

3.3.3. Other Expenses

Accountant or AA shall submit Other Expense Payment Request with evidence (e.g. invoice) to Administrator. After checking by Administrator, Accountant or AA shall pay to vendor. Accountant file receipt and Other Expense Payment Request in Other Expense Ledger and revise Cashbook. Administrator shall approve the journalizing.

3.3.4. Cash Management

AA shall make sure that every cash transaction is booked on Cashbook with external evidence (e.g. receipt). AA shall confirm whether every record of the day on Cashbook is attached with external evidence and reconcile between Cashbook balance and cash on hand on the reconciliation sheet.

AA shall print out the reconciliation sheet and submit it (paper) to Administrator at the end of work every day. Administrator shall check it.

4. Daily Minimum

4.1. Cash Management

AA shall make sure that every cash transaction is booked on Cashbook with external evidence (e.g. receipt). AA shall confirm whether every record of the day on Cashbook is attached with external evidence and reconcile between Cashbook balance and cash on hand on the reconciliation sheet.

AA shall print out the reconciliation sheet and submit it (paper) to Administrator at the end of work every day. Administrator shall check it.

(Fin.)

Appendix 5-2-13: Bank account book

Bank Account Book

FY 2017

Jul

#	Date		Description	Type		Cash In	Cash Out	Balance
	Month	Day		1:Project	2:Service Center			
	Jul	1	Beginning Balance			100,000		100,000
1	Jul		Loarn from MWE	1:Project		300,000		400,000
2	Jul		Water user fee		2:Service Center	500		400,500
3	Jul		Withdraw from bank		2:Service Center		600	399,900
4	Jul		Loarn from MWE	1:Project		50,000		449,900
5	Jul		Water user fee		2:Service Center	800		450,700
6	Jul		Prepayment for service p	1:Project			300	450,400
7	Jul		Purchase of fuel	1:Project			200	450,200
8	Jul		Bank transfer		2:Service Center		400	449,800
9	Jul		Return of prepayment #6	1:Project		100		449,900
10	Jul		Water user fee		2:Service Center	500		450,400
11	Jul		Salary for accountant		2:Service Center		300	450,100
12	Jul		Purchase of office supply	1:Project			500	449,600
13	Jul		Water user fee		2:Service Center	200		449,800
14	Jul		Withdraw from bank	1:Project		400		450,200
15	Jul		Water user fee		2:Service Center	300		450,500
16	Jul		Salary for administrator		2:Service Center		500	450,000
17	Jul							450,000
18	Jul							450,000
19	Jul							450,000
20	Jul							450,000
21	Jul							450,000
22	Jul							450,000
23	Jul							450,000
24	Jul							450,000
25	Jul							450,000
26	Jul							450,000
27	Jul							450,000
28	Jul							450,000
29	Jul							450,000
30	Jul							450,000
31	Jul							450,000
32	Jul							450,000
33	Jul							450,000
34	Jul							450,000
35	Jul							450,000
36	Jul							450,000
37	Jul							450,000
38	Jul							450,000
39	Jul							450,000
40	Jul							450,000
41	Jul							450,000
42	Jul							450,000
43	Jul							450,000
44	Jul							450,000
45	Jul							450,000
46	Jul							450,000
47	Jul							450,000
48	Jul							450,000
49	Jul							450,000
50	Jul							450,000
			Ending Balance			452,800	2,800	450,000
				Total		352,800	2,800	0

<Recap> (Beginning balance)

1:Project	70,000
2:Service Center	30,000
Total	100,000

<Recap> (Ending balance)

1:Project	419,500
2:Service Center	30,500
Total	450,000
Check !	0

<Recap>

1:Project	350,500	1,000
2:Service Center	2,300	1,800
Check !	0	0

Appendix 5-2-14: Complaints&Feedback

DATE: _____

COMPLAINTS FORM

1. Name of Water Point: _____

2. Name of Complainant: _____ Male/Female

3. Address of Complainant _____

4. Tel of Complainant: _____

5. Category of Complaint: Please tick on the Complaint

- The functionality of water facility becomes worse.
- The hygiene and sanitation condition around water facility becomes worse.
- The surrounding environment of the water supply facility is not good.
- The corruption by the Caretaker is found.
- The corruption by the Service Centre is found.
- The service quality by the Caretaker becomes worse.
- The service quality by the Service Centre becomes worse.
- About the user fees (not paid/ not fair/mishandled/ others- please explain)
- Operating hours of the water point (not realistic/ not observed, others- please explain
- About the Hand Pump Mechanic (not competent/corrupt/doesn't do repairs on time/ others- please explain)
- About O&M of the water facility (not good/ not observed/ others - please explain)

6. Details of Complaint

Name of Administrator

Signature

Date: _____

FEEDBACK FORM

1. Name of Water Point _____

2. Name of Complainant: _____ Male / Female

3. Category of Complaint: Please tick on the Complaint

- The functionality of water facility becomes worse
- The hygiene and sanitation condition around water facility becomes worse.
- The surrounding environment of the water supply facility is not good.
- The corruption by the Caretaker is found.
- The corruption by the Service Centre is found.
- The service quality by the Caretaker becomes worse.
- The service quality by the Service Centre becomes worse.
- About the user fees (not paid/ not fair/mishandled/ others- please explain)
- Operating hours of the water point (not realistic/ not observed, others- please explain
- About the Hand Pump Mechanic (not competent/corrupt/doesn't do repairs on time/ others- please explain)
- About the WSC (not active/ does not call meetings/does not pay user fees/ others- explain please)
- About O&M of the water facility (not good/ not observed/ others- please explain)

4. Details of Feedback (How to handle with the problem)

Name of Administrator

Signature

**Appendix 5-2-15: Staff Performance Appraisal Form for
Mubende Rural Water supply Service Centre**

**STAFF PERFORMANCE APPRAISAL FORM FOR MUBENDE RURAL WATER
SUPPLY SERVICE CENTER**

Preamble

Staff Performance Appraisal is part of the Performance Management System for the Public Service of Uganda. It is used as a management tool for establishing the extent to which set targets within overall goals of the organization are achieved. Through staff performance appraisal, performance gaps and development needs of an individual employee are identified.

The Appraisal and the Appraisee are therefore, advised to read the detailed guidelines before filling this form.

Period of Assessment: From

DD	MM	YY	DD	MM	YY
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

SECTION A: PERSONAL INFORMATION TO BE FILLED BY THE APPRAISEE

Name of the Appraisee.....

	DD	MM	YY
Date of Birth	<input type="text"/>	<input type="text"/>	<input type="text"/>

Job Title/Rank..... Salary
scale.....

Date of present appointment

DD

MM

YY

--	--

--	--

--	--	--	--

Terms of employment (probation, Permanent, Contract)

.....

Name of the

Appraiser.....

.....

Job

Title/Rank.....

.....

Ministry/Department/Local Government/Institution:

MubendeRuralWaterSupplyServiceCenter.....Department

.....Division.....

SECTION B

This section should be filled by both the Appraiser and Appraisee. At the beginning of each assessment period, the Appraiser and Appraisee will agree on the key outputs for the assessment period. The means by which performance shall be measured (Performance indicators) and the minimum level of performance (Performance targets) for each output shall be agreed upon.

The assessment of the Individual outputs shall be reflected as a performance level under section B (2), this will be supported by relevant comments on performance under the same section. The performance levels shall be described as Excellent, Very Good, Good, Fair and poor. In order to qualify the assessment, the performance level shall be awarded scores namely; 5 for Excellent, 4 for very good, 3 for Good, 2 for fair, 1 for poor. Right after the table is a detailed description of the performance levels.

B (1) Agreed Key Outputs, Performance Indicators and Targets			B (2) Agreed Assessment of Performance between the Appraiser and the Appraisee	
Key Outputs	Performance Indicators (How will results be measured)	Performance targets (An agreed minimum level of performance)	Performance Level	Comments on Performance

Definition of the Performance Levels

- Excellent (5): The Appraisee has exceeded the agreed targets and has consistently produced results of excellent quality and demonstrated a high level of productivity and timeliness. The Appraisee is a model of excellence in both the results achieved and the means by which they are achieved.
- Very good (4): The Appraisee achieved all the agreed outputs in line with the agreed targets. The Appraisee consistently meets expectations for the outputs achieved and the means by which they are achieved.
- Good (3): The Appraisee achieved most, but not all the agreed outputs in line with the agreed targets, and there is no supporting rationale for not meeting the other commitments.
- Fair (2): The Appraisee has achieved minimal outputs in line with the agreed targets and without a supporting rationale for inability to meet the commitments.
- Poor (1): The Appraisee has not achieved most of the agreed targets and without supporting rationale for
 - not achieving them.

Overall Assessment of Performance

Overall assessment of performance should be derived by adding the scores at each performance level and the total divided by the total number of outputs. The average of the scores obtained shall be the overall assessment.

Overall Performance Level	Excellent 5	Very Good 4	Good 3	Fair 2	Poor 1
Tick the relevant box					

SECTION C: ASSESSMENT OF CORE COMPETENCIES

This section should be filled by the Appraiser after joint discussions between the Appraiser and the Appraisee. The assessment will help establish any areas where some training or development is necessary. The Appraisee should be rated only in areas, which are relevant to his or her job. The maximum points per competences are 5, where 5 is for Excellent, 4-Very good, 3-good, 2-Fair, 1- Poor, N/A – Not Applicable. The Appraiser should give work related examples under comments, to justify their rating.

COMPETENCE	ASSESSMENT						COMMENTS
	Performance level attained (Please tick)						
Time Management	5	4	3	2	1	N/A	
Financial Management							
Decision Making							
Planning, Organizing and reporting							
Communication							

SECTION D: COMMENTS, RECOMMENDATIONS (IF ANY) AND SIGNITURES

COMMENTS OF THE APPRAISEE

.....

Signature.....

DD **MM** **YY**

--	--	--	--	--	--	--	--

COMMENTS OF THE SUPERVISER

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

Signature

DD

MM

YY

--	--

--	--

--	--	--	--

COMMENTS OF THE RESPONSIBLE OFFICER

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

Name

.....

Job

.....

Signature.....

DD

MM

YY

--	--

--	--

--	--	--	--

Appendix 5-2-16: Record of key handling

Record of key handling

#	ID	S/C	Village	Condition	DD/MM/YY and Name
ex) 0.				Take	15/06/2018, Francis
				Return	15/06/2018, Francis
1				Take	
				Return	
2				Take	
				Return	
3				Take	
				Return	
4				Take	
				Return	
5				Take	
				Return	
6				Take	
				Return	
7				Take	
				Return	
8				Take	
				Return	
9				Take	
				Return	
10				Take	
				Return	
11				Take	
				Return	
12				Take	
				Return	
13				Take	
				Return	
14				Take	
				Return	
15				Take	
				Return	
16				Take	
				Return	
17				Take	
				Return	
18				Take	
				Return	
19				Take	
				Return	
20				Take	
				Return	

Appendix 5-2-17: Water user list

Sub-County:

Water Source Name:

Parish:

WSC Chairperson:

Village:

Water Users List (Domestic Users)

No.	Name	Signature	Date
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			
15			
16			
17			
18			
19			
20			

Sub-County:

Water Source Name:

Parish:

WSC Chairperson:

Village:

Water Users List (Commercial Users)

No.	Name	Signature	Category	Date
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				
16				
17				
18				
19				
20				

Categories: 1)Water vendors, 2)Brick makers, 3)Irrigation purposes, 4)Watering animals, 5) Construction works, 6)Vehicle washing, 7)Other categories as deemed necessary by WSC, Caretakers and Water Users

Sub-County:

Water Source Name:

Parish:

WSC Chairperson:

Village:

Water Users List (Vulnerable users)

No.	Name	Signature	Date
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			
15			
16			
17			
18			
19			
20			

Appendix 5-2-18: Human Resource Manual

Mubende Rural Water Service Center

HUMAN RESOURCE MANUAL

November 2017

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Chapter 1: ABOUT MUBENDE RURAL WATER SERVICE CENTRE

1.1. Background

This chapter provides a brief background to Mubende Rural Water Service Center (herein after called the Service Center) was established by Statutory Instrument No.....issued by the Minister of Water and Environment to manage rural water sources in Mubende District in a self-sustaining manner.

The main activities of the Service Center are:

- i) Operation and maintenance of rural water sources
- ii) Collection of water user fees from the communities served by the water sources managed by the Service Center.

At its inception, the Service Center shall be managed by an Administrator assisted by an Accountant, Head Technical Operations, Hand Pump Mechanic and an Assistant Accountant. At each water source, there will be a Caretaker who will be employed on a commission basis.

1.2. O&M of Water Supply Facilities

The service area of the Service Center in Mubende District Local Government is the rural water points specified by Mubende District Local Government. The Service Center shall implement the following works;

- i) maintain and rehabilitate water supply facilities in the rural areas,
- ii) implement full maintenance (regular maintenance, preventive maintenance, minor repair and major repair),
- iii) collect water charges from water users directly as counter values on the full maintenance on behalf of the JMC,
- iv) support sub-county governments to implement awareness campaign regarding safe water and hygiene and sanitation,
- v) upgrade and/or construct a water supply facility if necessary, and
- vi) construct new water supply facilities.

The Service Center is responsible for the operation, maintenance and management of rural water supply facilities in Mubende District Local Government. The specific responsible activities of the Service Center are as follows;

- i) preventative maintenance every six months at each water supply facility
- ii) response to water supply failures within 24 hours
- iii) ongoing awareness campaign for hygiene and sanitation for water users
- iv) consultation and action on improving water supply facilities and functions.

1.3. Collection of Water User Fees

At every water point, there shall be a portable cashbox with a depositor record card. The card shall be filled with the amount collected at every visit by the assistant accountant and jointly signed by the Caretaker, Secretary Finance of the Water and Sanitation Committee (WSC) and the assistant accountant. The card shall at all times be in the portable cashbox.

The assistant accountant of the Service Center has to visit the Caretaker once every month and the assistant accountant of the Service Center opens a portable safety box in the presence of the secretary finance of water users group. All of them have to confirm the amount of collected water charges and records of account book together, and the Caretaker transfers the collected water charges to the assistant accountant of the Service Center. The assistant accountant of the Service Center has to issue a delivery note of transferred water charges to the Caretaker. The secretary finance of water users group signs on to a delivery note as a witness.

The assistant accountant of the Service Center has to transfer the collected water charges to the Service Center's account by bank remittance at the nearest bank branch office on the same date of collecting. The assistant accountant of the Service Center shall submit the bank statement to the accountant of the Service Center. The accountant of the Service Center shall confirm the bank statements and the amount of money received, and shall report it to the administrator of the Service Center every month.

When the Caretaker does not collect monthly charge per household from the Water Users, the Caretaker shall summarize it as an uncollectible list and report the list to the Service Center. The accountant inform the HPM of uncollected water user fees to enhance communities to pay a water user fees.

1.4. Accountability and Transparency of the Service Center

All the transactions of the Service Center shall be managed in accordance with the established accounting regulations. The Accountant of the Service Center shall control and manage all the accounting services of the Service Center.

To ensure transparency and accountability of the accounting function, the Service Center shall be subject to audit in accordance with the audit charter as agreed by JMC. In addition, the staff of the Service Center shall be as open as possible about all the decisions and actions taken when managing the Service Center. He or she must always be prepared when called upon to explain the decision he or she has taken.

1.2 Purpose of the Human Resource Manual

The purpose of the Manual is to provide operational human resource management policies and procedures to implement the Regulations that establish Mubende Rural Water Service Centre in compliance with current best practices and relevant laws.

The purpose is further, to ensure that:

- I. Explanation of human resource policies and procedures is available to all employees of the Service Centre;
- II. Human resource activities of the Service Centre are carried out in accordance with the regulations, the policies and procedures approved by the Board, and instructions of management;
- III. The operational processes of the Service Centre are adequately described to ensure continuity of operations when staff are changed.

1.3 Application

The Manual applies to the operations of Mubende Rural Water Service Centre and the activities of the Board (JMC), undertaken by its permanent and temporary employees. Where the Manual does not contain a rule for a particular issue, then the provisions of the Public Service Standing Orders or Public Service Regulations will apply. In case of any conflict,

ambiguity or in the absence of specific procedural guidance, the Administrator shall provide clarification.

1.4 Responsibilities

The Administrator is responsible to the Board for the administration of the affairs of the Board, as well as for the execution of the decisions and directives of the Board. The Administrator is also responsible for hiring and managing staff of the Service Center.

The Administrator and Service Center are responsible for implementation of any decisions of the Board and are required to exercise all powers and discharge all duties delegated to them by the Board.

Under the provisions of the Regulations, the organisational structure and establishment of the Service Center shall be determined by the Board on the advice of the Administrator.

This Manual is available to all employees of the Service Center and it is the responsibility of all employees to ensure that the policies and procedures correctly describe their activities, and that they are followed.

1.5 Revisions & Updates

The activities and operations of the Service Centre will change from time to time and this Manual will be a dynamic document, revised or updated periodically to ensure that it remains relevant and accurate.

1.6 Amendments to the Manual

1.6.1 Policies

Amendments to the policies in this manual shall be made by resolution of the Board. Where proposed amendments are identified by the Service Center, they shall be approved by the Management Team prior to submission to the Board.

1.6.2 Distribution

All amendments will be distributed to all holders of the manual who are registered with the Service Center.

1.7 Interpretation

In this Manual, unless the context otherwise requires—

“Regulations” means the Regulations establishing Mubende Rural Water Service Centre;

“Board” means the Joint Management Committee of Mubende Rural Water Service Centre;

“Employee” means any person formally appointed to a job within the Service Centre establishment or who has entered into a contract of employment with the Water Service Centre and has reported on duty.

“Administrator” means the Administrator of Mubende Rural Water Service Centre

“Minister” means the Minister responsible for Water and Environment

“Service Center” means Mubende Rural Water Service Centre;

1.8 Key Control Processes

All employees of the Service Centre shall refer to this Manual for guidance in their work. Regular review of the Manual by the Service Center is required to ensure that the policies and procedures are still relevant to their operations.

Chapter 2: RECRUITMENT AND CONDITIONS OF SERVICE

2.1. Introduction

This chapter records the policies and procedures for appointments; conditions of service; training and development, and performance appraisal for employees of the Service Centre so that:

- i. the processes for recruitment, appointments and the conditions of service are fair and transparent.
- ii. expectations of employees and the process for performance assessment are clearly defined.

2.2. Performance

The Service Center shall comply with the following performance standard:

- i. all appointments shall be made in a fair and transparent manner in accordance with the policy and procedures approved by the Board
- ii. performance plans shall be prepared and maintained for each employee and assessments of achievement against the plan shall be carried out at intervals not greater than twelve months

2.3. Responsibilities

- i. **Board** – approves recruitment policies and procedures, approves and appoints staff at officer level and above of the Service Center on the recommendation of the Administrator, conditions of service, and policies for staff training, development and performance assessment; undertakes performance assessment of Administrator.
- ii. **Administrator** – approves recruitment plan, and recommends to Board the successful applicants who shall be appointed as employees, approves training plan, undertakes performance assessment of management team and reviews performance assessment of other staff.
- iii. **Management Team** – prepare and administer recruitment plan and training plan, undertake performance assessment of subordinate staff. The management team (also known as top management) is comprised of the Administrator, the Accountant and the Chief Technical Officer.

2.4. Policy

It is the policy of the Service Centre to:

- i. Select the most qualified candidate for each position based on job-related criteria
- ii. Encourage the promotion and development of current employees - internal candidates will receive first priority when their appropriate qualifications, skills and experience are equal to external candidates
- iii. Use transparent recruitment and selection practices in accordance with international best practices in staff recruitment.
- iv. Use a standardised selection process for hiring staff for senior positions

- v. Use employment terms and conditions that comply fully with relevant laws and codes current at any time
- vi. Employ temporary or casual staff to cover seasonal or other fluctuating demand.
- vii. Engage Consultants to fulfil specialist short term requirements
- viii. Carry out an evaluation and grading/classification of all jobs in order to establish a consistent basis for measuring and ranking the relative worth of each job, and the corresponding salary range. This shall be done every three years

2.5. Position Descriptions and Person Specifications

Position descriptions and person specifications shall be prepared and maintained for every position in the Service Center.

Position descriptions shall include details of the main tasks assigned to each position, the responsibilities of the position, the management structure relative to the position, and the staff grade for the position.

The person specification shall set out the minimum level of education, technical skills and experience that will be expected of the successful candidate.

The Management Team shall review the position description for all positions at least once every three years. Any proposed changes shall be discussed with the incumbent position holder, before they are implemented.

Position descriptions and person specifications according to the structure of the Service Center are shown below:

1) Administrator

The administrator shall have the overall responsibility for running the Service Center. He or she will give overall guidance and direction to the staff of the Service Center as well as coordinate between them. The administrator is responsible for the following works;

- i) coordinates the activities of the Service Center to ensure that all of rural water supply facilities are kept in a well maintained and operational manner in accordance with performance targets set by the Service Center,
- ii) responsible for the recruitment of staff at the Service Center,
- iii) ensures staff report to work promptly and offer courteous service to their clients,
- iv) ensures the staff of the Service Center compile daily logs of all issues handled at the Service Center,
- v) ensures the staff of the Service Center compiles monthly reports detailing the nature of service requests brought to the Service Center and the status of their resolution, status of spare part supplies procured and utilized during the month,
- vi) manages the staff of the Service Center to ensure the communication between the Service Center and WSCs/Water Users,
- vii) establishes the policy on budget compilation and submit a draft budget to Joint Management Committee of the Service Center (hereinafter referred to as “JMC”), and
- viii) reports the result of a budgetary variance analysis to JMC.

2) Accountant

The accountant is responsible for handling all the accounting functions of the Service Center as follows;

- i) processes salary and allowance payments to the staff of the Service Center as well as payment of invoices for supplies to the Service Center,
- ii) maintains a proper book of accounts for the Service Center and ensure that all transactions at the Service Center are managed in accordance with accounting rules and accountability procedures,
- iii) manages petty cash and other recurrent expenses of the Service Center,
- iv) manages operational expenses including fuel, repair costs, etc.,
- v) executes and manages the budget in a proper manner, and
- vi) constantly compares projected figures in budgets and actual figures, and make a budgetary variance analysis.

3) Assistant Accountant

The assistant accountant is responsible for the collection of water user fees, payment for the Caretakers and the procurement and management of spare parts supplies at the Service Center as follows;

- i) prepares a collecting plan of water charges and collects water charges from the Caretakers,
- ii) reconciles between the cash on hand and the cash balance in the accounting ledger on daily basis,
- iii) prepares a procurement plan for the purchase of spare parts and other supplies required at the Service Center on a monthly, quarterly or bi-annual basis, or as may be agreed upon with the administrator, and
- iv) ensures that there is adequate stock of spare parts at the Service Center at all times.

4) Head Technical Operations

The head technical operations is responsible for instructing and monitoring all the repair requirements/ needs of the rural water points including jurisdiction of the Service Center.

- i) prepares a maintenance plan of water supply facilities including schedules for preventive maintenance,
- ii) coordinate activity of Hand Pump Mechanics employed by the Service Center,
- iii) prepare performance/ activity report,
- iv) controls the requisition of spare parts and service tools by staff of the Service Center, and
- v) supports the procurement of quality spare parts and other supplies in a cost effective manner.

5) Hand Pump Mechanic (HPM)

HPM is responsible for carrying out the proper maintenance and repair of water supply facilities as follows;

- i) works the preventive maintenance every six months for each source,
- ii) promotes safe water and proper hygiene and sanitation in the community,
- iii) trains and instructs the Caretakers,
- iv) encourages communities to pay a water charge, and
- v) routine check on facilities.

HPM shall record the result of maintenance and repair of water supply facilities and submit them to the Head Technical Operations after the works.

6) Other Staff

The Service Center shall be able to employ other staff if necessary. The administrator shall have authority over personnel issues, though the employment of other staff shall be with the approval of JMC.

2.6. Recruitment of Permanent Employees

2.6.1. Adherence to organization structure

All recruitments shall be made according to the established vacancies in the Service Centre's organization structure as approved by the Board from time to time and all aspects of recruitment, including selection, job assignment, appointment, compensation, discipline, termination and training shall be conducted with transparency, equity and fairness.

2.6.2. Applications

All applicants seeking employment in the Service Centre shall submit an application accompanied by detailed curriculum vitae, details of at least three referees, a Capability Statement, and any other requirements outlined in the job publicity materials. Application requirements will apply equally to all applicants and all applications will receive equal consideration.

All applications shall be made to the Administrator. Only applications made using this form and which are received before the deadline for applications shall be considered to be valid. The application forms shall be made available by email or through the Service Centre although applications for employment shall generally be made by hard copy.

2.6.3. Hiring of Immediate Family Members

A member of an employee's immediate family may not be considered for employment by the Service Centre even if the applicant possesses all the qualifications for employment. For avoidance of doubt, an immediate family member comprises parent, spouse, son, daughter, brother, sister, cousin and any other blood relative.

2.6.4. Marriage among Employees

When employees marry or become members of the same household, one of the two staff shall resign from their positions in the organization immediately. If they fail to agree on who leaves the organization, the senior staff member will be required to serve the remaining part of the existing contract period, thereafter the contract for the senior staff shall not be renewed.

2.6.5. Accuracy of Information

In the review of an application, the Service Centre shall rely on the accuracy of the information presented in support of the application. Therefore, any misrepresentations or falsifications that may emerge before appointment will lead to the disqualification of the applicant and those that may emerge after appointment will result in the automatic termination of employment.

2.6.6. Interview

A formal interview shall be held for every position that is to be filled. The location of all interviews shall be the office of Mubende Rural Water Service Centre unless otherwise determined by the Board.

For Management Positions, the interview panel shall include a member of the Board and the Administrator. For Officer Positions the interview panel shall include a member of the Board, Administrator and the relevant member of the Management Team. For other positions the interview panel shall include the Administrator and the relevant member of the Management Team.

Prior to interview, an interview plan shall be prepared, which shall include the timing of interviews, questions to be asked of all candidates and any practical tests to be set to test areas of competence of candidates together with a scoring scheme for selection. The interview plan shall be reviewed and approved by the chairperson of the interview panel prior to the interviews.

At or prior to the interview, the Service Center shall satisfy itself that all the necessary documentation and authorisation concerning the short listed candidates has been received or is requested in the letter of invitation for interview, including:

- i. Identity document or passport
- ii. Relevant certificates pertaining to academic and professional qualifications
- iii. Record of previous employment
- iv. Interviews and applicant assessment shall comply with the following:
 - (a) Minimum requirements and selection standards shall be based on the position description and person specification for the position.
 - (b) Current knowledge, skills, experience and competencies as well as the potential to be developed, shall be taken into consideration.
 - (c) The applicant's performance to-date, personality, interpersonal style and motivation shall also be considered in selecting the most suitable candidate.
 - (d) The Board may require applicants to Management Team positions to undergo psychometric testing to determine their suitability for the position.
 - (e) The privacy of candidates will be protected and no information of a personal nature will be required or made known for reasons other than are necessary for the selection process.

- (f) Upon selection of a preferred applicant, the referees named by the applicant on the application for employment, shall be contacted to confirm the details supplied by the applicant, including the applicant's performance, personality, interpersonal style and motivation. Their responses shall be recorded.
- (g) Within 48 hours of the receipt of references, a report comprising the completed applicant assessments and referee statements together with a recommendation for appointment shall be delivered to the Administrator for approval. For Management positions, the interview report shall be placed before the Board, or a committee formed by the Board for the purpose, for consideration and approval.

2.6.7. *Appointment*

- (a) The Service Center shall prepare a letter of appointment and an employment contract. A pro forma employment contract is included at the end of this chapter. The Administrator shall sign the letter of appointment in all cases.
- (b) Before any announcement of the appointment is made, the Service Center shall confirm that:
 - (c) The preferred applicant has formally accepted the position.
 - (d) All other short-listed applicants have been informed that they were unsuccessful.
 - (e) Feedback has been provided by the Administrator to unsuccessful internal candidates.
 - (f) In the event that the appointee is an internal applicant, the current manager of the appointee has been informed and consulted on an appropriate transfer date.
- (g) Upon commencement, the new employee shall sign the employment contract and this will be placed together with the letter of appointment on the employee's personal file.

2.7. Temporary and Casual Staff

2.7.1. *Definitions*

Casual employee - a day worker who does not have regular or systematic hours of work or an expectation of continuing work.

Temporary employee - a person employed by the Service Center for a maximum of three (3) months, renewable once, for a further maximum period of three (3) months.

Vacation worker - a person employed to perform specific tasks or as part of an academic or vocational training course for a short period of time.

2.7.2. *Hiring of Temporary Staff*

Prior to commencement of recruitment the employment requisition shall be approved by the Administrator in consultation with the Board. The recruitment and selection procedures shall be similar to those for permanent employees.

2.7.3. *Conditions of Temporary Employment*

Unless stated otherwise in the individual's contract of employment, the following conditions will apply for all temporary employees:

- (a) Temporary employee contracts are restricted to a maximum of 3 months duration, renewable once, for a further 3 months maximum.

- (b) Should the need persist to fill a position after 6 months temporary employment, consideration shall be given to a fixed term contract lasting for not more than one year or the estimated duration of the work/project or employee would be considered for permanent employment for the position if it exists in the approved structure.
- (c) Temporary employees shall receive individual letters of appointment on engagement. The letter of appointment shall state:
- i. *Duties* – brief description of duties and responsibilities and statement of who the employee will report to.
 - ii. *Remuneration* - stated in terms of hourly or monthly rate of pay.
 - iii. *Working hours* - generally a five day working week, according to operational requirements.
 - iv. *Overtime* - requirements for overtime working (if any) and terms of payment.
 - v. *Leave* - entitlement to vacation and sick leave (if any).
 - vi. *Other Benefits* – Any other benefits shall be specifically approved by the Board.
 - Temporary employees shall have access to the Service Centre’s Grievance Procedures and are subject to the Disciplinary Policy – both as set out in this Manual.

2.8. Terms and Conditions for Permanent Staff

Employment of permanent employees of the Water Service Centre shall be on the basis of standard terms and conditions established by the Board. Employees are not officers of the Public Service.

2.8.1. Length of Contracts

Employment contracts shall be in the following terms:

Three (3) year contract renewable upon satisfactory performance.

2.8.2. Location of Employment

Employees shall be stationed at the office of the Service Centre unless otherwise determined by the Board.

2.8.3. Probation

All new permanent employees of the Service Centre shall be subject to a probation period. The probation period will be six (6) months.

Benefits during probation

During probation period, an employee shall be entitled to all benefits in tandem with the Human Resource Manual.

Supervision during probation

Where appropriate, a supervisor of an employee on probation shall bring to his/her attention, any weaknesses in performance, behavior, or development for correction during the period of probation. One month prior to the conclusion of the probation period, the supervisor of the employee on probation shall submit to the appointing authority a written evaluation of the employee with a recommendation on whether or not the employee should be confirmed in the position.

Confirmation from probation

A permanent or contract employee shall receive a letter of confirmation of employment and shall be confirmed in their offered positions upon successful completion of the probation period.

Non-confirmation from probation

Where the supervisor is of the view that an employee's performance does not warrant a recommendation for confirmation, the supervisor may, where he/she deems it fit, make a recommendation that the employee's probation be extended for a period of up to two additional months for the employee to demonstrate his/her ability to do the job. Where such extension is not appropriate, the supervisor will make a recommendation for termination during probation.

Termination during probation

Due to unsatisfactory performance, the Service Centre may terminate the services of an employee serving probation by giving the employee one month notice in writing or one month's salary in lieu of notice.

Limits on probation

No contract or permanent employee will serve or be offered a period of probation longer than eight months and neither can an employee's probation period be extended after the completion of eight months in total.

2.8.4. Remuneration

The remuneration of each employee will be reviewed annually, within the salary band for the position, following completion of the Performance Review process.

The Board shall maintain remuneration levels in accordance with legislation and consistent with other similar organisations. For this purpose, the Administrator shall cause a review to be conducted every three years, to determine the justification for adjustment of salaries and shall report the results to the Board with an appropriate recommendation. Any salary adjustment agreed by the Board shall be implemented in a manner determined by the Board.

2.8.5. Working hours

The working week shall be 40 hours, comprising:

8. 00 am to 5.00 pm Monday to Friday (inclusive of lunch break of 1 hour 15 minutes per day)

A notice of the working hours shall be displayed in a prominent place at the office of the Service Centre. All hours worked by every employee shall be recorded by the employee on a weekly time-sheet, which shall be signed by the employee and certified as correct by the Administrator.

2.8.6. Leave

Annual leave

All employees shall be entitled to annual paid leave at any time during the year in which the leave has been earned, unless the schedule of duties does not permit. In the event that an

Employee's service is terminated by either party, any leave that shall have been taken in advance shall be paid by the employee. There will be no payment in lieu of leave by the employer. Under exceptional circumstances, the Administrator reserves the right to recall an employee from annual leave before the expiry of the leave. In this case, the leave days not taken shall be deferred and taken at a future convenient date.

All Staff	22 working days
Sick leave	60 calendar days at full pay, 60 calendar days at half pay
Compassionate leave	3 consecutive working days for serious illness of immediate family, and 5 more working days on death of the family member
Continuing Professional Development	7 working days per year

Maternity leave

Maternity leave shall be granted in accordance with prevailing legal entitlements for a period of sixty (60) working days.

Paternity Leave

All male employees of the Service Centre shall be entitled to 4 working days, to be taken after the birth of their child/children. Paternity leave can only be taken once in a given leave year.

2.9. Leave request

No leave can be taken without an application to the Administrator routed through the employee's supervisor in the form of a leave request, as per appendix D hereto. In the case of the Administrator, a leave request shall be made to the chairperson of the Board. No employee shall take leave before an approval of the request is obtained. Updated leave schedules pertaining to each employee shall be maintained by the Administrator. In case of emergency or compassionate leave, the application shall be submitted as soon as is practicable.

For all categories of leave, the immediate supervisor shall recommend approval, postponement or refusal of the requested leave with the reason in the case of postponement or refusal and shall forward the form to the Administrator for approval. The applicant shall be advised of the approval, postponement or refusal of the requested leave on the same day.

If the employee, after proceeding on leave, desires an extension of the leave, he or she shall, if such leave is due to them, apply sufficiently in advance before the expiry of the leave to his or her direct supervisor. After approval or otherwise by the Administrator or his/her delegate, the direct manager shall send a written reply to the employee either granting or refusing the extension of leave.

If leave is refused or postponed, this fact, together with the reasons, shall be recorded in the employee's personal file.

2.10. Employee Identification

The Administrator shall:

- (i) provide each employee with a tamper proof photo identity card stating the name and position of the employee and bearing the authority of the Administrator.
 - (ii) maintain a confidential register of all persons employed in the Service Center (except casual workers) in which are recorded their names, positions, postal and physical addresses, telephone numbers and email address together with details of next of kin or persons to be contacted in case of emergency.
-

EMPLOYMENT CONTRACT (EXAMPLE)

EMPLOYMENT CONTRACT FOR ADMINISTRATOR

THIS EMPLOYMENT CONTRACT (this “Agreement”) is made on this ----- day of -----
-- between Mubende Rural Water Supply Service Center (hereinafter referred to as the Employer) represented by the Joint Management Committee and Mr./Ms./
_____ whose Tax Identification Number (TIN) is
_____ (hereinafter referred to as the Employee), upon the terms and conditions as set forth hereunder.

1. Job Title and Description: The initial job title of the Employee is Administrator and the duties he / she is expected to perform include the following:

- i) Coordinate the activities of the Service Center to ensure that all of rural water supply facilities are kept in a well maintained and operational manner in accordance with performance targets set by the Service Center
- ii) Responsible for the supervision of staff at the Service Center
- iii) Ensuring that staff report to work promptly and offer courteous service to clients.
- iv) Ensuring that staff of the Service Center compile daily logs of all issues handled at the Service Center
- v) Ensuring that staff of the Service Center compile monthly reports detailing the nature of service requests brought to the Service Center and the status of their resolution, status of spare parts supplies procured and utilized during the month.
- vi) Managing the staff of the Service Center to ensure proper communication between the Service Center and WSCs/Water Users
- vii) Establishing policy on budget compilation and submitting the draft budget to Joint Management Committee of the Service Center (hereinafter referred to as “JMC”).
- viii) Reporting the result of a budgetary variance analysis to JMC.
- ix) Any other duties assigned by the Employer.

2. Commencement Date and Term: The Employer will commence employment with the Employee on _____ (the "Commencement Date") for a period of three (3) years after a probation period of six (6) months.

3. Place of Work: The Employee's primary place of work shall be at Mubende Rural Water Supply Service Center.

4. Working Hours: From 8:00a.m. to 5:00p.m inclusive of lunch break from 12:45pm to 2:00pm.

5. Remuneration : Basic salary is UGX_____ per month subject to statutory deductions under the relevant Laws.

6. Working Regulations : The attached Working Regulations form the terms and conditions of this Employment Contract.

7. Duty to devote full time: The Employee agrees to devote full time effort as an Employee of the Employer to the employment duties and obligations as described in this agreement

8. Termination : The contract shall terminate upon completion of the employment period or upon receipt of two (2) months' prior written notice from the Employer or the Employee.

9. Annual, Paternity and Maternity Leave: The provisions of the Employment Act shall be applicable

10. Governing Law : This agreement will be construed in accordance with and governed by the Laws of Uganda

11. Dispute Resolution : In the unlikely event of disputes between the Employer and Employee such disputes shall be settled amicably in accordance with the Arbitration and Conciliation Act, 2000.

12. Notices : Any notice required by this agreement or given in connection with it, shall be in writing and shall be given to the appropriate party by personal delivery or post.

13. Severability: If any term of this Agreement is held by a court of competent jurisdiction to be invalid or unenforceable, then this Agreement, including all the remaining terms, will remain in full force and effect as if such invalid or unenforceable term had never been included.

Date: _____

Employer

Employee

Joint Management Committee

Mubende Rural Water Supply Service Center

Mubende Rural Water Service Centre

LEAVE APPLICATION FORM

SECTION ONE *(To be completed by the applicant in Duplicate)*

NAME	
IDENTITY NO.	
CURRENT POST/ DESIGNATION	
DATE OF APPOINTMENT	
TYPE OF LEAVE APPLIED FOR (E.G. ANNUAL, MATERNITY, AND PATERNITY, ETC.)	
LEAVE DAYS ENTITLED TO	
DAYS APPLIED FOR	
BALANCE	
DATE OF COMMENCEMENT AND END OF LEAVE	

SECTION TWO *(To be completed by the applicant's immediate supervisor)*

RECOMMENDATION BY THE IMMEDIATE SUPERVISOR

SECTION THREE *(To be completed by the Administrator)*

APPROVAL BY ADMINISTRATOR: LEAVE APPROVED/NOT APPROVED

Chapter 3: SALARY AND ALLOWANCES

3.1. Introduction

This chapter records the policies and procedures for payment of salaries and allowances for employees of the Service Centre to ensure that:

- i. Employment salaries and allowances paid are in agreement with policies approved by the Board
- ii. All benefits and allowances made are in accordance with current legislation and regulations.

