

Uganda

Country strategy 2006–2011



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Acronyms and Abbreviations

AIDS	Acquired Immune Deficiency Syndrome
CBO	Community Based Organisation
CSO	Civil Society Organisation (includes NGO, CBO, etc.)
DWD	Directorate of Water Development
DRA	Demand-Responsive Approach
EcoSan	Ecological Sanitation
GDP	Gross Domestic Product
GoU	Government of Uganda
HIPC	Highly Indebted Poor Countries
HIV	Human Immuno-deficiency Virus
IDP	Internally Displaced Person
ICT	Information and Communication Technology
IWRM	Integrated Water Resources Management
LG	Local Government
MDG	Millennium Development Goal
MIS	Management Information System
MoES	Ministry of Education and Sports
MoFPED	Ministry of Finance, Planning and Economic Development
MoH	Ministry of Health
MoWE	Ministry of Water and Environment
NWSC	National Water and Sewage Corporation
O&M	Operation and Maintenance
PEAP	Poverty Eradication Action Plan (Uganda's PRSP)
PRSP	Poverty Reduction Strategy Paper
Ug Shs	Uganda Shillings
UNDP	United Nations Development Fund
WAU	WaterAid Uganda
WA UK	WaterAid United Kingdom
WRM	Water Resources Management
WSS	Water Supply and Sanitation

Executive Summary

WaterAid Uganda's 2006 to 2011 country strategy paper sets out the organisation's vision and mission; then outlines the agreed strategic objectives, key aims and indicators of achievement.

The strategic planning process behind this document involved a long series of stakeholder consultations that reviewed the external working environment as well as WaterAid's current work and abilities. The method has been a participatory one, providing all staff (in programme areas and the country office) with the opportunity to reflect upon our achievements and our 'reason for being'. It has allowed us to decide together the best way forward and to plan how to achieve significant positive change in the next five years.

WaterAid Uganda (WAU) has the following vision and mission:

Vision

A Uganda where all people have access to safe water and adequate sanitation

Mission

To contribute towards the provision of sustainable and equitable safe water and adequate sanitation to the poor through advocacy and strategic partnerships

The mission will be achieved by:

- **Working with partners**¹ to develop an engagement process that clearly defines a joint programme of work to achieve the mission, and acknowledges the need to support partner capacity in practical programme skills. WAU recognises that civil society is heterogeneous in nature, and that CSOs reflect this diversity. The choice of partner will be determined by the context (e.g. urban vs. rural, or extent of marginalisation), the type of intervention planned (e.g. service delivery vs. advocacy or type of expertise needed) and the particular target group.
- **Demonstrating and stimulating ways of scaling up** the delivery of sustainable and equitable water, sanitation and hygiene promotion within the context of the Government of Uganda's decentralised policy environment.
- **Investigating barriers** to sustainable and equitable water, sanitation and hygiene promotion service delivery. This will include making evidence-based arguments for the improvement of the decentralised delivery of those services.

This strategy paper stresses the need for a strong programme based approach. As such, its strategic objectives are constructed along sector-specific lines. WAU believes that the most effective way to sustainably improve access to water supplies and sanitation (WSS) is to work with and through existing, like-minded, Ugandan organisations. WAU will pursue a capacity building approach where appropriate, assisting with the organisational development of collaborating organisations and the transfer of technical skills. This assistance will benefit both service delivery and advocacy work.

In Uganda, decentralisation has provided unique opportunities for WAU to work with Local Governments to ensure they have the capacity to meet their responsibilities. This work will focus on improving service provision, benefiting WaterAid's ultimate target group – the poor and most vulnerable.

WAU also sees exciting opportunities in working with the emerging civil society sector. It is a sector that is already undertaking a range of activities, from service provision and information dissemination, to campaigning for the adoption of inclusive, pro-poor policies and holding the government accountable. By undertaking this two-pronged approach, WAU will pursue a sustainable improvement in WSS services and thus livelihoods of Ugandans.

¹ The term 'partner' is used here in general terms to mean 'collaborating organisation' and could be an NGO or Government structure.

A key issue in the water sector is that of inequity in how resources are allocated. Too much investment goes to urban areas, while rural areas remain unserved. WAU must therefore lead by working in unserved areas, and actively work to influence government and donor priorities in this direction.

There is also a lack of investment in sanitation. WAU will demonstrate its commitment to sanitation in practical ways, such as up-scaling support for sanitation service delivery, and in the policy arena.

Another key issue in water-related interventions, by WAU or by government and other agencies, is their sustainability. WAU will make concerted efforts to highlight the factors which contribute to water services and sanitation interventions becoming non-functional. We will support partners to address this issue on the ground, as well as seek to influence appropriate government policies and procedures for a wider impact.

In keeping with the seriousness of the issue, WAU – through its service delivery partners - will invest significant resources into the rehabilitation of non-functioning water points and improve community management structures. WAU will also highlight the large gap between planned investments in the sector and that which is required to meet the Millennium Development Goals (MDGs), in a joint campaign with WaterAid UK (WA UK).

Urban work and Integrated Water Resource Management (IWRM) are relatively new to WaterAid. This plan highlights the need for learning, and investigating ways to incorporate them proactively into the country programme.

WAU's objectives over the next few years in terms of growth, fundraising, programme management, ICT and organisational learning are also outlined. WAU makes a clear commitment to expand the country programme to reach more poor and excluded people with improved water and sanitation services.

The need for 'joined-up' thinking, planning, monitoring and evaluation is highlighted – both within WAU itself and between the other relevant stakeholders in the sector. It is also noted that WAU needs to ensure participatory practices are pursued to monitor programme impact as a tool for partner empowerment, and as a key mechanism to ensure standards are maintained.

In compiling this document, substantial progress has been made in determining a strategic direction for WaterAid's country programme in Uganda over the next five years. WAU sees this strategy as a living document that will be reviewed and revised over its life-span, in light of new opportunities and any constraints that may arise. Key to its successful implementation will be quality programming and impact, and integral to these will be innovation and efficiency. We hope that WAU will stand out as a place within WaterAid that demonstrates excellence, good practice and learning. **Most importantly, it will be a place where the poor and marginalised have better access to improved water and sanitation services.**

In going forward, it will be necessary to prioritise the areas that WAU will address first, so an operational plan and monitoring framework will be developed to clarify these. Already there is a commitment to deeper learning, to strengthen our programmatic approach and to select and support partners more strategically.

1 Introduction

Who we are

WaterAid is a UK-based charity, formed in 1981. It is an international NGO dedicated exclusively to the provision of safe domestic water, sanitation and hygiene education to the world's poorest people. WaterAid is committed to a vision of a world where everyone has access to safe water and sanitation. The agency works in 17 developing countries across Africa and Asia.

WaterAid has been working in Uganda since 1983, supporting community projects in many parts of the country. Since inception, its guiding principles have been community management, partnership, and use of appropriate low-cost technologies. The country programme has evolved over the years in response to changes in Uganda's socio-economic development, the sector policy environment and the need to ensure sustainability of services to communities. From 1983 until 1992, WaterAid Uganda (WAU) was initially engaged in provision of technical and financial support to local organisations, mostly through Busoga and North Kigezi Dioceses, when it provided borehole rehabilitation, shallow wells and spring protection. From 1992 until 1996, it directly implemented water and sanitation projects, including the Kabarole Shallow Well, and the Eastern Uganda Gravity and the Western Uganda Gravity/ Rainwater Harvesting Programmes).

Background to the Strategic Planning Process

In 1996, WAU's first country strategy led to a shift back toward working with partners, and a largely localised and geographically dispersed programme (in 1999 WAU was working with 11 partners, across 10 districts). In 1999, a new country strategy continued the CSO partnership approach; but it also strengthened Local Government (LG) collaboration. The strategy also pursued more national level coordination, information sharing and national capacity building (principally through UWASNET) and a new policy advocacy approach.

WAU re-focused its rural service delivery programme in two districts, Mpigi and Katakwi, although both were subsequently split to make four districts, adding Wakiso and Amuria. In 2004, WAU began an urban programme in Kawempe Division, Kampala and began to establish an advocacy programme working with both national and local governments. Today, advocacy partners are operating in several districts (see map on inside cover); with Masindi District the latest to join the rural programme in 2006.

In May 2004 a new country strategy was approved after extensive consultation. However, it was then withdrawn a few months later due to the advent of a new corporate strategy with which WAU needed to come in line.

The challenge ahead

This current strategy outlines our contribution to WaterAid's corporate strategy and, within the Ugandan context, maps out WAU's strategic direction for the next five years. It begins with a summary of the external and internal operating environments; summarising key issues for WAU. It then presents the vision and mission before introducing the strategic objectives, key aims and indicators of achievement.

The strategic planning process has provided staff and stakeholders with the opportunity to come together, to reflect upon WAU's work and agree upon the best way forward. Although there are many issues to tackle, the plan does not require for them all to be achieved immediately.

This five year plan presents many exciting opportunities for WAU to strive to meet. Key to its implementation will be quality programming, innovation and efficiency; enabling WAU to stand out as a place within WaterAid that demonstrates excellence, good practice and learning. **Most importantly, it will be a place where the poor and marginalised have better access to improved water and sanitation services.**

2 Situation Analysis

2.1 Uganda Country Profile

2.1.1 Geography and population

Uganda is a landlocked country, lying across the equator in East Africa. It covers a total area of 236,580 km² and is bordered by Sudan to the north, Kenya in the east, Tanzania and Rwanda to the south and the Democratic Republic of Congo to the west.

The projected population for 2006 is 28.2 million, up from the 2002 census figure of 24.7 million (an average growth rate of 3.3% per annum, the same as for the period 1991 to 2002²). The annual growth rate in urban areas is 4.1%. Uganda has one of the highest population growth rates in the world, with over half (56%) of the total population under 18 years, creating high dependency. Around 85% of the population live in rural areas, which is unusually high for the region. Despite its rural nature, Uganda is a densely populated country (104 people per km²), with the southwest and the slopes of Mount Elgon in the east experiencing the greatest population pressure.

2.1.2 Political Administration

Uganda is a republic with an elected President who is head of state, the government and the armed forces. Elected MPs represent each geographical constituency in Parliament and some special sectors of the population, such as: youth (regional), women (district), the armed forces, workers (national), and the disabled (regional).

Although Uganda has been largely stable since the late 1980s, rebel activity is ongoing in some northern districts. Here government is trying to maintain full control, and most agencies present are engaged in relief or emergency work. The National Resistance Movement (NRM) government, led by President Museveni, has been in power from 1986 under a 'no-party' political system. A referendum in July 2005 led to the adoption of a multi-party system and the Presidential and Parliamentary elections held in February 2006 were the first multi-party elections in Uganda for 25 years. Incumbent President Museveni was re-elected with 59% of the vote.

2.1.3 Decentralisation and Local Government

The Local Government system is based on the policy of decentralisation, enshrined in the 1995 Constitution of Uganda and further detailed in the 1997 Local Governments Act. Through the policy, five levels of Local Council are recognised, each level having statutory functions with respect to participatory development. The District and City Council are the highest levels followed by County/Municipal Council; Sub-county/Division/Town Councils, Parish/Ward Councils and Village Councils. The District Council; City Council; Municipal Councils; Sub-county Councils; Municipal Division Councils and Town Councils are local governments. The County Councils; Parish Councils and Village Councils are administrative units.

As of July 2006, there were 80 districts and approximately 180 counties, 1,000 sub-counties, 5,000 parishes and 40,000 villages. The district local government and the sub-county (lower) local government are the most important administratively; they house offices for water, health, community development, and education. Local Government Councils are corporate bodies charged with responsibility for providing services, which are stipulated in Part II of the Second Schedule of the Local Governments' (Amendment) Act, 1997. They hold the following powers, functions and responsibilities:

- a) To prepare, approve and implement development plans based on locally determined priorities;
- b) To prepare, approve and implement their own budgets;
- c) To raise and utilise their own resources according to their own priorities after making legally mandated transfers;
- d) To make ordinances and bylaws as long as they do not contradict the Constitution and other national laws;
- e) To hire, manage and dismiss their own staff;
- f) To manage their own payrolls and separate personnel system.

The process of political decentralisation has created many opportunities to work with local government in order to strengthen its accountability, accessibility to the poor and thus improve its service provision.

² The State of Uganda Population Report 2003 – Population Secretariat MoFPED/ UNFPA

Decentralisation promotes bottom-up participatory planning and the involvement of the poor in project management. Through this process, the priority needs of the poor can be identified, incorporated into the lower local council development plans and implemented.

2.1.4 Water Resources

Uganda is relatively well endowed with natural water resources, with about 16% of surface area under lakes, rivers and wetlands. Over 99% of the country lies within the "Upper Nile System", this is composed of the river Nile and several lakes including Lakes Victoria, Kyoga, Edward and Albert. The southern and central parts of the country are hilly with large areas of marsh or wetland, and the northern part is mainly plateau with rivers and streams as surface water bodies.

The average annual rainfall is about 1,200 mm with the highest average rainfall of over 2,000 mm in the Lake Victoria region and the lowest average of approximately 500 mm in the north-east region. The southern region has two well defined rainy seasons from April to May, and October to November. In the north there is a single rainy season from April to October, with a marked decrease in July.

Groundwater is available in most areas in near-surface aquifers that can be exploited by shallow and medium depth wells, but these resources are limited by relatively impermeable bedrock. The geology of Uganda comprises mainly Pre-Cambrian crystalline basement rock with varying degrees of metamorphism. These are hard rocks with limited permeability, except for weathered or fractured zones. At shallow depths (up to about 20m) they are commonly known as 'regolith' and provide limited groundwater. Recent sediments, deposited by rivers and lakes, may provide better aquifers in some localities. Groundwater availability has been complicated by some prolonged drought, widely seen as an indicator of global warming/ climate change. It has lowered water tables and rendered many shallow wells dry.

This is also attributed to a combination of low Lake Victoria net basin supply and higher releases for hydro-power generation than those permitted. Lake Victoria levels dropped 64 cm between July 2005 and February 2006 (Water and Sanitation Sector Performance Report, 2006).

The Government of Uganda's Water Resources Management (WRM) strategy and investment plan are fairly new; implementation has started only recently. The WRM strategy proposes an institutional framework that is established to support WRM at lower (catchment) level. It calls for enhanced local governance, the strengthening of WRM capacity at central level and the developing of a national strategy for managing international waters.