3.2. Salary Payment

Salaries and other remuneration shall be paid by electronic transfer to employees' bank accounts no later than the 28th day of each calendar month. For temporary employees and in exceptional circumstances for other employees, with the approval of the Administrator, payment may be made by cheque direct to the employee. Payment will not be made in cash.

All employees shall therefore provide details of their preferred bank account on appointment and notify the Service Centre Management of any changes to such accounts. The Service Centre shall not be responsible for any misplaced payments due to a failure to notify such changes.

All employees shall submit details of their Tax Identification Numbers (TINs) for purposes of processing their PAYE tax deduction.

3.3. Salary Bands and Benefits

The salary, benefits and allowances for each of the position grades in the Service Center are summarised below.

Grade	Positions	Basic Salary Band UGX----- per month	Allowances
1	Administrator	-----	Standard allowances
2	Accountant	-----	Standard allowances
3	Head Technical Operations	-----	Standard allowances.
4	Handpump Mechanic	-----	Standard allowances.
5	Assistant Accountant	-----	Standard allowances.
6	Secretary	-----	Standard allowances.
7	Driver/Clerical	-----	Standard allowances.
8	Support Staff	-----	Standard allowances.

3.4. Payment of Remuneration

The remuneration is comprised of the basic salary, allowances and any other privileges provided for the staff of the Service Center.

$$\boxed{\text{Remuneration} = \text{basic salary} + \text{allowances}}$$

The period considered when calculating the remuneration is from the beginning of the month to the last day of the month and the Service Center shall pay the remuneration to the staff of the Service Center by the 28th day of the month. When payment date falls on a public holiday or weekend, the payment will be made on the day before public holiday or weekend.

The Service Center will deduct the following items from the remuneration;

- i) individual income tax (PAYE)
- ii) local service tax
- iii) social security (NSSF)
- iv) any other deductions required by law

When a staff of the Service Center misses work or is not at the duty station without permission, his/her remuneration for the month will be paid at a daily rate.

$$\text{Daily rate} = \left[\frac{\text{Basic Salary}}{\text{Scheduled working days}} \right]$$

Note: scheduled working days means the number of official working days in a particular month.

When a staff of the Service Center takes an unpaid leave, the Service Center will deduct it from his/her basic salary for that month.

$$\text{Unpaid leave} = \text{daily rate} \times \text{no. of days on unpaid leave}$$

3.5. Payment of Allowances

The Service Center will pay the following types of allowances to the staff of Service Center.

i) Overtime allowances

The Service Center will pay overtime allowances when the Service Center Administrator requests a staff to work overtime. In accordance with the Employment Act (2006), overtime on normal working days shall be remunerated at a rate of one and a half times the hourly rate while overtime on weekends and public holidays shall be remunerated at two times the hourly rate.

Weekday: overtime on weekday is calculated based on the following formula.

$$\text{Overtime on weekdays} = \text{Daily rate} \times 1.5 \left[\frac{\text{overtime hours}}{8} \right]$$

Public holiday: over time on holiday is calculated using the formula below.

$$\text{Overtime on weekends/holidays} = \text{Daily rate} \times 2.0 \left[\frac{\text{overtime hours}}{8} \right]$$

ii) Safari day allowance

Safari day allowance is paid when a staff of the Service Center travels on duty within Uganda for a period of six hours or more in any one day and returns to the station the same day. It is paid to cater for incidentals and lunch. The rate for safari day allowance is UGX _____ per day.

iii) Night allowance

The staff of the Service Center is entitled to receive night allowance amounting to UGX _____ per night when he/she spends the night away from the duty station on official duty.

Chapter 4: GRIEVANCE PROCEDURE AND DISCIPLINARY CODE

4.1. Introduction

This chapter records the Grievance Procedure and Disciplinary Code for employees of the Service Centre so that:

- i. each employee understands and complies with the terms and conditions of their employment with the Service Centre, and the rules and regulations pertaining thereto
- ii. each employee adequately fulfils their obligations to the Service Centre
- iii. all employees are aware of the procedure for resolving grievances
- iv. all grievances are handled in an orderly manner
- v. the disciplinary process is clearly understood
- vi. all disciplinary actions are taken in accordance with the law and with the policy and procedures approved by the Board
- vii. an employee charged with breach of the disciplinary code has a fair opportunity to answer to such charges.

4.2. Performance

Service Center management and staff are to comply with the following performance standards:

- i. Strive to find mutually acceptable solutions to conflict and employee dissatisfaction
- ii. Use the grievance procedure in this chapter to resolve formal grievances
- iii. Abide by the Disciplinary Code when disciplining subordinates
- iv. Respond positively when subject to disciplinary action in accordance with the Disciplinary Code.

4.3. Documents

Key documents include:

- i. Grievance procedure
- ii. Grievance form
- iii. Disciplinary Code
- iv. Formal and serious written warnings
- v. Record of disciplinary hearings
- vi. Disciplinary reports.

4.4. Responsibilities

- i. Board** – approval of Grievance Procedure and Disciplinary Code
- ii. Administrator** – chair the grievance procedure, Chairperson of disciplinary hearings, oversee the use of grievance procedure and the disciplinary appeal process
- iii. Management Team** – oversight of use of grievance procedure and discipline

4.5. Grievance Policy

4.5.1. Objective

A grievance is any complaint, dissatisfaction or feeling of injustice by any one or more employees concerning the Service Centre (as employer) or any other employees.

By utilising a grievance procedure the employee is expressing dissatisfaction with some aspect of his/her employment situation or a perceived violation of his/her rights. A grievance procedure can therefore be seen as an upward channel of communication between employees and management.

4.5.2. Limitations

An employee may not misuse this procedure but shall have a bona fide grievance, which he/she wishes to resolve.

This grievance procedure shall not be used to:

- i. Bargain collectively
- ii. Lodge an objection to a disciplinary action that falls within the appeal procedure provided in the Disciplinary Code
- iii. Change individual contracts of service
- iv. Condone unfair labour practices
- v. Raise, address or resolve any issue which is politically or community based.

There is a separate process set out in the Disciplinary Code for appeals against disciplinary action. The grievance procedure shall not be used to negate the disciplinary procedure.

4.6. Grievance Procedure

4.6.1. Stage 1 Supervisor

An employee shall first raise the grievance verbally or in writing with his/her supervisor. A meeting shall be convened by the supervisor attended by the employee(s) involved together with a representative of a recognised staff association/union or another employee who is prepared to assist them, if they desire. The supervisor shall listen to the representations on behalf of the employee(s) and shall attempt to resolve the grievance.

If the supervisor is the cause of the grievance it may be escalated directly to Stage 2 of the procedure.

An attempt shall be made at this stage to resolve the grievance. Should this not be possible, the aggrieved employee shall complete a grievance form in duplicate, assisted if he/she so wishes by his/her representative. One copy of the grievance form shall be sent to the Administrator who is concerned with Stage 2 of the procedure and the aggrieved employee shall retain the other copy.

4.6.2. Stage 2 Administrator

If a satisfactory solution cannot be found in Stage 1 of the procedure, aggrieved employee shall submit a copy of the grievance form to the Administrator who will review it and the possible solutions for resolving the grievance that were put forward during the previous stage are evaluated and alternative solutions shall be found in order to resolve the grievance.

A meeting shall be held and shall consist of the following:

- i. Administrator (Chairperson)
- ii. Supervisor (If supervisor is the cause of the grievance then another staff will be co-opted)
- iii. Aggrieved employee
- iv. Representative(s) of the employee, if required

At this stage the aggrieved employee will be allowed a maximum of two representatives if he/she so requires. If representatives, who are not employees of the Service Center, are to represent the employee in a Stage 2 action, they or the relevant association/union shall notify the Administrator in writing prior to the proposed date of the grievance hearing.

4.7. Disciplinary Policy

This Disciplinary code is designed to foster the orderly execution of employees' duties in response to the reasonable requirements of management. The Disciplinary Code will apply when an employee:

- i. does not respond positively to reasonable instructions;
- ii. transgresses against specific terms of his or her employment, or;
- iii. violates accepted norms of behaviour; and
- iv. the seriousness of the transgression merits disciplinary action.

This Disciplinary Code applies to all employees of the Service Centre. The employment contract referred to herein may comprise either a formal "Contract of Employment" or a Letter of Appointment with reference to all relevant conditions of employment.

All employees are expected to perform their duties and assignments, as well as lawful and reasonable instructions, conscientiously and industriously. This Disciplinary Code forms part of the employment contract of every employee and is not subject to the provisions of any collective agreement.

Disciplinary proceedings will always be a confidential matter between the employer and the affected employee. The policy of the Service Centre is that all employees shall be entitled to appeal disciplinary decisions except verbal reprimands.

4.8. Principles for Disciplinary Action

Disciplinary actions shall be preventive and corrective in intent - only in cases where correction is impossible or where the transgressor fails to react positively to corrective discipline, shall punitive measures be taken.

The application of discipline will be dealt with at the lowest practicable level in the Service Center.

No disciplinary decision or action shall occur unless a procedurally just and fair disciplinary hearing has taken place. However, it is not necessary to hold a disciplinary hearing in the following instances:

- i. In the case of a verbal reprimand.
- ii. In the case of an employee refusing without good cause to attend a disciplinary hearing - the hearing may proceed without the employee being present, provided that all procedures are correctly followed.

An employee who is subject to a disciplinary hearing shall always:

- i. be informed in a timely manner in writing as to the nature of his/her alleged transgression
- ii. be informed of the possible consequences of being found guilty
- iii. be afforded sufficient opportunity to prepare himself/herself for such a hearing
- iv. be notified of his/her right to be represented by any person who is also an employee of the Service Center at the time
- v. have the opportunity to call and cross-examine all relevant witnesses
- vi. be afforded the right and the occasion to state his/her case
- vii. be informed of the right to appeal the disciplinary action.

All relevant legislation shall be adhered to at all times.

Mitigating circumstances and evidence shall be assessed and taken into account in the employee's interests.

Comprehensive and accurate record keeping of disciplinary actions is essential. It is crucial that complete and accurate records be kept of all disciplinary proceedings together with copies of relevant documentation.

4.8.1. Independence of transgressions

Separate transgressions shall be dealt with separately. Only transgressions that clearly have a substantive link with one another may together contribute towards a single disciplinary action.

Disciplinary decisions are made with consideration of previous warnings that have not yet expired, together with the general disciplinary record of the employee in question. It is important that previous transgressions, as well as the employee's disciplinary record be considered in deciding on the most appropriate corrective measure or disciplinary action, once he/she has been found guilty of the offence.

The principle that recurrence of a transgression should not exacerbate the level of seriousness of the current transgression will be strictly observed. However, it may be taken into account in a disciplinary decision.

4.9. Disciplinary Actions

Except in the case of a verbal reprimand, disciplinary proceedings shall consist of two parts:

- a) An investigation during which facts and evidence are collected relative to the alleged offence.
- b) A disciplinary hearing during which the facts and evidence are evaluated and disciplinary action is decided upon.

Notwithstanding the following guidelines, any transgression, whether a service irregularity or misconduct, according to the nature and the attendant circumstances, may lead to suspension or dismissal. Dismissal shall be considered only as a last resort.

The following disciplinary actions will normally apply progressively, depending upon the seriousness of the offence:

4.9.1. Warnings

Warnings will be issued in the following sequence:

1. A **verbal reprimand** is issued in the event of less serious transgressions such as service irregularities or early signs of deterioration in behaviour and/or action by an employee. A verbal reprimand shall be recorded by the supervisor and noted by the transgressor; the nature of the offence shall also be recorded. The possible consequences of failure to correct the behaviour shall also be pointed out to the transgressor, and his/her supervisor will counsel him/her.
2. A **written warning** normally follows one or more reprimands that have failed to produce the desired result. In the event of a first transgression, where the nature and circumstances indicate that a verbal reprimand would not be a suitable disciplinary measure, a written warning may be issued for a first transgression.
3. A **serious written warning** usually follows one or more written warnings that have failed to produce the desired result. In the event of a first transgression, where the nature and circumstances of the transgression indicate that a serious written warning will be a suitable disciplinary measure, a serious written warning may be issued for a first transgression; however, such an action should be the exception.
4. A **final written warning** normally follows one or more serious written warnings that have failed to produce the desired result. In the event of a first transgression, where the nature and circumstances of the transgression indicate that a final written warning will be a suitable disciplinary measure, a final written warning may be issued for a first transgression; this shall occur only by way of exception. A final written warning is a precursor to suspension or dismissal in the event of a further or repeat transgression.

4.9.2. Expiry of disciplinary warnings

Disciplinary warnings shall expire upon completion of the following period following the date of issue of the warning:

- | | | |
|------|----------------------------|-----------|
| i. | A written warning: | 6 weeks |
| ii. | A serious written warning: | 3 months |
| iii. | A final written warning: | 6 months. |

4.9.3. Transfer

This may serve as a corrective measure where personality clashes occur and the employee(s) may in this way be afforded the opportunity to change their behaviour. However, transfers should only be considered in highly exceptional cases and shall not be used as a form of victimisation.

4.9.4. Demotion

Demotion shall only be considered in exceptional cases as an alternative to suspension or dismissal. This measure entails an adjustment of the conditions of employment and shall be effected with the agreement of the transgressor. In the event that the transgressor declines to accept demotion, consideration shall be given to suspension or dismissal although the prospect of these actions shall not be used to persuade or threaten an employee to accept demotion.

4.9.5. Suspension

Suspension without pay as a punitive measure shall only be imposed after careful consideration of the merits of the case. Suspension without pay may only be considered with the consent of the transgressor as an alternative to dismissal. Suspension with pay may only be imposed while awaiting a disciplinary hearing and/or an appeal. Suspension shall only be considered in highly exceptional cases and shall not exceed 3 months.

4.9.6. Dismissal

Dismissal is the most extreme form of disciplinary action and shall only be contemplated when all other previous corrective and preventative actions have failed. Normally, dismissal follows a final written warning. In the event of a first or second transgression, where the nature and the circumstances indicate that dismissal is a suitable measure, dismissal may be considered for a first or second transgression.

4.10. Appeal Procedure

The objective of the appeal procedure is to allow for fairness, legality, justice and consistency of a disciplinary decision to be tested in order to ensure impartiality, to obviate the consequences of subconscious influencing, and to protect the interests of both the employer and the employee.

Any employee of the Service Center who is not satisfied with the outcome of a disciplinary process against him/her may appeal to the Board (JMC) for review. The appeal shall be heard by the Chairperson of the Board, or a director nominated by the Chairperson.

Appeals may only be based on substantial and procedural fairness, including *inter alia*;

- i. The non-compliance with disciplinary procedures.
- ii. The availability of new facts or information or the assertion that certain relevant facts or information were not considered or had been ignored.
- iii. Assertion that the disciplinary action was unfair and excessive in relation to the transgression.
- iv. Assertion of bias or lack of impartiality on the part of the Chairperson at the hearing.
- v. Assertion that mitigation was not adequately taken into account.

An appeal shall be heard as soon as possible and the outcome shall be communicated in writing to the appellant. All records of the case will be made available to the appellant at his/her request.

Chapter 5: Separation and Termination of Employment

5.1. Policy on Separation

The Service Centre will ensure that all separations are fair and properly managed. The following circumstances are considered as amounting to separation from the Service Centre:

- i. Resignation (the voluntary termination of an employee's tenure at the instance of the employee);
- ii. Discharge (the involuntary termination of an employee's tenure at the instance of the employer for non-disciplinary reasons);
- iii. Dismissal (the termination of an employee's tenure at the instance of the employer for disciplinary reasons);
- iv. Retirement (the termination of an employee's tenure for reasons of age);
- v. Termination of contract (upon the completion of a contract term);
- vi. Death.

5.2. Resignation

- a) All Employees (including those on probation and temporary employees) who make a decision to resign from the Service Centre will be required to give a one (1) month's written notice of their intention to resign, to the Administrator copied to their supervisor. Upon receipt of this notice, the Administrator will notify the Accountant for appropriate action.
- b) Where an employee fails or is unable to give the appropriate notice as stipulated above, he/she shall be obliged to pay the equivalent gross salary of the notice period in lieu of notice, failure of which may result in the forfeiture of part of his/her terminal benefits.
- c) Prior to payment of terminal benefits, the employee shall be expected to hand over all property belonging to the Service Centre that may be in the employee's possession, including documentation, failure of which may result in the forfeiture of part of his/her terminal benefits.

5.3. Discharge

- (a) Where the Service Centre makes a decision to discharge an employee, it will, in the case of permanent employees give them three months' notice of its intention to do so, and in the case of a temporary employee or one on Probation, one month's notice of its intention to do so.
- (b) Where the Service Centre cannot or is unable to give the appropriate notice as above, it shall pay the employee salary in lieu of the appropriate notice period.
- (c) The circumstances under which the Service Centre may discharge an employee include completion of a contract, required changes in the human resource requirements or inability to perform duties owing to infirmity or other physical challenges.

5.4. Dismissal

Once the Appointing Authority has made a decision to dismiss an employee, it shall serve the employee with a notice of dismissal stating the reasons for its decision and the employee's entitlements and required action in the circumstances.

5.5. Retirement

- (a) All permanent employees will be required to retire from the Service Centre on the first day of the month following the month in which they attain the age of sixty (60).
- (b) With limited exceptions, permanent employees who want to continue working past the age of sixty may do so by petitioning to the Service Centre provided their job performance is satisfactory. Where a petition for deferred retirement is granted, it shall not exceed a period of two years.
- (c) The above provisions for retirement shall not preclude the Service Centre from offering contracts of employment to employees who have reached retirement age, or offering contracts of employment to candidates who have attained the age of 60.

5.5.1. Pre retirement counselling

In all cases of retirement, the Service Centre will make arrangements for retiring employees to receive comprehensive pre-retirement counselling programs and training sessions to ensure a smooth transition into this phase.

Employees are encouraged to enrol in the program as far in advance of retirement as possible.

5.6. Termination of Contract

The Employment Contract may be terminated:

- a. by either Party giving the other not less than **one (1) month** written notice of termination after the first six (6) months of employment;
- b. by either party paying the other an amount equal to one (1) month's salary of the Employee at the date of termination in lieu of notice; and
- c. subject to the provisions of current statutory law, by the Employer without notice or payment in lieu of notice in the case of breach of contract, gross misconduct, fraud or dishonesty on the part of the Employee.

The Employer undertakes that in the latter two instances it will follow the procedure laid down in its Disciplinary Code as far as compliant with current statutory law.

5.7. Death

In the event of the passing of an employee, the Service Centre will be obliged to meet the burial expenses. In this regard, the Service Centre shall make a cash contribution equivalent to UGX -----in respect of funeral expenses of the employee and a contribution of up to UGX -----to the funeral expenses of the spouse or children aged eighteen years or less.

5.8. Exit Interviews

Regardless of the mode and circumstances of separation, the Appointing Authority or a person designated by the Appointing Authority shall conduct exit interviews for all employees facing resignation, retirement, discharge or dismissal. The exit interview will discuss, among others, the circumstances of the employee's separation and any issues or

concerns that the employee faces or faced during his/her tenure at the Service Centre. This interview will be reduced into a report to be filed in the employee's personnel file. Pertinent issues requiring Senior Management or Board review and changes in policy should be brought to the attention of the Administrator.

5.9. Separation Entitlements

5.9.1. Terminal benefits

Upon receipt of the appropriate written notice by the Service Centre or the employee, the employee will become entitled to his/her terminal benefits. However, these entitlements will be subject to any required deductions and any conditions that may be attached to dismissal. All entitlements shall be payable before their last day of service but after the employee's submission of all property belonging to the Service Centre including documents, identification cards, keys, tools and vehicles that may be in his/her possession.

5.10. Handing Over and Taking Over Office

For efficiency and continuity of work, it is important that handing over/taking over is done in a smooth, thorough and systematic manner. Therefore, reasonable working time must be devoted to this exercise.

A member of staff handing over office must make effort to clear pending work. In case, for some reason it is not possible to clear all the work, the pending work must be reported to the immediate supervisor or Administrator as the case may be.

A detailed hand over report shall be written by the out-going member of staff and signed. A copy of the report must be forwarded to the Administrator who will then approve the employee's final exit.

Upon termination of employment, the Accountant shall ensure that all outstanding entitlements are paid in full, net of any outstanding obligations of the employee. Appropriate certification of employment shall be issued and a report on the employment of the staff member shall be placed on his or her personal file as a basis for references that may be sought by prospective employers.

Appendix 5-2-19: Public Communication Manual

Mubende Rural Water Service Center

Communication Policy

November 2017

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1.0 PURPOSE

Mubende Rural Water Service Centre recognizes that communication within the Service Centre and with external stakeholders is fundamental for the effective functioning and progress of the Service Centre. It is our belief that internal communication supports good knowledge management and operations within the organization while external communication increases awareness and understanding of issues relevant to the Service Centre and its stakeholders.

The Service Centre is committed to promoting and providing different channels of communication both within the Service Centre and with external stakeholders for the smooth running of the Service Centre.

The purpose of this policy therefore is to provide guidance to the Service Centre staff and anyone communicating for, or on behalf of the Service Centre in planning and executing their communication. It further outlines the responsibilities of all persons working for and on behalf of the Service Centre in maintaining good communication practice, the main communication channels available to staff and how to effectively use them in line with the Service Centre's overall objectives.

This policy is applicable to all Service Centre Staff, including top management, Board members and anyone doing work for or on behalf of the Service Centre.

2.0 PRINCIPLES

The Guiding principles of this policy are:

- Clear, consistent and equitable communication within the Service Centre/organisation is essential for effective operations.
- External communication, including with the media, must align with the Service Centre's strategic objectives.
- To ensure all staff and board members or persons working for or on behalf of the Service Centre are aware about their responsibilities in maintaining good communication practice.
- To guide on effective methods of communication within and outside the Service Centre.
- To ensure all staff are duly informed of the relevant activity, to enable them to be as effective as possible in their role in supporting the strategic direction of the Service Centre

3.0 RESPONSIBILITIES FUNCTIONS AND DELEGATIONS

This section details the responsibilities of all staff, the board and particular officers/offices in ensuring effective communication within the Service Centre

3.1 Board of Directors/Joint Management Committee (JMC)

- To endorse the Communications policy
- Compliance with Communications policy
- Contribute or participate in internal and external communications strategies and activities as and when required.

3.2 Administrator-Service Centre

- Official spokesperson of the Service Centre
- Liaise with media, including responding to media.
- Endorse media releases prepared by other staff.
- Oversee overall execution of external communications.

3.3 All staff

- To ensure they are maintaining good communication practice in accordance with this policy.
- To ensure they are informed and have access to information in order to be as effective as possible in their role.
- To use open channels of two-way communication to keep the Administrator and colleagues informed.
- To communicate with colleagues across the Service Centre as necessary in compliance with this policy.

4.0 CATEGORIES OF INFORMATION & COMMUNICATION

4.1 General communication

This is information that all staff will benefit from and can be generated by the management team. Such information may be news items, useful advice or notices of planned Service Centre activities. It is the responsibility of the Administrator to disseminate this information, in liaison with the respective user head of department or manager.

4.2 Departmental notices

This is information that only a group of staff would benefit from and can be generated by any team within a particular department – in line with the overall principles of this policy. Such information may include notices of department meetings, or specific planned departmental activities and programmes. It is the responsibility of the head of the unit, section or department to communicate this information effectively.

4.3 Serious incidents

During a serious incident, the Service Centre Administrator will be responsible for all communication.

4.4 External information

This is information about the Service Centre to external stakeholders and can be generated by management. Such information may be any information pertaining to the operations of the Service Centre, status updates or responses to inquiries and presentations to stakeholders. It is the responsibility of the Service Centre Administrator to communicate this information effectively. The Service Centre Administrator may also delegate his/her respective deputies or senior managers as and when necessary but this must be done in writing.

4.5 Media information

This is information or communication to or with the media on Service Centre operations, activities or response to media inquiries. Such information may be news items, updates on key Service Centre activities, Service Centre officials or related information about the Service Centre's general operations and stakeholders. It is the responsibility of the Service Centre Administrator as the official spokesperson of the Service Centre to communicate this information effectively. The Administrator must be notified of any other potential interactions between staff and the media prior to the engagement.

5 TYPES OF COMMUNICATION

5.1 Internal Communication

Internal communication is information and knowledge that is shared within Service Centre. Effective internal communication is essential for good organisational management. All board members, staff, volunteers are responsible for actively contributing to communication activities as guided.

5.1.1 Channels for Internal Communication

The Service Centre will seek to utilize and provide to employees a number of primary and secondary channels to be used for communicating information in the above categories for internal communication:

5.1.1.1 Primary Channels for Internal Communication

1. Face to Face Communication

Announcement of any urgent and important information to staff/employees will be made in face to face meetings – general or individual – to allow recipients of the information to seek any clarification.

Communicating in person with colleagues is considered to be the most beneficial method of ensuring information and knowledge is effectively shared in an organisation. This approach allows for greater understanding of the context of the message and encourages interaction, questioning and feedback.

Face-to-Face Internal communication may take the form of:

I. Staff, Team or Service Centre Meetings

These meetings provide opportunity for information sharing and decision making on a range of Service Centre and operational issues for the organisation.

All staff are required to attend Service Centre staff meetings, team meetings and Service Centre meetings as and when invited.

Any information shared in staff, team or Service Centre meetings remains confidential, unless officially guided otherwise to cascade by the respective managers. It is the responsibility of all staff or participants to observe strict confidentiality of the information.

II. Board Meetings

Board meetings support effective governance for the organisation. Board meetings may also include time for staff (and occasionally contracted consultants) to communicate with the Board on a range of Service Centre and operational issues.

All information shared or discussed at board meetings must remain confidential unless approved for cascade to staff or relevant stakeholders. It will be the responsibility of the Board Chairman or the Service Centre Administrator as agreed in that particular board meeting to communicate any agreed information originating from the board for communication to internal and/or external stakeholders.

III. Work Plan and Review Meetings

Work plan and review meetings between staff, and/or with stakeholders may be conducted to allow communication on specific Service Centre and activity planning, achievements and challenges.

2. Email

Email is one of the most common methods of communicating within an organisation every member of the staff must have an email account registered with the Service Center. This account will be used as the primary account for communication with staff and external stakeholders.

5.1.2 Secondary Channels For Internal Communication

1. Notice Boards

Notice boards may be used for displaying communication intended for all staff or the public. Any communication to be displayed on the notice boards must however have the requisite approval of the Service Centre Administrator or the respective line senior manager before it is displayed. The user department must ensure that the information is removed when out of date.

2. Printed Material

Useful Service Centre information intended for both staff and/or external stakeholders may be printed on leaflets and brochures. Any member of staff who intends to produce any printed Service Centre material is required to contact the Head of PR to ensure the content gets the requisite approvals and is arranged in a presentable form in line with the Service Centre's brand guidelines and overall image.

3. Social Media and External websites

Service Centre will have an account of Facebook as well as Twitter which will supplement other communication channels with which we communicate to our stakeholders. These channels should however only be used as secondary sources of information.

Staff may have their personal/individual social media accounts. However, anyone intending to post information about the Service Centre must ensure that it meets the Service Centre's social media guidelines as well as Information Management Policy.

4. Communication Systems and Tools

All employees will use communication systems and equipment for Service Centre purposes.

Employees will comply with all related laws when using Service Centre communication systems.

Using Service Centre computer resources to seek out, access, store or send any material of an offensive, obscene or defamatory nature is prohibited and may result in disciplinary action.

All emails and internet use, including specific websites visited may be monitored.

5. Records of Communication.

All documents bearing the Service Centre name and/or logo, including digital and electronic materials, must be saved in the electronic and hard copy filing Systems, as per the Information Management Policy and Records policies.

5.2 Outgoing / External Communication

Outgoing information is information and knowledge that is initiated, developed and distributed by Service Centre for an external audience

The Service Centre provides outgoing communication to the following audience

- Persons affected by the activities of the Service Centre
- Local leaders
- Local governments
- General Public
- Development partners – funding bodies
- Government departments and branches
- Engaged and potential consultants
- Partner organisations for Service Centre,
- Business community
- Research and academic institutes
- Media
- Courts, probe committees or investigators
- Professional associations & memberships

5.2.1 Developing Outgoing Communication

In developing any outgoing communication about Service Centre, all persons bound by this policy will be guided by the following approach, to ensure consistency in all outgoing Service Centre communication:

- What: Identify broadly what is to be communicated
- Message: Single out the key message you intend to communicate
- Audience: Identify who the audience is and adapt the message accordingly
- Messenger: Identify who will do the communication and why
- Mechanism: How will the message be communicated?

5.2.2 Mechanisms & Tools for Outgoing Communication

The Service Centre will use a range of mechanisms to distribute outgoing communication

Newsletter

The Service Centre may produce digital or printed newsletters as necessary with a primary target audience of either internal or external stakeholders. Staff may contribute and write articles for the newsletter as necessary. However, the Head Public Relations and Corporate Affairs must ensure that the content of the newsletter has received all the requisite approvals from the Service Centre Administrator in line with the Service Centre's overall strategic objectives and values.

Service Centre Documents

The Water Service Centre may from time to time produce organisation and Service Centre specific documents that provide information about its plans, performance, achievements, and activities.

Documents such as reports, strategic plans, stakeholder brochures, and Service Centre Background and implementation plans may be provided to stakeholders with the approval of the content by the Service Centre Administrator.

Organisational documents for outgoing communication may also be distributed internally, to all staff and Board members as necessary and with prior approval of the Service Centre Administrator

Media Communication

The Service Centre Administrator or the Head of PR, may produce or respond to media releases on behalf of the organization.

The Service Centre Administrator and Head of PR hold responsibility for engaging with, liaison with or responding to the media. The Board Chairman may respond to the media on behalf of the Service Centre in consultation and alignment with the Service Centre Administrator. In such incidents, the Service Centre Administrator must be notified of all outgoing communication about the Service Centre by any member of the Board.

Media releases may be developed to promote an event or Service Centre achievement, advocacy on behalf of the Service Centre, or to counter any negative media coverage relating to the Service Centre.

Service Centre may partner with other organizations in producing or responding to a media release.

Conference, Forum and Meeting Representation

Board and staff members can participate in numerous conferences, forums, and workshops or discussion groups, representing Service Centre as assigned by the respective senior managers and Service Centre Administrator.

However, all staff or board members nominated or delegated to participate in such Service Centre related events and activities must know that representation is for the Service Centre/organisation and not personal opinion, unless clearly stated.

Stakeholder Meetings and engagements

Service Centre staff can participate in regular meetings with relevant stakeholders to provide support, share information about current Service Centre's and to gather feedback on the Service Centre.

Regular contact with stakeholders is part of Service Centre Service Centre delivery.

All staff are responsible for developing and maintaining effective relationships with stakeholders in line with all other related Service Centre policies, values and strategic objectives.

Branding and Corporate Image

All outgoing communications must carry the Service Centre name and/or logo, including letters, reports, Service Centre materials, emails, and policy and advocacy submissions.

The Public Relations department shall be the brand custodian for the Service Centre and will be responsible for ensuring that any Service Centre materials, including branded clothing and items, that bear the Service Centre logo are compliant with the brand guidelines.

Staff must not issue any letter, statement, invoice, notice, publication, order for goods or services or receipt on behalf of the Service Centre unless the Service Centre's name and or logo appears in legible characters on the document.

5.2.3 Service Centre Name and Logo

The Service Centre name and logo are copyright and must not be used for communications that are not directly related to the Service Centre.

5.3 Incoming Communication

Incoming communication is information and knowledge that is sought and or received from an external source to the organization. Incoming communication supports Service Centre in achieving its goals, strategic objectives and addressing stakeholder needs.

Service Centre receives communications from the following sources

- Service Centre Affected Persons
- Local leaders
- Local governments
- General Public
- Development Partners – funding bodies
- Government – departments and branches
- Engaged and potential consultants
- Partner organizations for Service Centre,
- Business community
- Research and academic institutes
- Media
- Courts of law
- Professional associations and memberships

5.3.1 Mechanisms and Tools used to Receive Incoming Communication

A range of mechanisms and tools are used to receive incoming communication.

Mechanisms described above in 'outgoing communication' also provide opportunities for Water Service Centre to receive information. Other incoming Communication mechanisms include:

Stakeholder Consultations

One of the core values of the Service Centre is Transparency, in which the Service Centre seeks to maintain an open door policy and consult with its key stakeholders as frequently as possible to ensure their needs are met.

We recognize that stakeholders play a role in assisting us achieve our objectives and therefore regular consultation with stakeholders may be undertaken. Consultation may be informal or through formal means such as surveys, research, contracting consultants, etc.

Staff may also participate in advisory/steering groups as a mechanism for providing expert input into activities and services.

Staff must keep a record of all these stakeholder interactions or engagements or consultations detailing clearly the purpose of the communication or consultation and key outcomes.

Subscriptions

Board members and staff may actively source information through numerous email and hard copy subscriptions to inform activities of the Service Centre. However, this must be done in line with all the other related Service Centre policies including information management policy, privacy and confidentiality policy and the records policy.

6.0 RISK MANAGEMENT

Service Centre shall put in place mechanisms in place to ensure that communications are effective and regularly monitored.

All staff, volunteers, students and Board Members must be made aware of this policy, with regular refreshers to ensure compliance.

This policy must be communicated to all new staff during orientation and they must be provided with ongoing support to assist them to effectively use internal communication systems.

This policy must be read and implemented in conjunction with other related Service Centre policies; including:

- The Privacy and Confidentiality Policy.
- Computer and Phone use guidelines
- Information Management Policy
- Staff Email, Internet and phone use Guidelines
- Records Policy i.e. a confidential, secure, accurate organized record system. Information is stored in a way that is accessible, legally compliant
- Media & News protocol
- Social media guidelines
- External Relationships guidelines
- IT policy

6.1 Misuse of Service Centre Information

Inappropriate use of Service Centre information especially information categorized or considered as private and confidential is prohibited and will result in disciplinary action.

7.0 IMPLEMENTATION OF THE COMMUNICATIONS POLICY

This policy is developed in consultation with respective staff and approved by the Service Centre Board.

This policy is to be part of all staff, both permanent and temporary, volunteers and Board members' day to day operations and processes and all employees and Board members are responsible for understanding and adhering to this policy. All should be made aware of this policy during orientation and provided with ongoing support to enable them effectively use the available internal communication systems.

This policy should be referenced in relevant policies, procedures and other supporting documents to ensure that it is familiar to all staff and actively used. This policy will be reviewed in line with Service Centre quality improvement processes and/or relevant legislative changes.

Appendix 5-2-20: Operations and Maintenance Manual

**OPERATION AND MAINTENANCE MANUAL
FOR NATIONAL WATER SERVICE CENTRE**

COMPILED BY:

KALNAR ADVOCATES

June 2017

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MINISTRY OF WATER AND ENVIRONMENT

OPERATION AND MAINTENANCE MANUAL FOR WATER SERVICE CENTRE

PREFACE

Included in this manual are the startup procedures, complete information on the Operation and Maintenance and repair of all equipment, Technical Manuals and the relevant drawings which shall be referred to as and when required. The equipment shall be operated, maintained and repaired in strict compliance with these instructions for the safety of the operating personnel and for the prevention of damage to the equipment.

All equipment and components have been installed/ erected according to appropriate specifications and standards and in accordance with the design criteria. The Operating life of the equipment will depend on the safe operation and routine/preventive maintenance as per the guidelines and instructions contained in this manual, which is necessary on a regular basis, especially prior to the commencement of any critical operation, maintenance and repair activity.

In case of any clarification regarding operation and maintenance or repair of the equipment, please refer to:

(Insert contact details)

LIST OF KEY ABBREVIATIONS

BH	Borehole
DN	Nominal Diameter
DWO	District Water Office
DWD	Directorate of Water Development
FS	Feecal Sludge
FSTP	Feecal Sludge Treatment Plant
GI	Galvanized Iron
HDPE	High Density Poly Ethylene
LG/A	Local Government
MWE	Ministry of Water and Environment
MCC	Main Control Centre
NEMA	National Environment Management Authority
WSC	National Water Service Centre
PN	Nominal Pipe pressure rating
No.	Number
OD	Outer Diameter
O&M	Operation and Maintenance
OM	Operations Manager
PA	Plant Attendant
PO	Plant Overseer
PO	Private Operator
PPM	Preventive Plant Maintenance
RGC	Rural Growth Centre
S/C	Sub-County
SK	Store Keeper
SO	Scheme Operator
ST's	Small Towns
SWD/A	Solid Waste Disposal/Area

MINISTRY OF WATER AND ENVIRONMENT

OPERATION AND MAINTENANCE MANUAL FOR WATER SERVICE CENTRE

WSOH	Water Supply Operators' Handbook
WSS	Water Supply System
WSSA	Water Supply Service Area
WSSS	Water Supply and Sanitation System

KEY DEFINITIONS

Operation

Operation commonly deals with the actual running of a service and covers activities such as provision of fuel, starting and stopping of pumps, control of water collection points, general water treatment procedures, hygiene handling, and so on.

Maintenance

Maintenance deals with the activities that keep the system in proper working condition, including management, cost recovery, repairs and preventive maintenance.

Preventive Maintenance

Maintenance undertaken according to pre-scheduled systematic inspection, repair and replacement, leading to continuity in service level, O&M costs spread over time, extension of lifespan of equipment, user satisfaction and willingness to pay.

Corrective Maintenance

Maintenance undertaken only in response to breakdowns and/or public complaints, leading to poor service level, high O&M costs, faster wear and tear of equipment and to user dissatisfaction.

MINISTRY OF WATER AND ENVIRONMENT

OPERATION AND MAINTENANCE MANUAL FOR WATER SERVICE CENTRE

1.0 INTRODUCTION

1.1 WHAT THIS MANUAL IS ABOUT

A water service center is to be established in Mubende District, which is to act as a pilot for various other districts. Whereas the needed physical facilities for accelerated increase of safe water coverage have been improved for the town, it is recognized that issues of sustainable use and maintenance of the facilities developed are key to success of the said undertaking. To address this concern of ensuring effective long term sustainability of the constructed Water Service Centre (WSC), an operation and maintenance manual for the facility has been prepared.

Operation and maintenance of water facilities in Uganda is anchored in a number of water sector policy documents including the Water Act Cap 152. The main purpose of this manual is to facilitate action with regard to operation and maintenance of the newly constructed water service center in Mubende District.

1.2 INTENDED USERS OF THE MANUAL

This manual is for the staff of the National Water Service Centre. The manual is also meant for water users in the water service area and other key stakeholders.

Operating and maintaining the Water and Sanitation system involves doing routine check, maintenance and repairs. The following things are some of the tasks which will need to be done to keep the system in good working order:

- Replace or repair broken taps;
- Repair leakages in the pipeline;
- Tighten nuts, bolts, and leaky fittings;
- Routine maintenance of borehole pump stations, reservoir sites and Faecal disposal site;
- Flush and clean tanks;
- Flush the main pipeline;
- Buy/maintain supplies, spare parts, and tools for caretakers;
- Train and equip operator's staff with necessary information and tools required to maintain the system;

WSC will be responsible for funding all the maintenance works for the Water Service Centre. They will also be responsible for organizing, keeping records of the caretakers' maintenance activities, and Faecal sludge component of the sanitation scheme while the on-site sanitation and solid waste disposal facilities is vested on the local government authority. Therefore, the National Water Service Centre will be responsible for the sustainable operations and maintenance for this part of the Sanitation System.

2.0 BRIEF DESCRIPTION OF THE WATER SUPPLY

The Water Service Centre is a piped water scheme in Mubende District, including a sanitation component consisting of a Faecal sludge disposal site and a solid waste/composting area as well as on-site sanitation facilities.

The water system draws its water from three boreholes with a total yield of _____ namely;
(Provide Information)

The scheme comprises of the following elements; (Please insert appropriate information)

- _____
- _____
- _____
- _____.

The Operation and Maintenance of water supply and sanitation system has been quite challenging in a greater number of developing countries. Professionals in the sector are also realizing that Operation and maintenance is not just a technical issue, but encompasses social, gender, economic, political, managerial and environmental aspects.

This manual therefore stipulates the major component structures of the WSC, the O&M strategies and clearly outlines the roles and responsibilities of key actors who include;

- Ministry of Water and Environment (MWE)
- Local Government (District and Sub-county Levels)
- JICA
- Eight-Japan Engineering Consultants (EJEC)

3.0 MAJOR COMPONENT STRUCTURES OF THE SCHEME

The major component structures of the system include:

Water Supply Network

- Pump houses
- Borehole pumping mains
- Chlorine dosing houses
- Reservoir tanks
- Distribution lines
- Intensification and Service Lines

Connection points

- House hold connections
- Institutional connections
- Public Stand Posts

Sludge/solid waste treatment plant

- Feacal sludge treatment plant
- Solid waste disposal site (Waste storage and composting area)
- Solid waste disposal skip sites

3.1 Pump Houses

The system has three pump houses, comprising of the following equipment:

No.	Description	Quantity
1	Control panel for the pumps	----
2	Pressure gauges	-----
3	Gate valve	-----
4	Non-return valve	-----
5	Water Bulk meter	-----
6	Washout	-----
7	3 phase electric main distribution board	-----
8	3 phase electric change over	-----
9	bulk head water proof security lights	-----
10	Fluorescent lights	-----

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11	100 KVA Transformer	-----
----	---------------------	-------

3.1.1 Electrical Submersible stainless steel motor pumps

S/No.	Borehole Location	Design Flow (m ³ /hr)	Pump Head (m)	Pump Depth (m)	Power rating (kW)	Make/type
1.						
2.						
3.						

3.1.2 The electrical power system

- There are three transformers of capacity 100kVA/33KV each feeding the three different borehole pump stations fully inspected and approved by UMEME officials.
- One 25kVA/33KV transformer feeding the chlorine dosing house in _____

3.1.3 Start-up procedure-Submersible Pumps

- Ensure that the 3 phase power supply is available to the starter panel by checking the voltages of all the 3 phases or by selecting the phases through the voltmeter selector switch.
- Switch the changeover switch to the on-position (green) on the 63A Isolator box.
- Turn the dial on the control panel to **Auto** (or **On** for immediate pump start-up) and ensure that a reading is registered on the voltmeter.
- Confirm that the low level indicator lamps on panel are not glowing i.e. there should be enough water for pumping.
- Ensure that the outgoing gate valve is open.
- Ensure that the safety instructions by the manufacturer are read and understood.
- Ensure that all items have been installed as per the installation guidelines-procedures recommended by the manufacturer.
- Ensure that the MCC contents are properly earthed.

3.1.4 Summarized pre-conditions for starting the pump

- No over load relay trip.
- Water level should not be low.

- Gate valve(s) should be open at delivery main.
- Ensure that the 3 phase power supply is available to the starter panel by checking the voltages of all the 3 phases or by selecting the phases through the voltmeter selector switch.

3.1.5 Stopping the running pump.

- Press the Stop push button or it will automatically stop when the water level drops below the pump installation by tripping off.

3.1.6 O & M Activities

- Record meter readings at all the bulk meters in the pump house and at the reservoir every day before pumping and after pumping, this will help to know averagely the flow rate and amount of water pumped per day. If the reading on the meter in the house and at the tank is different, then there could be a leakage which will require rectification or a washout is open and water is not reaching the reservoir. Or one of the meters might be faulty. Call technicians to repair or replace it.
- Open washouts and flush pipelines, once a month.
- Keep the area clean by removing all the rubbish and deposit it in a compost pit.
- The gate at the fence should always be closed and locked to stop people from entering because they can contaminate or put poison in water and this will affect the community.
- Padlocks should be oiled at least once a month to avoid it getting rusty and stuck.
- Slash grass regularly at least after two weeks.
- Open and close valves regularly or at least every month to avoid them getting stuck.
- Control panels should be switched on carefully by first switching on the red switch (for power) then the pump switch put in Auto. If the pump doesn't go on, check whether electricity is on by first putting on lights. If still it doesn't go on, then there might be a fault in the control panel or water levels have reduced. Call expert electricians for advice.

If lights are not lighting after switching on check whether circuit breakers are on, if on and no light check whether bulb are not blown, if blown replace with new ones and if replaced and still not lighting, call an electrician for assistance.

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3.2 Borehole Pumping Mains

There are three borehole pumping mains; Transmission 1 (OD50mm HDPE PN16) of total distance 200m from BH1 (Pump A station) up to Node T1. Transmission 2 (a) (OD50mm HDPE PN16) of total distance 120m from BH2 (Pump B station) up to the Node T1. Transmission 2 (b) (OD63mm HDPE PN16) of total distance 5300m from Node T1 up to the 60m³ elevated Reservoir tank at _____ . Refer to the As-built drawings for further details.

3.2.1 O & M Activities

During the system operation, a number of activities need to be done to ensure sound performance and sustainability. These include:

- The whole pipeline should be inspected occasionally to check for any leakages.
- Water balancing should be carried out by checking to see that readings of the bulk meters, at the pump houses and the reservoir, correspond.
- Open and close valves at air valve or washout chambers at least once a month to avoid them getting stuck.

3.3 Chlorine Dosing House

There are two Chlorine dosing houses located at two of the reservoir tank sites, namely; _____ and _____ reservoir sites. Both chlorine dosing houses are each fitted with a Grundfos Chemical pump and a chemical mixing tank with a capacity of 170 litres.

Below is a table highlighting the Chlorine Dosing Pump details:

MODEL	Max Flow (l/hr)	Max Pressure (Bar)	V Stroke (cc)	Motor Size (w)	Motor Size (w)			Wgt (Kgs)
					A	B	Width	
----	----	----	----	----	----	----	----	----

The pump features corrosion resistant PVC for the pump bodies and dosing heads, PTFE diaphragms for universal chemical resistance and ceramic valve ball. They are also supplied with complete installation kits including foot valve with strainer, injector valve, ___m PVC suction hose and ---m PE delivery hose.

The ----- is a basic pump with all the operating features but for manual control. Connections are also available for external concentrated tank level control.

3.3.1 O & M Activities

During the system operation, a number of activities need to be done to ensure sound performance and sustainability. These include:

- Accurately weigh required amount of chlorine as per instruction and put in a clean chlorine mixing tank.
- The mixed chlorine is then released into the chemical mixing tank before going to the raw water delivery channel.
- Ensure that the mixing tanks are cleaned regularly (at least once a week) to ensure that all residual/foreign elements don't remain in the bottom and sides of the tank, to avoid blockage.
- Keep the dosing house clean by removing all the rubbish and deposit it in a compost pit.

3.4 Reservoir Tanks

Two (2) Cold pressed steel tanks at _____ (60m³ on an elevated steel tower of 12m high), _____ (30m³ on an elevated steel tower of 6m high) including all associated inlet, outlet, overflow and washout fittings. The storage capacity was estimated basing on the maximum allowable daily peak hour demand and the available capacity of the production boreholes.

The outlet has two gate valves from the respective tanks, and a single bulk meter to control and measure flow from the reservoir tank. The overflow and the wash out from the reservoir tank are joined and fed into the wash out outfall chamber.

In addition to the fittings, the following are on/in the reservoir tanks:

- Water Level indicators
- Roof level access manholes
- Constitutes of a lockable control room for the pipework and fittings.

The tanks are well fenced off and have a lockable gate to regulate access by people and animals to the reservoir tank site.

3.5.1 O & M Activities

- Record meter readings at the tank in the morning and evening daily, this will help to know averagely the amount of water consumed per day. If the reading on the meter is high, then there could be a leakage which will require rectification or dry season where community consumes a lot of water. When the reading is low then it could be a rainy season where

people harvest rain water. Out let gate valves could be half closed go ahead and open them. Or the meter might be faulty. Call technicians from the WSC analyze the situation.

- Open washouts and clean tank inside after a month (clean using a soft brush or a sponge to avoid developing scratches on internal walls of the galvanized plates.
- Keep the area clean by removing all the rubbish and deposit it away in a compost pit.
- The gate at the fence should always be closed and locked to stop people from entering because they can contaminate or put poison in tank and this will affect the community.
- Padlock should be oiled at least after a month to avoid it getting rusty and stuck.
- Slash grass regularly at least after two weeks.
- Open and close valves monthly to avoid them getting stuck.
- Access ladders should be painted after two years to prevent them from rusting.
- Water level indicator pulley should always be oiled at least once a month to allow its free movement.
- Open and close valves regularly such that they don't get stuck.
- WSC should implement a programme to test all system meters at regular intervals. To ensure meter accuracy, WSC have an established meter-testing programme (Clamp in Ultra-sonic flow meters), or should follow the guidelines recommended in the American Water Works Association (AWWA) standards (C700 series) as summarized in "Water Meters-Selection, Installation, Testing and Maintenance" (AWWA M6). Furthermore, consumer meters may need to be replaced at least once every 15 years.

3.5 Distribution Lines

Distribution lines permit water to move from the tanks to the service lines. The total length of the distribution system is about -----km with pipes of OD50-OD110mm HDPE/uPVC PN10. There are control chambers with valves on all lines. These are used to control the flow of water in-case of leakage, repairs and when a new connection is to be done. There are also washouts fixed along the different distribution lines as highlighted in the As-built drawings. These are helpful in the periodic flushing and cleaning of the distribution network.

3.5.1 O & M Activities

- WSC operators have to inspect the valves periodically every month.
- Washout valves need to be opened and flashed at least quarterly.
- The whole pipeline should be inspected periodically to check for any leakages.
- Check on valve chambers regularly.

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- The gate valve for air valves should be kept open to allow air entrapped in the pipeline to be expelled.
- Air valves should be checked regularly for leakages.

3.6 Intensification/Services Lines

Intensification lines are those that receive water from the main distribution lines. Pipes used for intensification for the project are OD32mm, OD40mm and OD50mm HDPE PN10. There are control chambers with valves, on all lines which are used to control the flow of water in-case of leakages, repairs and when a new connection is to be installed.

Service lines supply water to the public Stand posts, to institution tap stands and to private houses for those with private connections. HDPE pipes of OD20 and OD25 PN10 are used for service connections. Along the service lines are gate valves, water meters and other fittings to complete the tap stand.

3.6.1 O & M Activities

- Check that the meters are functioning normally.
- Check for leakages on the line and fittings.
- Always close and open the gate valves along the service lines.

3.7 Public stands posts

3.7.1 Public stands posts

This is a communal water fetching point where people from various households can get water.

The public stand posts have the following fittings;

- Saddle clamp (Depending on size of Distribution/ Intensification line)
- HDPE Outlet type swivel ferrule (1No.)
- ¾" Brass tap (2 No.)
- ¾" PE male adaptor (2 No.)
- ¾" Brass Gate valve (2 No.)
- ¾" GI elbow (4 No.)
- ¾" Water meter (1 No.)
- ¾" GI pipe
- ¾" GI tee (3 No.)
- ¾" GI plug (2 No.)

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3.7.2 O&M activities

- Replace damaged fittings (*worn off threads, faulty tap heads*) with new fittings.
- Re-tighten leaking fittings using a pair of pipe wrench.
- Don't bathe or wash clothes at the taps
- Drainage channel for Stand posts should at all-time be inspected and remove rubbish which can cause blockage.
- Always close and open gate valves to prevent them getting stuck at least once in a month.
- Clean outside its surroundings to maintain cleanliness.
- Adjust gate valve to attain normal pressure for the taps.
- Ensure that the meter is functioning very well. Don't tamper with it, in case it is faulty, call a skilled person to work on it or inform WSC for technical advice.
- Ensure the drainage channel to soak pit is not blocked at any time.

3.8 Yard/ Household Connection

3.8.1 Yard/Household connection

The yard connection has the following fittings:

- Saddle clamp (Depending on size of Distribution/ Intensification line)
- HDPE Outlet type swivel ferrule (1No.)
- 1/2" Brass tap (1 No.)
- 1/2" PE male adaptor (2 No.)
- 1/2" Brass Gate valve (2 No.)
- 1/2" GI elbow (4 No.)
- 1/2" Water meter (4 No.)
- 1/2" GI pipe
- 1/2" GI tee (1 No.)
- 1/2" GI plug (1 No.)

3.8.2 O&M activities

- Always close and open gate valves once in a month to prevent them getting stuck.
- Walk along the lines once a month trying to identify leakages.
- Replace damaged fittings (*worn off threads, faulty tap heads*) with new fittings.
- Re-tighten leaking fittings using a pair of pipe wrench
- Don't bathe or wash clothes at the taps.
- Adjust gate valve to attain normal pressure for the taps.

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- Ensure that the meter is functioning very well. Don't tamper with it, in case it is faulty, call a skilled person to work on it or inform WSC organization for technical advice.

3.9 Chambers and Marker Posts

3.9.1 Chambers

The chambers are constructed with burnt clay bricks and mortar in a ratio of ___ and have inspection covers made of steel. These chambers contain control/gate valves, air release and washout valves respectively.

3.9.2 O&M activities

- Open and close valves in the inspection chambers along the line once a year to avoid them getting stuck.
- Check on walls and plaster for valve chambers if it's still strong. Re-plastering can be done after 2 years.
- Walk along the pipeline once in a month to identify leakages and rectify them if any.
- Clean pipes by opening washouts along the line after a year.
- Check on the constructed inspection chambers, those that are covered by over grown grass should be visible by cutting grass all around them.

4.0 TOOLS FOR OPERATION AND MAINTENANCE (O&M)

The following are the tools that are recommended for O & M for National Water Service Centre;

ITEM DESCRIPTION	Unit	QTY

5.3 Installation procedures

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

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

6.0 TROUBLE SHOOTING

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

6.1 When water is not reaching the reservoir tank

If water doesn't reach the tank, be calm and wait, it might be on the way along the pipeline trying to pick pressures. But if 15 minutes' elapse and there is no water reaching the tank, first check if the pumping/transmission main has flowing water with sufficient pressures, then check on the following; Leakages along the line, disconnection, major damages or silting. Check also the valve (Gate and air valves) along the pipeline, including the inlet gate valve to the reservoir tank.

6.2 When water is not reaching the stand posts and yard taps and institutional connections

- Check that there is water in the tank, if not refer to 6.1 above.
- Check that the tank outlet gate valve is open.
- Check that tank wash outs are closed.
- Check that the gate valves in public stand posts and at yard taps are open.
- Walk along the distribution line to check for any leakages.
- Check that all control valves along the pipe line are open.
- Check for any air locks by opening gate valves on wash outs to check where water could be stuck.
- Check the meters for any blockages. Meter problems should be reported to WSC.

7.0 FEACAL SLUDGE TREATMENT PLANT AND SOLID WASTE DISPOSAL SITE

The degree of mechanization of the FSTP (Feacal Sludge Treatment Plant) depends on the availability of spare parts, electrical power and trained operators. Where this is limited, passive technologies such as drying beds and stabilization ponds might be better technology choices. If power availability is intermittent, technologies that utilize manual systems should be chosen over mechanical ones whenever possible. For example, screenings can be removed manually or by a mechanical rake, dried sludge can be transported with a mechanical shovel or with a wheelbarrow, and small composting piles can be mechanically aerated, while compost heaps need to be turned manually.

It is important to take the traffic patterns and the management of truck traffic in and out of FSTPs into consideration in order to maximize the efficiency of the receiving and off-loading processes.

Receiving Feacal Sludge loads at the FSTP involves:

- Traffic control; and
- Approving the FS for discharge into the facility.

7.1 Approval of Feacal Sludge for discharge

Wastes from different sources can have widely differing characteristics, which may impact upon the operation of the FSTP. Residential FS (e.g. from pit latrines or septic tanks) is often relatively free of toxic chemicals. Restaurant FS, however, may have significant quantities of fats, oil and grease, especially if grease traps or interceptors are absent or not functioning properly. Similarly, FS from auto repair shops, dry cleaning establishments, hospitals, or other commercial or institutional settings may contain toxic materials that are detrimental to the treatment process. In areas with a large number of commercial facilities, it is recommended that FSTP have parallel treatment trains, one that can accommodate residential sludge, and another for commercial wastes.

7.2 Operation and Maintenance Plans

The O&M plan provides details on the tasks, materials, equipment, tools, sampling, monitoring and safety procedures which are necessary to keep the plant running properly, all of which have cost implications that must be carefully considered.

FSTPs require clear operational procedures. Therefore, the O&M plans should include an operation manual, containing the following information:

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- The engineering drawings and FSTP specifications;
- The manufacturer's literature and equipment operation guidelines;
- The responsible person for each task;
- The frequency of each activity;
- The operation procedures and tools required to perform the task;
- The safety measures required; and
- The information that is to be monitored and recorded.

The treatment technologies applied at the FSTP all require the control of the following aspects:

- Screenings removal;
- Load (quantity, quality and frequency);
- Processing (e.g. mixing compost pile, chemical addition for mechanical drying);
- Residence time;
- Extraction, further treatment or disposal of end products;
- Collection and further treatment or disposal of liquid end products and;
- Storage and sale of the end products.

The operational procedures should take the climate and the other context-dependent variables into account. The drying time or retention time may vary greatly during intensive rain periods or droughts.

Rain events may also increase FS volumes delivered to the FSTP if the onsite sanitation systems were not built adequately, due to runoff or a rise in the groundwater table. The operational activities at the FSTP can then be planned to take these aspects into account. For example, macrophytes of planted drying beds can be weeded during a dry season, when there is potentially less FS to treat, and there is a shorter drying time.

7.3 Operation and Maintenance Procedures

There are two main types of maintenance activities: preventative maintenance and reactive maintenance.

Well-planned preventative maintenance programs can often minimize reactive interventions to emergency situations, which are frequently costlier and complex. Component breakdowns at FSTPs can result in wider system failure, or non-compliance. Therefore, each component at the FSTP has specific preventative maintenance requirements that need to be described in detail in a maintenance plan including the tasks, frequency of actions, and step-by-step procedures for accomplishing the tasks, including inspections. Physical inspections conducted at scheduled

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intervals are important, where operators look for specific indicators such as cracked wires, broken concrete and discolored and brittle pipes in order to identify preventative maintenance needs.

The maintenance plan should be guided by the local context, the climate, and the asset-specific monitoring information. Coastal FSTPs, for example may require more frequent painting and corrosion control due to the salt air compared to the same plant located inland. The task details include the equipment, tools and supplies needed to accomplish the task and the amount of time it should take to complete. Once completed, the task details should be entered into the equipment maintenance log book or database, along with any difficulties encountered.

7.3.1 Process of Faecal Sludge Treatment

Pit/septic tank emptying constitutes a major problem in many places, both technically and managerially. Mechanized services for Mubende District will be rendered by WSC by use of a motorized vacuum tank with a capacity of approximately 6m³ supplied by the Ministry of Water and Environment. In addition to the vacuum tanker, Mubende was also supplied with a mini-vacuum-tug (capacity of approximately _____ litres) for narrow and hard to reach areas.

Once the Faecal sludge has been collected, and delivered to the FSTP, primary treatment occurs by screening and grit removal. This is a first treatment step consisting of solid separation from the liquid fraction.

The fresh, undigested sludge should be stabilized initially through planted drying beds consist of a gravel (course and fine)/sand filter planted with emergent plants (papyrus). The applied sludge is dewatered by filtration with the wet sludge accumulating on the surface. The liquid fraction flows vertically through the filter media and is finally collected as percolate at the bottom (vertical flow). With the use of penstocks along the distribution channel, FSTP operators from WSC should ensure that one pond is used at a time or as per the daily volume of FS delivered. The recommended solid loading rate for the planted drying beds is 100-300kg/m²/year with a loading frequency of once per week.

The resulting liquid fraction is then passed through a series of drainage pipes through the self-priming chamber and into the constructed wetlands (CW). Constructed wetlands also consist of a gravel (course and fine)/sand filter planted with emergent plants (papyrus). Constructed wetlands provide a further treatment process of the effluent from the planted drying beds by settling of suspended particulate matter, breakdown and transformation of pollutants by microorganisms, predation and natural die-off of pathogens.

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After the effluent has left the constructed wetlands, it passes through the Horizontal Rock Filters (HRF), which are the final treatment stage. The HRF's consist of coarse aggregates.

A series of by-passes have also been set up within the FSTP enabling the liquid fraction to be discharged after the planted drying beds (skipping the CW's and HRF's), or discharged after the constructed wetlands (skipping the HRF's) depending on the nature of the Faecal sludge collected and if the required effluent standards for safe disposal are achieved.

The numerical quality values are required to define process specifications, and WSC has to ensure effluent quality test are done monthly. Xanthoulis and Strauss proposed a guideline value for bio solids (as defined for Faecal sludge or for wastewater treatment schemes) of 3–8 viable nematode eggs/g TS (Xanthoulis et al., 1991). This recommendation is based on the WHO guideline of ≤ 1 nematode egg/litre of treated wastewater used for vegetable irrigation (WHO, 2006) and on an average manuring rate of 2–3 tons TS/ha/year. The table below shows suggested effluent and plant sludge quality guidelines for treatment of Faecal sludge (Heinss et al., 1998)

A.Liquid effluent	BOD (mg/l)		NH ₄ -N (mg/l)	Helminth eggs (no./liter)	FC (no./100 ml)
	Total	Filtered			
1. Discharge into receiving waters:					
Seasonal Stream or estuary	100-200	30-60	10-30	$\leq 2.5-5$	$\leq 10^4$
Perennial river or sea	200-300	60-90	20-50	≤ 10	$\leq 10^5$

WHO 2006, also has further specifications on the quality of discharge from the FSTP.

Frequent maintenance tasks include:

- Corrosion control – scraping rust, painting metal surfaces, and repairing corroded concrete;
- Sludge and coarse solids extraction from the basins and canals;
- Repacking and exercising valves (i.e. locating and maintaining fully operational valves);
- Oiling and greasing mechanical equipment such as pumps, centrifuges or emptying trucks
- Housekeeping activities including picking up of refuse and vegetation control.

7.3.2 Process of Solid Waste Management

The FSTP has a Solid Waste Disposal(SWD)/composting area which is operated by the Local/Municipal authorities. Composting is the process with which biodegradable waste is biologically decomposed by microorganisms (mainly bacteria and fungi) under controlled aerobic and thermo-phallic conditions. For the case of Mubende FSTP, the composting site is divided into two sections namely; Non-biodegradable Disposal area and Degradable/composting area.

Skips that are colour coded (provided by the MWE) enable sorting of the solid waste at the source. Further sorting is required at the skip platforms to ensure that either degradable or non-degradable type of waste is taken at any one go so as to avoid mixing.

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The technologies chosen for aerobic composting (or co-composting) will depend on the location of the facility, available capital, including amount and type of waste delivered to the site. For the case of Mubende, the Static Pile Composting method (Windrows) is advised. This method of composting is the simplest and least expensive option available. The static pile method involves forming outdoor windrows, which are allowed to decompose for 6 months to one year (3 to 4 months during the summer). Turning regularly should be done (one to three times per week during active composting period). Once built, windrows or piles are passively aerated by convection and diffusion, so it is critically important that materials initially be mixed with amendment to provide sufficient air flow within the piles. The windrows are usually limited to a height of 3 meters (m).

During pile remixing and rebuilding, the pile's dry area should be remoistened to help speed up the composting process and reduce the likelihood of spontaneous combustion.

Mubende Municipal/ local authorities should ensure that the area around the dumping area is clean, with the drainage channels cleaned daily to ensure that no static leachate forms around the site.

8.0 MANAGEMENT OF THE SCHEME

Management of the system should be everyone's responsibility in order to have a sustainable system. The various actors have different roles to play to enhance the sustainability of the scheme.

8.1 Roles of the Ministry of Water and Environment

- Appoint, supervise and inspects activities of the National Water Service Centre.
- Revises or adds to standards of service.
- Arranges compensation on termination of an Authority's performance contract
- May terminate the performance contract.

8.2 Responsibilities of Mubende District Local Authority

- Enforcing compliance with laws.
- Comply with directions of the minister to extend assets.
- Not to dispose of assets or create interest in them.
- Assist WSC to deal with persons that vandalize the scheme.
- Ensure sanitation standards are maintained in the community.

8.3 Responsibilities of National Water Service Centre

- Operates and maintains the water user system.
- Uses, controls and safeguards systems installations.

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- Carries out repairs or extends the system.
- Bills and collects tariffs and other charges e.g. connection fees.
- Keep and maintain records.
- Meet financial obligations.
- Mobilize extension staff for continued sensitization of users.
-

8.4 Tasks of a Care Taker

- Collect money from the water users at the taps and pays the water bills due to WSC.
- Record meter readings at the beginning and end of each day.
- Ensure tap environment is clean and water collection containers are clean.
- Sensitize users about proper water handling.
- Sensitize people about safe water chain.

8.5 Responsibilities of community

- Watch over entire O & M of scheme and report irregularities.
- Cooperate to raise revenue by paying water user charges.
- Strive to improve / maintain the sanitation standards within households.
- Maintain the safe water chain to improve community health.
- Avoid practices like bush burning that affect water resources

8.7 Responsibilities of Opinion Leaders

- Assist in disseminating relevant information within the community.
- Carry out mobilization and sensitization of the community.
- Guide community in decision-making.

9.0 CONCLUSION

The primary goal of water supply and sanitation projects is to provide water which is safe, affordable and accessible (as near as possible) and put in place sustainable water facilities to the benefiting communities. It also promotes sanitation, environmental conservation and gender issues where it operates.

This will only be achieved if the beneficiary communities cooperate to ensure that O & M aspects yield long-term benefits by paying water user charges for O&M and guarding the facilities jealously!

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APPENDIXCES

A: OPERATION AND MAINTENANCE MANUAL FOR SUBMERSIBLE BOREHOLE PUMPS AND TECHNICAL SPECIFICATIONS

S/No.	Pump Location	CODE
1.		
2.		
3.		

B: OPERATION AND MAINTENANCE MANUAL FOR CHLORINE DOSING PUMPS

Appendix 5-2-21: Internal audit Manual for the Service Centre

INTERNAL AUDITING POLICIES AND PROCEDURES MANUAL

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A. INTERNAL AUDIT OVERVIEW

A.1 RATIONALE

The Water Service Centre has established an Internal Audit (IA) function in line with the Water Act, Cap 152 and section 48(1) of the Public Finance Management Act 2015 which requires every vote to have an Internal Auditor.

Internal Audit Department (IAD) reports functionally to the Board and administratively to the CEO of the Service Centre. Internal Audit Department bears primary responsibility for all audits. IAD's coverage and service extends to all functions and activities of the Service Centre. Internal Audit (IA) is also a control which functions by examining and evaluating the adequacy and effectiveness of other controls throughout the Service Centre. Finally, IA provides assistance to the Centre's external auditors in their performance of the annual audits of the Centre's financial statements as well as to assist other regulatory agencies, and the Auditor General.

A-2 Charter, Statement of Principle and Standards for Internal Auditing

Introduction

The purpose of the charter is to list the purpose and objectives of the audit department and to describe its authority and responsibility.

Purpose and Objectives

The internal audit department is an independent activity operating within the Service Centre under the direction of the board of directors, reporting to the Board audit and risk committee to assist management and the board in discharging their duties and responsibilities.

The principle areas of concern to the internal audit department include:

1. Appraise the soundness and application of the accounting, functional and operational controls of the Service Centre.
2. Evaluate the effectiveness and contribute to the improvement of risk management processes of the Service Centre.
3. Provide assurance on the efficiency and the effectiveness of the economy in the administration of the programmes and operations of the Service Centre.
2. Appraising the accuracy and reliability of financial information.
3. Ascertaining compliance with laws, regulations, and policies.

Authority and Responsibility

Internal Audit Department shall have unlimited access to information and property to be audited and shall be provided with all the required explanations.

The internal audit department has the full authority vested with the audit committee to perform examinations, audits, and investigations of all financial records, operations, activities, and affairs of the Service Centre.

The department shall report to the audit committee and management in such manner as the audit committee may prescribe.

Statement of Principle

Internal auditing is a management function that independently evaluates the adequacy, effectiveness, and efficiency of the systems of control within an organization and the quality of ongoing operations.

The systems of internal control comprise the Service Centre's plans, methods, and measures to:

1. Provide reasonable assurance that assets are safeguarded, information (financial and other) is timely and reliable, and errors and irregularities are discovered and corrected promptly.
2. Promote operational efficiency.
3. Encourage compliance with managerial policies, laws, regulations, and sound fiduciary principles.
4. Reviewing the efficiency of operations.

Standards for the Practice of Internal Auditing

The internal audit function at the Service Centre subscribes to the "Statement of Principle and Standards for Internal Auditing" as approved by the Board of Directors of the Service Centre. These standards are:

1. Organization Standards
 - a. The Centre shall have an internal audit function responsible for evaluating the adequacy, effectiveness, and efficiency of its system of controls and the quality of ongoing operations.
 - b. The Centre shall maintain an environment within which the auditor has the freedom to act.
 - c. The Centre shall maintain an environment within which the audit function can conform to the standards of internal auditing.

- d. The Centre shall require management to respond formally to adverse audit findings and to take appropriate corrective action.
- e. The organization's systems of control shall include measurement of audit effectiveness and efficiency.

4. Personal Standards

- a. An internal auditor shall have adequate technical training and proficiency.
- b. An internal auditor shall maintain a sufficiently independent state of mind to clearly demonstrate objectivity in matters affecting audit conclusions.
- c. An internal auditor shall respect the confidentiality of information acquired while performing the audit function.
- d. An internal auditor shall engage only in activities that do not conflict with the interests of the Centre.
- e. An internal auditor shall adhere to conduct that enhances the professional stature of internal auditing.
- f. An internal auditor shall exercise due professional care in the performance of all duties and the fulfillment of all responsibilities.

5. Performance Standards

- a. The internal auditor shall prepare a formal audit plan that covers all significant organizational activities over an appropriate cycle of time.
- b. The audit plan shall include an evaluation of controls within new systems and significant modifications to existing systems before they become operational.
- c. Audit procedures shall provide sufficient and competent evidential matter to support conclusions regarding the adequacy, effectiveness, and efficiency of the systems of control and quality of ongoing operations.

- d. The organization of the audit function and related administrative practice shall provide for the proper supervision of persons performing audits and for the proper review of work performed.

6. Communication Standards

- a) The auditor shall prepare a formal report on the scope and results of each audit performed.
- b) Each audit report shall contain an opinion on the adequacy, effectiveness, and efficiency of the systems of control and the quality of ongoing operations; the degree of compliance with previously evaluated systems of control; or an explanation of why an opinion cannot be expressed. When an adverse opinion is expressed, the report shall contain a statement about the exposures that may exist if corrective action is not taken.
- c) The internal auditor shall communicate audit findings in a timely manner to the managers responsible for corrective action
- d) At least once each year, the Internal Auditor shall make a summary report of audit activities to the Audit Committee of the Board of Directors and executive management. The report shall include an opinion on the overall condition of the Centre's controls and operations.

Role of Internal Audit Department

The internal audit department is established by the Board and its responsibilities are defined by the board as part of the over sight function.

In discharging his or her job responsibilities the Internal Auditor will:

- a) Develop, document, implement, test, and maintain a comprehensive internal audit plan and system of internal controls to help provide assurance that applicable laws, regulations, and the Centre's policies and procedures are complied with judiciously;
- b) Examine financial transactions for accuracy and compliance with the Centre's policies and applicable laws and regulations;
- c) Evaluate financial and operational procedures to assure adequate internal controls are present;
- d) Identify, assess, and evaluate the Centre's risk areas; make appropriate recommendations for improved internal controls and accounting procedures; and research and adopt industry best practices where appropriate;
- e) Work with the senior leadership of the Water Service Centre to identify key business risks, assess those risks, and establish risk management procedures and practices based on industry best practices;
- f) Identify pertinent portions of the financial reporting standard and best practices emerging within the higher education industry which can assist the Centre in producing accurate and reliable financial reporting information;
- g) Complete other projects and perform other duties as assigned by the Board and the Principal.

Professional Standards

1. The Internal audit department shall be governed by adherence to the institute of Internal auditors' code of "Ethics."
2. The institutes' international standards for the professional practice of internal Auditing (standards) shall constitute the operating procedures for the Department.
3. The institute of Internal auditor practice advisories will be adhered to as applicable.
4. The internal audit department will also adhere to Water Service Centre policies in place. The standard operating procedures manual shall include attribute performance and implementation standards to guide the Department.

Authority

Authority is granted for free and unrestricted access to any and all of the Centre's records, computer files, physical properties and personnel relevant to any function under reviews. All employees are requested to assist Internal Audit in fulfilling the staff function. Internal Audit shall also have free and unrestricted access to the Governing body.

Documents and information given to internal auditing during a review will be handled in the same prudent and confidential manner as by those employees normally accountable for them.

5.0 Organization

The Internal Auditor shall report administratively to the ED and functionally to the Audit and risk Committee of the Board.

6.0 Independence

All internal audit Activities shall remain free of influence by any element within the Centre including matters of audit selection, scope procedures, frequency, timing and or report content to permit maintenance of an independent and objective attitude necessary in rendering audit service.

Internal auditors shall have no direct operational responsibility or authority over any of the activities they review. They shall not be involved in the installation of systems, procedures or prepare records which would normally be audited.

7.0 Organizational Structure

The Internal Audit function is headed by the Internal Auditor who reports functionally to the Board Audit & Risk Committee and administratively to the ED. Under the current structure Internal Audit has two positions

The Board is the governing body of the Water Service Centre. The Board Audit & Risk Committee (BARC) is charged with overseeing the adequacy of the Centre's system of internal control, the effectiveness of the internal audit activities, the accuracy of financial information used in the management of the Centre and distributed outside of the Centre and the results of examinations conducted by independent or external auditors and regulatory agencies, and communicating this information and the Committee's recommendations to the full Board.

The BARC should have three members of the Board, at least one of whom should have recent and relevant financial experience. The BARC can co-opt members from outside the Centre when particular skills or expertise are required.

A quorum shall be ----- members.

The Chairman of the Board shall not be a member of BARC.

The BARC should meet at least three times each year. Only members of BARC have a right to attend meetings; other members of the Board and staff of the Service Centre may be invited to attend.

The Chairman of BARC shall report to the Service Centre Board after each meeting of BARC and the work of BARC should be a standard agenda item for meetings of the Service Centre Board.

The Internal Auditor shall act as secretary to BARC.

The Audit and Risk Committee meeting agendas are forwarded to the Manager, Corporate Services who incorporates other items. With the approval of the Executive Director, files are then distributed to Board Audit & Risk Committee members one week prior to the meeting, along with copies of issued audit reports, and the Internal Auditor's quarterly Activities Report.

The Internal Auditor submits copies of each audit report and quarterly activity reports to the Board Audit & Risk Committee, and attends meetings of the Board Audit & Risk Committee to discuss any issues raised in audit reports or that may be raised by members of the Board Audit & Risk Committee.

Quarterly Activity Report to Audit Committee

1. Prior to preparing the quarterly report, the Internal Auditor updates the annual audit plan to include all audit dates, time spent on completed audits as well as audits-in-progress, internal control ratings issued, and status of reports, and analyzes variances in audits planned as well as time budgeted. A copy of the updated audit plan is made available to the Audit and Risk Committee.
2. The Internal Auditor assembles data for each of the categories of the report.
3. The section for significant findings includes reportable findings and/or material findings. **Reportable findings** are deficiencies in design or operation of an internal control that could adversely affect the Centre's ability to record, process, summarize and report financial data.

The Annual Report of the Centre shall include a section on the work of BARC that covers:

- (i) Roles and responsibilities of BARC
- (ii) Number of meetings and attendance levels
- (iii) Composition of BARC (including qualifications, appointment process and fees paid)
- (iv) Description of main activities e.g. monitoring the integrity of the financial statements, reviewing the integrity of the internal financial control and risk management systems, oversight and effectiveness of external audit

The tasks of the BARC in discharging its oversight function on IAD are:

- (i) Assist the accounting officer in carrying out the oversight responsibilities relating to financial practices, internal controls , corporate governance issues, compliance with laws, ethics and audit matters
- (ii) Review the arrangements established by the accounting officer for compliance with regulatory and financial reporting requirements
- (iii) Review the financial statements prepared by the accounting officer to ensure that the disclosure in the financial statements is adequate and that fair representation is achieved
- (iv) Facilitate risk assessment to determine the amount of risk exposure of the assets of Water Service Centre and possibility of loss that may occur, with a view to mitigating risks
- (v) To examine and approve the work plan of IAD taking into account the work plan of other oversight agencies
- (vi) To review and approve the budget proposals of IAD taking into account its work plans
- (vii) To review the effectiveness, efficiency and the impact of the internal audit activities and other oversight functions on a regular basis with a view of optimizing their cooperation and complementarities.
- (viii) To monitor independence of the Internal audit function
- (ix) To ensure that findings and recommendations are adequately addressed
- (x) To undertake the appraisal of the Internal Auditor in line with policies and procedures set out in the Human Resources manual

8.o Audit Scope

The scope of IA encompasses the examination and evaluation of the adequacy and effectiveness of the organization's governance, risk management process, system of internal control structure, and the quality of performance in carrying out assigned responsibilities to achieve the organization's stated goals and objectives. It includes:

- (i) Reviewing the reliability and integrity of financial and operating information and the means used to identify measure, classify, and report such information.
- (ii) Reviewing the systems established to ensure compliance with those policies, plans, procedures, laws, and regulations which could have a significant impact on operations and reports and whether the organization is in compliance.
- (iii) Reviewing the means of safeguarding assets and, as appropriate, verifying the existence of such assets.
- (iv) Reviewing and appraising the economy and efficiency with which resources are employed.
- (v) Reviewing operations or programs to ascertain whether results are consistent with established objectives and goals and whether the operations or programs are being carried out as planned.
- (vi) Reviewing specific operations at the request of the Board, Audit Committee or management, as appropriate.
- (vii) Monitoring and evaluating the effectiveness of the organization's risk management system.
- (viii) Coordinating with the external auditors while executing their assigned duties.

9.o Audit Planning

Annually, the IA shall submit to management and the Board Audit and Risk Committee a summary of the audit work schedule, staffing plan, and budget for the following fiscal year. The audit work schedule is to be developed based on a prioritization of the audit universe using a risk-based methodology. Any significant deviation from the formally approved work schedule shall be communicated to management and the Board Audit and Risk Committee through periodic activity reports.