The government has recently endorsed a national strategy for water quality management. It targets the effective conservation and protection of water resources through effective water quality monitoring. Water quality criteria (according to water quality indicators including physical, chemical and biological) will be clarified and a wide range of tools employed, ranging from preventive to impact minimisation of pollution. Widespread soil erosion, industrial discharges, and indiscriminate waste and wastewater disposal in cities and towns are the main sources of pollution to surface water bodies. Groundwater quality issues include corrosion³ and notable concentrations of iron, manganese and fluoride.

2.2 Poverty and Development issues

2.2.1 Poverty in Uganda⁴

Uganda is one of the poorest countries in the world. Per capita income in 2005 was about US\$ 280, although economic growth has averaged close to 6% over the last five years. Life expectancy at birth remains low at 47.3 years and population growth at 3.3% remains one of the highest in the world. Infant mortality has stayed at around 80 per 1,000 live births. The UNDP Human Development Report 2005 ranks Uganda at 144 out of 177 countries using the Human Development Index.

The government identifies four particular poverty-related concerns: regional inequalities; gender; occupational structure; and disadvantaged groups.

Poverty is measured by the level of expenditure needed to secure basic food consumption needs and a corresponding level of non-food consumption. The national average proportion of people below the poverty

³ A RUWASA study in Eastern Uganda established that 75% of groundwater resources are aggressive/ corrosive.

⁴ Figures are from 2002/03, except where stated otherwise.

line is 37.7% (up from 33.8% in 2000), with 63.6% in northern Uganda (where the lives of over 1.5 million people remain blighted by one of Africa's most brutal military rebellions) and only 9.6% in urban areas. Farmers are the most likely group to be living in poverty at 50% of the occupational groups. The least proportion in poverty are those in trade - 17%; or Government service - 13%. Although there is a lack of information on disadvantaged groups, it is clear that some groups are particularly likely to be living in poverty:

- 20% of children between the age of six and 17, have lost at least one parent
- 10,000 street children live in the municipalities of Uganda
- Many elderly are left alone due to the loss of their children (HIV/AIDS, war) and are often the only remaining carers of their grandchildren
- Perhaps as many as 10% of adult Ugandans are disabled and/or unable to work
- 46% of people with disabilities are poor (compared to 34% of people in general)
- Over 1.5 million Ugandans are displaced and/or living in camps with high rates of malnutrition
- Households headed by widows are particularly vulnerable to asset depletion and impoverishment

The need to alleviate poverty and enable each individual to improve their access to WSS services is a fundamental tenet of WaterAid's work. It believes that all people have the right to live in dignity, enjoying opportunities for creativity, intellectual and spiritual development. Recognising the multi-dimensional nature of poverty, WAU realises that interventions need to be based on a sound understanding of the context and complexity of poverty, to bring about real improvements in household livelihood security. Livelihood security demands a broader analysis of the causes of poverty that includes social, financial, human, political, physical and natural capital.

The Government's strategy for poverty eradication is set out in PEAP 2005/06 – 2007/08, the third such document produced since 1997 when Uganda became one of the first countries to benefit from the HIPC debt cancellation process. Eleven different development partners have now endorsed the Uganda Joint Assistance Strategy. This will provide the basis of their support for the implementation of the PEAP. The WSS sector falls under two pillars: enhancing production, competitiveness and incomes (includes water for production and water resources management - pillar 2) and Human Development (includes water supply and sanitation - pillar 5).

The PEAP identifies four major challenges to poverty eradication in Uganda:

- Restoring security, dealing with the consequences of conflict, and improving regional equity
- Restoring sustainable growth in the incomes of the poor
- Addressing quality and drop out in universal primary education and planning for post primary education, cutting mortality, and increasing people's control over the size of their families
- Using public resources transparently and efficiently to eradicate poverty

Since the 1990's, the performance of Uganda's economy at the macro level has been impressive: economic growth averaged almost 6.5% over the last decade (although it was estimated at 5.5% in 2005 and projected to be 5% in 2006⁵) and gross domestic savings increased from 4.7% of GDP to 14.5% between 2000 and 2005. However, inequities are growing.

One of the key challenges to achieving improved development results in Uganda derives from continued shortcomings in governance. Uganda's ratings regarding the level of corruption (and other governance indicators) is today little better than during the 1990s. Uganda ranks at the Sub-Saharan average in control of corruption (it ranks 117 out of 158 according to Transparency International's corruption perception index in 2005). However, it falls short of the Sub-Saharan average in the rule of law, voice and accountability, and well below the average in political stability (due to the conflict in northern Uganda).

2.2.2 Trends in Bi- and Multi-Lateral Aid Flows and its Impact on NGO Funding

Uganda is witnessing an increase in aid flow from bilateral and multilateral donors, with a poverty reduction focus. In conformity with global aid trends, budgetary support and sector-wide approaches are the main modalities for aid management in Uganda. The situation reflects a high degree of cooperation and coordination between donor organisations, and a high level of trust in government (despite some governance flaws).

⁵ The Economist Intelligence Unit Report, October 2006.

Due to an increasing perception (amongst development partners and government) that government's capacity to deliver social services has increased over the years, and owing to development partners' preferences for official aid delivery mechanisms, the role of non-state actors in service delivery is regarded as on the wane. In addition, for administrative convenience, development partners have indicated a preference to channel project funds through UN agencies. There is also an increasing donor inclination towards competitive NGO grants and a strong commitment to support local/national NGOs.

This has notable implications for NGO funding:⁶

1. In order to remain relevant in the national development process, NGOs will have to align their programmes to the PEAP and MDG objectives and targets, Their programmes will have to align to priorities and strategies in donor funding frameworks, particularly those that carry the general consensus of most development partners, like the joint assistance strategy.
2. An obvious implication of donor inclination to budgetary support is that there are fewer aid resources remaining for out-of-budget support. Many development partners prefer funding projects in thematic areas related or complementary to sector programmes.
3. If NGOs are to play their roles in poverty alleviation under budgetary support, they have to become more flexible. They will have to adjust their operational policies/practices to accommodate government procedures such as in procurement, financial accounting and reporting, monitoring and evaluation. This will be a critical issue in the search for a workable framework for enabling NGOs and government to work together to access official development financing frameworks/programmes, such as the Northern Uganda rehabilitation programme component of the 9th EDF funded by the European Commission.
4. The Uganda Joint Assistance Strategy indicates that individualism in project work is on the wane. As an immediate response, NGOs need to propose a matching framework for effective collaboration amongst themselves. In order to create a stronger interface with government and development partners, NGOs need to make bigger networks at both local and national levels. The argument dictates that local level networks will give NGO partnerships a stronger legitimacy.
5. Competitive grants carry significant implications too. Firstly, NGOs must prepare for country-based competitive funding which calls on them to adopt more cost-effective management. Secondly, for INGOs that are involved in promoting partnerships with local NGOs, there is a challenge of overseeing so many funding applications/projects. This may cause them additional administrative cost. In addition, low involvement in and contribution of users to project implementation and management make most projects top down, with a lot of administration costs.