10.0 Reporting

A written report shall be prepared and issued by the IA or designee following the conclusion of each audit and shall be distributed as appropriate. A copy of each audit report and a summary shall be forwarded to the ED and the Chairman of the Board Audit and Risk Committee.

The IA or designee may include in the audit report the auditee's response and corrective action taken or to be taken in regard to the specific findings and recommendations. The auditee's response shall include a timetable for anticipated completion of action to be taken and an explanation for any recommendations not addressed.

In cases where a response is not included within the audit report, the manager of the audited area shall respond, in writing, within thirty days of publication to IA and those on the distribution list.

IA shall be responsible for appropriate follow-up on audit findings and recommendations. All significant findings shall remain in an open- issues file until cleared by the IA or the Audit Committee.

11.0 Periodic Assessment

The IA in consultation with the Board shall periodically assess (at least once every two years) whether the purpose, authority, and responsibility, as defined in this manual, continue to be adequate to enable the IA activity to accomplish its objectives.

A-3 MISSION STATEMENT, OBJECTIVES AND VALUES

A-3.1 Mission Statement

IA exists to support management and the Board in the effective discharge of their responsibilities. Using knowledge and professional judgment, IA shall provide an independent appraisal of the Centre's financial, operational, and control activities. IA shall report on the adequacy of internal controls, the accuracy and propriety of transactions, the extent to which assets are accounted for and safeguarded, and the level of compliance with institutional policies and government laws and regulations. Additionally, IA shall provide analysis, recommendations, counsel, and information concerning the activities reviewed.

A-3.2 IA'S objectives in accomplishing its mission

- (i) Determine the accuracy and propriety of financial transactions.

- (ii) Evaluate financial and operational procedures for adequacy of internal controls and provide advice and guidance on control aspects of new policies, systems, processes, and procedures.
- (iii) Verify the existence of the Centre assets and ensure that proper safeguards are maintained to protect them from loss or damage.
- (iv) Determine the level of compliance with the Centre policies and procedures, laws and regulations.
- (v) Evaluate the accuracy, effectiveness, and efficiency of the Centre's electronic information and processing systems.
- (vi) Determine the effectiveness and efficiency of the Centre in accomplishing its mission and identify operational opportunities for cost savings.
- (vii) Investigate all forms of misconduct.

A-3.3 Value

In carrying out its mission, IA share certain beliefs and values:

- (i) The primary focus of Internal Audit is to provide excellent service to the Water Service Centre. Its examinations shall be performed in accordance with applicable standards established by the IIA, Government of Uganda regulatory instruments, Water Act Cap. 152, Public Finance Management Act 2015 and any other applicable regulatory instruments.
- (ii) Internal Audit is committed to the highest degree of fairness and integrity in the performance of its mission. Auditors shall adhere to the Code of Ethics as established by the IIA.
- (iii) The audit relationships with the Centre community shall be characterized by integrity.
- (iv) Internal Audit is committed to maintaining professionalism through continuance of education/ training and other forms of upgrading audit skills and development.
- (v) Although Internal Audit is part of the Centre, it is committed to maintaining independence in defining the scope and objectives of Internal Audit examinations.

A-4 STANDARDS FOR THE PROFESSIONAL PRACTICE OF INTERNAL AUDIT

100 Independence

IA shall be independent of the activities audited. IA is independent when it can undertake its work freely and objectively. Independence permits IA to render the impartial and unbiased judgments essential to the proper conduct of audits. It is achieved through organizational status and objectivity.

110 Organizational Status

- (i) The organizational status of IA shall be sufficient to permit the accomplishment of its audit responsibilities. IA shall have the support of management and the Board so that it can gain the co-operation of auditee's and perform work free from interference.
- (ii) The Internal Auditor shall be an individual in the organization with sufficient authority to promote independence and to ensure broad audit coverage, adequate consideration of audit reports, and appropriate action on audit recommendations.
- (iii) The Internal Auditor shall have direct communication with the Board. Regular communication with the Board helps ensure independence and provides a means for the Board and the Internal Auditor to keep each other informed on matters of mutual interest.
- (iv) Independence is enhanced when the Board concurs in the appointment or removal of the Internal Auditor. Only the Board can appoint or remove the Internal Auditor.
- (v) The purpose, authority, and responsibility of IA shall be defined by the Board. The Board shall; (a) establish the IA position within the organization, (b) authorize access to records, personnel, and physical properties relevant to the performance of audits, and (c) define the scope of IA activities.
- (vi) The Internal Auditor shall submit annually to the Board for approval and to management for its information a summary of the IA work schedule, staffing plan, and financial budget. The Internal Auditor shall also submit all significant interim changes for approval and information. Audit work schedules, staffing plans, and financial budgets shall inform management and the Board of the scope of IA work and of any limitations placed on that scope.
- (vii) The Internal Auditor shall submit activity reports to management and the Board annually or more frequently as necessary or as required by the Board. Activity reports shall highlight significant audit findings and

recommendations and shall inform management and the Board of any significant deviations from approved audit work schedules, staffing plans, and financial budgets, and the reasons for them.

120 Objectivity

IA shall be objective in performing an audit.

- (i) Objectivity is an independent mental attitude which IA shall maintain in performing audits. IA shall not subordinate their judgment on audit matters to that of others.
- (ii) Objectivity requires IA to perform audits in such a manner that they have an honest belief in their work product and that no significant quality compromises are made. IA are not to be placed in situations in which they feel unable to make objective professional judgments.
- (iii) Staff assignments shall be made so that potential and actual conflicts of interest and bias are avoided. The Internal Auditor shall periodically obtain from audit staff information concerning potential conflicts of interest and bias.
- (iv) The Internal Auditor shall report to the ED any situations in which a conflict of interest or bias is present or may reasonably be inferred. In consultation with the ED, the Internal Auditor shall then reassign such auditors.
- (v) Staff assignments of IA shall be rotated periodically whenever it is practicable to do so.
- (vi) IA shall not assume operating responsibilities. But if on occasion, management directs IA to perform non-audit work, it shall be understood that they are not functioning as IA. Moreover, objectivity is presumed to be impaired when IA audit any activity for which they had authority or responsibility. This impairment shall be considered when reporting audit results.
- (vii) Persons transferred to or temporarily engaged by the Internal Auditor shall not be assigned to audit those activities they previously performed until a reasonable period of time has elapsed. Such assignments are presumed to impair objectivity and shall be considered when supervising the audit work and reporting audit results.
- (viii) The results of IA work shall be reviewed by the Internal Auditor before the related audit report is released to provide reasonable assurance that the work was performed objectively.

The IA objectivity is not adversely affected when the auditor recommends standards of control for systems or reviews procedures before they are implemented. Designing, installing, and operating systems are not audit functions. Also, the drafting of procedures for systems is not an audit function. Performing such activities is presumed to impair audit objectivity.

200 Professional Proficiency

IA shall be performed with proficiency and due professional care. Professional proficiency is the responsibility of the Internal Auditor but this does not preclude any individual IA from taking responsibility for his/her own professional proficiency. The Internal Auditor shall ensure any staffs undertaking IA work possess the necessary knowledge, skills, and disciplines to conduct the audit properly.

210 Staffing

The Internal Auditor shall provide assurance that the technical proficiency and educational background of Internal Auditors are appropriate for the audits to be performed.

The Internal Auditor shall establish suitable criteria of education and experience for filling IA positions, giving due consideration to scope of work and level of responsibility.

Reasonable assurance shall be obtained as to each prospective auditor's qualifications and proficiency.

220 Knowledge, Skills, and Disciplines

IA shall possess or shall obtain the knowledge, skills, and disciplines needed to carry out audit responsibilities.

IA staff shall collectively possess the knowledge and skills essential to the practice of the profession within the organization. These attributes include proficiency in applying IA standards, procedures, and techniques.

The Internal Auditor shall have employees or use consultants who are qualified in such disciplines as accounting, economics, finance, statistics, electronic data processing, engineering, taxation, and law as needed to meet audit responsibilities. Each member of the department, however, need not be qualified in all of these disciplines. The IA shall use outside consultants to provide assistance on assignments where IA does not have the requisite competency. Prior to selection IA shall assess the competency, independence and objectivity of the consultants as it relates to the particular assignments to be performed. IA shall specify the scope of work of the consultants and require that IA activities be performed in accordance with this manual and IIA standards. IA shall evaluate the adequacy of the work performed by the Consultant and ensure that sufficient information was obtained to support conclusions reached.

230 Supervision

The Internal Auditor shall provide assurance that IA staff are properly supervised.

The Internal Auditor is responsible for providing appropriate audit supervision. Supervision is a continuing process, beginning with planning and ending with the conclusion of the audit assignment.

Supervision includes:

- (i) Providing suitable instructions to subordinates (including consultants where used) at the outset of the audit and approving the audit program.
- (ii) Seeing that the approved audit program is carried out unless deviations are both justified and authorized.
- (iii) Determining that audit working papers adequately support the audit findings, conclusions, and reports.
- (iv) Making sure that audit reports are accurate, objective, clear, concise, constructive, and timely.
- (v) Determining that audit objectives are being met.

Appropriate evidence of supervision shall be documented and retained.

The extent of supervision required shall depend on the proficiency of the IA and the difficulty of the audit assignment.

All IA assignments remain the responsibility of the Internal Auditor.

240 Compliance with Standards of Conduct

IA shall comply with professional standards of conduct.

The Code of Ethics of the IIA sets forth standards of conduct and provides a basis for enforcement among its members. The Code calls for high standards of honesty, objectivity, diligence, and loyalty to which IA shall conform.

IA shall engage only in this service for which they have the necessary knowledge, skills, and experience. They shall perform internal auditing services in accordance with international standards for the professional practice of internal Auditing. Auditors shall also continually improve their proficiency and the effectiveness and quality of their services.

260 Human Relations and Communications

IA shall be skilled in dealing with people and in communicating effectively.

- (i) IA shall understand human relations and maintain satisfactory relationships with auditee's.

- (ii) IA shall be skilled in oral and written communications so that they can clearly and effectively convey such matters as audit objectives, evaluations, conclusions and recommendations.

270 Continuing Professional Development

IA shall maintain their technical competence through continuing professional development.

- (i) IA is responsible for continuing their education in order to maintain their proficiency. They shall keep informed about improvements and current developments in IA standards, procedures, and techniques. Continuous education may be obtained through membership and participation in professional societies; attendance at conferences, seminars, college courses, and in-house training programs; and participation in research projects.
- (ii) As a minimum staff are required to complete 80 hours of continuing professional education and for each annual performance cycle. IA staff shall be encouraged to obtain appropriate professional certification(s) and incentives such as time off and reimbursement of fees and costs incurred to attain these certifications while staff are employed will be met by the Water Service Centre.
- (iii) One aspect of professional development is obtaining professional certification as a certified public Accountant (CPA), certified internal Auditor, Association of certified chartered Accountant (ACCA) or certified information systems Auditor (CISA)

280 Due Professional Care

IA shall exercise due professional care in performing IA.

- (i) Due professional care calls for the application of the care and skill expected of a reasonably prudent and competent IA in the same or similar circumstances. Professional care shall, therefore, be appropriate to the complexities of the audit being performed. In exercising due professional care, IA shall be alert to the possibility of intentional wrongdoing, errors and omissions, inefficiency, waste, ineffectiveness, and conflicts of interest. They shall also be alert to those conditions and activities where irregularities are most likely to occur. In addition, they shall identify inadequate controls and recommend improvements to promote compliance with acceptable procedures and practices.
- (ii) Due care implies reasonable care and competence, not infallibility or extraordinary performance. Due care requires the auditor to conduct examinations and verifications to a reasonable extent, but does not require detailed audits of all transactions. Accordingly, the IA cannot

give absolute assurance that noncompliance or irregularities do not exist. Nevertheless, the possibility of material irregularities or noncompliance shall be considered whenever the IA undertakes an IA assignment.

- (iii) When an IA suspects wrongdoing, the appropriate authorities within the organization shall be informed. The IA may recommend whatever investigation is considered necessary in the circumstances. Thereafter, the auditor shall follow up to see that IA responsibilities have been met.
- (iv) Exercising due professional care means using reasonable audit skill and judgment in performing the audit. To this end, the IA shall consider:
 - (a) The extent of audit work needed to achieve audit objectives.
 - (b) The relative materiality or significance of matters to which audit procedures are applied.
 - (c) The adequacy and effectiveness of internal controls.
 - (d) The cost of auditing in relation to potential benefits.
 - (e) Due professional care includes evaluating established operating standards and determining whether those standards are acceptable and are being met. When such standards are vague, authoritative interpretations shall be sought. If IA are required to interpret or select operating standards, they shall seek agreement with auditee's as to the standards needed to measure operating performance.

290 Use of technology

IA shall deploy technology in the following areas:

- (i) All audit work shall be maintained in audit management automated software that IA will acquire to enhance efficiency and effectiveness in the use of audit resources throughout the audit cycle. The audit system shall be comprehensively designed to facilitate the following key internal audit processes:
 - (ii) Preparing/updating annual audit plans including risk assessment
 - (iii) Scheduling and monitoring audit assignments and staff resources.
 - (iv) Creating and maintaining audit working papers for the audit process
 - (v) Draft audit findings, recommendations and report; and
 - (vi) Generating management reports
 - (vii) Recommendations monitoring
- (viii) IT data analysis software shall be available to IA so that electronic data can be analyzed in order to assess data integrity and perform audit tests efficiently. IA staff shall be adequately trained in the use of computer assisted audit techniques.

300 Scope of Work

The scope of the IA shall encompass the examination and evaluation of the adequacy and effectiveness of the organization's system of internal control and the quality of performance in carrying out assigned responsibilities.

- (i) The scope of IA work, as specified in international auditing standards encompasses what audit work shall be performed. It is recognized, however, that management and the Board provide general direction as to the scope of work and the activities to be audited.
- (ii) The purpose of the review for adequacy of the system of internal control is to ascertain whether the system established provides reasonable assurance that the organization's objectives and goals shall be met efficiently and economically.
- (iii) The purpose of the review for effectiveness of the system of internal control is to ascertain whether the system is functioning as intended.
- (iv) The purpose of the review for quality of performance is to ascertain whether the organization's objectives and goals have been achieved.
- (i) The primary objectives of internal controls are to ensure:
 - (a) *The reliability and integrity of information.*
 - (b) *Compliance with policies, plans, procedures, laws, and regulations.*
 - (c) *The safeguarding of assets.*
 - (d) *The economical and efficient use of resources.*
- (e) *The accomplishment of established objectives and goals for operations or programs.*

310 Reliability and Integrity of Information

IA shall review the reliability and integrity of financial and operating information and the means used to identify measure, classify, and report such information.

- (i) Information systems provide data for decision making, control, and compliance with external requirements. IA shall examine information systems and, as appropriate, ascertain whether:
 - (a) Financial and operating records and reports contain accurate, reliable, timely, complete, and useful information.
 - (b) Controls over record keeping and reporting are adequate and effective.

320 Compliance with Policies, Plans, Procedures, Laws, and Regulations

IA shall review the systems established to ensure compliance with those policies, plans, procedures, laws and regulations which could have a significant impact on operations and reports, and shall determine whether the organization is in compliance.

- (i) Management is responsible for establishing the systems designed to ensure compliance with such requirements as policies, plans, procedures, and applicable laws and regulations. IA are responsible for determining whether the systems are adequate and effective and whether the activities audited are complying with the appropriate requirements.

330 Safeguarding of Assets

IA shall review the means of safeguarding assets and, as appropriate, verify the existence of such assets.

- (i) IA shall review the means used to safeguard assets from various types of losses such as those resulting from theft, fire, improper or illegal activities, and exposure to the elements.
- (ii) IA, when verifying the existence of assets, shall use appropriate audit procedures.

340 Economical and Efficient Use of Resources

IA shall appraise the economy and efficiency with which resources are employed.

- (i) Management is responsible for setting operating standards to measure an activity's economical and efficient use of resources. IA are responsible for determining whether:
 - a) Operating standards have been established for measuring economy and efficiency.
 - b) Established operating standards are understood and are being met.
 - c) Deviations from operating standards are identified, analyzed, and communicated to those responsible for corrective action.
 - d) Corrective action has been taken.
- (ii) Audits related to the economical and efficient use of resources shall identify such conditions as:

- a) Underutilized facilities
- b) Non-productive work
- c) Procedures which are not cost justified
- d) Overstaffing or understaffing

350 Accomplishment of Established Objectives and Goals for Operations or Programs

IA shall review operations or programs to ascertain whether results are consistent with established objectives and goals and whether the operations or programs are being carried out as planned.

- (i) Management is responsible for establishing operating or program objectives and goals, developing and implementing control procedures, and accomplishing desired operating or program results. IA shall ascertain whether such objectives and goals conform to those of the organization and whether they are being met.
- (ii) IA can provide assistance to managers who are developing objectives, goals, and systems by determining whether the underlying assumptions are appropriate; whether accurate, current, and relevant information is being used, and whether suitable controls have been incorporated into the operations or programs.

400 Management of the IA Function

The Internal Auditor, IA must effectively manage the audit activity to ensure that it adds value to the organization. The Internal Auditor, IA is responsible for properly managing the IA function of the Water Service Centre so that:

- (i) Audit work fulfills the general purposes and responsibilities approved by Board.
- (ii) Resources of the IA function are efficiently and effectively employed.
- (iii) Audit work conforms to the Standards for the Professional Practice of IA.

410 Purpose, Authority, and Responsibility

The Internal Auditor, IA shall have a statement of purpose, authority, and responsibility for the IA function.

- (i) The Internal Auditor, IA is responsible for seeking the approval by the Board and the acceptance by management of a formal written document for the IA function.

420 Planning

- (i) The Internal Auditor, IA shall establish risk based plans to determine priorities of the internal audit activity, consistent with the organizational goals. The IA activity's plan shall be based on a documented risk assessment, undertaken at least annually. The input of management and the Board must be considered in this process.
- (ii) IA activities shall be carried out according to an IA work plan prepared by the Internal Auditor, IA in consultation with the Board Audit Committee. IA shall prepare audit work plans on a three year rolling cycle, based on risk assessment exercises carried out by December of each year. IA work plans shall be sufficiently flexible to cover unanticipated demands on the IA function. It shall be emphasized that the final determination as to which areas shall be included in the audit plan cannot be based solely on the results of this audit risk assessment. Rather, the performance of the assessment is a tool for use by IA.
- (iii) The IA work plan shall be submitted to the Board Audit Committee for approval. On approval, details shall be disseminated to the auditable entities for their information.
- (iv) In preparation and implementation of the work plan, IA shall actively cooperate and coordinate efforts with agencies and other oversight bodies in order to ensure proper coverage and minimize duplication of efforts.
- (v) Staffing plans and financial budgets, including the number of auditors and the knowledge, skills, and disciplines required to perform their work, shall be determined from audit work schedules, administrative activities, education and training requirements, and audit research and development efforts. IA shall hire out external audit services in specialized areas.
- (vi) Activity reports shall be submitted periodically to management and to the Board. These reports shall compare; (a) performance with the department's goals and audit work schedules and (b) expenditures with financial budgets. They shall explain the reasons for major variances and indicate any action taken or needed.
- (vii) IA shall report on its activities annually to the Board. The report shall cover a description of significant findings during the year and related recommendations including costs savings recommended and amounts recovered. The report shall also give the status of implementation of recommendations

430 Policies and Procedures

The Internal Auditor, IA shall, with the approval of the Board, shall provide written policies and procedures to guide audit staff.

- (i) The form and content of written policies and procedures shall be appropriate to the size and structure of the IA function and the complexity of its work.
- (ii) Formal administrative, Accounting and financial and technical audit manuals should be used where appropriate.
- (iii) A small IA function may be managed informally. Its audit staff may be directed and controlled through daily, close supervision and written memoranda. In a large IA function, more formal and comprehensive policies and procedures are essential to guide the audit staff in the consistent compliance with the function's standards of performance.

440 External Auditors

The Internal Auditor, IA shall coordinate internal and external audit efforts.

- (i) The internal and external audit work shall be coordinated to ensure adequate audit coverage and to minimize duplicate efforts.
- (ii) Coordination of audit efforts involves:
 - (a) Periodic meetings to discuss matters of mutual interest.
 - (b) Access to each other's audit programs and working papers.
 - (c) Exchange of audit reports and management letters.
 - (d) Common understanding of audit techniques, methods, and terminology.

450 Quality Assurance

The Internal Auditor, IA shall establish and maintain a quality assurance program to evaluate the operations of the IA functions.

- (i) The purpose of this program is to provide reasonable assurance that audit work conforms to appropriate standards. A quality assurance program shall include the following elements:

- (a) Supervision
 - (b) Internal reviews
 - (c) External reviews
- (ii) Supervision of the work of the IA shall be carried out continually to assure conformance with IA standards, policies of the Water Service Centre and audit programs.
- (iii) Internal reviews shall be performed periodically by the Internal Auditor, IA in the case of staff. For the internal review of the Internal Auditor, IA this should be undertaken by the Chairman of the Board and the ED. These reviews shall be performed in the same manner as any other IA.
- (iv) External reviews of the IA function shall be performed to appraise the quality of the function's operations. These reviews shall be performed by qualified persons who are independent of the organization and who do not have either a real or an apparent conflict of interest. Such reviews shall be conducted at least once every three years. On completion of the review, a formal, written report shall be issued. The report shall express an opinion as to the function's compliance with the Standards for the Professional Practice of IA and, as appropriate, shall include recommendations for improvement.

500 Overview of the audit process

Audit work shall include planning the audit, examining and evaluating information, communicating results and following up.

- (i) The IA is responsible for planning and conducting the audit assignment, subject to supervisory review and approval.

510 Planning the Audit

IA shall plan each audit. Planning shall be documented and shall include:

- (i) Obtaining background information about the activities to be audited.
- (ii) Determining the resources necessary to perform the audit.
- (iii) Notifying the audit agency/auditee.
- (iv) Conducting an entry meeting
- (v) Establishing audit objectives and scope of work.
- (vi) Writing the audit program.
- (vii) Determining how, when, and to whom audit results shall be communicated.
- (viii) Obtaining approval of the audit work plan.

520 Audit field work

The audit fieldwork involves executing the audit plan and audit programme in accordance with the IIA standards and this manual. Activities central to field work phase include collecting, analyzing, interpreting, and documenting information to support audit findings, conclusions and recommendations. The fieldwork phase ends with holding an exit meeting

- (i) The process of examining and evaluating information is as follows:
 - (a) Information shall be collected on all matters related to the audit objectives and scope of work.
 - (b) Information shall be sufficient, competent, relevant, and useful to provide a sound basis for audit findings and recommendations. Sufficient information is factual, adequate, and convincing so that a prudent, informed person would reach the same conclusions as the auditor. Competent information is reliable and the best attainable through the use of appropriate audit techniques. Relevant information supports audit findings and recommendations and is consistent with the objectives for the audit. Useful information helps the organization meet its goals.
 - (c) Audit procedures, including the testing and sampling techniques employed, shall be selected in advance, where practicable, and expanded or altered if circumstances warrant.
 - (d) The process of collecting, analyzing, interpreting, and documenting information shall be supervised to provide reasonable assurance that the auditor's objectivity is maintained and that audit goals are met.
 - (e) Working papers that document the audit shall be prepared by the auditor and reviewed by the Internal Auditor, IA. These papers shall record the information obtained and the analyses made and shall support the bases for the findings and recommendations to be reported.

530 Communicating Results

IA shall report the results of their audit work in the following manner:

- (i) A signed, written report shall be issued after the audit examination is completed. Interim reports may be written or oral, and may be transmitted formally or informally.
- (ii) The IA shall discuss conclusions and recommendations at appropriate levels of management before issuing final written reports.

- (iii) Reports shall be objective, clear, concise, constructive, and timely.
- (iv) Reports shall present the purpose, scope, and results of the audit; and, where appropriate, reports shall contain an expression of the auditor's opinion.
- (v) Reports may include recommendations for potential improvements and acknowledge satisfactory performance and corrective action.
- (vi) The auditee's views about audit conclusions or recommendations may be included in the audit report.
- (vii) The Internal Auditor, IA or designee shall review and approve the final audit report before issuance and shall decide to whom the report shall be distributed. In all cases the Board Audit Committee shall receive a copy of the report.

540 Following Up

IA shall follow up to ascertain that appropriate action is taken on reported audit findings.

- (i) IA shall determine that corrective action was taken and is achieving the desired results, or that management or the Board has assumed the risk of not taking corrective action on reported findings.
- (ii) The planning process includes establishing
 - Goals
 - Audit work schedules
 - Staffing and financial budgets
 - Activity reports

The goals of the internal auditing department should be capable of being accomplished within specified operating plans and to the extent possible, should be measurable.

Audit work schedules should include:

- a) what activities are to be audited
- b) when they should be audited
- c) The estimated time required taking into account the scope of the audit work planned.

To establish the audit work scheduled, the following priorities should be taken into consideration.

- i) The date and results of the last audit.
- ii) Financial exposure.
- iii) Potential loss and risk.
- iv) Requests by the management.
- v) Major changes in operations, systems and controls.
- vi) Opportunities to achieve operating benefits.

Activity reports should be submitted periodically to management and to the Board.

These reports should compare.

- ❖ Performance with the department's goals and audit work schedules.

600 ROLES AND RESPONSIBILITIES OF AUDIT PERSONNEL

610 Internal Auditor, IA

The Internal Auditor, IA shall be responsible for the overall direction of the audit function in the Water Service Centre. He shall ensure that audit resources are efficiently and effectively employed and that the audit work performed fulfills the mission of the IA function. The Internal Auditor, IA shall also have the following duties and responsibilities:

- (i) Attend entrance and exit interviews
- (ii) Discuss, direct, advise, etc., the assigned auditors during the course of the assignment including writing the report
- (iii) Ensure that audit program steps shall accomplish the objectives, address major risks and exposures, and shall reasonably ensure the completion of the assignment within allocated resources. Final approval of the audit program shall be done by the Internal Auditor, IA.
- (iv) Review, edit, and approve the draft report
- (v) Ensure that the audit is performed according to agreed standards, staying within the scope and resource allocation limits (hours and dates), and meet stated assigned objectives.

630 Assigned IA

Assigned auditor(s) shall be responsible for performing the audit and shall have the following duties and responsibilities:

- (i) Perform the preliminary review, including the internal control evaluation, with guidance from the Senior IA.
- (ii) After discussions with the Senior IA, prepare an audit program and time estimate for each program section.
- (iii) Perform all assigned activities in conformance with agreed standards, staying within the scope and resource allocation limits of the assigned activity or program section.
- (iv) Write the draft audit report

640 Quality Assurance Reviewers

All working papers shall be independently reviewed to ensure that there is sufficient evidence to support conclusions and that all audit objectives have been met. A detailed review shall be conducted by the Internal Auditor, IA or assigned quality assurance staff. Initialing working papers, signing the "review/approval form," and filing "cleared" review notes in the current working papers shall serve as documentation of the review process. The reviewer shall:

- (i) Determine working papers compliance to general working paper standards.
- (ii) Review from audit program steps to the referenced working papers ensuring cross-referencing is proper, the working papers support the steps performed, and all steps have been completed.
- (iii) Review working papers from the report(s), the summary of significant findings, working paper summaries, to the detailed working papers to ensure that all findings are stated adequately and documented and support the opinions, findings, and recommendations stated in the report.
- (iv) Ensure that working papers "stand alone" in that they clearly stated what work was performed, how and from where samples were selected, the purpose of the working paper, what findings were made, etc.
- (v) Document review comments on review notes form.
- (vi) After all audit review notes have been resolved, sign off on working paper section of final working paper/report approval form.
- (vii) Determine report(s) compliance with IA function report standards.
- (viii) Sign off on report(s) section of final working paper/report approval form.
- (ix) Determine Permanent/Continuing Audit File's compliance with IA function standards.

650 Report Reviewer

The Report Reviewer's primary responsibility is to provide a final independent review of audit reports to help ensure that proper grammar, spelling, and IA function format has been used. The report reviewer shall also perform or supervise:

- (i) Printing of revised draft copies for the Internal Auditor, IA approval
- (ii) Printing of final report copy for auditors and Internal Auditor, IA signature
- (iii) Mailing final report copy
- (iv) Filing of electronic copy on LAN
- (v) Mailing feedback questionnaire
- (vi) Updating feedback spreadsheet when feedback is received
- (vii) Adding response to electronic copy of report and filing paper copy with final report
- (viii) Creating follow-up working papers, electronic copy of report on LAN, etc.
- (ix) Updating the Board report

B - AUDIT PROCESS

B-1 PLANNING - GENERAL RATIONALE

Risk assessment is an integral part of the IA planning process. The audit planning process encompasses all activities related to the development of the IA plan including audit scope and objectives, timing, design of detailed procedures, and audit resource planning for the audit activity/agency. The primary objective of the audit planning process is to design the audit approach to ensure that audits are performed in the most effective and efficient manner. In undertaking this process IA attempt the following:

- (i) Define the potential audit universe at the Water Service Centre.
- (ii) Define the significant risks to the activity/agency, its objectives, resources and operations and the means by which the potential impact of risk is kept to acceptable levels.
- (iii) Assess the adequacy and effectiveness of the activities risk management and control systems compared to a relevant control framework or model.

- (iv) Assessing opportunities for making significant improvements to the activities risk management and control process.

B-2 PLANNING - RESEARCH, SCHEDULING, AND AUDITS

Selection of individual assignments shall be from an approved annual work plan. If a proposed assignment is not from the approved annual work plan, approval to take the assignment must be obtained from Management and the Board Audit Committee after giving reasons for the request to add the assignment. The Board Audit Committee will review the justification for the request and determine the effect of the proposed assignment on the resources and planned activities for the year. If in agreement, the Board Audit Committee will approve the request and forward to the IA to update the work plan and schedule the assignment. Requests for audit services can come from several sources e.g. the Board, ED, designated agencies.

B-2.1 Audit Assignment

All audits/tasks shall be authorized by the Internal Auditor, IA using an audit assignment sheet. The objective of this process is to ensure that work is performed on only, authorized activity. This form shall provide sufficient information on the audit/task scope, objectives, and resource restrictions (allocated hours, expected completion date) so the assigned IA shall have a clear understanding of expectations for their particular assignment. On notification, auditors identified to participate in an assignment should assess their relationship with the audit agency and its staff and determine whether there are any circumstances that could impair their independence or objectivity while conducting the assignment. Each member of the audit team should read and if in compliance sign the **Aud-1.2 Statement of Independence** form.

B-2.2 Definition of terms of the assignment

The scope section shall define the terms of the assignment by including in the **Aud-1.3 Assignment Sheet** form:

- (i) *Title of Project*: A short description of the project
- (ii) *Assignment Date*: Beginning of the project
- (iii) *Allocated Hours*: Time budgeted for the project. Any deviation from these hours must be approved by the Internal Auditor, IA.
- (iv) *Expected Completion Date*: The date the final report is expected to be issued.
- (v) *Assigned Staff*: Names of the quality assurance reviewer, project manager and assigned staff shall be listed on assignment sheet with project hours that are assigned to each.
- (vi) *Scope & Objectives*: A short description of the scope and objectives that will be covered.

B-2.3 Scope and Objectives

The scope section shall define the limitations of the audit/task assignment. The scope shall generally include a time period, which records, processes, funds, transactions, policies, controls, etc that shall be reviewed. Scope limitations that restrict audit work shall be mentioned in the audit report. For example: *“We did not test actual expenditure transactions”*.

The objectives shall explain what the audit is trying to accomplish. Audit objectives shall generally:

- (i) Determine the accuracy and propriety of financial transactions.
- (ii) Evaluate financial and operational procedures for adequacy of internal controls and provide advice and guidance on control aspects of new policies, systems, processes, and procedures.
- (iii) Verify the existence of Water Service Centre assets and ensure that proper safeguards are maintained to protect them from loss and damage.
- (iv) Determine the level of compliance with Water Service Centre policies and procedures, Public Finance and Accountability Act 2003, other applicable laws, contracts, agreements and government regulations.
- (v) Evaluate the accuracy, effectiveness, and efficiency of the Water Service Centre's electronic information and processing systems.
- (vi) Determine the effectiveness and efficiency of the Water Service Centre in accomplishing its mission and identify operational opportunities for cost savings.
- (vii) Provide assistance and a coordinated audit effort with the Auditor General and other external auditors.
- (viii) Determine if a loss occurred, if so the amount of the loss and circumstances (control weaknesses) that contributed to it.

B-2.4 Announcement Letter

- (i) The auditee shall be informed of the audit project through an **Aud-1.4 Announcement Letter** from the Internal Auditor, IA. However, IA shall not provide advance notifications for cash counts, subsidiary business audits and fraud investigations. Additionally, IA may not send an announcement letter for requested consulting services.
- (ii) The announcement letter shall communicate an approximate date for the entry meeting, the scope and objectives of the audit, the period covered, and the auditor(s) assigned to the project. IA's mission statement shall also

be enclosed for the client's information. The announcement letter should be issued at least one month prior to the commencement of the field work to give the entity sufficient time to make proper logistical and other arrangements to conduct the audit.

B-2.5 Appointment of Auditors

Each member of the audit team shall be appointed by the Internal Auditor, IA using Aud-1.5 Auditors Introductory Letter. Letters of introduction for audit shall be issued and given to each member of the Audit Team.

B-3 PRELIMINARY REVIEW

B-3.1 General/Rationale

The objective of the Preliminary Review is to gain sufficient knowledge of the unit being reviewed so that the auditor can design an audit program to accomplish the assigned objectives. The review shall help the auditor to determine if the assigned objectives are attainable with the allocated resources and what audit procedures shall be performed, based on assessed risks and exposures, to achieve the objectives.

The preliminary review work can be broken down into four distinct phases:

1. Familiarization
2. Identification of potential problem areas
3. Evaluation of internal controls
4. Planning the detailed audit

B-3.1.1 Entry Meeting

A formal entry meeting with the agency should be arranged in the timeframe indicated in the announcement letter. In preparation for the meeting the IA should gather background information to obtain an overview of the nature of the agency's mandate, operations, risk profile and the current issues it faces. Recommendations from prior internal and external oversight assignments should be reviewed. The entry meeting should be held prior to the travel of the audit team for the audit exercise. This is to ensure that pertinent issues facing the audit entity are identified at the appropriate level and the audit is focused on the areas of relevance and risk. It also enable the field office to be prepared for the audit before the arrival of the auditors. The entry meeting should be used to set the tone for the audit and should obtain information in the following areas:

- (i) Discuss and obtain the agencies view on the status of previous oversight findings and recommendations. (If no action is taken the issues should be included for follow up)

- (ii) Discuss the areas determined to be high and moderate risk during development of the work plan, the preliminary objectives and scope as well as the audit criteria for the targeted audit areas
- (iii) Discuss the agency's concerns in the area under audit and determine the extent to which areas identified can be incorporated into the audit
- (iv) Agree on the focal point from the agency's responsible for handling audit queries, administrative and logistical matters and establish lines of communication with the entity

An agenda for the entry meeting should be sent ahead of the scheduled date. A supplementary meeting may be held with senior personnel to introduce the audit team. The Internal Auditor, IA should ensure that an **Aud-1.6 Entry Meeting Note** summarizing agreements reached, comments from the agency on the preliminary objectives, scope and criteria on targeted areas is prepared

B-3.1.2 Initial Research (Familiarization)

Prior to meeting with the auditee the assigned auditor(s) shall obtain a basic understanding of the auditee to understand how the entity plans, organizes directs and controls its activities. The following sources of information should be reviewed:

Management function	Source of information
Planning	<ul style="list-style-type: none"> • Strategic plan, annual work plans • Copies of policies • Internal management reports
Organising	<ul style="list-style-type: none"> • Organisational charts and job descriptions • Relations with other agencies • Delegation of authority • Location, nature size and field offices
Directing	<ul style="list-style-type: none"> • Copies of relevant regulations and rules
Controlling	<ul style="list-style-type: none"> • Copies of manuals and operating procedures • Historical financial data • Prior audit reports

In order to obtain a thorough understanding of the entity's operations and be in position to conduct an objective appraisal of its activities, auditors must analyse and assimilate the information collected and on the basis of their analyses, make decisions about the work to be performed in the subsequent stages of the audit. The following techniques may be adopted to carry out analyses:

(i) Interviews

Interviews are conducted to help auditors understand the agency's operations. In order to obtain useful information, right questions must be asked and posed in an appropriate manner that puts an interviewee at ease and gains his trust. Successful interviews are based on (i) determining areas to be covered in advance and the questions to be asked (ii) scheduling an appropriate time and place (iii) establishing a rapport with an interviewee (iv) explaining the purpose of the interview and how the results will be used (v) asking the questions (vi) listening to the responses, and (vii) wrapping up or closing the interview. Notes to the interview should be prepared as soon as possible afterwards

(ii) Questionnaires

A list of questions on a particular area or function may be developed to obtain information relating to the audit objective. The questionnaire should be as short as possible and the questions should be designed such that they (i) avoid ambiguity, vagueness or confusion (ii) do not lead to obvious response (iii) require narrative response and (iv) are within the capabilities of the respondent. Questionnaires may be sent to staff of the agency for completion or may be completed during an interview session or by telephone.

(iii) Flow charts

Flow charts are two dimensional graphic representations of an operation in terms of flow of activities through a process. A flow chart is beneficial because it visually depicts processes designed or intended for control purposes. Flow-charting provides the auditor with a good understanding of the process being evaluated. Guidance on flow charting including the standard flow chart format

(iv) Narrative Notes

Narrative notes provide a step by step description of the agencies major systems or operations. The primary purpose of preparing narrative notes is to identify key control activities. Information for preparing narrative note is obtained from interviewing personnel and reviewing procedure manuals and other system documentation. The notes should include all significant parts of the process especially control points, the names and positions of the people performing actions and taking decisions and the timing of such actions.

(v) Walk throughs

Auditors may conduct walk through tests after they have documented the audited entity's process. This involves following one or two transactions through the process from beginning to the end. A walk through test helps to confirm the accuracy of the auditor's documentation of the process and ensure that it is understood. Walk throughs are more effective in understanding the entity's process than a general review of manuals and operating procedures as they provide a faster and more effective identification of weaknesses and potential problem areas.

(vi) **Analytical procedures**

Analytical procedures are used to obtain an understanding of the entity and its environment. They highlight significant variations and trends and assist IAs in identifying conditions that may need to be addressed during the assignment. Analytical procedures involve the study, comparison, and evaluation of relationships among financial and non-financial data at a point in time and a trend in those relations over a period. They also encompass the investigation of identified fluctuations and relationships that are inconsistent with the relevant information or deviate significantly from predicted amounts. Analytical procedures are useful in identifying:

- a. Differences that are not expected and the absence of differences when they are expected.
- b. Potential errors, fraud or illegal acts; and
- c. Unusual or non-recurring transactions or events

There are three general steps in performing analytical procedures: (i) develop an expectation of an account balance or item (ii) compare the expected amount to the recorded balance (iii) determine the nature and extent of further audit testing based on the difference between the recorded and estimated balance.

(vii) **Data analysis**

Data analysis is the act of transforming data with the aim of extracting useful information and facilitating conclusions. By using data analysis software auditors are able to analyse data from many dimensions, categorise them and summarise relationships or patterns identified. Instances where the data do not follow a predictable pattern could be indications of possible errors and potential fraud. Questionable differences should be subject of detailed testing. Data analysis software is available for IA use.