2.2.3 Role of civil society

Civil society organisations and particularly NGOs in Uganda are relatively young organisations (most were founded after the NRM regime came into power in 1986). They have been characterised as:⁷

- Having a narrow social base
- Having thin geographical coverage
- Mostly urban based
- Dominated by the middle class
- Dependant on external funding and therefore nomadic in their pursuits

The role of civil society in Uganda has been largely influenced by development partners with large bi-laterals and multi-laterals emphasising advocacy, democratisation, support for good governance and protection of human rights. Arguably, these are the key niche areas for CSOs like WAU in future.

It has been argued that Ugandan civil society has been incorporated into a dominant international liberal discourse, perhaps to the detriment or undermining of the organisations' legitimacy among their own local constituency. However, CSOs are still relevant in ensuring equity in the distribution of government services to the rural population and in increasing accessibility to these services among vulnerable sections of the population.

⁶ An Analysis of the External Geo-Political and Socio-Economic Environment for Alliance 2015 Partners in Uganda, April 2006.

⁷ A compilation of civil society studies in Uganda, including: NORAD 2002, EU 2003, Irish Aid, 2004.

To a lesser extent, organisations such as WAU that are partly focused on service delivery have heavily influenced the agenda of smaller, geographically based NGOs. It is recommended that NGOs build a strong case for niche interventions that will make them more relevant, such as in policy monitoring and advocacy. They are also encouraged to strengthen their own capacity in policy understanding, monitoring and evaluation; and to develop mechanisms to hold government accountable. This role calls for NGOs to collaborate more closely together.

In Uganda, as in many other parts of the world, there is an increasing reliance on NGOs and CBOs to shoulder the burden of socio-economic development aimed at poverty reduction. This, coupled with a donor emphasis on budget support to government, presents a dilemma for CSOs. They are obliged to create partnerships with the state in order to access funds. Given the weak capacity and generally fragile nature of the majority of CSOs in the country, this trend threatens to further diminish their ability to make government more accountable.

The new NGO Registration (Amendment) Act 2006 has a wide range of implications of a constitutional, operational and administrative nature. There is considerable concern that the Act will undermine the ability of NGOs to hold Government to account.

The role of the press deserves a special mention. Despite the government's efforts to regulate and control it;

*“Uganda media continues to be one of the strongest advocates for regime accountability and openness in Uganda. It has continued to print articles on corrupt government officials, on the continued instability in the north and north east, and on human rights abuses”.*⁸

2.3 Water and Sanitation Sector Overview

2.3.1 Institutional Framework

Uganda's water sector consists of the sub sectors of: urban, rural, WRM and water for production.

The Directorate of Water Development (DWD) under the Ministry of Water and Environment (MoWE) is charged with overall responsibility for this sector (specifically, for coordination and regulation, as well as overseeing and supervising development/exploitation of resources). It is also expected to provide financial and technical back up support to districts, small towns and other actors.

Large towns are managed by the National Water and Sewage Corporation (NWSC) under a performance contract arrangement with government. Once constructed, small town schemes are managed by private operators, who are accountable to water authorities, in turn mandated by the MoWE.

The rural sub-sector consists of rural communities with a population of up to 500 and Rural Growth Centres (RGCs) with a population of less than 5,000. The urban water sub-sector includes all towns and growth centres with a population of 5,000 or more. Towns or growth centres that have a population of less than 5,000 but have Town Council status or serve as district headquarters also fall in the urban sub-sector.

Sanitation is the joint mandate of Ministry of Health (MoH), the MoWE and Ministry of Education and Sports (MoES) according to a memorandum of understanding signed in 2001. The 10 year improved sanitation and hygiene strategy (2006) has three major objectives which are defined within the frameworks of PEAP and the sector improvement plan (SIP-15):

- Improved latrine coverage
- Improved hand washing practice
- Improved safe water chain

It presents strategies to create demand for sanitation, as well as addressing supply. It inputs into the overall sector investment plans within the three partner Ministries.

2.3.2 Sector Coordination

At national level, two committees have been established to provide policy and technical guidance for sector development.

⁸ Susan Dicklitch, 2002, NGOs in Uganda

The Water Policy Committee (WPC) and the Water and Sanitation Sector Working Group (WSSWG), chaired by the Permanent Secretary at MoWE meets at least every quarter and provides policy and technical guidance for sector development in the country. It comprises representatives from MoWE/DWD, NWSC, MoH, MoES, MoFPED, development partners and NGOs (represented by UWASNET and WaterAid). There are also national working groups for sanitation and the sub-sectors.

At district level, District Water and Sanitation Coordination Committees (DWSCs) have been established. Their membership consists of administrative and political leaders, technocrats and NGO/CBO representatives.

2.3.3 Policy and Regulatory Framework

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

- Constitution of the Republic of Uganda (1995). It states that “It is the duty of every citizen of Uganda to create and protect a clean, healthy environment”. (Chapter 3 Article 17)
- The Water Act, and accompanying regulations [Water Resources Regulations (1998), Waste Discharge Regulations (1998), the Water Supply Regulations (1999), Sewerage Regulations (1999)],
- The National Water Policy (1999), National Water & Sewerage Corporation Act (2000), Uganda Water Action Plan (1995) and
- Public Health Act (1964); Chapter 269 requires that every citizen is obliged to have access to a latrine at his/her home as well as all places of work to have latrines.
- The National Environment Management Policy (1994); The National Environment Act; the Environmental Impact Assessment Regulations (1998); and the National Environment (Standards for Discharge of Effluent into Water or on Land) Regulations (1999), National Environment (Waste Management) Regulations (1999)
- Kampala Declaration on Sanitation (1998), The 10 point sanitation implementation guidelines at local government level aims to mobilise local authorities and leadership towards a coordinated multi-sectoral approach.
- The Local Governments Act (1997)
- Land Act (1998), and the upcoming Land use policy
- National Health Policy and Health Sector Strategic Plan (1999)
- National Gender Policy (1997).
- Universal Primary Education Policy (1997). This policy aims at the rapid acceleration of primary school facilities and underlines the need for sanitation facilities.

2.3.4 Other Sector Stakeholders

The Ministry of Finance, Planning and Economic Development (MoFPED) mobilises funds, allocates them to sectors and coordinates donor inputs. The MoH is responsible for hygiene promotion and household sanitation. The Environmental Health Division (EHD) is the main part of the MoH responsible for the development and initiation of good strategies and approaches. It also provides support to the decentralised structures.

The MoES is responsible for hygiene promotion and sanitation in primary schools. The Ministry of Gender, Labour and Social Development (MoGLSD) is responsible for gender responsiveness and community development/mobilisation. It assists the sector in gender responsive policy development, and supports districts to build staff capacity to implement sector programmes.

Development Partners and NGOs play a big role in the sector. In 2005/6, budget allocations by development partners came to 71% of the total budget. The main development partners in the sector include DANIDA, SIDA, GTZ, French and Austrian Government, the EU, ADB, the World Bank and UNICEF. Government’s

ranking of donor support in order of preference is General Budget Support, Budget Support earmarked to the Poverty Action Fund, Sector Budget Support and lastly project aid. NGOs complement Government in sector service delivery in terms of both financing and implementation. The Uganda Water and Sanitation NGO Network (UWASNET)⁹ has mobilised sector NGOs in coordinated efforts, as well as liaising with major sector players. The NGO contribution is, however, mainly considered as off-budget. It is not included in direct funding analysis, although it is not insignificant at 5% in 2005/06¹⁰).

Local governments are empowered by the law (Local Governments Act 1997) to provide safe water and sanitation services. They receive funding (from government and development partners), and may mobilise local resources for providing water supply and sanitation improvement. Local governments also manage the processes of procuring private sector contractors, community mobilisation and overseeing coordination of sector activities.

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

Communities are responsible for demanding, planning, contributing, operating and maintaining most rural WSS facilities.

2.4 Water and Sanitation Sector Issues

2.4.1 Sector Performance Monitoring

The year 2006 marked the fourth Water and Sanitation Sector Performance Assessment. It draws on analysis from different sub-sectors and NGOs, and measures 10 Golden Indicators. They are:

- access
- functionality
- investment
- cost
- hygiene
- sanitation
- water quality
- gender
- management
- equity

Prior to 2003, the only way to assess overall sector performance was through numerous documents published by different stakeholders. Now there is a comprehensive analysis, and a synthesis of key performance information about the sector in relation to poverty eradication.

The following sections reveal the pertinent issues in the sector as agreed in the September 2006 Joint Sector Review.

2.4.2 Water - Rural

Although there is some controversy in the way that data is collected and analysed (see Table 1), there is no doubt that the last ten years have been a story of success in water provision. The access rate has climbed from around 35% in 1995, to 60% in 2006. Currently there is a debate that the recommended walking distance (i.e. from home to source) should be moved from 1.5 to 0.5 km.

⁹ Initiated by WaterAid and other stakeholders

¹⁰ Data from 40 NGOs in JSR report 2006.

The table below illustrates the dramatic changes in coverage estimates when using three differing ways of calculating access.

Table 1: Estimated Access to Improved Rural Water Supplies (June 2006)

Detail	Estimated Coverage	Estimated no. of users
1. DWD – MIS Approach (assuming 100% functionality)	61%	15,104,045 ¹¹
2. Situation Analysis approach. Assumes that a water source in a given sub-county or district cannot serve people in another sub-county/district (coverage limited to 95% in each sub-county).		
i. District reported functionality ¹²	51.6%	12,711,129
ii. 100% functionality	58.5%	14,409,349
3. Walking Distance Approach (assuming 100% functionality)		
1.5 km	51.7%	12,729,344
1 km	48.9%	12,045,681
0.5 km	33.8%	8,337,834

In the last few years, rural access to improved water supplies has not been improving tremendously. Currently it stands at 61% with a slight decrease of 0.3% from last year, indicating that increases in access to improved water are not keeping up with population growth.

2.4.3 Urban Water

Access to improved water supplies in urban areas is estimated to be 51%. Access to piped water supplies is 47%, while that of other improved sources (protected springs, deep boreholes with hand pumps, etc.) stands at 4%. Access to piped water in the 18 large towns served by NWSC is estimated to be 70% and that of 150 small towns is 98%.

2.4.4 Sanitation

There is a lack of reliable information on sanitation and it is clear that the sector as a whole is struggling to find the way forward. Whilst most actors in the water sector seek to comply with an integrated approach to water and sanitation, there are many public health initiatives that are hygiene and/ or sanitation only.

Some of the issues identified in the sector performance report are:

- There is a need to streamline and strengthen funding mechanisms for sanitation at all levels and sectors (water, health, education and local government)
- There is a need to improve inter-sectoral collaboration, especially at local levels
- There is a need to harmonise definitions and improve data collection methodologies
- The Kampala declaration should be re-vitalised and the roles of various actors (households, communities, leaders and institutions) re-emphasised
- Health campaigns that emphasise the importance of behavioural change should be promoted
- Appropriate latrine construction technologies should be developed and disseminated
- Funding for school sanitation should be prioritised

Rural Sanitation

The current rural coverage is 58% with a target of 62% in 2006/07. But there is considerable doubt expressed about the way access to sanitation is calculated, and to what extent coverage is an effective indicator for improved health. The MoH estimates that only 25% of rural households have hand washing facilities, and many less actually use them; although the importance of breaking the faecal oral route in the transmission of diseases was found to be well understood. Access to safe sanitation in schools is considered to be a major incentive for adolescent girls to continue with their education, as well as facilitating improved health for pupils. A school sanitation survey carried out in 2005 states an improvement in pupil stance ratio from 1997 (150:1) to 61:1 ratio, compared to a set standard of 40:1.

¹¹ Calculated as follows: Estimated no. of people served in 2005 plus people served by DWSCG, NUSAF and NGOs.

¹² Calculated using the GoU standard no. of water users for each functional water source as reported by District Govt divided by the total rural population. Due to lack of data, RGC schemes are assumed to be 100% functional.

Urban Sanitation

The service coverage for sewerage in large (NWSC) towns in June 2006 was about 7%. Sewerage extensions and connections are constrained by high costs (about Ug Shs 3,441¹³ per m³ of sewage compared to Ug Shs 586 per m³ of water produced). They are also limited by poor urban planning and the existence of alternative “on-site” sanitation facilities (septic tanks, latrines).

2.4.5 Equity in water supply

The Ugandan government’s water policy of 1999 espouses a “some for all, not all for some” principle. It seeks to ensure that resource allocation decisions taken at the lowest planning level (parish) are based on whether a particular village is better or worse off than its neighbours in that parish.

It is still a challenge in the sector to ensure the government’s Pro-Poor Strategy is put into practice, and to ensure equity at all levels. During financial year 2005/06, the urban sub-sector was allocated 72% of total sector funds. Of the total achievements for the small towns during the same financial year, 1% of the urban poor received water.

Furthermore, as appendix 9.3 depicts, there is a significant variation between and within districts in the distribution of resources. Inequity in access to improved water supplies between districts varies from 95% coverage in Kanungu, to less than 10% coverage in Kaabong. Within some districts, some parishes or sub-counties have better access to improved water supplies than others. Only 20% of rural sub-counties have estimated access to improved water sources of over 95%.

According to a WaterAid study carried out in 2005, the following factors affect equity in terms of resource allocation:

- Local decisions are taken on criteria other than equity (including political considerations)
- The demand responsive approach is not working in practice, (thought to be a result of poor information being provided to communities regarding their rights)
- There is a “no loser” planning criteria for allocation of sector funds between districts, whereby all districts are guaranteed a minimum of funding equal to their 2004/05 grant. Equity criteria are used only for funding over and above that level
- Planning and budgeting within sector ceilings limits the financial resources available to meet the required investment needs in any one year. This results in distortions when development partners/government allocate resources outside the equity criteria
- The ability to pay rather than equity is the key factor in determining access to urban water services
- NGOs, with donor support, sometimes work outside the equity planning criteria and there are no formal mechanisms to direct their activities.

2.4.6 Sustainability

The 2005 and 2006 sector performance reports place a great deal of importance on improving the functionality of rural water supplies in terms of management, gender, finance, technology and monitoring. WAU would add implementation methodology/ agency to that list.

Government figures indicate that, at any one time, around 20% of rural water points are not functioning. This figure may well be conservative, with our own research putting the figure closer to 30%.¹⁴ The reasons for non functionality of rural water points are many, are well known, and are mainly to do with empowerment.