(viii) **Physical observations**

Personal observations reveal what is going on, how and whether what is purported to exist corresponds to reality. They involve touring facilities, site visits, reviewing processes, flow of materials and documents

B-3.1.3 Identification of Potential Problem Areas

Risk assessment is conducted at the activity level to identify and evaluate risk exposures at the operations or micro level of the entity. It involves considering business process risks, quality of local management and individual performance in different situations. A part of the planning activities the risks that threaten the objectives of each process within the activity to be audited should be identified and classified into the respective categories. The purpose of risk assessment at activity level is to determine the audit objectives. The audit will concentrate on those areas which are assessed as moderate or high risk. The risk categories of the areas indicate the types of objectives that should be included in the audit programme. For example if compliance risks are rated as moderate or high, the IA should ensure that audit objectives include review of compliance with the procedures related to the activity.

B-3.1.4 Review and Evaluation of the design of Internal Control System

All audits, regardless of the nature, typically involve providing assurance on the design and effectiveness of the system of internal control. After obtaining an understanding of the internal control system by way of interviews, questionnaires, systems documentations, walk-throughs and/or performing some initial analytical procedures or data analysis, auditors should make a preliminary assessment of the internal control system to determine whether identified controls are designed to meet the control objectives and mitigate risks. Limited examination of documents, records and reports should be undertaken to assess the design of the controls.

The auditor is responsible for determining how much reliance can be placed on the entity's controls to protect its assets, ensure accurate information, ensure compliance with applicable laws and regulations, promote efficiency and economy, and produce effective results.

A complete review of all controls is not always necessary because some controls may be irrelevant to basic issues which are the subject of the audit effort. Therefore, the auditor must identify those controls which are the most important and critical to the operation and concentrate on them. Some controls which can normally be identified as critical are those which are designed to protect against:

- (a) Substantial financial losses
- (b) Program violations
- (c) Mismanagement
- (d) Legal violations
- (e) Adverse publicity
- (f) Lack of program or mission accomplishment

Evidence gathered during the planning activities shall be documented and filed in a logical manner, in the Planning Activities section of the audit file. On reviewing the data collected, IA should finalize the audit objectives and scope of the audit. IA shall also determine the extent of testing i.e. sample sizes, that will be required to enable reach a conclusion on the audit objectives, and the methodology to be adopted to extract samples.

B-3.1.5 Audit of activities with significant MIS component

Where the audit relates to an activity or unit which maintains its information primarily on an ICT platform, auditors should (i) determine the size and complexity of the system and the extent of the activity's dependence on it, (ii) gain an understanding of how the information system is used to support the organization, and (iii) assess the application level risks the activity may face. These risks include:

- (i) Availability risks – lack of system operational capability;
- (ii) Security risks – unauthorized access to systems and/or data;
- (iii) Integrity risks – incomplete, inaccurate, untimely, or unauthorized processing of data;
- (iv) Maintainability risks – inability to update the system when required in a manner that continues to provide for system availability, security, and integrity; and
- (v) Data risks – relating to completeness, integrity, confidentiality, privacy, accuracy and timeliness of data.

The review should be conducted regardless of whether the system is established like IMIS or Sun, or it is developed by the end-user. Reference should be made

B-4.2 AUDIT SAMPLING

B-4.2.1 Rationale

Audit sampling is performing an audit test on less than 100 percent of a population. In 'sampling', the auditor accepts the risk that some or all errors shall not be found and the conclusions drawn (i.e. all transactions were proper and accurate) may be wrong. Audit sampling can either be statistical or non-statistical approach.

B-4.2.2 Types of Sampling

- (i) Statistical or probability sampling allows the auditor to stipulate, with a given level of confidence, the condition of a large population by reviewing only a percentage of the total items. Several sampling techniques are available to the auditor.
- (ii) Attribute sampling - is used when the auditor has identified the expected frequency or occurrence of an event. It allows the auditor to determine whether the rate of occurrence of a characteristic or attribute (usually errors) in a population is small enough to assume that procedures are working effectively or is indicative of an issue which needs to be included in the audit report. It is applied to test items that have only two possible values (e.g. correct or incorrect) Attribute sampling should most widely be used in tests of control.

Attribute sample selection techniques include survey sampling and decision sampling.

- (iii) Variables sampling - is used when the auditor samples for values in a population which vary from item to item. Variable sampling provides answers to the question "How much?" It is usually applied to stated monetary amounts and attempts to provide information about their accuracy. By taking a sample and drawing an inference about a population, The IA can reach a conclusion on whether the amount is materially misstated. IA should use variable sampling in substantive tests of details.

Variable sampling selection techniques include simple and systematic random sampling and stratified sampling

- (iv) Judgment sampling - is used when it is not essential to have a precise determination of the probable condition of the universe, or where it is not possible, practical, or necessary to use statistical sampling. It is based on the auditor's judgment. It is appropriate when looking for existence of a problem or when the auditor does not need to draw conclusions about the whole population.

Non statistical selection techniques include haphazard, judgment, and biased sampling

B-4.2.3 Sampling Criterion

The decision whether to use a statistical or non-statistical sampling approach is a matter for the auditor's professional judgment regarding the most efficient manner to obtain appropriate audit evidence in the particular circumstances. To the extent possible, statistical sampling should be used in all audits.

Sampling is not always required and it may be possible to apply audit

procedures to the entire population if all the data is held on computer systems and data analysis software is available. The IA may also decide not to sample if:

- (i) The population is small;
- (ii) IA is unwilling to accept the sampling risk; or
- (iii) IA is searching for rear occurrences or known problem areas

B-5 PLANNING THE DETAILED AUDIT

- (i) The elements of materiality and relative risk must be considered in performing the audit. The due professional care standards do not imply unlimited responsibility for disclosure of irregularities and other deficiencies. The auditor's principal effort shall be in those areas where significant problems or deficiencies may exist, rather than in areas that are relatively less important. Time shall not be spent examining or developing evidence beyond what is necessary to afford a sound basis for a professional opinion.
- (ii) The results of the preliminary review shall be analyzed to determine the need for a detailed audit and the specific areas to be covered. The detailed audit program shall be prepared allocating the project budget time established for the fieldwork to the specific areas to be covered in the audit.

B-5.1 Statement of Risk And Exposure

Rationale

A risk/exposure analysis shall be performed to prioritize audit testing that must be performed to achieve the audit objectives. This determination is essential for providing reasonable assurance that IA resources are deployed in an optimal manner. *(Most time is spent examining areas with the greatest risk exposure).*

Exposure is the potential loss or liability to the Water Service Centre. It is not only loss of money but also the Water Service Centre's reputation, etc.

A Risk/Exposure analysis shall involve determining the highest possible combined factors. (High risk/high exposure as opposed to high risk/low exposure or low risk/high exposure).

Policy

During the preliminary review/internal control evaluation stage of the audit, the auditor shall make a determination of what areas contain the greatest risks

and potential exposures. This determination shall be discussed with the audit administration before the audit program is written.

Process

During the preliminary review/internal control evaluation stage of the audit, the auditor shall complete a schedule detailing the greatest risks and potential exposures and discuss with audit administration.

B-5.2 Audit Program

- (i) Preparation of the audit program concludes the Preliminary Review phase. The audit program outlines the necessary steps to achieve the objectives of the audit within the defined scope as listed on the assignment sheet. The audit program is a detailed plan for the work to be performed during the audit. A well-constructed program is essential to completing the audit project in an efficient manner.
- (ii) A well-constructed program provides:
 - (a) A systematic plan for each phase of the work that can be communicated to all audit personnel concerned
 - (b) A means of self-control for the audit staff assigned
 - (c) A means by which the Internal Auditor, IA can review and compare performance with approved plans
 - (d) Assistance in training inexperienced staff members and acquainting them with the scope, objectives, and work steps of an audit
 - (e) An aid to the Internal Auditor, IA in making possible a reduction in the amount of direct supervisory effort needed
 - (f) Assistance in familiarizing successive audit staff with the nature of work previously carried out
- (iii) Standardized audit programs should be prepared and used or modified to achieve the audit objectives using the **AUD-1.9 Audit Programme** form. The auditor includes an estimate of the hours necessary to complete the project. Internal Auditor, IA reviews the auditor's work to-date (preliminary review work) and then discusses any concerns or proposed program changes.

B-5.3.1 Objectives

The audit program shall contain a statement of the objectives of the area being reviewed. The statement of objectives in the audit program shall correspond

with the audit objectives stated in the assignment sheet. These objectives shall be achieved through the detailed audit program steps.

B-5.3.2 Audit Steps

A well-constructed audit program provides specific, detailed steps (procedures) for achieving the audit objectives. Standardized audit programs with specific audit steps for achieving objectives, once prepared, shall be used or modified as appropriate.

B-5.3.3 Time Budget

- (i) A project time budget provides overall guidelines for the performance of the audit. In addition, it enables the Internal Auditor, IA to control the audit work in process. It is essential that IA control their time carefully so that it is utilized in the most effective manner possible. The detailed project time budget shall be completed at the conclusion of the preliminary review.
- (ii) Each project shall have a time budget that shall be approved by the Internal Auditor, IA. This budget shall include all time necessary to complete the audit, from assignment through issuance of the final report. The preliminary review phase should be completed when not more than 25 percent of the total time budget has been depleted.
- (iii) The budget process shall be broken down into two phases. A portion of the budget shall be allocated for the planning process. This shall provide the necessary control over this phase of audit work.
- (iv) Near the completion of the planning process, the remaining budget shall be allocated to the rest of the audit and recorded on the Time Budget Summary. For purposes of overall control, the time budget shall be broken down into the following general categories:
 - (a) *Planning* - initial planning, preliminary survey, audit program.
 - (b) *Fieldwork* - allocated to the various segments of the audit project.
 - (c) *Audit report and wrap-up* – IA review, quality assurance review, report writing and editing, report review, auditee's review, exit meeting, etc).
 - (d) *Preparation and Approval* - The project time budget shall be prepared by the Internal Auditor, I.
 - (e) *Budget Revisions* - Any revisions to the project time budget shall be approved by the Internal Auditor, IA and documented on the Time Budget Summary.

B-6 FIELDWORK

B-6.1 Introduction

Fieldwork is the process of collecting, analyzing, interpreting and documenting information on matters related to the audit objectives and scope. The objective is to obtain sufficient, competent, relevant, and useful information to provide a sound basis for audit findings and recommendations. Some preliminary audit testing would have been conducted as part of the planning stage of the audit. During the fieldwork the auditor performs more detailed reviews and analyses, tests the operation of established controls and evaluates the effectiveness of the internal control system.

B-6.2 Audit Evidence

Audit evidence refers to all the information used by the auditor in arriving at the audit opinions, conclusions and recommendations. It is obtained through applying audit procedures such as observing conditions, interviewing people, examining records and analyzing data. In forming the audit opinion, the auditor need not review all the information available because conclusions can sometimes be reached by using sampling approaches and other means of selecting items for examination. Audit evidence is cumulative in nature and is persuasive rather than conclusive. Audit inferences are drawn from the body of evidence collected.

Evidential matter obtained during the course of the audit provides the documented basis for the auditor's opinions, findings, and recommendations as expressed in the audit report. IA are obligated by their professional standards to act objectively, exercise due professional care, and collect sufficient, competent, relevant, and useful information to provide a sound basis for audit findings, recommendations and conclusions.

- (i) Sufficient information is factual, adequate, and convincing so that a prudent, informed person would reach the same conclusions as the auditor. There should be enough of it to support the auditor's findings. In determining the sufficiency of evidence it may be helpful to ask such questions as: Is there enough evidence to persuade a reasonable person of the validity of the findings? When should appropriate statistical sampling methods be used to establish sufficiency?

- (ii) Competent information is reliable and the best attainable through the use of appropriate engagement techniques such as statistical sampling and analytical audit procedures. Information is more competent if it is (i) obtained from an independent source, (ii) corroborated by other information, (iii) obtained directly by the auditor, such as through personal observation, (iv) documented, and (v) an original document rather than a copy.
- (iii) Relevant information supports engagement observations and recommendations and is consistent with the objectives for the engagement. Relevant information should have a logical, sensible relationship with the associated audit finding.
- (iv) Useful information helps the organization meet its goals. Evidence collected by IAD should possess all of these qualities. For example, it is not enough to merely interview staff members without corroborating the information obtained with that from other sources. Sample sizes should be representative so that conclusions reached may be validly extended to the rest of the population.

Evidence may be categorised as physical, documentary, testimonial and analytical and is obtained by using various procedures:

(i) Physical evidence

Physical evidence is obtained by direct inspection or observation of people, property or events. Inspection of tangible assets provides reliable audit evidence about their existence, but not necessarily as to their ownership or value. Observation consists of looking at a process or procedure being performed by others, for example, physically counting inventory and making observations. The observations of certain procedures are important particularly those that do not leave an audit trail.

(ii) Documentary evidence

Documentary evidence consists of information that exists in some permanent form such as letters, contracts, accounting records, invoices, and management information on performance. It is the most common form of evidence; it may be internal, external or a combination of both. The source of documentary evidence affects its reliability.

(iii) Testimonial evidence

Testimonial evidence is obtained through inquiries, interviews, or questionnaires. Inquiry and confirmation consists of seeking information from knowledgeable persons inside or outside the organization. Responses to inquiries may provide auditors with information not previously possessed or with corroborative audit evidence. Testimonial evidence may not always be conclusive and should be supported by other forms of information where

possible.

(iv) Analytical evidence

Analytical evidence arises from the application of analytical procedures. Analytical procedures produce information in the form inferences or conclusions based on examining data for consistencies, inconsistencies, cause-effect relationships etc.

B-6.2.1 Audit criteria

IA should clarify the specific explicit or implicit criteria against which evidence collected will be evaluated. Criteria are explicit when they are clearly set out in policies, manuals, standard operating procedures, standards, laws and/or regulations. Where management has not yet established goals and objectives or determined the controls needed in a particular area, it may be necessary to develop implicit criteria based on what management considers to be satisfactory performance standards or industry best practices. The acceptability of implicit criteria should always be confirmed with the audited entity. Conducting an audit without agreeing the criteria may result in conclusions and recommendations that may not be accepted by the audited entity and lead to wasted audit effort and fruitless arguments.

B-6.3 Analysis and evaluation of data

After data is collected, it should be analysed and evaluated. Analysis means breaking down data/activities/processes into smaller, more manageable parts to determine attributes, relationships, cause, effect, etc. and make inferences or determine whether further examination is required. Evaluation is the systematic determination of the merit, worth, or significance of the subject matter to arrive at a judgment in terms of adequacy, efficiency or effectiveness.

B-6.3.1 Analysis of financial data

During fieldwork, analytical procedures should be used to support the results of the assignment. IA should consider the factors listed below in determining the extent to which analytical audit procedures should be used. After evaluating these factors, IA should consider the use of additional audit procedures, as necessary, to achieve the engagement objectives:

- (i) The significance of the area being examined;

- (ii) The assessment of risk and effectiveness of risk management in the area being examined;
- (iii) The adequacy of the system of internal control;
- (iv) The availability and reliability of financial and non-financial information;
- (v) The precision with which the results of analytical audit procedures can be predicted;
- (vi) The availability and comparability of information regarding the industry in which the organization operates; and
- (vii) The extent to which other engagement procedures provide support for engagement results.

When analytical audit procedures identify unexpected results or relationships, IA should examine and evaluate such results or relationships. This examination and evaluation should include making inquiries of management, and applying other engagement procedures until IA are satisfied that the results or relationships are sufficiently explained. Unexplained results or relationships from applying analytical audit procedures may be indicative of a significant condition such as a potential error, irregularity, or illegal act. Results or relationships that are not sufficiently explained should be communicated to the appropriate levels of management. IA may recommend appropriate courses of action, depending on the circumstances.

B-6.4 Detailed audit procedures

In addition to analytical procedures and techniques, the following detailed audit tests may be performed during the fieldwork:

- (i) Vouching – testing recorded amounts by examining supporting documents to determine whether they represent an actual transaction.
- (ii) Tracing – following a document through its processing cycles to the accounting records to determine whether all transactions have been recorded
- (iii) Re-computation – verifying the mathematical accuracy of figures. The value of this procedure is limited as the reliability of the evidence obtained depends on the validity of the underlying input.
- (iv) Scanning – searching for obvious exceptions in a large quantity of data.

B-6.5 Evaluation

Evaluation is a means of arriving at a professional judgment. As IA compare circumstances observed against relevant criteria, they evaluate the significance of any variance and determine whether corrective action is necessary. The analysis and evaluation of evidence obtained should give rise to issues (positive and negative), to report to management.

IA should draw conclusions for each audit objective. Conclusions are logical inferences about the audit subject based on the IA's findings. Conclusions should be specified and not left to be inferred by readers. The strength of a conclusion depends on the persuasiveness of the evidence supporting the findings, and the convincingness of the logic used to formulate the conclusions. They should be free from personal biases or prejudices, and be objective. The conclusion reached by IA should be the same as would have been reached by a similar experienced professional reviewing the same evidence. The analysis and evaluation of evidence should be recorded in **Aud-2.1 Audit Issue Summary**

B-7 WORKING PAPER DOCUMENTATION

B-7.1 Rationale/Policy/Purpose

- (i) Working papers serve both as tools to aid the auditor in performing work, and as written evidence of the work done to support the auditor's report. Information included in working papers shall be sufficient, competent, relevant, and useful to provide a sound basis for audit findings and recommendations.
- (ii) In addition to serving as a reference for the preparer when called upon to report findings or answer questions, other individuals may find it necessary to use the working papers.
- (iii) The IA function shall use the papers to review the quality of the audit and to evaluate the audit staff assigned to the work.
- (iv) The Internal Auditor whose unit is being audited may use details included in the working papers to help implement corrective action to a problem or refute the assertion that a problem exists.

- (v) Water Service Centre management or other individuals who may have requested the audit require timely reports. Well-organized working papers help to accomplish this goal.
- (vi) External auditors review the work performed by the IA function and evaluate the effect that its activities had on the Water Service Centre's system of internal control.
- (vii) In fulfilling their public responsibility, certain regulatory agencies monitor operations of the Water Service Centre, and working papers may be subjected to their review. Solid working paper documentation is essential for questions from these and other potential outside reviewers.

B-7.2 QUALITIES OF GOOD WORKING PAPERS

- (i) **Complete** - Working papers must be able to "stand alone." This means that all questions must be answered, all points raised by the reviewer must be cleared, and a logical, well-thought out conclusion must be reached for each audit segment.
- (ii) **Concise** - Working papers must be confined to those that serve a useful purpose.
- (iii) **Uniform** - All working papers shall be of uniform size and appearance. Smaller papers shall be fastened to standard working papers, and larger papers shall be folded to conform to size restrictions.
- (iv) **Neat** - Working papers shall not be crowded. Allow for enough space on each schedule so that all pertinent information can be included in a logical and orderly manner. At the same time, keep working papers economical. Forms and procedures shall be included only when relevant to the audit or to an audit recommendation. Also, try to avoid unnecessary listing and scheduling. All schedules shall have a purpose which relates to the audit procedures or recommendations.

B-7.3 TYPES OF WORKING PAPERS

All working papers shall be maintained in binders and include schedules, analyses, documents, flow charts, and narratives (if prepared outside an automated system).

B-7.3.1. Schedules and Analyses

Schedules and analyses are useful for identifying statistical trends, verifying the accuracy of data, developing projections or estimations, and determining if tasks or records have been properly completed. Each record review, data schedule, or analysis shall include the following items:

- (a) An explanation of its purpose (reference audit step).
- (b) The methodology used to select the sample, make the calculation, etc.
- (c) The criteria used to evaluate the data
- (d) The source of data and time frame considered.
- (e) A summary of the results of the analyses.
- (f) The auditor's conclusion.

B-7.3.2. Documents

- (i) Copies or actual samples of various documents can be used as examples, for clarification, and as physical evidence to support a conclusion or prove the existence of a problem. These documents can be memos, reports, computer printouts, procedures, forms, invoices, flow charts, contracts, or any of numerous other items. Any copied document shall serve a useful audit purpose.
- (ii) The following suggestions are offered for preparation of working papers using documents rather than the auditor's notes:
 - (a) Indicate both the person and/or file that the document came from (source).
 - (b) Copy and insert only that portion of the report, memo, procedure, etc., which is needed for purposes of explanation or as documentation of a potential finding. Do not include the entire document in the working papers unless absolutely necessary.
 - (c) Fully explain the terms and notations found on the document, as well as its use. This is especially true when including maps, engineering drawings, or flow charts in the papers. These explanations may be made on an attached preceding page or on the face of the document itself.
 - (d) Each document shall be cross-referenced either to the page or separate analysis where it was discussed.
 - (e) No document shall be included in the working papers without an explanation of why it was included.

B-7.8.3. Process Write-ups and Flow charts

- (i) In many audits, it is necessary to describe systems or processes followed by the audit subject. Describe such procedures or processes through the use of write-ups or flow charts or some combination of the two. The choice of which method to use shall depend on the relative efficiency of the method in relation to the complexities of the system being described.

- (ii) Write-ups are often easier to use, and shall be used, if the system or process can be described clearly and concisely. However, when write-ups are lengthy, and description of related control points difficult to integrate in the narrative, flow-charting (or a combination of write-ups and flow-charting) is an appropriate alternative. Flow charts conveniently describe complex relationships because they reduce narrative explanations to a picture of the system. They are concise and may be easier to analyze than written descriptions.

B-7.8.4. Interviews

- (i) Most verbal information is obtained through formal interviews conducted either in person or by telephone. Formal interviews are most desirable because the interviewees know they are providing input to the audit. However, impromptu interviews, or even casual discussions can often provide important information. Any verbal information which is likely to support a conclusion in the audit working papers shall be documented. Interviews are useful in identifying problem areas, obtaining general knowledge of the audit subject, collecting data not in a documented form, and documenting the audit subject's opinions, assessments, or rationale for actions. Interview notes shall contain only the facts presented by the person interviewed, and not include any of the auditor's opinions.
- (ii) In preparing interviews for working papers, consider the following suggestions:
 - (a) Be sure to include the name and position title of all persons from whom information was obtained. This includes data gathered during casual conversations.
 - (b) Indicate when and where the meeting occurred.
 - (c) Organize notes by topic wherever possible.
 - (d) Identify sources of information quoted by interviewee.

B-7.8.5. Observations

- (i) What the auditor observes can serve the same purposes as interviews. If observations can be used to support any conclusions, then they shall be documented. They are especially useful for physical verifications.
- (ii) Observations used as supporting documentation shall generally include the following items:
 - (a) Time and date of the observation
 - (b) Where the observation was made

- (c) Who accompanied the auditor during the observation
- (d) What was observed (when testing is involved, the working papers shall include the sample selections and the basis of the sample)

B-7.8.6. Findings

All audit findings must be documented. Unfavorable findings shall be summarized on a Significant Findings working paper whether or not they are to be included in the audit report.

B-7.9.1. Functions of Working Papers

- (i) Support auditor's opinion
- (ii) Aid in the conduct and supervision of the engagement
- (iii) Provide a record of:
 - (a) Procedures applied
 - (b) Tests performed
 - (c) Information obtained
 - (d) Pertinent conclusions reached
- (iv) Provide evidence that the audit was conducted in accordance with the Standards for the Professional Practice of IA.

B-7.9.2. Examples of Working Papers

- (i) Working papers may include any or all of the following:
 - (a) audit programs, summaries, schedules, computations, or analysis prepared or obtained
 - (b) memoranda, interviews, letters of confirmation or representation
 - (c) data stored on tapes, films, disk, or other media
- (ii) The working papers listed below constitute the minimum required support for an assignment:
 - Working Papers Index
 - Assignment Form
 - Draft Report
 - Significant Findings
 - Quality Assurance Review

- Audit Program
 - Worksheet or Lead Schedules
 - Final Report
- (iii) The following working papers shall generally be prepared, but may not be considered mandatory for all assignments:
- (a) Permanent/Continuing Audit File
 - (b) Summary of Audit Objectives and Time Control
 - (c) Announcement Letter
 - (d) Contact List
 - (e) Auditee Financial Statements
 - (f) Interim Memorandums and Meetings
 - (g) Exit Meeting Record

B-7.9.3. Cross-Referencing of Working Papers

All significant amounts and items shall be cross-referenced

B-7.9.4. Indexing of Working Papers

- (i) Every page shall have an index number
- (ii) The index shall be simple
- (iii) The index shall be capable of infinite expansion

B-7.10 STATING FINDINGS/CONCLUSIONS

Upon the conclusion of the fieldwork, the auditor summarizes the audit findings, conclusions, and recommendations necessary for preparation of the audit report discussion draft. Each audit finding documented in the section summary shall have the following attributes:

- (a) Statement of Condition (What is!)
- (b) Criteria (What should be!)
- (c) Effect (So what?)
- (d) Cause (Why did it happen?)
- (e) Recommendation (What should be done?)

B-7.10.1. Statement of Condition

The condition identifies the nature and extent of the finding or unsatisfactory condition. It often answers the question: "What was wrong?" Normally, a clear

and accurate statement of condition evolves from the auditor's comparison or results with appropriate evaluation criteria.

B-7.10.2. Criteria

This attribute establishes the legitimacy of the finding by identifying the evaluation criteria and answers the question: "By what standards was it judged?" In financial and compliance audits, criteria could be accuracy, materiality, consistency, or compliance with applicable accounting principles and legal or regulatory requirements. In audits of efficiency, economy, and program results (effectiveness), criteria might be defined in mission, operation, or function statements; performance, production, and cost standards; contractual agreements; program objectives; policies, procedures, and other command media; or other external sources of authoritative criteria.

B-7.10.3. Effect

- (i) This attribute identifies the real or potential impact of the condition and answers the question: "What effect did it have?"
- (ii) The significance of a condition is usually judged by its effect. In operational audits, reduction in efficiency and economy, or not attaining program objectives (effectiveness), are appropriate measures of effect. These are frequently expressed in quantitative terms; e.g., dollars, number of personnel, units of production, quantities of material, number of transactions, or elapsed time. If the real effect cannot be determined, potential or intangible effects can sometimes be useful in showing the significance of the condition.

B-7.10.4. Cause

- (i) The fourth attribute identifies the underlying reasons for unsatisfactory conditions or findings, and answers the question: "Why did it happen?"
- (ii) If the condition has persisted for a long period of time or is intensifying, the contributing causes for these characteristics of the condition shall also be described.
- (iii) Identification of the cause of an unsatisfactory condition or finding is a prerequisite to making meaningful recommendations for corrective action. The cause may be quite obvious or may be identified by deductive reasoning if the audit recommendation points out a specific and practical way to

correct the condition. However, failure to identify the cause in a finding may also mean the cause was not determined because of limitation or defects in audit work, or was omitted to avoid direct confrontation with responsible officials.

B-7.10.5. Recommendations

- (i) This final attribute identifies suggested remedial action and answers the question: "What should be done?"
- (ii) The relationship between the audit recommendation and the underlying cause of the condition shall be clear and logical. If a relationship exists, the recommended action shall most likely be feasible and appropriately directed.
- (iii) Recommendations in the audit report shall state precisely what needs to be changed or fixed. How the change shall be made is the client's responsibility. More generalized recommendations (e.g., greater attention be given, controls be re-emphasized, a study made, or consideration be given) shall not be used in the audit report, but they are sometimes appropriate in summary reports to direct top management's attention to compliance-type findings disclosed in several areas.
- (iv) Unless benefits of taking the recommended action are obvious, they shall be stated. The cost of implementing and maintaining recommendations shall always be compared to risk.
- (v) Recommendations shall be directed to an individual capable of taking action.

B-8 AUDIT QUALITY ASSURANCE

The purpose of "quality assurance" is to provide reasonable assurance that audit work performed by the IA function of the Water Service Centre conforms to the IIA's Standards for the Professional Practice of IA, additional standards set by the Water Service Centre and appropriate guidelines.

B-8.1 Quality Assurance Policy

- (i) All working papers shall be independently reviewed to ensure there is sufficient evidence to support conclusions, documentation of the extent of audit work performed, all audit objectives have been met, as well as substantiate compliance with applicable auditing standards.

- (ii) A detailed review shall be conducted by the Internal Auditor, IA of assigned staff's working papers.
- (iii) Initialing working papers (Section Summaries, Audit Programs, and Draft Report) and completing the "**Quality Assurance Review form**," shall serve as documentation of the review process and shall be filed with the working papers.

B-8.2 Quality Assurance Review Process

In performing the review the reviewer shall:

- (a) Review working papers from audit program steps to the referenced working papers ensuring cross-referencing is proper, the working papers support the steps performed, and all steps have been completed (or why steps were not completed).
- (b) Review working papers from the report(s), working paper summaries, to the detailed working papers to ensure that all findings are stated, adequately documented and support the *opinions, findings, recommendations, management responses and conclusions* stated in the report.
- (c) Determine working papers' compliance to IA function working paper standards.
- (d) Determine reports' compliance with IA function report standards.
- (e) Record any deficiencies, comments, etc. on a Working Paper Review Notes form.
- (f) The auditor(s) who prepared the working papers shall then respond (if necessary) to these points on the same form.
- (g) After the reviewer has "cleared" the points and completed (initialed) the "**Quality Assurance Review form**," the working papers shall be forwarded to Internal Auditor, IA (if that was not the person undertaking the review).
- (h) The Internal Auditor, IT shall review the working papers and discuss the findings and review comments with the assigned auditor and senior IA, then complete the relevant parts of the "Quality Assurance Review form," and approve the draft report for the exit meeting.
- (i) The Report Reviewer shall perform a pre-exit meeting edit check for spelling, cursory grammatical, and consistency review.
- (j) The assigned auditor shall forward a copy of the draft report to the auditee prior to the exit meeting.
- (k) After exit meeting amendments, the Report Reviewer shall perform a spell check, as well as a cursory grammatical and consistency review, then print out the *final* version of the report.
- (l) The senior IA, assigned auditor(s) and Manager, IT shall review and sign the final report.

The working papers and report shall be factors used in the Performance Evaluation process.

B-8.4 General Standards - Report(s)

- (i) Audit reports shall conform to the IA function format guidelines.
- (ii) The report title shall specifically state what was audited.
- (iii) Audit reports shall only be copied to the “must know”.
- (iv) The audit objectives shall be stated clearly and in agreement with those stated in the announcement letter or audit assignment form.
- (v) The scope shall clearly state what IA examined including, if applicable, what period, transactions, documents, and limitations thereof.
- (vi) The auditor’s opinion (*where appropriate*) shall be supported by audit findings.
- (vii) The audit background shall contain the mission and other information of value to the reader.
- (viii) A statement of Condition shall normally be stated in first sentence.
- (ix) The report shall state the criteria used, policies adopted, etc.
- (x) The report shall state the effect, potential or actual exposure to the Water Service Centre and the cause and how the event happened.
- (xi) The report shall state recommendations which are specific enough so that the auditee understands what is expected, something that can be accomplished, cost beneficial, and can be followed-up on.
- (xii) The draft report shall be referenced to the working papers.
- (xiii) The audit reports should be objective, clear, concise, constructive, and timely.
- (xiv) The IA should present to appropriate management a draft of the final report for discussion before issuance of the final report.

The format and content of the audit reports shall be in the form summarised in **AUD-3.2 Draft and Final Audit Reports**

B-9 REPORTING AND FOLLOW-UP

- (i) The most successful audit projects are those in which the client and the IA have a constructive working relationship. IA's objective is to have the client's continuing involvement as well as communication at every stage, so that the client understands what the auditors are doing and why they are doing it.
- (ii) Although every audit project is unique, the audit process is similar for most engagements. The audit process normally consists of four stages: Preliminary Review, Fieldwork, Audit Report, and Follow- up Review.

B-9.1 Audit Report, Transmittal Letter, and Management Letter

- (i) IA's principal product is the final report in which IA express their opinions about the audit findings and discuss their recommendations for improvements. Therefore, in order for IA to be effective, their reports must clearly and persuasively convey the results of the audits and convince readers to recognize the validity of the findings and the benefit of implementing any recommendations.
- (ii) To facilitate communication and ensure that the recommendations presented in the final report are practical, IA discusses the rough draft with the client prior to issuing the final report.
- (iii) IA prints and distributes the final report to the auditee's operating management, or to the Internal Auditor to which the unit reports and the ED. The Internal Auditor, IA gives approval, with permission of the Board for release of the report outside the Water Service Centre. The results of the audit are also included in the Internal Auditor, IA periodic report to the Board.
- (iv) The first page, **AUD-3.1 Transmittal Letter** of the report is a letter requesting the client's written response to the report recommendations within 30 days. The client shall explain, in the written response, when and how report findings shall be resolved with an implementation timetable. IA encourages the client to copy this response to all recipients of the final report.
- (v) A management letter written to and distributed to only the Senior Management of the auditee may be issued. This letter shall contain

suggestions for improving controls, operations, and anything audit management feels needs to be in writing.

B-9.2 Confidentiality - Reports

Rationale

Although IA reports are internal documents exclusively for the use of the Water Service Centre management, certain reports shall contain information that *should not be disclosed outside of the areas receiving the report.*

Policy

- (i) Audit reports shall be classified as **CONFIDENTIAL** if they meet the following criteria:
 - (a) Report discloses a weakness (potentially resulting in a loss) which has not been corrected at the time of distribution.
 - (b) Report discloses sensitive information which could prove an embarrassment to the Water Service Centre (if made public).
 - (c) Report discloses information classified as "restricted data".
 - (d) At the discretion of the Board with a recommendation by the Internal Auditor, IA.
- (ii) Audit reports classified as Confidential shall contain the words "**CONFIDENTIAL REPORT**" on the title page and the footnote "**Confidential - Do not disclose information in this document.**" on each page.

Process

The IA shall discuss their recommendation and rationale regarding the classification of a report when it is given to the Internal Auditor, IA for initial review.

B-9.3 Exit Meeting/Interviews

- (i) After the draft report has been approved by the Internal Auditor, IA the auditor(s) meet with the auditee's management team to discuss the findings, recommendations, and text of the draft. At this time, the client comments

on the draft report, and any inaccuracies or impractical recommendations resolved to the extent possible.

- (ii) Pre-exit meeting items:
 - (a) There shall be no surprises - everything in the draft shall have been discussed during the fieldwork.
 - (b) Be sure you can easily find supporting documentation for findings in the working papers in case questions arise at the exit meeting.
 - (c) Try to anticipate potential questions/conflicts
- (iii) Go through verbal recommendations.
- (iv) Discuss the following and go through report and management letter:
 - (a) Do they want to respond after receiving the final report or would they like their response either included or attached to the final report? (Preference is to include or attach the audit response with the final report).
 - (b) Results of audit, response, and follow-up shall be included in IA's annual report to the Board.
 - (c) Were there any questions about the scope and objectives?
 - (d) Are there any questions about the opinion?
 - (e) Are there any questions, comments, additions, or deletions on background?
 - (f) Any comments or questions about other sections? (Go through each).
 - (g) General comments about audit process?

The Internal Auditor, IA should ensure that a form, Aud-2.3 Exit Meeting Note summarizing agreements reached, comments from the agency is documented for the exit meeting.

B-9.4 Closing Of the Audit

- (i) The IA then prepares a draft, taking into account any revisions resulting from the exit meeting and other discussions. When the changes have been reviewed by the Internal Auditor, IA (and, where necessary, the Board) and the client, the final report is issued.
- (ii) The report is then printed in final version and distributed to appropriate members of senior Water Service Centre management, including the Board. This report is primarily for internal Water Service Centre management use. The Internal Auditor, IA approval, with the consent of the Board, is required for release outside the Water Service Centre.

B-9.5 Input to the Report of the Board

- (i) The establishment of a clear reporting structure with the Board enhances IA's independence and strengthens IA's ability to function freely within the Water Service Centre. It also provides IA the opportunity to acquaint the Board with any critical audit findings or issues, assessments of operations during the past year, and concerns, goals and plans for the next fiscal year.
- (ii) The results of all report findings and recommendations, the response from the auditee, and the follow-up shall be reported in an annual report to the Board.

B-9.6 Audit Feedback Questionnaire

Purpose

To continuously improve the quality of service to IA auditees by requesting and reviewing their feedback of the level of satisfaction with audit work.

Process

An audit feedback questionnaire shall be sent to the auditee immediately after an audit report (excluding cash count and follow-up reports) has been issued. Returned questionnaires shall be recorded and summarized.

B-9.7 Follow-up Review

- (i) Within three months of the final report, IA shall perform a follow-up review with auditee management to ascertain the resolution of the report findings.
- (ii) The actions taken to resolve the findings are reviewed and may be tested to ensure that the desired results were achieved. In some cases, managers may choose not to implement an audit recommendation and to accept the risks associated with an audit finding. The follow-up review shall note this as an unresolved finding.
- (iii) The follow-up report shall list the actions taken by the auditee to resolve the original report findings. Unresolved findings shall also appear in the report and shall include a brief description of the finding, audit recommendation, auditee response, current condition, and the continued exposure of the Water Service Centre. In addition to the original report, recipients and other officials as deemed appropriate, the follow-up review results shall also be included in the IA Report to the Board.

C-PERSONNEL

C-1 Job Descriptions

A comprehensive and up to date job descriptions of the Internal Auditor Internal Audit; Internal Auditor and Technical Auditor are set out below:

Job Title: Internal Auditor, Internal Audit
Salary Scale: -----
Department: Internal Audit
Reports to: Executive Director
Responsible for: Internal Auditor and Technical Auditor

Main Purpose:

Key Responsibilities:

1. Contribute to the achievement of the Board's corporate goals through developing robust and effective procedural; technical and financial audit policies, strategies and systems;
2. Prepare a risk assessment and management plan related to the activities of the Water Service Centre and develop risk avoidance and mitigation strategy;
3. Develop and implement robust and efficient programmes of procedural, technical and financial audit of the Water Service Centre's activities, based on the assessment of risks, to ensure the best use of available Secretariat resources, minimize wastage and corruption involving the Water Service Centre resources, and ensure that the Board's objectives are achieved;
4. Procure and supervise consultancy services as required to undertake audit activities;
5. Undertake internal audits and compliance checks within the Secretariat;
6. Report to the Board on the results of audit programmes periodically (and immediately in the case of serious and actionable audit findings) highlighting variances and trends of performance;

7. Contribute to the monthly, quarterly and annual reporting of the Water Service Centre;
8. Ensure that the values, behaviors and culture of employees are aligned with the strategy of the Water Service Centre to achieve a truly integrated work environment;
9. Lead initiatives to develop a culture that supports strategic priorities and provides an environment that enables staff to deliver;
10. Carry out such other functions and duties that are delegated to the position from time to time

Job Title: Technical Auditor
Salary Scale: RF 3
Department: Internal Audit
Reports to: Internal Auditor, Internal Audit

Role Definition:

Responsible for conducting effective and timely technical reviews on Centre programs financed as per performance Agreements signed with Designated Agencies.