They can be summarised as follows:

- Budget led planning cycles result in a rush to spend money and a neglect of good practice in community mobilisation
- Time limited (one year) projects do not have the capacity to continue support for communities in operation and management procedures
- District government does not have the capacity to effectively monitor, reflect upon, or take action regarding the (localised) reasons for non functionality
- The spare part chain is not functioning well, and remains an issue the sector needs to assess.

¹³ £1 equates to approximately Ug Shs 3,400 (in 2006).

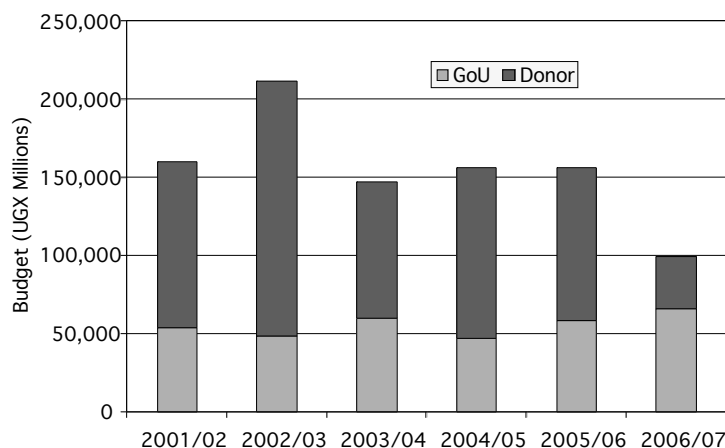
¹⁴ The “Technology Study”, WAU 2006.

Regarding sustainability in urban water supply, NWSC supplies around 152,000 customers of which 130,000 are active connections. Water is supplied for an average of 20-24 hours to all customers in most towns. In the financial year 2005/6, 53 of 57¹⁵ (93%) urban piped water supplies were providing water to users throughout the year.

More recently, water supply in urban towns has been intermittent due to dropping lake and water basin levels in a number of areas, and increased power outage which hampered pumping mechanisms.

2.4.7 Sector Financing

As the figure below shows, there has been a decreasing sector budget over the last five years, from slightly above Ug Shs 210 billion in 2002/3 to Ug Shs 99 billion for 2006/7.



Presently, the government - through the Medium Term Expenditure Framework (MTEF) - sets ceilings for funding to the various sectors. In the WSS sector, the different sub-sectors have developed investment plans (SIPs) to meet their MDG targets. Currently, rural water is allocated \$18 million compared to a minimum annual investment of \$29 million (Ug Shs 51 billion) required to meet the PEAP target of 77% rural water supply coverage by 2015.

The Urban WSS investment requirement to provide 100% coverage by 2015 is estimated at \$381 million. The current funding level of approximately \$20 million per annum implies a financial gap of \$11.8 million per year. The 10 year Improved Sanitation and Hygiene (ISH) strategy of 2006 estimates the investment required over the next ten years as \$22.5 million (Ug Shs 39.4 bn). Currently there is no specific funding allocation to sanitation and in the financial year 2005/06, only 5% was spent on hygiene and sanitation.

2.4.8 NGO Input

Over recent years UWASNET has found it difficult to obtain information about NGO inputs in the sector. Last year there was improvement, from 25 to 40 NGOs, reporting their input (out of 150 member NGOs). Together, they were reported to have contributed a total of \$3.1 million (Ug Shs 5.488 billion). This does not include overheads (transport, salaries, office rent), which are estimated at another 30%.

A total of 11% of NGO direct investments were made into latrines, hand washing, latrine platform promotion and wastewater drainage. Comparisons between the NGO expenditure and DWSCG expenditure in the financial year 2005/6 show that, in some districts, NGO contributions are considerable. The most significant ratios of NGO: DWSCG expenditures are in Katakwi/Amuria (2.61); Kasese (0.91), Kabarole (0.91), Pader (0.81) and Wakiso (0.28).

One of the key recommendations of the 2005/06 sector performance report was that government and development partners should boost NGO/CBO involvement by providing mechanisms to enable them to access more funds and to collaborate more closely.

¹⁵ The 57 towns that are overseen by Water Authorities Division of DWD

2.5 Obstacles and opportunities for access

The following table outlines the main perceived constraints to, and opportunities for, increased access to WSS for the poor in Uganda.

Table 2: Obstacles and opportunities for access

CSP section	Obstacles	Impact	Opportunities	Objective/section
2.1.4	Falling water tables due to drought/ climate change	A noted lack of sustainability unless action is taken to make water supply technologies more appropriate	Change design of shallow well (bigger diameter) to facilitate upgrade in case yield reduces. Increase use of rainwater harvesting for areas with low potential for groundwater abstraction, and for very sparsely populated areas. Adopt borehole technology for most water sources. This will mean a large increase in the budget but will ensure quality and affordable services nearer to people.	1
2.2.1	Ongoing poverty and high levels of insecurity in the North and East regions	The North and East regions lag behind in socio-economic achievements	A deeper analysis of poverty and how it affects access to WSS services. Work in the most marginalised areas, and with the poorest sections of society in those regions	5.1
2.2.1 2.3.2	Communities are not homogenous	The poorest are not targeted and often remain un-served	Carry out research to define marginalised groups. Identify and reach the most disadvantaged people in the sub-counties and communities	5.1
2.2.1	Lack of transparency and accountability at all levels	Inequitable resource allocation and poor quality of work	Strengthening mechanisms of sector performance monitoring; strengthening rooted advocacy at all levels. Partnering with anti corruption coalitions and the media to disseminate findings to encourage transparency and accountability.	3
2.2.3	Low capacity of CSOs to implement programmes and policy	Inability of the majority of CSOs to have a sustained impact on MDG targets; CSOs are often donor led.	Build the capacity of partners' programme and policy implementation. Develop WAU's portfolio of strategic partners which compliment each other	5.2
2.4.2	Definition of access to safe water is not standardised across East Africa	Unable to benchmark coverage rates against other countries, which affects donor funding prioritisation.	Standardise WAU's definition of water access in line within East Africa and lobby government to adopt this.	3
2.4.5	Allocation criteria of resources between and within districts does not address issues of equity	Relatively well served districts and communities continue to receive high levels of funding	To lobby for a more equitable distribution of resources to under served areas by applying easily understandable equity criteria. Promote harmonised participatory planning within the local government.	3
2.4.5	Funds are allocated according to the Demand Responsive Approach (DRA)	Some communities do not voice their demands and remain un-served	Sensitise communities to DRA policy and link it to the HPP process. Investigate methods of linking livelihood approaches into our work.	1, 2, 3
2.4.4	Lack of prioritisation and effective coordination of hygiene/sanitation within the sector	Limited fund allocation to hygiene and sanitation. Low hygiene and sanitation coverage.	Lobby for increased funding to hygiene and sanitation within the sector and prioritise this within WAU programmes Develop and promote 'best practice' in programme work at all levels	2, 3
2.4.7	Donor funding is channelled through budget support	NGOs have limited access to conditional grants and therefore have to apply for external funding	Put mechanisms in place to help NGOs access conditional grants. Build partners' capacity to access external funding.	3, 5.2
2.4.7	MoFPED applies sector budget ceiling within the limited national budget	Limited availability of funds in the sector to achieve the MDG targets and sustainable coverage.	Lobby for an increase in the sector budget ceiling and monitor the effective utilisation of funds at a district and national level.	3
2.4.5	Un-coordinated sector planning at a district level	Inadequate planning and inequitable allocation of resources. NGOs and other stakeholders' contribution not recognised.	Strengthen UWASNET and district water and sanitation committees, coordination and monitoring mechanisms.	1, 3
2.4.5	Policy and practice are often worlds apart	Policies are not implemented and do not apply programme learning	Disseminate and popularise policies at all levels. Carry out policy impact assessments and disseminate findings at all levels.	3