Key Responsibilities:

1. Prepare and regularly update technical audit/review guidelines and standard operating procedures.
2. Prepare and implement strategic and annual plans, time schedules and budgets for technical reviews.
3. Prepare the scope of technical reviews for designated agencies and supervise the Consultants undertaking the reviews.
4. Carry out planned and ad-hoc technical reviews on selected projects in designated agencies and make recommendations for corrective actions.
5. Review periodic reports and other relevant information of designated agencies to identify points of attention and leads for detailed technical audits.
6. Audit compliance of various Centre works to ruling standards/specifications.
7. Conduct site inspections to verify actual conditions and quality of works executed.
8. Evaluate results of the technical reviews for value for money and compliance with standard procedures and performance agreements.
9. Prepare draft reports for submission to Management and the Board.
10. Perform any other duties assigned by Management from time to time.

Job Title: Internal Auditor
Salary Scale: RF 3
Department: Internal Audit
Reports to: Internal Auditor, Internal Audit

Role definition

To implement the internal audit function, in line with established policies and plans.

Key Responsibilities:

1. Assist the Internal Auditor Internal Audit in carrying out the responsibilities of the Internal Audit function;
2. Verify transactions for appropriateness and ensuring that transactions are budgeted for, there is reasonableness for their occurrence and there is adequate supporting information to the transactions;
3. Assist in determining adequacy in established internal control systems and advise on any possible improvement in the existing systems;
4. Handle internal audit checks and reviews in the functional departments;
5. Assist in regular updating of the risk register;
6. Carryout any other duties as may be assigned by management from time to time

NOTE: f the Board decides to employ more people in the IA function (as recommended) then appropriate job descriptions can also be added e.g Deputy Internal Auditor, IA, Senior IA, Junior IA.

*NOTE: If the Board decides to employ more people in the IA Department (as recommended) then appropriate job descriptions can also be added e.g Deputy Internal Auditor, IA, Senior IA, Junior IA.

C-2 Performance Evaluation

Rationale

Performance evaluation shall serve two major functions in IA.

- (a) First, it will be used for staff development. The feedback that staff receive from the appraisal process shall provide them with information they can use to improve job performance.
- (b) Second, performance appraisal provides bottom-line evaluations of staff that can be used for administrative decisions such as promotion, salary evaluation, recommendation for training, or remedial action.

Performance Evaluation Policy

All IA appointed staff shall have an evaluation of their work performance at least once a year. The results of these evaluations shall be the primary means for administrative decisions.

D - DEPARTMENT ADMINISTRATIVE PROCEDURES

D-1 Management Of Audit Hour Resources

The principal resource that IA has to accomplish its mission is the amount of available staff time. Therefore, it is paramount that auditors have a process that shall provide the information necessary to effectively manage this resource.

D-1.1 Audit Resource Reporting Policies

- (i) All professional training requires prior approval by the Internal Auditor, IA.
- (ii) Auditors shall perform fieldwork at the auditee location whenever possible.
- (iii) All staff members shall submit a weekly progress report detailing the hours spent on assigned projects. Progress reports must be completed by Friday 6:00 p.m.

D-2 MISCELLANEOUS POLICIES

D-2.1 Purging Working Papers

Working papers shall be retained for 7 years after the date of the report. The working papers shall be purged once a year after the Board's approval. The

exception to this policy is when IA is required to retain working papers longer by law or by agreement.

D-2.2 Computer Software

Only computer software that the Water Service Centre owns rights to shall be located on Water Service Centre computers. If any staff wishes to install other software on a Water Service Centre owned computer, they must receive prior approval from the ED and provide evidence that they own the rights to the software.

D-2.3 Housekeeping

Good housekeeping bears a direct relationship to orderly and efficient work habits. When out of the office, material in work areas should be straightened. Care is to be exercised to avoid exposure of confidential or potentially sensitive documents.

Appendix I Code of Ethics

The IIA Code of ethics comprises two essential elements:

- (i) Principles that are relevant to the profession and practice of internal auditing
- (ii) Rules of conduct that describe behavior norms expected of internal auditors

Principles

Internal auditors are expected to apply and uphold the following principles:

Integrity

The integrity of internal auditors establishes trust and thus provides a basis of reliance on their judgment

Objectivity

Internal Auditors exhibit the highest level of professional objectivity in gathering, evaluating, and communicating information about the activity or process being examined. Internal Auditors make a balanced assessment of all the relevant circumstances and are not unduly influenced by their own interests or by others in forming judgment

Confidentiality

Internal Auditors respect the value and ownership of information they receive and do not disclose information without appropriate authority unless there is a legal or professional obligation to do so.

Competency

Internal auditors apply the knowledge, skills and experience needed in the performance of internal audit services

Rules of Conduct

Integrity

Internal Auditors:

1. Shall perform their work with honesty, diligence, and responsibility.
2. Shall observe the law and make disclosures expected by the law and the profession
3. Shall not knowingly be a party to an illegal activity or engage in acts that are discreditable to the profession of internal auditing or to the organization
4. Shall respect and contribute to the legitimate and ethical objectives of the organization

Objectivity

Internal Auditors:

1. Shall not participate in any activity or relationship that may impair or be presumed to impair their unbiased assessment. This participation includes those activities or relationships that may be in conflict with the interests of the organization.
2. Shall not accept anything that may impair or be presumed to impair their professional judgment
3. Shall disclose all material facts known to them that, if not disclosed may distort the reporting of activities under review

Confidentiality

Internal Auditors:

1. Shall be prudent in use and protection of information acquired in the course of their duties
2. Shall not use information for any personal gain or in any manner that would be contrary to the law or detrimental to the legitimate and ethical objectives of the organization

Competency

Internal Auditors:

1. Shall engage only in those services for which they have the necessary knowledge, skills and experience.
2. Shall perform internal audit services in accordance with the international standards for the Professional Practice of Internal Auditing
3. Shall continually improve their proficiency and effectiveness and quality of their services

E: LIST OF TEMPLATES

		Form no.
A:Planning		
1.	Amendment to work plan form	
2.	Statement of Independence	Aud-1.2
3.	Assignment Sheet	Aud-1.3
4.	Announcement letter	Aud-1.4
5.	Auditors Introductory letter	Aud-1.5
6.	Entry Meeting Note	Aud-1.6
7.	Audit plan: Technical and Financial Audit	Aud-1.7
8.	Audit plan: In house Operations Audit	Aud-1.8
9.	Audit programme	Aud-1.9
B:Field work		
10.	Audit Issue Summary	Aud-2.1
11.	Exit meeting notes	Aud-2.3
C:Reporting and audit closure		
12.	Transmittal letter	Aud-3.1
13.	Draft and final audit report	Aud-3.2
14.	Recommendations coding sheet	
D:Monitoring		
15.	Closing unimplemented recommendations	

AUD-1.2: STATEMENT OF INDEPENDENCE

Auditor:

Position:

Internal auditors are independent when they can carry out their work freely and objectively. Independence permits internal auditors to render the impartial and unbiased judgments essential to the proper conduct of audits. It is achieved through organizational structure and objectivity.

The Centre expects its auditors/consultants to maintain independence of mental attitude in the conduct of all assigned work; to be objective, fair, and impartial; and to conduct themselves so that agencies and third parties will see our office in this way. Each staff member must promptly notify the Internal Auditor, Internal Audit, or higher, in writing concerning any situation that would impair the staff member's or the office's independence on an audit, or that might lead others to question it. If a staff member has any doubt about whether a situation may constitute impairment he or she should resolve the question in favor of disclosure.

Examples of Personal Impairment

- Official, professional, personal, or financial relationships that might cause the auditor to limit the extent of the inquiry, to limit disclosure, or to weaken or slant audit findings in any way (includes relatives employed by the designated agency).
- Preconceived ideas toward individuals, groups, organizations, or objectives of a particular program that could bias the audit.
- Previous responsibility for decision-making or managing an entity that would affect current operations of the entity of program being audited.
- Biases, including those induced by political or social convictions that result from employment in or loyalty to, a particular group, organization, or level of government.
- Subsequent performance of an audit by the same individual who, for example, had previously approved invoices, payrolls, claims, and other proposed payments of the entity or program being audited.
- Concurrent or subsequent performance of an audit by the same individual who maintained the official accounting records.
- Financial interest, direct or substantial indirect, in the audited entity or program.
- Offer of or application for a position with the designated agency during the preceding year (note: an offer of or intention to apply for a

position with the designated agency once the audit is in progress must also be reported)*.

* - Details may be communicated to the Internal Auditor, Internal Audit separately by confidential memorandum.

Identify audit areas that may be affected by the above situations:

Possible Personal Impairments to My Independence

I have reviewed my personal situation with respect to **insert organization name** and related institutions. I am not aware of any circumstances that might impair my ability to be independent on any audit or that might lead others to question it, except as indicated above or on attached pages.

Responsibility to Update This Disclosure

I understand that I am also responsible to make timely written notification in the event any other circumstance arises during the course of this year that might impair or appear to impair my independence with respect to any audit.

Signature: _____ **Date:** _____

AUD-1.4: AUDIT ANNOUNCEMENT LETTER

Your ref:

Our ref:

Date:

The Accounting Officer
Address of agency to be audited

**Re : TECHNICAL AND FINANCIAL AUDIT OF PERIODIC AND ROUTINE
MAINTENANCE PROJECTS FINANCED BY THE WATER SERVICE
CENTRE**

Reference is to the above subject.

This is to inform you that insert name of agency has been selected for a technical and financial audit on projects financed by the Water Service Centre.

The purpose of the audit is to provide independent assurance to the Board, the Government and other interested parties that the monies from the Centre allocated for maintenance activities are judiciously applied for the intended purpose. Further, the audit aims to verify that the use of such resources is efficient, effective and transparent.

The Water Service Centre will send an audit team to carry out the audit under the supervision of the Internal Auditor. The audit will commence on Insert date of commencement and is expected to take Insert duration as per approved work plan days. Please provide us the name of the contact person during the audit process. The Water Service Centre recommends the person to be the insert title of head of engineering, though you may nominate any other suitable person. The WATER SERVICE CENTRE expects you to provide a lockable office with working stations for the team.

It is important that you avail the audit team with all the documents maintained for the projects selected for audit. These include:

1. Documents required in the procurement process
2. Signed contracts and documents attached to it

3. Documents to be submitted by the contractor in accordance with stipulations of the contract
4. Documents related to payments
5. Documents to be prepared by the agency and/or its consultant for purpose of contract administration, quality control and other purposes in accordance with its rule/regulation
6. Documents related to completion of works and handover
7. Any other documents affecting any parts of your works

The audit exercise will commence with a pre-audit meeting on **insert a date and time** and the following officials are required to attend:-

1. The Accounting Officer
2. Members of the District Water Council
3. District Engineer

After completion of the audit exercise, a draft report will be availed to you for your comments, a response to which will be expected within a period of **insert number of days** working days from receipt. After incorporating your comments a final copy of the report with our recommendations shall be issued to you and also circulated to other relevant government agencies for action. Please note that on failure to submit your written comments within the specified time period, the WATER SERVICE CENTRE shall proceed to process the final report.

The WATER SERVICE CENTRE looks forward to full cooperation with your staff and trusts that we shall have ready access to all records, documentation and other information required in connection with the audit.

Please acknowledge receipt of this letter and confirm in writing that you will be available for this exercise.

EXECUTIVE DIRECTOR

AUD-1.5: AUDITORS INTRODUCTORY LETTER

Your ref:

Our ref:

Date:

The Accounting Officer
Address of agency to be audited

Re : AUDITORS INTRODUCTORY LETTER

We refer to the letter dated **insert date** to you on the subject matter above.

The purpose of this letter is to introduce M/s **insert full names of audit firm** whom we have sent to carry out the audit under the supervision of the Internal Auditor. We confirm that M/s **insert full name of the firm** has been contracted by the Centre to undertake this audit.

The audit exercise will commence with on **insert a date** and is expected to take **Insert duration as per approved work plan** days.

The following are the officials permitted to conduct the audit on behalf of M/s **insert full names of audit firm**:-

List Names	List titles
------------	-------------

As a designated agency, it is your responsibility to ensure that you do not grant unauthorized access to information by persons not introduced to you by WATER SERVICE CENTRE. It is therefore your duty to make timely written notification to the WATER SERVICE CENTRE where changes in staffing have been made by the Consultant without an introduction from WATER SERVICE CENTRE.

EXECUTIVE DIRECTOR
AUD-1.5: ENTRY MEETING NOTE

Date:		Time:	
Meeting No.			
Meeting Type:	Entry meeting note		
Place:			
Present:			
In Attendance:			

Absent with Apology:	
Agenda:	<ol style="list-style-type: none"> 1. Prayer. 2. Communication from the Chair 3. Status of previous oversight findings and recommendations. 4. Areas determined to be audited in the work plan. 5. Agency's concerns in the area under audit 6. Focal point and lines of communication 7. Any other business.

		Action by
Min. 1.0		
Min 2.0		
Min. 3.0		
Min. 4.0		
Min 5.0		
Min. 6.0		
Min 7.0		

Chairperson

Secretary

AUD-1.7: AUDIT PLAN: TECHNICAL AND FINANCIAL AUDIT

GENERAL INFORMATION	
Centre /Project Name	Agency
Scheduled date of auditing:	Auditor:
Contract No:	Name of Contractor
Final Contract Amount:	Type of Contract
Contract Effective on:	Completion date:
MAJOR ISSUES	
List major points to be inspected such as the following <ul style="list-style-type: none">• Procurement process• Design, Technical specifications, Work Items and Volume• Cost Estimate/Contract Amount/Unit Price• Timing of Start/Completion of Works	
DOCUMENTS TO BE FILED	
(List the documents which are supposed to be submitted by the Contractor or the reports of field tests or other tests conducted by the agency or its consultant)	
SITE INSPECTION	
(List here the items and interval/location of measurement to be done at the site)	

Prepared by:

Approved by:

Date of Approval

AUD-2.1: AUDIT ISSUE SUMMARY

Audit Client:								
Audit Project:								
Audit Date:								
Topic								
Observations								
Risk								
Recommendation								
Management Response								
Auditee Signature and Date								
Significance	<table border="1"> <tr> <td>High</td> <td></td> <td>Moderate</td> <td></td> <td>Low</td> <td></td> <td>Value</td> </tr> </table>	High		Moderate		Low		Value
High		Moderate		Low		Value		
Include in report?	<table border="1"> <tr> <td>Yes</td> <td></td> <td>No</td> <td></td> <td>Order in report</td> <td></td> </tr> </table>	Yes		No		Order in report		
Yes		No		Order in report				

Audit Client:	
Audit Project:	
Reviewed by:	

AUD-2.3: EXIT MEETING NOTES

Date:		Time:	
Meeting No.			
Meeting Type:	Exit meeting		
Place:			
Present:			
In Attendance:			

Absent Apology:	with	
Agenda:		8. Prayer. 9. Communication from the Chair 10. Audit findings and recommendations. 11. Any other business.

		Action by
Min. 1.0		
Min 2.0		
Min. 3.0		
Min. 4.0		

Chairperson

Secretary

AUD-3.2: DRAFT AND FINAL AUDIT REPORT

Section	Institute of Internal Auditors	Leading Practice
Background	Back ground information may identify the organizational units and activities reviewed and provide relevant explanatory information.	The background description of the area or process audited should be brief and provide a short overview of the area. It also can demonstrate our understanding of the area audited.
Objectives	Purpose statements should describe the internal audit focus and when necessary inform the reader why the audit was conducted and what it was expected to achieve.	The objectives of the audit are described in the report
Scope	Scope statements should identify the audited activities and include where appropriate, the supportive information such as time period audited. The nature and extent of audit performed should also be addressed.	The scope is described in the report and should not be a listing of steps of the audit program.
Period	The time and period audited should be included in the scope statements	All reports should indicate the period covered by the audit
Findings	Findings are pertinent statements of fact. Less significant findings may be communicated orally or through informal correspondence.	<ul style="list-style-type: none"> • Observation, Risk and implication is the last section of the report. The heading will include the client name and area or process audited. The risks identified as a result of finding should always be listed. • Appropriate sections of the issue summary can be copied to the audit report If the Issue Summary is properly written, the audit report

Section	Institute of Internal Auditors	Leading Practice
		<p>writing process should be streamlined and be more consistent</p> <ul style="list-style-type: none"> • Each observation and risk should be listed in the order of importance. It may enhance the readers experience if like observations and risks are grouped together under each topic. In situations where recommendations for several observations are the same, consider grouping findings together under one topic related to the recommendation. • Bullet points also make it easier for the reader • Working papers should document less significant findings which have been reviewed with management noting the date and name of client.
Recommendations	Recommendations are based on the auditor's findings and conclusions. They call for action to correct existing conditions or improve operations	The recommendations are actions that management should consider to address the audit findings
Signature	A signed written report should be issued after the audit examination is completed. The term signed means that the authorized Internal Auditor's name should be manually signed in the report	The report is signed after all required reviews are completed and issuance of the report has been authorized by the team leader.
Date		The report is dated on the day it is issued and is

Section	Institute of Internal Auditors	Leading Practice
		substantially completed.
Managements response and action plan	The auditee's views about conclusions or recommendations may be included in the audit report. As part of the internal audit discussions with the auditee, the internal auditor should try to obtain agreement on the results of the audit and on a plan of action to improve operations as needed.	Management's response should be included in the internal audit report to put the finding in perspective. The reader can then understand the finding and the status of action taken to correct it at one time.

**Appendix 5-2-22: Information Communication Technology
Manual**

Mubende Rural Water Supply Service Center

INFORMATION AND COMMUNICATION TECHNOLOGY (ICT) POLICY MANUAL

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Amendments to the Policy

Amendments to the policies in this manual shall be made by resolution of the Board. Where proposed amendments are identified by Mubende Rural Water Supply Service Center and scrutinized by the IT Officer shall be approved by the Administrator prior to submission to the Board.

Acronyms

ICT	Information and Communication Technology
ISO	International Standards Organization
IT	Information Technology
BCP	Business Continuity Plan
ITGA	ICT General Administration
ITAI	ICT Asset and Infrastructure management
ITSD	IT security and disaster Recovery
IEEE	Institute of Electrical and Electronics Engineers
WWW	World Wide Web
ISO	International Standard Organization
IEC	International Electro-technical Commission
MAC	Media Access Control
CERT	Computer Emergency Response Team
MCS	Manager Corporate Services
CCO	Corporate Communications Officer

Introduction

The Information and Communication Technology (ICT) policy defines a set of principles and goals intended to govern the development, implementation, adoption, monitoring, evaluation and application of ICTs in the Mubende Rural Water Service Center in accordance with internationally recognized computer industry standards. It represents Mubende Rural Water Service Center's commitment to quality information services and systems and the urge to serve the public better by maximizing the return on ICT investments and thus supporting the Center's goals and objectives.

They also represent the protocols for achieving and maintaining security of all Mubende Rural Water Service Center ICT resources; it strives to continually improve the effectiveness of ICT tools by monitoring performance against established organizational objectives and through leadership that promotes employee involvement.

It's therefore the responsibility of Mubende Rural Water Service Center management to communicate this policy to all Mubende Rural Water Service Center staff, clients and/or partners to ensure everyone understands the policy.

Purpose

The purpose of this policy is:

- To establish a framework to ensure security of Mubende Rural Water Service Center's ICT infrastructure, define acceptable usage for business purpose in compliance with Industry standards and national laws so as to protect against possible litigations.

Objectives

The main objective of this ICT policy is:

- To protect the Center's ICT infrastructure, systems and data and to minimize the impact of security incidents by enhancing confidentiality, integrity and availability;
- To improve the quality of ICT products and services for both internal and external users;
- To promote a secure information sharing environment, transparency, accountability and reducing bureaucracy within and between stakeholders and towards public at large;

Scope

The policy covers all Mubende Rural Water Service Center ICT automated activities, internal and external, of any form. It also applies to all Mubende Rural Water Service Center employees, stakeholders and partners.

ICT Policy violation penalties

Any user violating these policies or applicable local and national laws while using Mubende Rural Water Service Center network shall be subject to loss of network privileges and any other disciplinary actions deemed appropriate as stipulated in the Human Resource Management policy.

ICT 101 - Acceptable Use Policy (AUP)

1.0 Overview

This policy defines the use and monitoring of all Mubende Rural Water Service Center's ICT equipment including computers, laptops, telephones, mobile devices, facsimile machines, information systems, and email and internet services.

2.0 Policy statement:

- 2.1 Users shall use ICT equipment, systems and services provided by Mubende Rural Water Service Center responsibly and for the Service Center's business purpose only. Users provided with individual accounts or group access to services shall be held responsible in the event of misuse.
- 2.2 While Mubende Rural Water Service Center's network administration desires to provide a reasonable level of privacy, users should be aware that the information they create on the corporate systems remains the property of Mubende Rural Water Service Center.
- 2.3 Users shall not grant access to a non-employee, including vendors or contractors, without approval from the Administrator.
- 2.4 Active desktops and laptops must not be left unattended for prolonged periods of time. Users should secure their workstations whenever they intend to be off the desk. All PCs, laptops and workstations should be secured with a password-protected screen saver with the automatic activation feature set at 10 minutes or less, or by logging-off (Ctrl-Alt-Delete for Windows users) when the host is unattended.
- 2.5 Mubende Rural Water Service Center reserves the right to audit networks and systems on a periodic basis to ensure compliance with this policy.
- 2.6 All hosts used by the personnel that are connected to the Mubende Rural Water Service Center Internet, whether owned by the employee or Mubende Rural Water Service Center, shall execute approved virus-scanning software with current virus definitions.
- 2.7 Employees shall be given codes to use when making external call for conducting Mubende Rural Water Service Center's business. Personal use of these phones is discouraged. The IT Officer shall monitor the monthly usage of the lines vis-à-vis the budget and the bills received from the telecoms.
- 2.8 Employees should avoid food/drinks near the computer set.

Unacceptable Use

The following activities are strictly prohibited, with no exceptions:

- 2.9 No employee of Mubende Rural Water Service Center shall be authorized to engage in any activity that is illegal under local or international law or which would be generally perceived as improper or inappropriate while utilizing Mubende Rural Water Service Center owned resources.
- 2.10 Introduction of malicious programs into the network or server (e.g., viruses, worms, Trojan horses, e-mail bombs, etc.)
- 2.11 Revealing your account password to others or allowing use of your account by others. This includes friends, family and other household members when work is being done at home.
- 2.12 Disruptions of network communication by gaining access to a server or account that the employee is not expressly authorized to access, unless these duties are within the scope of regular duties.
- 2.13 Port scanning or security scanning is expressly prohibited unless prior notification to the IT Officer is made.
- 2.14 By passing user authentication or security of any host, network or account.
- 2.15 Using any program/script/command, or sending messages of any kind, with the intent to interfere with, or disable, a user's terminal session, via any means, locally or via the Internet/Intranet.
- 2.16 Downloading or installing programs that are not specifically approved by Management.
- 2.17 Upgrading equipment or adding equipment without prior approval by Management.

3.0 Responsibilities and ownership

This policy is owned and is the responsibility of all employees, contractors and temporary staff that use Mubende Rural Water Service Center's ICT resources.

ICT 102 - E-mail & Internet usage policy

1.0 Overview

The policy defines appropriate use of electronic mail and internet at Mubende Rural Water Service Center.

2.0 Policy:

The use of e-mail and Internet shall be limited to supporting Mubende Rural Water Service Center's business needs.

- 2.1 E-mails created or received by a Mubende Rural Water Service Center employee in connection with the transaction of official business are considered a public record and are subject to inspection and/or copying in accordance with Republic of Uganda Statutes.
- 2.2 One must not use Mubende Rural Water Service Center's IT infrastructure to make an unauthorized disclosure or copy of confidential information belonging to the Center.
- 2.3 Users should ensure that e-mail messages are sent to only those users to whom the message is intended. Check carefully, the "To" and "From" before sending mail to prevent unintentional errors.
- 2.4 The transmission of e-mail to large groups, use of e-mail distribution lists, or sending messages with large file attachments (attachments larger than 10.0 MB) should be avoided. Zipping/compressed attachments is recommended for attachment greater than 10.0MB.
- 2.5 Include a signature (an identifier that automatically appends to your e-mail message) that contains your e-mail addresses, phone numbers and facsimile if available, etc.)
- 2.6 Mail Box sizes will be limited as appropriate based on current mail server storage capacity.
- 2.7 Any attachments which contain important or confidential material should be encrypted or password protected.
- 2.8 Be cautious when opening emails and attachments to emails especially from unknown sources which may contain malware.
- 2.4 You must at all times take care to ensure that you do not unintentionally enter into contracts which bind Mubende Rural Water Service Center by email, and you should be aware that contracts must only be entered into in accordance with the normal procedures.

- 2.5 You must not under any circumstances send messages or attachments whether within Mubende Rural Water Service Center or outside which are:
- * Abusive, suggestive, vulgar including the use of foul language
 - * Malicious
 - * Discriminatory in any sense (e.g. sexual orientation, age, race, religion, gender or disability)
 - * Defamatory about any other person or organization
 - * Bullying or intimidating in content
 - * Sensitive or confidential
- 2.6 View of pornographic sites is strictly prohibited as it is considered unethical and could be deemed as sexual harassment in the work environment to view pornographic material in office. In addition, pornographic sites have a lot of malware which when self-installed on your computer can drain system resources eventually causing the computer to malfunction.
- 2.7 Unauthorized copying or modifying of copyright protected material, including software, music, videos breaches copyright law and is therefore prohibited.
- 2.8 The standard email template should include an email disclaimer and users must not remove or change this when they send messages.

3.0 Responsibilities and ownership

- 3.1 The IT Officer is responsible for communicating the email and internet use policy revisions from time to time to all Mubende Rural Water Service Center employees and retain employee policy acknowledgements.
- 3.2 It is the responsibility of all Mubende Rural Water Service Center employees to read, understand and adhere to the policy. The IT Officer is responsible for monitoring email and internet use and enforcing Mubende Rural Water Service Center internet and e-mail policy.

4.0 E-mail Retention

The e-mail archives shall be stored and preserved for a period of seven (7) years or such time as may be determined by Management from time to time, upon expiry, the archives shall be disposed of.

ICT 103 – Social media Policy

1.0 Overview:

Mubende Rural Water Service Center recognizes that social media offers a platform for Mubende Rural Water Service Center to perform publicity, maintain a presence online and build its profile. Mubende Rural Water Service Center also believes its employees should be involved in the water sector conversations on social networks. Social media is an excellent way for employees to make useful connections, share ideas and shape discussions.

The purpose of this policy is to define a set of regulations which govern the use of social media at Mubende Rural Water Service Center.

2.0 Policy:

- 2.1 Know the social network. Employees should spend time becoming familiar with the social network before posting messages or updates.
- 2.2 If unsure, don't post it. If an employee feels an update or message might cause complaints of offence – or be otherwise unsuitable – they should not post it.
- 2.3 Be thoughtful and polite.
- 2.4 Look out for security threats. Social networks are also used to distribute spam and malware.
- 2.5 Don't make promises without consulting. You should not make any commitments or promises on behalf of Mubende Rural Water Service Center without checking that Mubende Rural Water Service Center can deliver on the promises.
- 2.6 Handle complex queries via other channels usually email or telephone. Social networks are not a good place to resolve complicated enquiries and client issues.
- 2.7 Only employees who have been authorized to use Mubende Rural Water Service Center's social networking accounts may do so.
- 2.8 Authorization shall be provided by Management. Allowing only designated people to use the accounts ensures the company's social media presence is consistent and cohesive.

- 2.9 New social media accounts in Mubende Rural Water Service Center's name must not be created unless approved by Management. Mubende Rural Water Service Center operates its social media presence in line with a strategy that focuses on the most appropriate social networks i.e. Facebook and twitter, given available resources.
- 2.10 Employees may use their personal social media accounts for work-related purposes and ensure it is clear that their social media account does not represent Mubende Rural Water Service Center's views or opinions.
- 2.11 Mubende Rural Water Service Center media accounts should be protected by strong passwords that are changed regularly and shared only with authorized users.
- 2.12 Users must not:
- * Create or transmit material that might be defamatory or incur liability for Mubende Rural Water Service Center.
 - * Post messages, status updates or links to material or content that is inappropriate (i.e. pornography, racial or religious slurs, gender-specific comments, encouraging criminal skills or terrorism, or materials relating to cults, gambling and illegal drugs, offensive etc.).
 - * Post, upload, forward or link to spam, junk email or chain emails and messages
 - * Share links to illegal copies of music, films, games or other software

3.0 Responsibilities

- 3.1 All employees who use their personal social media accounts at work have responsibility for adhering to this policy
- 3.2 The IT Officer is responsible for implementing this policy, providing applications and tools to manage Mubende Rural Water Service Center's social media presence and track any key performance indicators. She/he is also responsible for proactive monitoring of social media security threats.

ICT 104 - Electronic Information Management Policy

1.0 Overview:

The policy provides guidance and direction on the creation and management of information in its custody throughout the lifecycle of the records from creation or receipt until final disposal. It covers information and records in all formats including documents, email, memoranda, minutes, audio-visual materials and information system data. The policy also covers all applications used to create, manage, and store information/records including email, websites, social media applications, databases and information systems.

2.0 Policy

2.1 Mubende Rural Water Service Center shall implement fit-for-purpose information and records management practices and systems to ensure the creation, maintenance and protection of reliable records.

Creation and maintenance of information

2.2 Mubende Rural Water Service Center requires that minimum standards be met in order for documents to remain identifiable and useful when archiving, particularly after significant time has elapsed after their closure.

2.3 Mubende Rural Water Service Center information created should provide a reliable and accurate account of management decisions and actions.

2.4 All documents will carry some identification that they belong to and/were created by the Mubende Rural Water Service Center. Documents including, but not limited to:

- * Meeting minutes of any meeting, group or committee;
- * External correspondence of any kind;
- * Briefing papers, proposals, project plans, policies and reports;
- * Any material for public consumption.

2.5 All documents must carry the Mubende Rural Water Service Center logo on the front page of the document.

2.6 Where applicable, it is always a good practice to include in headers or footers of the document the pagination, the author of the document including the department or designation of the author, name of the document, date of creation and publication.

- 2.7 All official meeting minutes and official agendas, regardless of the type of meeting, need to include on the front page the name of the group meeting, date, time and place of meeting, chair, members present/absent, and secretary.
- 2.8 All Mubende Rural Water Service Center information created and received should be captured into endorsed information systems unless they can be disposed of under a normal administrative practice.

Systems used

- 2.9 Mubende Rural Water Service Center's primary information storage location is known: Departmental Folders which can be accessed on every user's desktop.
- 2.10 All incoming paper correspondence received by Mubende Rural Water Service Center should be converted to digital format and saved into an EDRMS. In limited circumstances, such as for particular security purposes, there may be a requirement for paper files to be created.
- 2.11 Mubende Rural Water Service Center must create a full register of endorsed systems used to create or manage information processes such as creation and capture, storage, protection of integrity and authenticity, security, access and retention, destruction and transfer.
- 2.12 Corporate information must not be maintained in email folders, shared folders, personal drives or external storage media as these lack the necessary functionality to protect information over time. Information created needs to be captured into an endorsed system.
- 2.13 Electronic information systems should conform to the Center's information management standards and guidelines.
- 2.14 Electronic information systems must be well documented to ensure that electronic information remains accessible, retrievable and readable over time for as long as a business need exists.

Access to information

- 2.15 All staff may have access to information, except where the nature of the information requires restriction. Access restrictions should not be imposed unnecessarily but should protect individual staff, or client privacy, sensitive material such as security classified material or material with dissemination limiting markings, for example 'SECRET'.
- 2.16 Access to publicly available information will be provided on the Mubende Rural Water Service Center website.
- 2.17 All signatures must be accompanied by a plain text description of the signature. Documents that require a signature (i.e. significant legal, financial or medical documents) must have evidence of a signature signed in pen.
- 2.18 Final deposition for electronic records should be according to approved Records Deposition Authorities.
- 2.19 The IT section should establish measures to protect electronic information in accordance to Information Security Policy (ITSD306).

3.0 Destruction of Electronic Records

- 3.1 Mubende Rural Water Service Center must ensure that all destruction of records is conducted in a manner that the IT Officer safeguards the interests of Mubende Rural Water Service Center and the safety, security, and privacy of individuals.
- 3.2 For electronic records containing information that is confidential or exempt from disclosure, appropriate destruction methods include physical destruction of storage media such as by shredding, crushing, or incineration; high-level overwriting that renders the data unrecoverable; or degaussing/demagnetizing.

4.0 Responsibilities and ownership

- 4.1 Accounting Officer
The Administrator is ultimately responsible for the management of information and records within Mubende Rural Water Service Center;
He/She promotes compliance with this policy and delegates responsibility for the operational planning and running of information and records management to a specified officer.

ICT 105 - Mobile Devices Security Policy

1.0 Overview:

This policy describes the controls necessary to minimize information security risks affecting Mubende Rural Water Service Center's mobile devices such as laptops, tablets, smartphones etc. the policy purposes to ensure Systems of mobile devices and prevent unauthorized access. The policy covers all mobile devices such as laptops, tablets, smartphones etc. it also covers all employees who are in custody of Mubende Rural Water Service Center's mobile devices.

2.0 Policy:

- 2.1 Upon allocation of laptop/portable devices, the user must complete a Laptop/equipment Custodian Agreement and undertake to comply with all applicable sections of this Policy.
- 2.2 Mobile equipment/Laptops issued to staff remain a property of Mubende Rural Water Service Center.
- 2.3 Upon leaving the employment at Mubende Rural Water Service Center, the individual must return the mobile Equipment/laptop to Head of ICT section and re-sign their original "Equipment Custodian Agreement".
- 2.4 In the event of loss or damage while the equipment/laptop still in your custody; you will undertake to reimburse the costs of repair or replacement of item (s) as determined by Mubende Rural Water Service Center.
- 2.5 Keep your mobile equipment/laptop in your possession and within sight whenever possible.
- 2.6 Make an effort to note the make, model, serial number of the device.
- 2.7 Notify the Police immediately and inform the ICT Section as soon as possible in case of a theft.
- 2.8 Do not swap or lend laptops to other employees without proper authorization.
- 2.9 Do not loan your laptop or allow it to be used by others such as family and friends.
- 2.10 Personal Laptops are not allowed on Mubende Rural Water Service Center's network, unless permission is sought for from the IT Officer.
- 2.11 It is recommended that important Data/information stored on Laptops and external storage media be encrypted for security purposes.

3.0 Responsibilities and ownership

- 3.1 The IT Officer is responsible for monitoring and ensuring proper functioning of the Service Centre's Equipment;
- 3.2 The staff must be aware of the replacement value of the equipment especially when the loss of equipment is due to carelessness.

Appendix 5-2-23: Board Manual for Mubende Service Centre

Mubende Rural Water Service Center

BOARD MANUAL

November 2017

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FOREWORD BY THE CHAIRPERSON

This Manual defines the specific roles and responsibilities of Mubende Rural Water Service Center Board, also known as the Joint Management Committee (JMC) with a view to ensure efficiency, effectiveness, transparency and propriety in conducting its business. It defines the specific roles of the Board, its committees and the Administrator while providing for performance monitoring procedures including financial performance to be used by the Board. It describes the operations of the Board and provides for a mechanism of working relationship between the Board and the Administrator of the Service Center. It orients Board members to the Service Center and its mission and serves as a quick and easy to understand reference on the Board's structure and operations. It generally serves as a resource about the relationship between the Service Center and the Board.

This is the first Board manual for Mubende Rural Water Service Center and as such there will be need for improvement. Further to this, the manual is an indispensable living tool for the Board and Management and therefore it shall be updated by the Board from time to time.

Chairperson

I. INTRODUCTION

1.1 *Background*

Mubende Rural Water Service Center was established by a Statutory Instrument No----- with a purpose of ----- . In the execution of its mandate, the Service Centre performs the following functions:

- a) Maintain and rehabilitate water supply facilities in rural area,
- b) Implement full maintenance (regular maintenance, preventive maintenance, minor repair and major repair),
- c) Collect water user fees from water users directly as counter values on the full maintenance,
- d) Support sub-county governments to implement awareness campaign regarding safe water and H&S, and
- e) Upgrade and/or construct a water supply facility if necessary.

1.2 *Mission, Values and Vision Statements*

Mission: To Ensure Reliable Supply of Safe Water to All Rural Communities in Mubende District.

Core Values: Integrity, Reliability, Efficiency, Innovation.

Vision: Universal Access to Safe Water by the Rural Communities.

1.3 *Principles of the Service Centre*

- a) The provision of its services in the most economic, efficient and effective manner;
- b) The management of its affairs shall be in a business-like and cost-effective manner and in accordance with modern management practices and techniques and in particular, apply to its operations the best standards of financial management and accounting;

- c) Ensuring that its operations are designed for the provision of the best services to its customers, while maintaining a high degree of responsiveness to their needs.

1.4 *Object of the Service Centre*

- a) Provide water supply service to enhance public welfare.
- b) Ensure reliable access to safe water for the rural communities.

1.5 *Sources of Funds for the Service Center*

The principal source of funds for the Service Center is intended to be in the form of Water User Charges (WUCs). The Service Center may receive financial assistance from the Government of Uganda appropriated through the Ministry of Water and Environment by Parliament for purposes of the operations of Service Centre.

1.6 Purpose of Manual

The purpose of this Manual is to outline the governance standards and guidelines for Mubende Rural Water Service Center (the Service Centre) and to serve as a reference framework for present and future Members of the Board of Directors (the Board). The Manual supplements and does not supersede, change or alter the Governing Law and shall be read together with existing policies, regulations and relevant Laws of Uganda. This Manual is a statement of the Service Center's fundamental principles, policies and procedures that govern the affairs of the Service Centre and is intended to create a conducive environment and promote efficiency and effectiveness of the Board by:

- a) Ensuring continued improvement in internal organizational performance and maintaining sustainable operations;
- b) Facilitating accurate identification and management of risks;
- c) Promoting improvement in transparency and accountability, responsiveness and probity;
- d) Strengthening public confidence in the operations of the Board;
- e) Ensuring introduction of efficient and effective value adding systems; and
- f) Offering opportunities for self criticism and thereby facilitating self improvement.

2. THE BOARD AND BOARD COMPOSITION

2.1 *Role and functions of the Board*

The Board, also referred to as the Joint Management Committee (JMC) is the governing body of the Service Center responsible for policy formulation, stewardship, guidance and management oversight.

The functions of the Board are to provide leadership to ensure that the Service Center stays on course in pursuit of its mandate, goals and objectives and to create effective partnership with stakeholders stipulated in the Act. The Board shall provide advice and service to Management with significant independence on a broad scope and range of matters. Specifically, the responsibilities of the Board are the following:

- a) To oversee the strategic direction of the Service Center, particularly the formulation of the Service Center, operational and relationship strategies;
- b) To advise on governance and management of the Service Center;
- c) To appoint senior managers of the Service Center;
- d) To advise on changes and improvements to the programmes of the Service Center;
- e) To advise on the sustainability of the Service Center;
- f) To act as mentors of the Centre's Executive Management;
- g) To monitor the progress on the implementation of the Centre's projects;
- h) To approve quarterly, annual work plans and progress reports from management;
- i) To approve the Centre's plans and budgets;
- j) To ensure adequate accountability of the Centre's finances and activities;
- k) To ensure compliance with applicable the laws and other regulatory or contractual obligations of the Centre.

2.2 *Composition of the Board*

In accordance with the Regulations establishing the Service Center the Board shall consist of 9 members.

2.3 *Independence of the Board*

Despite the representative nature of its Members, the Board shall make its decisions independently of third party interests or instructions and only in the sole interest of the Service Center.

2.4 *Access to Management and other relevant information*

In order to ensure the performance of their role, Members of the Board shall have complete access to the Service Center's Management and information. It is believed that the Members of the Board will use their judgment to ensure that this interaction shall not distract the Service Center's business and that the Administrator is appropriately informed.

2.6 *Board accession, orientation and development*

A person appointed to the Board shall upon notification sign a letter of acceptance demonstrating the appointed person's willingness and ability to undertake assigned duties and attend meetings of the Board. The letter of acceptance will also state the person's commitment to adhering to the standards and provisions of this Manual.

2.7 *Board evaluation*

The Board shall put in place a process for self-evaluation at the end of every year. The annual evaluation will be carried out on the performance of the Board and that of its individual members. Prior to the Board evaluation event, the methodology, benchmarks and the appropriate valuation instrument shall be approved by the Board.

The Board may, if it deems fit, outsource expert services to facilitate the evaluation exercise or any aspect thereof.

The results of the self-assessment shall be used to improve the Board's governance and other best practices by adopting and implementing required changes or enhancements.

3. THE BOARD CHAIRPERSON

The Chairperson shall assume office upon appointment to provide leadership to the Board; to ensure the orderly and proper conduct of meetings; to offer all Board members a reasonable opportunity to contribute to agenda discussions; to ensure decisions are fairly, expeditiously and conclusively made; to guide the Board on technicalities, and cast the deciding vote in case of a tie; and to act as flag bearer of the Service Center and be its public face.

3.1 *Responsibilities of the Chairperson*

In addition to the above functions, the Chairperson shall create the conditions for overall effectiveness of the Board and the individual Board Members, both inside and outside the Board Meetings. Specifically, the responsibilities of the Chairperson shall be to:

- a) preside at Board Meetings;
- b) plan the agenda for the Board meetings, in consultation with the Administrator; which agenda should take full account of the issues and the concerns of all Board Members;
- c) ensure that the members of the Board receive accurate, timely and clear information, in particular about the Service Center's performance, to enable the Board to take sound decisions, monitor effectively and provide advice to promote the success of the Service Center;
- d) ensure effective communication with stakeholders and ensure that the members of the Board develop an understanding of the views of the key stakeholders of the Service Center.
- e) manage the Board Meetings in a manner that ensures sufficient discussion time for complex or contentious issues, and where appropriate, arrange for informal meetings beforehand to enable thorough preparation for the Boardroom discussions'
- f) take the lead in providing a properly constructed induction programmes for new members that is comprehensive, formal and tailored;
- g) ensure that the performance of the Board, its members and that of the Service Center's senior management is evaluated at least once a year;

- h) encourage active engagement by and contribution by all the members of the Board;
- i) uphold the highest standards of integrity and probity;
- j) promote the highest standards of corporate governance and compliance with the provisions of the Board Manual;
- k) ensure clear structure for and the effective running of Board business;
- l) ensure effective implementation of Board decisions; and
- m) participate in the evaluation of the Administrator.

4. BOARD MEMBERS

4.1 *Qualities of a Board Member*

The members of the Board shall possess the following qualities:

- a) Integrity, competence, and willingness to conform to the core values of the Service Center;
- b) An impartial, independent and enquiring mind;
- c) Strategy, policy management or executive-level managerial experience;
- d) Team spirit;
- e) Time commitment, devotion and contribution to the affairs of the Service Center.

4.2 *Duties of a Board Member*

Upon appointment, each Board Member assumes a relationship of trust and confidence with the Service Center, whereby Board Members are the agents and the Service Center is the principal. As agents of the Service Center, not only shall the Directors observe their statutory duties under the Regulations and other Laws of Uganda pertaining to their responsibilities, also they shall be bound by the following fiduciary duties:

- a) The duty of care and skill: Each Board Member shall act with due care in the exercise of her/his responsibilities on the Board. In addition to attending Board meetings regularly, s/he will be prudent and make decisions on basis of best information. S/He will act professionally and according to the law. S/He shall keep abreast with the affairs and activities of the Service Center and the factors that affect its operations.
- b) The duty to act loyally and in good faith: The Board Member shall at all times act in the best interests of the Service Center and within the confines of the Board's powers. S/He shall be loyal to and play a key role in reconciling the affairs of the Service Center with its regulatory environment and stakeholders, while desisting from abuse of power and information. Each Board Member shall adhere to the principle of disclosure of actual or

potential conflict of interest and the Board shall institute procedures of having the said disclosures on record.

- c) The duty of fair dealing: A Board Member shall transact for and on behalf of the Service Center in a forthright and fair manner. S/He shall not take advantage of the Service Center's opportunities nor engage in competition with it. In the Board Member's capacities while conducting the Centre's business, s/he shall observe the principle of selflessness with respect to decisions or actions taken. This duty shall entail the disclosure of all related party transactions.

4.3 Conduct of a Board Member

A Board Member shall respect the confidentiality of information received in the course of Board business. In discharging his / her duties, a member shall:

- a) unless otherwise specified or directed by the Board, perform Board duties at Board meetings or meetings of a Committee of the Board,;
- b) exercise his/ her duties without undue internal or external influence or consideration,
- c) refrain from accepting any hospitality that might be construed as bearing an influence on making a decision.
- d) without prejudice to the spirit of clause 6.4 (g), defend the decisions of the Board, including those which the Board Member holds contrary views. The principle of collective responsibility shall apply to all decisions of the Board and its Committees.
- e) sign a Declaration of Acceptance to serve as a Member of the Board and to comply with the requirements of the Bard Manual which declaration shall be binding for the duration of the Board Member's tenure.

4.4 Limit to board mandates of a Board Member

A person appointed to the Board shall not hold more than five board positions in public, private or non-business entities.

5. THE BOARD SECRETARY

The appointment and functions of the Board Secretary shall be in accordance with the Regulations and international best practices in Corporate Governance. The responsibilities of the Board Secretary shall cease upon retirement, resignation or removal from office.

Duties and responsibilities of the Board Secretary

The Secretary shall be responsible for the safe custody and completion of the Board's records and the organisation of its meetings. In particular, the Board Secretary shall:

- a) keep the minutes which provide an accurate record of the resolutions and proceedings of Board Meetings and make sure that assigned actions are duly executed;
- b) ensure that notice of Board meetings, the agenda and adequate supporting materials are provided to all Board Members at least fourteen days prior to the meeting;
- c) manage correspondence with and information to the Board Members;
- d) prepare Board Meeting agenda in consultation with the Chairperson;
- e) keep a record of all policies approved by the Board;
- f) maintain and monitor a calendar of important dates for the Service Center (pertaining to matters such as regulatory reporting; financial and audit reporting, etc.);
- g) maintain the records of the Service Center including contracts, etc.;
- h) keep safe custody of all the records of the Service Center;
- i) execute other Board administration responsibilities as the Board shall from time to time determine.

6. BOARD MEETINGS

The Board shall convene as frequently as is needed to properly discharge its duties. Scheduled meetings of the Board shall be at least six every year. In addition to the scheduled meetings, special or extraordinary meetings of the Board may be held as required. When the requirement for special meetings arises, these will be scheduled by the Board Secretary in consultation with the Chairperson.

The Secretary shall circulate an annual calendar of meetings prior to the commencement of every year, to aid planning by Board Members.

6.1 *Quorum for Board Meetings*

The quorum for Board Meetings shall be as stipulated under Regulations.

If at the end of, a 30-minute waiting period no quorum has been realized, the meeting shall be deferred to a date and venue and time as the Members shall determine.

6.2 *The Meeting Agenda*

The Chairperson of the Board, in consultation with the Board Secretary, shall determine the agenda for each meeting. Board Members shall be granted opportunity to contribute additional agenda items or propose amendments that they deem essential for consideration by the Chairperson and the Board Secretary. Agendas are expected to be forward looking and concentrate on strategic matters rather than formulaic approvals of proposals which can be the subject of appropriate delegated powers to management.

6.3 *Preparation for Board Meetings*

By accepting appointment to the Board, each Member commits preparing adequately for all meetings by reading the pre-meeting materials in advance of Board meetings and accessing relevant information on matters under consideration.

6.4 Conduct of Board Meetings

Meetings of the Board shall focus on the business laid out in the adopted agenda, without undue impairment by irrelevant obstructions. Whereas the cooperation of all members present is an important factor in ensuring that Board business is conducted in a fair, harmonious and productive manner, the Chairperson has the primary responsibility for and authority over the conduct of Board Meetings. The Chairperson shall ensure that meetings are conducted in a manner conducive to open communication, meaningful participation and timely resolution of issues.

Board Members shall observe, formulate and approve elaborate meeting rules or meeting guidelines including but not limited to the standards and best practices below:

- a) The Board shall approve a regular schedule of its meetings at the beginning of each financial year, which schedule shall be subject to review as the Board may deem fit;
- b) The agenda for Board Meetings shall be developed jointly by the Chairperson, the Administrator and Board Secretary (for a Committee Meeting its Chairperson and the person assigned to act as its Secretary);
- c) All notices, including the agenda for Board Meetings, shall be issued two weeks in advance of the meeting and all Board Meeting materials and reports relating to the agenda of the meeting shall be distributed to all Board Members not later than one week to the Board meeting to accord each Director ample opportunity to study them;
- d) At the beginning of each Board Meeting, all Board Members present shall be given an opportunity to react to and to adopt the agenda;
- e) At every meeting, the Board shall review, consider and approve the minutes of the last preceding meeting by simple majority. The approved Minutes shall be signed by the presiding Chairperson and the Secretary;

- f) At all meetings of the Board, a culture of open discussion, respect for all views, and unrestricted exchange of information shall obtain to ensure all views are heard;
- g) A dissenting member reserves the right to request for the recording in the minutes of the meeting of his/her dissention on the matter before the Board;
- h) Reports from Committees shall be used to deliver information during meetings of the Board;
- i) The Secretary shall cause to be written the Minutes of Board Meetings, in form of a concise report documenting actions of the Board in terms of topics covered, decisions and resolutions taken and time-bound actions assigned;
- j) Only Board Members present at a Board Meeting and are eligible to vote shall vote on a motion tabled at the meeting. Before an item can be voted, there shall be a quorum, as well as a motion seconded by two Board Members present;
- k) If the Chair or a Board Member shall be disqualified from participating in the discussion on any matter and/or from voting on any resolution by reason of the declaration of a conflict of interest they shall no longer count towards the quorum. If a quorum is then not available for the discussion and/or the passing of a resolution on any matter, that matter shall not be discussed further or voted upon at that meeting. Such a position shall be recorded in the Minutes of the meeting. The meeting shall then proceed to the next business;
- l) The Secretary shall maintain a Register of Attendance in which Board Members' attendance to meetings shall be recorded;
- m) In the event that there is an equality of votes, the Chairperson shall have the casting vote.

- n) Membership to the Board is personal and cannot be delegated. A Member other than the ex-officio Members who misses more than four consecutive Board Meetings without justifiable cause shall have his/her membership automatically rescinded.

6.5 *Management of conflict of interest*

To avoid any situations of conflict of interest, a Board Member shall declare and explain the nature of interest they may have in any matter under consideration at a meeting of the Board. The interested Board Member shall not vote in respect of the matter, nor shall the Board Member's vote be counted for the purpose of any resolution regarding the same in the quorum present at the meeting. Unless otherwise decided by the Board, for the Board to be seen to be acting ethically in their decision making, the interested Board Member shall be excluded from deliberations when considering matters where an interest is declared.

If a Board Member shall fail to disclose an interest that is known to the Chairperson, the Director or Secretary of the Board Committee, the Chairperson, the Director or Secretary shall declare that interest.

In circumstances where a Board Member has a significant, ongoing and irreconcilable conflict, and where such personal or outside interest, relationship or responsibility significantly impinges the Board Member's fiduciary responsibility to the Service Center, the Board Member shall be required to resign from the Board or the conflicting interest.

6.6 *Evaluation of Board Meetings*

At the end of each meeting of the Board, the Chairperson shall initiate an assessment of the meeting's strengths and weaknesses. The assessment protocol shall include objective feedback from each of the meeting participants. The assessment shall include a checklist or survey that allows Board Members to

honestly and objectively grade each element in the meeting. The assessment protocol shall provide a method for strengthening weak areas and capitalizing on areas of strength.

7. BOARD COMMITTEES

The Board shall constitute itself into Committees to facilitate the conduct of its business. In as much as possible, the Board Committees shall provide full coverage of all activities of the Board.

7.1 *Standing Committees*

- a) In as much as possible, Standing Committees of the Board shall provide full coverage of all activities of the Board.
- b) Standing Committees of the Board shall derive their powers and specific terms of reference from the Board.
- c) The Board shall appoint the Chairpersons of the various Committees and designate respective reporting channels. The Board shall also monitor and evaluate the effectiveness and performance of each Committee.
- d) The Board Secretary shall be the Secretary to all Committee meetings except the Audit Committee which shall choose its own Secretary. The Board Secretary may where necessary delegate this function to other staff.
- e) Board Committees will observe the same rules of conduct and procedure as the Board unless otherwise determined by the Board.
- f) The quorum for a meeting of a Board Committee shall be three members. The notice for convening Board Committee meetings shall be as for Board Meetings stipulated.
- g) A duly convened meeting of a Committee at which a quorum is present shall be competent to exercise all or any of the authorities, powers and discretions vested in or exercisable by the Committee.
- h) Board Committees shall prepare and submit reports and recommendations for approval by the Board.
- i) Appointments to the Board Standing Committees shall be for a period of three years and may be renewed by the Board.

7.2 Powers of the Board Committees

The Committees of the Board shall have powers to:

- a) Obtain information from Management to execute their duties;
- b) Seek legal and other professional assistance from experts on any matter deemed necessary;
- c) Summon any staff member as it deems necessary for execution of its duties;
- d) Discipline top management except the Administrator.

7.3 The Board Committees

The Board shall constitute itself into, but not be limited to, the following Committees:

- a) Finance and Administration Board Committee (FABC);
- b) Audit and Risk Committee (BAC);
- c) Policy and Strategy Board Committee (PSBC)
- d) -----
- e) -----.

7.4 Ad Hoc Committees

The Board shall whenever necessary constitute an ad hoc committee to handle specific duties outside the ambit of its Standing Committee and determine its terms of reference.

- a) Ad hoc committees will observe the same rules of conduct and procedure as the Board unless the Board determines otherwise.
- b) Ad hoc committees shall prepare and submit reports whose recommendations may be approved by the Board before implementation thereof.

8. MANAGEMENT OF MUBENDE RURAL WATER SERVICE CENTRE

The general management responsibilities for the Service Center are vested in the Administrator who shall be responsible and shall report to the Board on all matters pertaining to its administration and operations.

8.1 *Duties and responsibilities of the Administrator*

- a) Participate in the Board Meetings in an ex-officio capacity;
- b) Be accountable to the Board for the delegated authority and the performance of the Service Center;
- c) Oversee the operations of the Service Center and submit periodic management reports to the Board at specified intervals during the financial year for examination by the Board or its relevant Committees;
- d) Preside over the meetings of the Service Center's Management Team while ensuring their orderly and proper conduct; affording all managers a reasonable opportunity to contribute to agenda discussions; ensuring decisions are fairly, expeditiously and conclusively made; and guiding the Team on technicalities. In case of equality of votes, the Administrator shall have a casting vote;
- e) Provide leadership in the implementation of the Service Center's strategies and programmes while ensuring timely attainment of the Service Center's objectives and performing all tasks delegated by the Board;
- f) Propose policies for the approval by the Board and prepare procedures to implement the Service Center's policies; review existing policies on an annual basis and recommend changes to the Board as appropriate;
- g) Foster coherent work between the Board and the Service Center's management;

- h) Conduct official correspondence of Mubende Rural Water Service Center as appropriate;
- i) Assist the Board in the selection of a qualified management team for the Service Center;
- j) Determine and report to the Board on the staffing requirements for the Service Center.
- k) Oversee the implementation of the human resources policies, procedures and practices;
- l) Establish a positive, healthy and safe work environment in accordance with all appropriate legislation and regulations;
- m) Implement a performance management process for all staff which includes monitoring the performance of staff on an on-going basis and ensuring annual performance reviews;
- n) Enforce staff compliance, probity and accountability in all areas;
- o) Oversee the effective planning, implementation and evaluation of the Service Center's core programmes, projects and service delivery and report to the Board;
- p) Ensure proper management of the Service Center and property of the Service Center;
- q) Develop annual operating plans and inform the Board on implementation progress;
- r) Maintain smooth co-operation and collaboration with the Ministry of Water and Environment, other government departments and agencies or organisations with a stake in the Water and Environment sector.
- s) Maintain an effective internal management structure and ensure process efficiency;
- t) Perform any other duty necessary for the success of the Service Center as may be delegated by the Board.

9. FINANCIAL MANAGEMENT AND CONTROL SYSTEM

The Board shall maintain a system for financial management and controls to support both the financial and operational activities of the Service Center.

9.1 *Responsibility for the Service Center's financial affairs*

Responsibility for the financial affairs of the Service Center shall at all times be the responsibility of the Board Members both individually and collectively. In this respect, Board shall exercise this responsibility by approving the financial policies and budgets of the Service Center.

10. STAKEHOLDER RELATIONS

The Service Center recognizes its stakeholders who include staff, water users, , Government bodies, non-government civic organisations, development partners and the general public. In recognition of the different expectations as well as perceptions within each interest group, the Board shall, establish a communication channel for regular interaction with diverse stakeholders to receive accurate and timely information about the Service Center's activities.

Specifically, the Board shall:

- a) identify, establish and maintain mutually beneficial relationships with key stakeholders on whom the Service Center's success depends;
- b) engage with local communities, regional bodies and international organizations to gain their understanding and enlist support.
- c) formulate and implement a policy for internal and external communication for the Board, management and staff.
- d) participate in regional and global networks in order to foster common interests amongst communities with potential to enhance the Service Center's mandate.

11. AMENDMENT OF THE MANUAL

Any section of this Manual is subject to modification, revision or adaptation by ordinary resolution of the Board of Directors to streamline any part thereof with developments in corporate governance principles and practices and with respect to changes in the Laws of Uganda in as much as they affect the Manual.

12. APPROVAL OF THE MANUAL

This Board Manual is hereby approved by resolution of the Board of Directors at the Board Meeting as of place and date hereinafter stated.

Duly adopted by the Board of Directors of Mubende Rural Water Service Center at --
----- this day of in the year
.....

Signed-----

Chairperson

Secretary

13. CODE OF ETHICS FOR BOARD MEMBERS, MANAGEMENT AND STAFF

General Provision

Mubende Rural Water Service Center (the Service Center) upholds the highest ethical standards and is committed to building and maintaining public trust. Board Members and staff are expected to display behavior that exudes the high reputation of the Service Center. Accordingly, this Code of Ethics enshrines the ethical principles guiding the decisions and activities of all persons at the Service Center.

11.2 Purpose:

The purpose of the Code of Ethics is:

- a) To deter wrongdoing and promote the honest and ethical conduct of the Members of the Board and staff of the Service Center;
- b) To promote full, fair, accurate, timely and understandable reporting and disclosure to authorities and the stakeholders of the Service Center;
- c) To provide for the prompt internal reporting to an appropriate person of violations of this Code; and to ensure accountability for adherence to this Code; and
- d) To promote compliance with all applicable laws, rules and regulations that apply to the Service Center.

11.3 The ethical principles: The ethical principles of the Service Center are:

PRINCIPLE 1: Respect: The spirit of community, accommodation, fairness, and courtesy toward others shall pervade throughout the activities of the

Service Center. Each person shall recognize the rights, the individual dignity, the freedom and diversity of views of others.

PRINCIPLE 2: Honesty and Integrity: Each person shall act and interact truthfully and frankly. The Service Center's values shall be upheld and decisions made in the best interest of the Centre through exercising good character, conduct and morals.

PRINCIPLE 3: Communication: There shall be an open environment for information sharing internally and with legitimate stakeholders regarding knowledge, the policies and decisions of the Service Center and the processes used in developing them.

PRINCIPLE 4: Stewardship: The Service Center's resources shall be used in a wise and prudent manner in the pursuance of its mandate and strategic objectives. The Centre's resources shall not be used for personal benefit or gain.

PRINCIPLE 5: Excellence: All affairs of the Service Center shall be conducted diligently through exercising professionalism while aspiring to deliver on the high expectations internally and the expectations of the Centre's stakeholders.

PRINCIPLE 6: Responsibility and Accountability: Each Board Member or staff of the Centre shall be trustworthy and answerable for their conduct, decisions and obligations and will comply with all applicable laws, Regulations, policies and procedures.

PRINCIPLE 7: Promptness: Reports and work are expected to be submitted on schedule. In the event of delays, it is expected that the reporting authority shall be notified reasonably in advance of the date due. Failure to report or to communicate necessitated tardiness as circumstances dictate may prompt disciplinary action.

PRINCIPLE 8: Whistleblower duty and protection: It is a recognized obligation for each and all to report actual and impending unethical conduct to appropriate authorities. The Service Center shall institute suitable mechanisms for reporting real or potential misconduct and for whistleblower protection.

11.4 Application of the Code and waivers

This Code is applicable to the Members of the Board and staff of the Service Center. Therefore compliance with the provisions herein is a condition of engagement in the service of the Service Center and any violations of the Code may result in disciplinary action, including separation.

Waivers, if any, of this Code may be made only by the line Minister on recommendation by the Board and will be disclosed to the stakeholders.

11.5 Compliance with this Code

A person governed by this Code shall be required to certify that they have read, understood and agree to comply with the requirements herein by duly signing the Declaration Form hereinafter.

11.6 Scope

This Code supplements, and does not supersede, change or alter, the existing policies and procedures applicable to the Service Center or its employees or the Regulations.

14. DECLARATION FORM

I.....do solemnly swear / affirm to abide by the rules of Mubende Rural Water Service Center including the principles of natural justice, equity, the Code of Ethical Conduct and the best practices in the performance of my duties as a Member of the Board / Executive / Officer / staff of the Service Center.

I also confirm that in case I have any direct or indirect interest of whatsoever nature in the course of my service that may give rise to the principles of conflict of interest or cause unfair advantage to any party that is directly or indirectly involved in the particular matter or item, I will declare the interest.

I shall also, at all times, maintain the required level of confidentiality and professional standards in the performance of my duties as a Member of the Board / staff of the Service Center.

Subscribed and solemnly declared by me at -----
on the day of In the year

Signed by:

BOARD MEMBER / EXECUTIVE / OFFICER / STAFF

15. TERMS OF REFERENCE FOR BOARD COMMITTEES

THE FINANCE AND ADMINISTRATION COMMITTEE

Composition:

The Finance and Administration Committee shall consist of such members as the Board may deem necessary.

The Board shall appoint the Committee Chairperson who shall be a member of the Board. In absence of the Committee Chairperson, the remaining members present shall elect one of themselves to preside over the meeting

Administrative duties and responsibilities of the Finance and Administration Committee

- a) Establish policies and guidelines governing all recruitment, placement, induction, compensation and benefits programs, including base salary, training and employment contracts.
- b) Recommend annual and other bonuses benefits paid to Service Center members of staff and report such payments to the Board.
- c) Review and reassess the adequacy of these terms of reference annually and recommend any proposed changes to the Board for approval.
- d) Review and report to the Board on the Service Center's strategic and operational financial and human resource issues and programs.
- e) Annually review the Finance and Administration's performance relative to these terms of reference and report the evaluation results to the Board.
- f) Review and approve the financial performance targets, if any, to be used in determining performance for bonus payment purposes.
- g) Review and approve the adoption of new health programs, and retirement programs and administer the Service Center's existing Human Resource Manual.
- h) Review such other matters as the Board or the Committee shall deem appropriate.

Financial policy, management and reporting duties of the Committee

- a) To consider the Service Center's medium term financial strategy, in relation to both revenue and capital.
- b) To consider the Service Center's annual financial targets before submission to the Board of Directors and performance against them.
- c) To monitor the Service Center's working capital position.
- d) To develop the Service Center's operating cash policy and monitor compliance with same.

Investment policy, management and reporting

- a) Develop the Service Center's investment policy and ensure this is maintained to fit with best practice.
- b) To maintain an oversight of the Service Center's investments, ensuring compliance with the Centre's policy.
- c) Review business cases for major investments against the Service Center's strategy and test compliance with the investment policy.
- d) To ensure appropriate independent advice is sought in relation to major investments.
- e) Review and consider the Service Center's financing strategy.
- f) Consider post evaluation reports on significant capital investments.
- g) To monitor and make recommendations on as necessary, the adequacy and effectiveness of the Service Center's performance reporting.
- h) Making recommendations to the Board regarding Service Centers that have been identified as being held for investment purposes.
- i) To examine any other matter referred to the committee by the Board of Directors.

THE AUDIT, RISK, MONITORING AND EVALUATION COMMITTEE

Composition:

Members of the Committee shall be appointed by the Board. The Committee shall be made up of five members or any number as the Board may deem fit. At least one member of the Committee shall have relevant financial experience while another shall have experience in Public Finance matters.

The Board shall appoint the Committee Chairperson who shall be a member of the Board. In absence of the Committee Chairperson, the remaining members present shall elect one amongst themselves to preside over the meeting.

Meetings of the Audit Monitoring and Evaluation Committee

The Committee may invite any professional expert and URF staff to attend all or part of any meeting as and when appropriate.

The external auditors and consultants undertaking the technical monitoring and evaluation exercise may be invited to attend meetings of the Committee whenever necessary.

The Committee shall meet at least once every three months or such times as necessary.

Duties and Responsibilities of the Committee

Financial Reporting

- a) The Committee shall review the financial statements of the Service Center, including its annual and interim reports.
- b) The Committee shall ascertain whether Service Center has followed appropriate accounting standards and made appropriate estimates and judgments, taking into account the views of the Auditor General, the adequacy of disclosure in the financial reports and the context in which statements are made.

Internal Control and Risk management

Systems The Committee shall:

- a) Keep under review the effectiveness of the organization's internal controls and risk management systems;
- b) Review and approve the statements to be included in the Annual Report concerning internal controls and risk management; and

- c) Advise the Board to request for Special Audits to be conducted as and when it becomes necessary.

Internal Audit

- a) Monitor and review the effectiveness of the Organization's internal audit function in the context of the Organization's overall risk management system; and
- b) Ensure its functions are independent of management and it provide value for money assessments;

Review and approve the annual internal audit plan;

- a) Review promptly reports required by the Board from the Internal Audit Department;
- b) Review and monitor management responsiveness to the findings and recommendations from the internal auditor; and
- c) Meet the head of the internal audit at least twice a year to discuss any issues arising from the internal audits carried out.

Review of Audit Reports

The Committee shall be responsible for advising the Board in respect of:

- a) Any accounting and audit judgments;
- b) The effectiveness of the audit; and
- c) Management letters and responses to the Auditor General's findings and recommendations.

Reporting responsibilities

- a) The Committee Chairman shall report formally to the Board on its proceedings after each meeting on all matters within its duties and responsibilities.
- b) The Committee shall make whatever recommendations on any areas it deems appropriate to the Board, within its remit where action or improvement is needed.
- c) The Committee shall compile a report on its activities to be included in Service Center's Annual Report.
- d) The Committee shall oversee any investigation of activities which are within its terms of reference.
- e) The Committee shall at least once a year, review its performance, composition and terms of reference to ensure its operating at maximum effectiveness and recommend any changes it considers necessary to the Board for approval.
- f) The Committee shall perform any other function that is connected with these Terms of Reference or that may be accorded to it by the Board.

THE POLICY AND STRATEGY COMMITTEE

The Policy and Strategy committee shall be composed of a number of Members as the Board may deem fit.

The Policy and Strategy committee shall conduct independent and objective review of the Service Center's corporate strategy; undertake long-term planning; review policies and provide guidance as appropriate.

Responsibilities

The Committee shall be responsible for oversight on the Service Center's implementation of Policies and Business Strategies which includes but is not limited to the following:

- a) Determining and recommending to the Board for approval the Indicative Planning Figures and approving all releases to designated agencies including planning budget guidelines;
- b) Recommending for approval Service Center's medium and long term operational policy and strategy;
- c) Advising the Board on any matter related to the above stated responsibilities or referred to the Committee by the Board; and

Appendix 5-2-24: Sexual Harassment Policy

MUBENDE RURAL WATER SUPPLY SERVICE CENTER
SEXUAL HARASSMENT POLICY

The Policy Statement

Mubende Rural Water Supply Service Center (hereinafter referred to as the 'Service Center') is committed to providing a safe environment for all its employees free from discrimination on any ground and from harassment at work including sexual harassment. The Service Center will operate a zero tolerance policy for any form of sexual harassment in the workplace, treat all incidents seriously and promptly investigate all allegations of sexual harassment. Any person found to have sexually harassed another will face disciplinary action, up to and including dismissal from employment.

All complaints of sexual harassment will be taken seriously and treated with respect and in confidence.

No one will be victimised for making such a complaint.

A. SEXUAL HARASSMENT

Sexual harassment means—

- (a) A direct or implicit request to an employee for sexual intercourse, sexual contact or any other form of sexual activity that contains—
 - (i) an implied or express promise of preferential treatment in employment;
 - (ii) an implied or express threat of detrimental treatment in employment; or
 - (iii) an implied or express threat about the present or future employment status of the employee.

- (b) Use of language whether written or spoken of a sexual nature such as unwelcome verbal advances, sexual oriented comments, request for sexual favours, jokes of a sexual nature, offensive flirtation or obscene expressions of sexual interest that are addressed directly to the person;

- (c) Use of visual material of a sexual nature such as display of sexually suggestive pictures, objects or written materials or sexually suggestive gestures; and

- (d) showing physical behavior of a sexual nature such as unwanted and unwelcome touching, patting, pinching or any other unsolicited physical contact; which directly or indirectly subjects the employee to behaviour that is unwelcome or offensive to that employee and that, either by its nature or through repetition, has a detrimental effect on that employee's employment, job performance or job satisfaction.

Physical Conduct

- Unwelcome physical contact including patting, pinching, stroking, kissing, hugging, fondling, or inappropriate touching.
- Physical violence, including sexual assault.
- Physical contact, e.g. touching, pinching.
- The use of job-related threats or rewards to solicit sexual favours

Verbal Conduct

- Comments on a worker's appearance, age, private life, etc.
- Sexual comments, stories and jokes.
- Sexual advances.
- Repeated and unwanted social invitations for dates or physical intimacy.
- Insults based on the sex of the worker.
- Condescending or paternalistic remarks.
- Sending sexually explicit messages (by phone or by email).

Non-verbal conduct

- Display of sexually explicit or suggestive material.
- Sexually-suggestive gestures.
- Whistling.
- Leering

NOTE

- I. Anyone can be a victim of sexual harassment, regardless of their sex and of the sex of the harasser. The Service Center recognises that sexual harassment may also occur between people of the same sex. What matters is that the sexual conduct is unwanted and unwelcome by the person against whom the conduct is directed.
- II. The Service Center recognises that sexual harassment is a manifestation of power relationships and often occurs within unequal relationships in the workplace, for example between manager or supervisor and employee.
- III. Anyone, including employees of the service center , clients, customers, casual workers, contractors or visitors who sexually harass another will be reprimanded in accordance with this internal policy.
- IV. All sexual harassment is prohibited whether it takes place within the Service Center premises or outside, including at social events, business trips, training sessions or conferences sponsored by the Service Center.

B. COMPLAINTS PROCEDURES

- i) Anyone who is subject to sexual harassment should, if possible, inform the alleged harasser that the conduct is unwanted and unwelcome. The Service Center recognises that sexual harassment may occur in unequal relationships (i.e. between a supervisor and his/her employee) and that it may not be possible for the victim to inform the alleged harasser.
- ii) If a victim cannot directly approach an alleged harasser, he/she can approach one of the designated staff members in the human resources department responsible for receiving complaints of sexual harassment.
- iii) When the designated person receives a complaint of sexual harassment, he/she will:
 - a) immediately record the dates, times and facts of the incident(s);
 - b) ascertain the views of the victim as to what outcome he/she wants;
 - c) ensure that the victim understands the Service Center's procedures for dealing with the complaint;
 - d) discuss and agree the next steps: either informal or formal complaint, on the understanding that choosing to resolve the matter informally does not preclude the victim from pursuing a formal complaint if he/she is not satisfied with the outcome;
 - e) keep a confidential record of all discussions;

- f) respect the choice of the victim; and ensure that the victim knows that they can lodge the complaint outside of the Service Center through the relevant country/legal framework.
- iv) Throughout the complaints procedure, a victim is entitled to be helped by a counsellor (if any) within the Service Center. The Service Center will nominate a number of counsellors and provide them with special training to enable them to assist victims of sexual harassment. The Service Center recognises that because sexual harassment often occurs in unequal relationships within the workplace, victims often feel that they cannot come forward. The Service Center understands the need to support victims in making complaints.

Informal Complaints Mechanism

If the victim wishes to deal with the matter informally, the designated person will:

- a) give an opportunity to the alleged harasser to respond to the complaint;
- b) ensure that the alleged harasser understands the complaints mechanism;
- c) facilitate discussion between both parties to achieve an informal resolution which is acceptable to the complainant, or refer the matter to the designated mediator within the company to resolve the matter;
- d) ensure that a confidential record is kept of what happens;
- e) follow up after the outcome of the complaints mechanism to ensure that the behaviour has stopped;
- f) ensure that the above is done speedily and within [7] Seven days of the complaint being made.

Formal Complaints Mechanism

If the victim wants to make a formal complaint or if the informal complaint mechanism has not led to a satisfactory outcome for the victim, the formal complaint mechanism should be used to resolve the matter.

The designated person who initially received the complaint will refer the matter to the Manager of the Service Center to instigate a formal investigation. The Manager may deal with the matter himself or refer the matter to the Sexual Harassment Committee (the 'Committee') in accordance with this policy.

The person or Committee carrying out the investigation will:

- a) interview the victim and the alleged harasser separately;

- b) interview other relevant third parties separately;
- c) decide whether or not the incident(s) of sexual harassment took place;
- d) produce a report detailing the investigations, findings and any recommendations;
- e) if the harassment took place, decide what the appropriate remedy for the victim is, in consultation with the victim (i.e.- an apology, a change to working arrangements, a promotion if the victim was demoted as a result of the harassment, training for the harasser, discipline, suspension, dismissal);
- f) follow up to ensure that the recommendations are implemented, that the behaviour has stopped and that the victim is satisfied with the outcome;
- g) if it cannot determine that the harassment took place, he/she may still make recommendations to ensure proper functioning of the workplace;
- h) keep a record of all actions taken;
- i) ensure that the all records concerning the matter are kept confidential;
- j) ensure that the process is done as quickly as possible and in any event within [14] Fourteen days of the complaint being made.

Outside complaints mechanisms

A person who has been subject to sexual harassment can also make a complaint outside of the Service Center. They can do so through a Labour Officer.

C. SANCTIONS AND DISCIPLINARY MEASURES

Anyone who has been found to have sexually harassed another person under the terms of this policy is liable to any of the following sanctions:

- i) verbal or written warning;
- ii) adverse performance evaluation;
- iii) reduction in wages;
- iv) transfer;
- v) demotion;
- vi) suspension; and
- vii) dismissal

The nature of the sanctions will depend on the gravity and extent of the harassment.

Suitable deterrent sanctions will be applied to ensure that incidents of sexual harassment are not treated as trivial. Certain serious cases, including physical violence, will result in the immediate dismissal of the harasser.

D. IMPLEMENTATION OF POLICY

The Service Center will ensure that this policy is widely disseminated to all relevant persons. It will be posted in a conspicuous area at the workplace.

The Service Center will also post the names, positions and telephone contacts of the members of the sexual harassment committee in a conspicuous area at the workplace

All new employees must be notified of this policy as part of their induction into the Service Center.

The Committee shall be responsible for the implementation, monitoring and evaluation of this Policy. The Committee shall—

- (a) receive and register complaints of sexual harassment in a form prescribed in the First schedule;
- (b) initiate internal investigations into complaints;
- (c) keep a record of the nature of sexual harassment offences, proceedings, documents, information and action taken;
- (d) respond to complaints within fourteen days from the date of lodging the complaint with recommendations to management for appropriate action;
- (e) review the provisions of the policy to convey a responsive and supportive attitude that builds faith and trust;
- (f) prepare and provide reports under the complaints procedure to the labour commissioner or labour officer; and
- (g) carry out any other duties as may arise for the prevention of sexual harassment.

E. MONITORING & EVALUATION

The Service Center recognises the importance of monitoring this sexual harassment policy and will ensure that it anonymously collects statistics and data as to how it is used and whether or not it is effective.

The Committee will report on compliance with this policy, including the number of incidents, how they were dealt with, and any recommendations made. This will be done on a yearly basis. As a result of this report, the Service Center will evaluate the effectiveness of this policy and make any changes needed.

If you require any clarification, please contact:

Name: _____

Contact: _____

Designation: **Sexual Harrasment Officer**

**Appendix 5-2-25: Roles and Responsibilities of the District Direct
Management Players**

Roles and Responsibilities of the District Direct management System (DDMS) Players

A. Water User

A.1. Responsibility of Water User

Water User is responsible for the payment of water user fees to the Caretaker employed by the Service Center in return for using the water supply facility maintained by the Service Center. The collected water user fees shall be used for the operation, maintenance and upgrading of water supply facility, and the sustainment of water supply management system by the Service Center including staff remuneration.

A.2. Contract for Water Usage

Water User shall contract with WSC to use the water supply facility maintained by the Service Center.

A.3. Water User Fees

Water User shall pay a threshold currently set at UGX 2,000- per household monthly as a water user fees. Water User who does not contract with WSC or does not pay water user fees monthly also can use the water supply facility maintained by the Service Center only when he/she pays UGX 50- per 20 liter.

The Water Users shall identify and exempt the vulnerable members of community from contributing water user fees.

A.4. Commercial User

Water User who is selling water in the community and/or other areas shall register on WSC as a Commercial User. The category of Commercial User are water vendors, brick makers, irrigation purposes, watering animals, construction works, vehicle washing and other categories as deemed necessary by WSC, Caretakers and Water Users. In this case, the registered Commercial User can fetch water from the water supply facility maintained by the Service Center. Each WSC discuss and decide the water user fees of Commercial User and report to the Service Center. Commercial User who does not contract with WSC or does not pay water user fees monthly also can use the water supply facility maintained by the Service Center only when he/she pays UGX 50- per 20 liter.

A.5. Monitoring

Water User contracted with the WSC is responsible for the monitoring of Caretaker in

order to sustain the functionality of water supply facility, help improve service by the Service Center, and preserve the environment of surrounding water supply facility. To achieve those purposes, Water User can file a claim to the Caretaker, WSC or Service Center if he/she finds the following situations;

- i) the function of water supply facility becomes worse,
- ii) the hygiene and sanitation condition around water supply facility becomes worse,
- iii) the surrounding environment of the water supply facility is not good,
- iv) the service quality by the Caretaker and/or Service Center becomes worse,
- v) the corruption by the Caretaker and/or Service Center is found,
- vi) other unusual situation, etc.