CSP section	Obstacles	Impact	Opportunities	Objective/section
2.4.6	The government applies a one year budget cycle; poor O&M at the community level	Low functionality rates of WSS facilities	WAU to move from one- to three-year budgeting and planning. Promoting appropriate technology and applying effective monitoring and evaluation systems. Develop community O&M framework based on the national model.	1, 2
2.1.4	The new national guidelines on WRM (inc. water quality) are not being widely applied at the programme level	Inconsistent data, pollution and depletion of water sources	WAU and partners to internalise and operationalise the new national guidelines. Promote and apply appropriate technologies and water catchment management. Sensitise communities on water resource management and incorporate these into community O&M training. Develop strategic partnerships with organisations such as BGS, WRMD, NBI.	1

3 WaterAid in Uganda

WaterAid Uganda has 23 permanent employees, and up to four graduates or volunteers working in the three offices at any one time. The expenditure for 2005/06 was £823,682 and is estimated to be £936,777 in 2006/07. For 2005/06, our headline water user beneficiary count was 16,034, with a cost per direct water user of £17.60, and a cost per direct sanitation user of £9.60.

3.1 Rural

WaterAid's service delivery work in Uganda is based on a concept of district support. The strategy, as articulated in 1999, was to support the decentralisation process in Uganda by building capacity with various partners in the chosen districts (Katakwi, Amuria, Mpigi, Wakiso, Kampala and Masindi). It explicitly recognised the role of district government in overseeing the implementation of WSS activities.

In reality, the programme has struggled to bring WAU partners together to create a coordinated programme and to assist the district government to bring other partners on board. Nevertheless, an April 2005 evaluation of the district support programme found that it had had a positive and significant impact on service delivery in the chosen areas.

The following table gives comparative coverage figures for rural water supply in the areas where we have district support and service delivery programmes. It is taken from the water and sanitation sector performance report (using the DWD District situation analysis). As noted previously, these figures do not capture the wide variations in coverage between sub-counties and parishes within a district, and such data is not yet gathered on a systematic basis.

Table 3: Rural Water Access Data (Sector Performance Report 2006)

District Programme	% Coverage	% Coverage based DWD MIS	% Functionality
Amuria	45	53	72
Katakwi	53	65	70
Mpigi	54	55	92
Wakiso	43	49	84
Masindi	52	62	70-80
Kaabong (worst)	9	?	Below 60%
Kanungu (best)	95	?	70-80
National (average)	61	?	82

In Katakwi the sub-county coverage varies between 100% and 33%, in Mpigi between 100% and 22% and in Wakiso between 100% and 7%. The average coverage in all districts where WAU works (except Katakwi and Masindi using MIS data) is still below the national average coverage of 61%. This is a reasonable justification for the organisation to continue to work in those districts for the short-term, but to concentrate in the least served sub-counties.

Lesson Learnt from Rural Water:

1. Operation and management (O&M) systems for water points still tend to have long-term fragility.

Key shifts proposed:

- Promote appropriate/innovative approaches to O&M
- Commitment to institutional support for O&M/back stopping O&M management mechanisms
- Lobby government to be explicit with O&M/capital cost contribution money, to support village level operation and maintenance structures

Lessons Learnt from Sanitation:

1. There is no planning framework for sanitation
2. There is a need for differentiating sanitation (especially, environmental sanitation) in urban areas
3. There is a need for more financing for sanitation
4. The technology currently being promoted at household is too expensive

Key shifts proposed:

- WAU will develop its sanitation strategy and approaches
- Commitment to longer period for sanitation
- Commitment to institutional and funding aspects
- Target institutions, schools, health centres, markets for sanitation work
- Commit ourselves to investigating possibilities for support to school sanitation and hygiene
- Target faith-based or cultural institutions that the communities believe in
- Commit to getting and refining different approaches to increase sanitation initiatives

3.2 Urban

The urban sub-sector is relatively new for CSOs in Uganda. WAU's urban programme only began in July 2004, with focus on poor slum areas in Kawempe Division, Kampala. The programme involves hygiene promotion, capacity building among the community and partner staff, and the provision of water and sanitation infrastructure and support mechanisms for sustainable service delivery.

The programme's main objectives are to contribute to increasing the water and sanitation coverage, and to develop – as well as promote – approaches that will ensure service sustainability to poor communities. As with the rural programme, the partnership approach is adopted. The use of participatory approaches is also promoted: community participation and involvement takes place through varied mechanisms, including capital cost contributions, the use of community support structures for hygiene and sanitation promotion, as well as management of facilities provided.

In addition, a citizen's action project is being implemented that focuses on empowering communities to address water and sanitation issues through a better understanding of policy, rights and financial regimes. It also aims to foster dialogue between stakeholders to address unmet water and sanitation needs. Sanitation social marketing is also being explored as an option for improved sanitation access. In line with this, formative research was undertaken to inform the subsequent stages of product development and communication strategy formulation.

Lessons learnt:

1. The concept of community does not transfer from rural to urban areas. There is a need to build on current initiatives to find new ways to work with the urban poor. These might include social enterprises, social marketing and targeted subsidies.
2. Our citizens action project (CAP) has demonstrated that increasing access to information is a powerful development tool in urban areas. We need to amplify the impact of this work by, for example:
 - Working with interest groups to take forward dialogue with decision makers
 - Create awareness through public information campaigns
 - Directly fund activities that address some of the WSS priorities identified by CAP
3. Sector concentration on coverage, and access to sanitation rather than use of safe sanitation facilities, has distorted the true sanitation picture in urban areas. We need to take forward our ideas for reaching the urban poor with our sanitation programme by for example:

- Alternative sanitation approaches
 - Affordable pit emptying facilities
 - Understand how the urban poor cope with existing sanitation facilities
4. The urban sector is very complex and WaterAid alone can have very little impact. Perhaps the most important thing we can do is to work in collaboration with others.
 5. Our environmental sanitation interventions in Kampala are the most effective thing we have done. We should make environmental sanitation the core of our work by concentrating on:
 - Surface water drainage
 - Solid waste disposal
 - Micro bore drains
 6. Our current urban work concentrates on Kampala. Given the scale of the problems there, we will concentrate the bulk of urban work in the capital, but where there is a particular need (such as long-term internally displaced persons camps) we will work in small towns or rural growth centres.