Water User can also propose his/her idea to improve the service quality of Caretaker and/or Service Center at any time.

B. Water and Sanitation Committee (WSC)

B.1. Responsibility of WSC

WSC is responsible for the coordination of Water Users, rulemaking on the usage of their water point, selection and recommendation of Caretaker, and monitoring the Caretaker and Service Center support activities.

B.2. Member of WSC

Member of WSC shall consist of a chairperson, secretary, secretary finance, institution representative and youth representative at a minimum. Members shall be selected by election among the water user communities. The term of member is 2 years.

B.3. Coordination of Water Users

WSC shall contract with each Water Users on the usage of water supply facility maintained by the Service Center. WSC shall organize all of those contracts with Water Users, and contract with area Sub-county Government on the usage of water supply facility maintained by the Service Center. WSC shall encourage Water Users to enter into contract with WSC on the usage of water supply facility.

WSC shall promote Water Users to pay water user fees properly in order to increase the collection rate of water user fees. However, WSC shall also alert uncontracted Water Users with WSC and/or nonpayment Water Users not to use a water supply facility maintained by Service Center when he/she use it without payment.

B.4. Selection and Recommendation of Caretaker

WSC shall select three candidates for the Caretaker and recommend them to the Service Center. The Service Center shall interview them, decide a person as a caretaker among them, and contract with him/her. WSC may recommend the Service Center to change the Caretaker if there are any reasons to do that on the activities and behaviors of Caretaker.

WSC shall decide the working hours of their Caretaker in advance. Other working rule of Caretaker shall be depended on the contract conditions between the Service Center and Caretaker.

B.5. Monitoring of Support from Service Center

WSC shall monitor and evaluate the support from service center every 6 months in accordance with the monitoring sheet provided by MWE. WSC shall submit the monitoring sheet to area Sub-county Government to improve the service quality from the Service Center.

WSC shall monitor and provide feedback to the Water Users on the payment, sanitation and hygiene regularly.

The secretary finance is responsible for the monitoring of cash flow between Water Users, the Caretaker and the Service Center to secure the transparency and accountability of the collected water user fees. The secretary finance shall witness the delivery of collected water user fees from the Caretaker to staff of Service Center monthly and check the account book with the Caretaker and staff of Service Center. The secretary finance shall sign the record of water user fee collection with Assistant Accountant and Caretaker, and confirm the monthly water user fee collection. water user fees WSC shall confirm it, and approve it if WSC validates it.

WSC has a responsibility to disclose the monitoring sheets for Water Users after every monitoring activity.

C. Sub-county Government (Senior Assistant Secretary: SAS)

C.1. Responsibility of SAS

SAS is responsible for the coordination of WSCs, monitoring of support from Service Center, and activities of WSC training and awareness campaign for Water Users includes hygiene and sanitation activities.

C.2. Coordination of WSCs

Sub-county shall contract with each WSC on the usage of water supply facility maintained by the Service Center. Sub-county shall organize all of those contracts with WSCs, and contract with

the Service Center on the usage of water supply facility maintained by the Service Center. Sub-county shall promote the communities to contract with Sub-county on the usage of water supply facility. Sub-county shall submit the list of WSCs contracted with Sub-county to the Service Center when the list is updated.

Sub-county shall promote the upgrading of water supply facility maintained by the Service Center. In this case, Sub-county can recommend the particular water supply facility to the Service Center, which is suitable to upgrade their function among their territory in accordance with the following criteria;

- i) more than 200 households are using a water supply facility,
- ii) at least 95 % of monthly collecting rate of water user fees, and
- iii) water users have a will to upgrade a water supply facility.

The Service Center, District Local Government and MWE shall evaluate and examine the possibility of upgrading of water supply facility after the recommendation by Sub-county.

C.3. Monitoring of Support from Service Center

Sub-county has a responsibility to evaluate the monitoring sheet submitted by WSCs and report the result to District Local Government. Sub-county has a right to audit WSCs' activities as the occasion demands, and Sub-county also has a right to implement the administrative guidance against the Service Center includes the Caretaker and HPMS if necessary. The result of all activities defined by this paragraph shall be reported to District Local Government and the relevant WSCs.

D. Service Center

D.1. Outline of Service Center

D.1.1. Purpose of Service Center

The Service Center shall be non-profit, semi-autonomous and independent agency of benefiting District Local Government with main purpose of

- i) providing water supply service to enhance public welfare, and
- ii) ensure reliable access to safe water for the rural communities.

D.1.2. Legal Foundation of Service Center

During the initial (pilot) stage, the Service Center will function under the management of the Water Supply and Sanitation Board (WSSB), also known as the Joint Management Committee (JMC) that has been constituted by MWE as per the letter ref. ADM/266/01 dated 25th August 2017

in accordance with Sections 50, 51 and 52, Part III of the Water Act, Cap. 152. The JMC is comprised of members from MWE and Mubende District Local Government.

At a later stage, it is anticipated that the Service Center will transition into a semi-autonomous government agency established under a Statutory Instrument to be issued by the Minister of Water and Environment.

D.1.3. Scope of Works of Service Center

The service area of Service Center in the benefitting District Local Government is the rural water point specified by each Sub-county in the benefitting District Local Government. The Service Center shall implement the following works;

- i) maintain and rehabilitate water supply facilities in rural area,
- ii) implement full maintenance (regular maintenance, preventive maintenance, minor repair and major repair),
- iii) collect water user fees from water users directly as counter values on the full maintenance,
- iv) support sub-county governments to implement awareness campaign regarding safe water and H&S, and
- v) upgrade and/or construct a water supply facility if necessary.

D.2. Responsibility of Service Center

The Service Center is responsible for the operation, maintenance and management of rural water supply facilities in the benefitting District Local Government. The specific responsible activities of Service Center are as below;

- i) preventative maintenance every six months at each water supply facility,
- ii) response to water supply failures within 24 hours,
- iii) ongoing awareness campaign for H&S for water users, and
- iv) consultation and response on improving water supply facilities and functions.

D.3. Working Capital of Service Center

D.3.1. Income and Expenditure

The working capital of Service Center shall be based on the collected water user fees from Water Users. The Service Center may receive a governmental subvention, grant and/or loan from international donors and/or NGOs, and financing from banks, and use them for the activities of the Service Center with approval of the JMC. The Service Center can use the working capital for the

following purposes;

- i) salaries and allowances for the staff of the Service Center,
- ii) remuneration for the temporary staff of the Service Center,
- iii) running cost and consumables,
- iv) depreciation of equipment and assets of the Service Center and water supply facilities,
- v) fuel,
- vi) preventive maintenance and major/minor repairs,
- vii) tools, equipment and materials for the activities of Service Center,
- viii) spare parts of pump,
- ix) improvement/upgrading of water supply facility, and
- x) construction of new water supply facility.

D.3.2. Water User Fees

The Service Center shall collect water user fees from Water Users in compensation for the water supply services by the Service Center. The collected water user fees shall be used only for the operation, maintenance and upgrading of water supply facility, and the sustainment of water supply management system by the Service Center basically.

The Caretakers in each water supply facilities nominated by WSC and contracted with the Service Center shall collect monthly charge per household from each Water Users. The collected water user fees shall be stored in a portable safety box with padlock controlled by each Caretaker. The key of padlock shall be managed only by the Service Center.

The staff of Service Center shall visit each Caretaker once every month and they shall open a portable safety box in the presence of the secretary finance of WSC. They shall confirm the amount of collected water user fees and records of account book together, and the Caretaker shall transfer the collected water user fees to the staff of Service Center. The staff of Service Center shall issue a delivery note of transferred water user fees to the Caretaker. The secretary finance of WSC shall sign on to a delivery note as a witness.

The staff of Service Center shall deposit the collected water user fees to the Service Center's bank account at the nearest bank branch or through mobile money service at the nearest agency on the same date of collecting. The staff of Service Center shall submit the bank statement to the accountant of Service Center. The accountant of Service Center shall confirm the bank statements and the amount of money received, and shall report it to the administrator of Service Center every month.

D.4. Staff of Service Center

The staff of Service Center shall consist of the following personnel;

- i) administrator,
- ii) accountant,
- iii) assistant accountant,
- iv) head technical operations(HTO),
- v) HPM, and
- vi) other staff if necessary.

D.4.1. Administrator

The administrator shall have the overall responsibility for running the Service Center. He/she will give overall guidance and direction to the staff of Service Center as well as coordinate between them. The administrator is responsible for the following works;

- i) coordinates the activities of Service Center to ensure that all of rural water supply facilities are kept in a well maintained and operational manner in accordance with performance targets set by the Service Center,
- ii) responsible for the recruitment of staff at the Service Center,
- iii) ensures staff report to work promptly and offer courteous service to their clients,
- iv) ensures the staff of Service Center compile daily logs of all issues handled at the Service Center,
- v) ensures the staff of Service Center compiles monthly reports detailing the nature of service requests brought to the Service Center and the status of their resolution, status of spare part supplies procured and utilized during the month, and
- vi) manages the staff of Service Center to ensure the communication between the Service Center and WSCs/Water Users.

D.4.2. Accountant

The accountant is responsible for handling all the accounting functions of the Service Center as below;

- i) processes salary and allowance payments to the staff of Service Center as well as payment of invoices for supplies to the Service Center,
- ii) maintain a proper book of accounts for the Service Center and ensure that all transactions at the Service Center are managed in accordance with accounting rules and accountability procedures,

- iii) manage petty cash and other recurrent expenses of the Service Center, and
- iv) manage operational expenses including fuel, repair costs, etc.

D.4.3. Assistant Accountant

The assistant accountant is responsible for the collection of water user fees, payment for the Caretakers and the procurement and management of spare parts supplies at the center as below;

- i) prepare a collecting plan of water user fees and collect water user fees from the Caretakers,
- ii) prepare a procurement plan for the purchase of spare parts and other supplies required at the Service Center on a monthly, quarterly or bi-annual basis, or as may be agreed upon with the administrator, and
- iii) ensure there is adequate stock of spare parts at the Service Center at all times.

D.4.4. Head Technical Operations (HTO)

The HTO is responsible for instructing and monitoring the activities of hand pump mechanics as below;

- i) prepare a maintenance plan of water supply facilities and implement that by instructing HPMs,
- ii) control the requisition of spare parts and service tools by staff of the Service Center, and
- iii) support the procurement of quality spare parts and other supplies in a cost effective manner.

D.4.5. Hand Pump Mechanic (HPM)

HPM is responsible for carrying out the proper maintenance and repair of water supply facilities as below;

- i) preventive maintenance every six months for each source,
- ii) promote safe water and proper hygiene and sanitation in the community,
- iii) train and instruct the Caretakers, and
- iv) encourage communities to pay a water user fees.

HPM shall record the result of maintenance and repair of water supply facilities and submit them to the HTO after the works.

D.4.6. Other Staff

The Service Center shall be able to employ other staff if necessary. The administrator shall have authority over personnel issues, though the employment of other staff shall be needed to obtain the approval of JMC in advance.

E.5. Caretaker

The Service Center shall contract with the Caretakers at each of registered water point. WSC shall select three candidates for the Caretaker and recommend them to the Service Center. The Service Center shall interview them, select and appoint the most competent person as a Caretaker, and contract with him/her. The Service Center may cancel a contract with the Caretaker due to the following condition;

- i) illegal procedure by the Caretaker is detected,
- ii) unserious work behavior of the Caretaker is found, and
- iii) WSC recommends the Service Center to change the Caretaker.

In case the Service Center detects above situation, the Service Center shall investigate the situation of Caretaker and report the result to JMC. JMC shall resolve the decision to caution or suspend the Caretaker.

The Caretaker is responsible for the following works;

- i) collect water user fees from Water Users and record the accounting book,
- ii) transfer the collected water user fees to the Service Center,
- iii) stay and control the water usage at his/her managed water point at the appointed time by WSC every day,
- iv) alert unpaid Water Users to pay a water user fees,
- v) conduct the regular (daily) maintenance at his/her managed water point,
- vi) conduct community sensitization, and
- vii) report to the Service Center about the condition of water point and others.

Other working rule of Caretaker shall be depended on the contract condition between the Service Center and Caretaker.

The remuneration of Caretaker shall be 20 % of collected water user fees every month.

The communication cost of Caretaker to the Service Center shall be paid of UGX 500- per call by the Service Center based on the contract until the Service Center installs the toll free system. Other necessity expense for the activities of Caretaker shall be paid by the Service Center when the administrator of Service Center deems necessary.

D.5. Accounting and Audit

D.5.1. Caretaker

The account of Caretaker shall be conducted in accordance with the accounting regulation established separately. The Caretaker shall issue the payment certificate of water user fees to each Water User when Water User pays monthly water user fees and/or receipt per fetch. The Caretaker shall record the income on the account book when he/she issue the payment certificate and/or receipt.

To ensure the transparency and accountability of gain and loss of water user fees against Water Users, the secretary finance of WSC shall witness the delivery of collected water user fees from the Caretaker to staff of Service Center monthly and check the account book with the Caretaker and staff of Service Center. The secretary finance shall record the shortage and/or excess in collection in accordance with the monitoring sheet provided by MWE and submit it to WSC. WSC has a responsibility to disclose the monitoring sheets for Water Users after every monitoring activity.

D.5.2. Service Center

All the transactions of Service Center shall be managed in accordance with the established accounting regulations. The accountant of Service Center shall control and manage all the accounting services of the Service Center.

To ensure the transparency and accountability of accounting function, the Service Center shall be subject to audit in accordance with the audit charter as agreed JMC.

E. District Local Government

E.1. Responsibility of District Local Government

District Local Government (District Water Office) is responsible for the monitoring of function of Service Center, activities of WSC training and awareness campaign conducted by the extension workers of District Local Government, and check fairness of the water user fees.

E.2. Revision of Water user fees

District Local Government may propose to JMC about the revision of water user fees in the light of prevailing condition. JMC shall review water user fees and guide the Service Center accordingly.

E.3. Monitoring of Services and Activities of Service Center

JMC has a responsibility to evaluate the audit report submitted by the third party auditing

organization and the monitoring report submitted by District Local Government. District Local Government has a responsibility to follow-up on actions and recommendations by JMC in audit report and monitoring report regarding the activities of the Service Center.

F. Ministry of Water and Environment (MWE)

F.1. Responsibility of MWE

MWE is responsible for the grant of rights to the Service Center to conduct the water supply service in the rural area. The Service Center shall initially be established under the management of the Water Supply and Sanitation Board (WSSB), also known as the Joint Management Committee (JMC) that has been constituted by MWE as per the letter ref. ADM/266/01 dated 25th August 2017 in accordance with Sections 50, 51 and 52, Part III of the Water Act, Cap. 152. The JMC is comprised of members from MWE and Mubende District Local Government.

At a later stage, it is anticipated that the Service Center will transition into a semi-autonomous government agency established under a Statutory Instrument to be issued by the Minister of Water and Environment.

MWE is also responsible for the monitoring of function of DDMS. MWE has a responsibility to continuously reform and support DDMS concept to achieve the project purpose.

F.2. Monitoring of Function of DDMS

MWE has the authority to monitor, assess and evaluate the activities of the Service Center as and when the occasion demands. MWE is responsible for evaluating audit reports submitted by third party audit firms and the monitoring report submitted by benefiting district local government. MWE shall have the right to implement the administrative guidance against the Service Center if necessary. The result of all activities defined by this paragraph shall be reported to benefiting district local government and the relevant sub-county.

Appendix 5-2-26: Criteria for Selection of Caretaker

Criteria for selection of Caretaker

Sub-county:

Parish:

Village:

Name of water source:

1. Nomination of three candidates of caretaker at water user sensitization

Criteria	Name of candidates: 1		2		3		Remarks
	Tick	Tick	Tick	Tick	Tick	Tick	
1) Ability to read and write							
2) Possession of basic arithmetic skills							
3) Someone living within the village							
4) Trustworthy and honest (Background checks)							
5) Women are encouraged							

2. Selection of Caretaker by Service Center

Service Center interviews each candidates according to the criteria laid down below:

Criteria	Points			Remarks	No.	1	2	3
	2	1.0	Score					
1) Women are encouraged	2 yes	1.0 no						
2) Ability to read	3 yes	2 yes, but not fluently	0 no					
3) Ability to write	3 yes	2 yes, but not fluently	0 no					
4) Possession of basic arithmetic skills	3 yes	1 yes, but not so much	0 no					
5) Oral communication skills in local languages	3 yes, and can speak English also	2 yes, but local languages only	1 yes, but not fluently					
6) Permanent resident in the area	3 yes	0 no						
7) Good Communicator	3 good	2 fair	1 poor					
Total								

Appendix 5-2-27: Water source Rules and Regulations

Water Source Rules and Regulations

1. Open time of borehole

From ___ :a.m./p.m. to ___ : ___ a.m./p.m. and

from ___ : ___ a.m./p.m. to ___ : ___ a.m./p.m.

Holiday: _____

Other rules(If need): _____

This open time will be changed depending on the situation of community as need arises.

2. How to handle unpaid users. (e.g. Unpaid users can't use borehole)

3. How to handle uncontracted users (e.g. Pay XX Ush by fetch)

4. Water charge for commercial users:

- Water vendors: _____
- Brick makers: _____
- Irrigation purposes: _____
- Watering animals: _____
- Construction works: _____
- Vehicle washing: _____
- Other categories as deemed necessary by WSC, Caretakers and Water Users:
 - _____ :
 - _____ :
 - _____ :

5. Water charge for vulnerable groups: _____

6. Starting service date for water user fees payment: _____

7. Other rules as arise (Consider/include the existing rules and regulations of community, if they have.)

Appendix 5-2-28: Water user fee receipt

No.

**Mubende Rural Water Supply
Service Center**

P.O. Box 93, Mubende
Tel: 0772 197577

**Water User Fee Receipt
(For Caretaker)**

Water User No.: _____

Fee: _____

Date: _____

Signature:
(By Water User) _____

No.

**Mubende Rural Water Supply
Service Center**

P.O. Box 93, Mubende
Tel: 0772 197577

**Water User Fee Receipt
(For Water User)**

Water User No.: _____

Fee: _____

Date: _____

Signature:
(By Caretaker) _____

No.

**Mubende Rural Water Supply
Service Center**

P.O. Box 93, Mubende
Tel: 0772 197577

**Water User Fee Receipt
(For Caretaker)**

Water User No.: _____

Fee: _____

Date: _____

Signature:
(By Water User) _____

No.

**Mubende Rural Water Supply
Service Center**

P.O. Box 93, Mubende
Tel: 0772 197577

**Water User Fee Receipt
(For Water User)**

Water User No.: _____

Fee: _____

Date: _____

Signature:
(By Caretaker) _____

No.

**Mubende Rural Water Supply
Service Center**

P.O. Box 93, Mubende
Tel: 0772 197577

**Water User Fee Receipt
(For Caretaker)**

Water User No.: _____

Fee: _____

Date: _____

Signature:
(By Water User) _____

No.

**Mubende Rural Water Supply
Service Center**

P.O. Box 93, Mubende
Tel: 0772 197577

**Water User Fee Receipt
(For Water User)**

Water User No.: _____

Fee: _____

Date: _____

Signature:
(By Caretaker) _____

Appendix 5-3 : Employee Agreement

Appendix 5-3-1: Employment Contract for Accountant

EMPLOYMENT CONTRACT FOR ACCOUNTANT

THIS EMPLOYMENT CONTRACT (this “Agreement”) is made on this _____ day of _____ between Mubende Rural Water Supply Service Center (hereinafter referred to as the Employer) represented by the Joint Management Committee and Mr./Ms./ _____ whose Tax Identification Number (TIN) is _____ (hereinafter referred to as the Employee), upon the terms and conditions as set forth hereunder.

1. Job Title and Description: The initial job title of the Employee is Accountant and the duties he / she is expected to perform include the following;

- i) Processing salaries and payment of allowances to the staff of the Service Center as well as payment of invoices for supplies to the Service Center
- ii) Maintaining a proper book of accounts for the Service Center and ensuring that all transactions at the Service Center are managed in accordance with accounting rules and accountability procedures
- iii) Managing petty cash and other recurrent expenses of the Service Center
- iv) Managing operational expenses including fuel, repair costs, etc.
- v) Executing and managing the budget in a proper manner, and
- vi) Constantly comparing projected figures in budgets and actual figures, and making budgetary variance analysis.
- vii) Any other duties assigned by the Employer

2. Commencement Date and Term: The Employer will commence employment with the Employee on _____ (the “Commencement Date”) for a period of three (3) years after a probation period of six (6) months.

3. Place of Work : The Employee’s primary place of work shall be at Mubende Rural Water Supply Service Center

4. Working Hours : From 8:00a.m to 5:00p.m inclusive of lunch break from 12:45pm to 2:00pm.

5. Remuneration : Basic salary is UGX _____ per month subject to

statutory deductions under the relevant Laws

6. Working Regulations : The attached Working Regulations form the terms and conditions of this Employment Contract.
7. Duty to devote full time: The Employee agrees to devote full time effort as an Employee of the Employer to the employment duties and obligations as described in this agreement
8. Termination : The contract shall terminate upon completion of the employment period or upon receipt of a two (2) months' prior written notice from the Employer or the Employee.
9. Annual, Paternity and Maternity Leave: The provisions of the Employment Act shall be applicable
10. Governing Law : This agreement will be construed in accordance with and governed by the Laws of Uganda
11. Dispute Resolution : In the unlikely event of disputes between the Employer and Employee, such disputes shall be settled amicably in accordance with the Arbitration and Conciliation Act, 2000.
12. Notices : Any notice required by this agreement or given in connection with it, shall be in writing and shall be given to the appropriate party by personal delivery or post.
13. Severability: : If any term of this Agreement is held by a court of competent jurisdiction to be invalid or unenforceable, then this Agreement, including all the remaining terms, will remain in full force and effect as if such invalid or unenforceable term had never been included.

Date: _____

For Employer
Joint Management Committee
Mubende Rural Water Supply Service Center

Employee

Appendix 5-3-2: Employment Contract for Administrator

EMPLOYMENT CONTRACT FOR ADMINISTRATOR

THIS EMPLOYMENT CONTRACT (this “Agreement”) is made on this _____ day of _____ between Mubende Rural Water Supply Service Center (hereinafter referred to as the Employer) represented by the Joint Management Committee and Mr./Ms./ _____ whose Tax Identification Number (TIN) is _____ (hereinafter referred to as the Employee), upon the terms and conditions as set forth hereunder.

1. Job Title and Description: The initial job title of the Employee is Administrator and the duties he / she is expected to perform include the following:

- i) Coordinating the activities of the Service Center to ensure that all the rural water supply facilities under the jurisdiction of the Service Center are kept in a well maintained and operational manner in accordance with performance targets set by the Service Center
- ii) Responsible for the supervision of staff at the Service Center
- iii) Ensuring that all Service Center staff report to work promptly and offer courteous service to clients.
- iv) Ensuring that staff of the Service Center compile daily logs of all issues handled at the Service Center
- v) Ensuring that staff of the Service Center compile monthly reports detailing the nature of service requests brought to the Service Center and the status of their resolution as well as status of spare parts supplies procured and utilized during the month.
- vi) Managing the staff of the Service Center to ensure proper communication between the Service Center and WSCs/Water Users
- vii) Establishing policy on budget compilation and submitting the draft budget to Joint Management Committee of the Service Center (hereinafter referred to as “JMC”).
- viii) Reporting the result of a budgetary variance analysis to JMC.
- ix) Any other duties assigned by the Employer.

2. Commencement Date and Term: The Employer will commence employment with the Employee on _____ (the “Commencement Date”) for a period of three (3) years after a probation

period of six (6) months.

3. Place of Work : The Employee's primary place of work shall be at Mubende Rural Water Supply Service Center
4. Working Hours : From 8:00a.m to 5:00p.m inclusive of lunch break from 12:45pm to 2:00pm.
5. Remuneration : Basic salary is UGX _____ per month subject to statutory deductions under the relevant Laws
6. Working Regulations : The attached Working Regulations form the terms and conditions of this Employment Contract.
7. Duty to devote full time: The Employee agrees to devote full time effort as an Employee of the Employer to the employment duties and obligations as described in this agreement
8. Termination : The contract shall terminate upon completion of the employment period or upon receipt of two (2) months' prior written notice from the Employer or the Employee.
9. Annual, Paternity and Maternity Leave: The provisions of the Employment Act shall be applicable
10. Governing Law : This agreement will be construed in accordance with and governed by the Laws of Uganda
11. Dispute Resolution : In the unlikely event of disputes between the Employer and Employee such disputes shall be settled amicably in accordance with the Arbitration and Conciliation Act, 2000.
12. Notices : Any notice required by this agreement or given in connection with it, shall be in writing and shall be given to the appropriate party by personal delivery or post.
13. Severability: If any term of this Agreement is held by a court of competent jurisdiction to be invalid or unenforceable, then this Agreement, including all the remaining terms, will remain in full force and effect as if such invalid or unenforceable term had never been included.

Date: _____

For Employer
Joint Management Committee
Mubende Rural Water Supply Service Center

Employee

Appendix 5-3-3: Employment Contract for Assistant Accountant

EMPLOYMENT CONTRACT FOR ASSISTANT ACCOUNTANT

THIS EMPLOYMENT CONTRACT (this “Agreement”) is made on this _____ day of _____ between the Mubende Rural Water Supply Service Center (hereinafter referred to as the Employer) represented by the Joint Management Committee and Mr. / Ms./ _____ whose Tax Identification Number (TIN) is _____ (hereinafter referred to as the Employee), upon the terms and conditions as set forth hereunder.

1. Job Title and Description: The initial job title of the Employee is Assistant Accountant and the duties he / she is expected to perform include the following:

- i) Preparing a plan for collection of water charges and collecting the water charges from the Caretakers
- ii) Reconciling between the cash at hand and the cash balance in the accounting ledger on a daily basis
- iii) Preparing a procurement plan for the purchase of spare parts and other supplies required at the Service Center on a monthly, quarterly or bi-annual basis, or as may be agreed upon with the Administrator
- iv) Ensuring that there is adequate stock of spare parts at the Service Center at all times.

2. Commencement Date and Term: The Employer will commence employment with the Employee on _____ (the “Commencement Date”) for a period of three (3) years after a probation period of six (6) months.

3. Place of Work : The Employee’s primary place of work shall be at Mubende Rural Water Supply Service Center

4. Working Hours : From 8:00a.m to 5:00p.m inclusive of lunch break from 12:45pm to 2:00pm.

5. Remuneration : Basic salary is UGX _____ per month subject to statutory deductions under the relevant Laws

6. Working Regulations : The attached Working Regulations form the terms and conditions of this

Employment Contract.

7. Duty to devote full time: The Employee agrees to devote full time effort as an Employee of the Employer to the employment duties and obligations as described in this agreement
8. Termination : The contract shall terminate upon completion of the employment period or upon receipt of two (2) months' prior written notice from the Employer or the Employee.
9. Annual, Paternity and Maternity Leave: The provisions of the Employment Act shall be applicable
10. Governing Law : This agreement will be construed in accordance with and governed by the Laws of Uganda
11. Dispute Resolution : In the unlikely event of disputes between the Employer and Employee such disputes shall be settled amicably in accordance with the Arbitration and Conciliation Act, 2000.
12. Notices : Any notice required by this agreement or given in connection with it, shall be in writing and shall be given to the appropriate party by personal delivery or post.
13. Severability: : If any term of this Agreement is held by a court of competent jurisdiction to be invalid or unenforceable, then this Agreement, including all the remaining terms, will remain in full force and effect as if such invalid or unenforceable term had never been included.

Date: _____

For Employer
Joint Management Committee
Mubende Rural Water Supply Service Center

Employee

Appendix 5-3-4: Employment Contract for Caretaker

EMPLOYMENT CONTRACT FOR CARETAKER

THIS EMPLOYMENT CONTRACT (this “Agreement”) is made between the Mubende Rural Water Supply Service Center (hereinafter referred to as the Employer) represented by the Administrator, Mr./Ms. _____ and Mr./Ms. _____ (hereinafter referred to as the Employee) nominated by the water user community and selected by the Employer, upon the terms and conditions as set forth hereunder.

1. Position : Caretaker of Water Point at _____,
_____ Parish, _____ Sub-county,
Mubende District.

DWD No. _____ Deep /Shallow No. _____

Tap/ GFS No. _____

2. Commencement Date and Term: The Employer will commence employment with the Employee on _____ (the “Commencement Date”) for a period of three (3) years after a probation period of six (6) months.

3. Working Hours : From ___:___ a.m./p.m. to ___:___ a.m./p.m.,
from ___:___ a.m./p.m. to ___:___ a.m./p.m.,
from ___:___ a.m./p.m. to ___:___ a.m./p.m., and
from ___:___ a.m./p.m. to ___:___ a.m./p.m.

4. Remuneration : 20 % of collected user fees every month.

~~5. Tax Component : (to be asked a lawyer and accountant for the confirmation)~~

6. Working Regulations : The attached Working Regulations form the terms and conditions of this Employment Contract.

7. Duty to devote full time: The Employee agrees to devote full time effort as an Employee of the Employer to the employment duties and obligations as described in this agreement

8. Termination : The contract shall terminate upon completion of the employment period or upon receipt of a two (2) months’ prior written notice from the Employer or the Employee.

9. Annual, Paternity and Maternity Leave: The provisions of the Employment Act shall be applicable

10. Governing Law : This agreement will be construed in accordance with and governed by the Laws of Uganda

11. Dispute Resolution : In the unlikely event of disputes between the Employer and Employee, such disputes shall be settled amicably in accordance with the Arbitration and Conciliation Act, 2000.

12. Notices : Any notice required by this agreement or given in connection with it, shall be in writing and shall be given to the appropriate party by personal delivery or post.

13. Severability: : If any term of this Agreement is held by a court of competent jurisdiction to be invalid or unenforceable, then this Agreement, including all the remaining terms, will remain in full force and effect as if such invalid or unenforceable term had never been included.

Date: _____

Employer

Employee

Administrator
Mubende Rural Water Supply Service Center

JOB DUTY OF CARETAKER FOR WATER POINT

1. Purpose

The purpose of this job duty is to smoothly operate tasks between the Mubende Rural Water Supply Service Center (hereinafter referred to as “the Service Center”) and the Caretaker.

2. Scope of the job duty

This job duty will cover the roles and responsibilities between the Service Center and the Caretaker.

3. Devotion and confidentiality

The Caretaker is obliged to devote himself/herself to his/her tasks.

4. Roles and Responsibilities of the Caretaker

The Caretaker shall be employed by the Service Center to control the water point managed by the Service Center in his/her community. The major responsibilities of Caretaker are as below;

- i) distribute and collect water user list for water point usage,
- ii) collect user fees from Water Users and record it in the accounting book,
- iii) transfer the collected user fees to the assistant accountant,
- iv) stay and control the water usage at his/her managed water point at the appointed time by WSC on a daily basis,
- v) alert Water Users to pay up outstanding user fees,
- vi) conduct regular (daily) maintenance at his/her managed water point,
- vii) conduct community sensitization, and
- viii) report to the Service Center about the condition of water point and others

In addition, the Caretaker has responsibilities to control the water point as below;

- i) find water users who have not paid up and advise them against the use of water point,
- ii) prevail upon unpaid water users to pay user fees,
- iii) stay at the water point during the operating hours determined by water users group,
- iv) lock the water point so that it is used only during the defined operating hours,
- v) guide water users about the proper usage of water point and easy information on hygiene and sanitation,
- vi) clean up at the surroundings of the water point,
- vii) improve the water point structures and mend defects to keep the hygiene and usability of the water point,
- viii) grease moving parts of water supply facility, tighten bolts of water supply facility

and check the water volume from outlet and inform the Service Center in case of any unusual condition of water point.

5. Operating Expense

The communication cost of Caretaker to the Service Center shall be paid at a rate of UGX 500- per call made to the Service Center until the Service Center installs the toll free system. Other necessary expenses for the activities of Caretaker shall be paid by the Service Center when the Administrator of the Service Center deems necessary.

6. Payday of Remuneration

The Service Center will pay the monthly remuneration to the Caretaker at time of collection of user fees by Service Center staff.

7. Disciplinary Punishment

In case the Service Center detects the following situation, Joint Management Committee of the Service Center (hereinafter referred to as "JMC") may dismiss the Caretaker.

- i) illegal or fraudulent activity by the Caretaker is detected,
- ii) the Caretaker is found to be incompetent, and
- iii) the water users group asks the Service Center to replace the Caretaker.

Prior to making the determination of the dismissal, the Service Center will investigate the complaint against the Caretaker and prepare a report to the JMC. The Caretaker has a right to defend himself/herself against the allegations labelled against him/her. JMC upon examining the facts of the matter may decide to either caution, suspend or dismiss the Caretaker.

8. Collection of User Fees

The Caretaker shall collect monthly charges per household from each Water User. The amount of user fees shall be communicated by the Service Center. The collected user fees shall be stored in a portable safety box with padlock controlled by the Caretaker. The key of the padlock shall be managed only by the Service Center.

The staff of the Service Center will visit the Caretaker once every month and open the portable safety box in the presence of the Secretary Finance of water users group. They will then confirm the amount of collected user fees and records of account book together, and the Caretaker hands over the collected user fees to the staff of the Service Center. The staff of the Service Center, Caretaker and Secretary Finance of WSC will then sign the record of water user fee collection and keep it as evidence of the collected water user fee.

The staff of the Service Center will deposit the collected user fees to the Service

Center's bank account. The staff of the Service Center shall submit the bank deposit slip to the Accountant of the Service Center. The Accountant of the Service Center shall confirm the bank deposits, and shall make a report to the Administrator of the Service Center every month.

In case the Caretaker is unable to collect monthly charge from some Water Users, the Caretaker will sum them up in the uncollectible list and report the list to the Service Center.

The Service Center together with the water user committee will decide on the actions to be taken against defaulters of water user fees.

9. Complaint Processing

A water user can express complaints to Service Center by phone or any other means available. After the Service Center has resolved the complaint, the Administrator will give feedback to the water user and the caretaker at the water source in question.

**Appendix 5-3-5: Employment Contract for Head Technical
Operations**

EMPLOYMENT CONTRACT FOR HEAD TECHNICAL OPERATIONS

THIS EMPLOYMENT CONTRACT (this “Agreement”) is made this _____ day of _____ between the Mubende Rural Water Supply Service Center (hereinafter referred to as the Employer) represented by Joint Management Committee and Mr./Ms. _____ whose Tax Identification Number (TIN) is _____ (hereinafter referred to as the Employee), upon the terms and conditions as set forth hereunder.

1. Position: The initial job title of the Employee is Head Technical Operations and the duties he / she is expected to perform include the following:

- i) Preparing a maintenance plan of water supply facilities including schedules for preventive maintenance
- ii) Coordinating activities of Hand Pump Mechanics employed by the Service Center
- iii) Preparing performance/ activity reports
- iv) Controlling the requisition of spare parts and service tools by staff of the Service Center
- v) Supporting the procurement of quality spare parts and other supplies in a cost effective manner.

2. Commencement Date and Term: The Employer will commence employment with the Employee on _____ (the “Commencement Date”) for a period of three (3) years after a probation period of six (6) months.

3. Place of Work : The Employee’s primary place of work shall be at Mubende Rural Water Supply Service Center

4. Working Hours : From 8:00a.m to 5:00p.m inclusive of lunch break from 12:45pm to 2:00pm.

5. Remuneration : Basic salary is UGX _____ per month subject to statutory deductions under the relevant Laws

6. Working Regulations : The attached Working Regulations form the terms and conditions of this Employment Contract.

7. Duty to devote full time: The Employee agrees to devote full time effort as an Employee of the Employer to the employment duties and obligations as described in this agreement

8. Termination : The contract shall terminate upon completion of the employment period or upon receipt of two (2) months’ prior written notice from the Employer or the Employee.

9. Annual, Paternity and Maternity Leave: The provisions of the Employment Act shall be applicable

10. Governing Law : This agreement will be construed in accordance with and governed by the Laws of Uganda
11. Dispute Resolution : In the unlikely event of disputes between the Employer and Employee such disputes shall be settled amicably in accordance with the Arbitration and Conciliation Act, 2000.
12. Notices : Any notice required by this agreement or given in connection with it, shall be in writing and shall be given to the appropriate party by personal delivery or post.
13. Severability: : If any term of this Agreement is held by a court of competent jurisdiction to be invalid or unenforceable, then this Agreement, including all the remaining terms, will remain in full force and effect as if such invalid or unenforceable term had never been included.

Date: _____

For Employer
Joint Management Committee
Mubende Rural Water Supply Service Center

Employee

Appendix 5-3-6: Hand Pump Mechanic

EMPLOYMENT CONTRACT FOR HAND PUMP MECHANIC

THIS EMPLOYMENT CONTRACT (this “Agreement”) is made on this _____ day of _____ between the Mubende Rural Water Supply Service Center(hereinafter referred to as the Employer) represented by the Joint Management Committee and Mr./Ms./ _____ whose Tax Identification Number (TIN) is _____ (hereinafter referred to as the Employee), upon the terms and conditions as set forth hereunder.

1. Job Title and Description: The initial job title of the Employee is Hand Pump Mechanic and the duties he / she is expected to perform include the following:

- i) Conducting preventive maintenance every six months for each water source
- ii) Promoting safe water and proper hygiene and sanitation in the community
- iii) Training and instructing the Caretakers
- iv) Encouraging communities to pay water charge
- v) Conducting routine checks and emergency repairs on water facilities.

2. Commencement Date and Term: The Employer will commence employment with the Employee on _____ (the “Commencement Date”) for a period of three (3) years after a probation period of six (6) months.

3. Place of Work : The Employee’s primary place of work shall be at Mubende Rural Water Supply Service Center

4. Working Hours : From 8:00a.m to 5:00p.m inclusive of lunch break from 12:45pm to 2:00pm.

5. Remuneration : Basic salary is UGX _____ per month subject to statutory deductions under the relevant Laws

6. Working Regulations : The attached Working Regulations form the terms and conditions of this Employment Contract.

7. Duty to devote full time: The Employee agrees to devote full time effort as an Employee of the

Employer to the employment duties and obligations as described in this agreement

8. Termination : The contract shall terminate upon completion of the employment period or upon receipt of two (2) months' prior written notice from the Employer or the Employee.

9. Annual, Paternity and Maternity Leave: The provisions of the Employment Act shall be applicable

10. Governing Law : This agreement will be construed in accordance with and governed by the Laws of Uganda

11. Dispute Resolution : In the unlikely event of disputes between the Employer and Employee such disputes shall be settled amicably in accordance with the Arbitration and Conciliation Act, 2000.

12. Notices : Any notice required by this agreement or given in connection with it, shall be in writing and shall be given to the appropriate party by personal delivery or post.

13. Severability: : If any term of this Agreement is held by a court of competent jurisdiction to be invalid or unenforceable, then this Agreement, including all the remaining terms, will remain in full force and effect as if such invalid or unenforceable term had never been included.

Date: _____

Employer
Joint Management Committee
Mubende Rural Water Supply Service Center

Employee