Key shifts proposed:

1. Focus urban area work on the poorest: Kampala slums and peri-urban areas; and long-term IDP camps in existing areas of operation
2. Stay in areas where sanitation is still an issue
3. Develop an urban strategy
4. The urban percentage of the programme budget should be at least 15% (from 6% in 06/07)

3.3 Advocacy

WAU's advocacy programme began in 2003. It has been largely supported by DFID since 2005, with the following objectives:

- Support effective monitoring, evaluation and documentation of WSS services for delivery of sustainable and equitable facilities
- Promote understanding and effective implementation of WSS policies
- Facilitate capacity development by districts, and scale up the delivery of sanitation services to the poor

Whilst it is too early to measure the impact of this work, our overall impression is that our advocacy work is well respected and has the possibility of making a positive impact on the sector.

Lessons learnt:

1. The process of feeding up issues from the local level is essential if policy makers are to be able to respond to the priorities of poor communities
2. WAU needs to demonstrate, through practical experiences, that sustainable and equitable WSS are essential to the achievement of the Uganda MDGs
3. WaterAid has been working with implementing partners to build their capacity to undertake advocacy work, but is still unclear as to the differentiation between our work and the work that we expect partners to carry out
4. In seeking to capitalise on the many opportunities for research and advocacy, we feel that we are spreading ourselves too thin and need to develop mechanisms for prioritising our work

Key shifts proposed:

- Clearly identify levels of intervention, for example at national, district and partner/community level
- Make a distinction between policy analysis and monitoring of policy implementation, and attempts to influence policy reform and policy implementation
- Rethink our learning and advocacy approaches
- Aim to allow programme work to lead WAU's advocacy objectives, with rooted advocacy taking the lead. Commit to continuity of themes vertically through the various levels
- Develop adequate documentation, packaging, distribution of information for different audiences and set up mechanism/frameworks to encourage information flow

3.4 Strengthening Local Government

The district support programme has been implemented in the districts of Katakwi and Amuria in the north-east of Uganda, Mpigi and Wakiso in central Uganda, and recently Masindi in mid-western Uganda.

Support provided to local government has been in sector co-ordination, strengthening systems such as sector databases, water quality surveillance, participatory planning and O&M. Working within the context of local government reform, decentralisation underlies our approach to rural service delivery and advocacy. Looking ahead, WAU will place rural service delivery work within the local government development plans.

Lessons learnt:

1. Local government is weak in implementing policy and designing programme development. There is a bridge between policy and practice that needs to be strengthened
2. It should not be assumed that local government technocrats will take on prescribed roles and responsibilities in a joint programme. There needs to be a comprehensive analysis of those roles, establishing enabling factors for their effective participation and agreeing on appropriate levels of accountability

Key shifts proposed:

- Strengthen awareness of sector policies and the bridge between policy and practice
- Closer joint planning with local governments, and stronger collaboration between all stakeholders – especially between local government and NGOs operating within a district (ideally captured ‘on budget’)
- Clearer and more transparent criteria are needed to determine WAU and partner priorities in service delivery
- Proactively enable coordination and information management
- Develop a sustainable mapping strategy as a tool to improve local government planning and equitable allocation of resources

3.5 Pro-poor growth

As part of the strategic planning process, there has been some reflection on WAU’s targeting priorities. Consensus is building towards stronger clarity in this area. While there has been recognition of some excellent work through a number of very committed partners on the ground, there has also been an impression at various levels (internal and external) of declining programme impact. Staff are keen to reverse this, and there is a clear commitment to strategic scaling up of the country programme.

Lessons learnt:

1. If WAU is to maintain a pro-poor approach as its priority, it should justify where it works and aim to strengthen its geographical targeting. Also needing strengthening is the way WAU identifies the needs of, and targets, vulnerable groups such as the disabled, those living with HIV/AIDS, older people and others
2. Constant effort is needed to develop efficient WSS programmes and keep them at the cutting edge of good practice. These efforts need to be captured more effectively in programme documentation and ‘sold’ to the key internal and external stakeholders

Key shifts proposed:

- Review human poverty index, vulnerability issues, partner capacity and coverage as the key criteria for monitoring our work and developing possible new geographical areas of work (i.e. those in bottom quartile)
- Develop and implement an exit strategy for Wakiso and Mpigi districts if they fail the criteria
- Commit more strongly to working in poorly served sub-counties in our current districts
- Develop ways to encourage/ensure the scaling-up of ‘good practice’ models and levered income (priming the ‘replication pump’)
- Ensure quality programming (including advocacy), innovation and more effective ‘marketing’ of the good work on the ground. WAU should document its experiences and publicise the organisation’s successes rather than expecting the successes to speak for themselves.

3.6 Organisational learning

The country programme review (June 2006) found that WAU has a very able team of sector professionals, with the knowledge and ability to perform well. It also highlighted some organisational development issues that are having a direct impact on WAU’s ability to deliver on its strategic objectives.

Lessons learnt:

1. There is some confusion as to the role of WAU and the role of its partners, especially in the case of UWASNET, but also in its service delivery programmes
2. Although WAU is respected by its partners and other stakeholders, there is a strong feeling that WAU requirements, especially financial, are defining our relationships. Fiscal plans are at the heart of WAU planning and overwhelm other planning processes
3. Staff do not plan or work in formal teams, and interdependence is not valued.
4. Staff do not have a clear understanding of the role of managers and leaders or of staff development; MIS is underdeveloped as a management tool and (possibly) passively opposed.

Key shifts proposed:

- For WAU to maximise its impact and sustainability a greater clarity of focus and direction is required, including a prioritisation of activities. A key part of this will be:
 - A commitment to a strong, coherent programme approach (rather than numerous projects)
 - WAU's approach to partnership, and the selection process of partners, will be clarified and consolidated (including capacity building) as a core approach to promote sustainable development
 - Commitment to deepen programming to address issues of equality (and particularly gender), HIV mainstreaming, environment and WRM
- Make financial and administrative functions more partner-friendly, whilst keeping transparency and accountability adequate.
- Bring quality, joined-up programming back into the centre of WAU's priorities and have a better balance between programming and support functions
- Review current management systems to ensure greater coherence and cooperation between service delivery and advocacy units within WAU
- Develop the senior management team so as to foster strong leadership and good management

3.7 Conclusion - WaterAid's role

The overall analysis is that the WSS sector in Uganda is well developed in terms of regulation and policy. But it is still struggling to bring policy and practice together. There is a limited understanding of the impact of sector policy and practice on the lives of poor people, especially in terms of equity, livelihoods and IWRM.

This would indicate a WAU role that is governed by the need to go deeper, rather than broader, in order to add significant value to the sector. During the life of this strategy WAU will continue the direction of its policy analysis and advocacy work. It will develop partnerships with research agencies and other WSS stakeholders, to help it carry out long-term research into the relationship between poverty and access to services. It will also research action orientated M&E procedures that facilitate a pro-poor approach to our service delivery work.

It is also clear from the external and internal analyses that there remains a huge gap between available investment and investment needed to meet the MDG and PEAP targets in the sector.

This indicates a WaterAid responsibility to scale-up its own work in a strategic way and to develop ways of proactively stimulating the replication - or funding of the replication - of proven interventions by CSO partners, other CSOs, government at various levels, and development partners.

4 Country Programme Objectives

4.1 Vision

WAU's vision is:

A Uganda where all people have access to safe water and adequate sanitation

4.2 Mission and Goal

WAU's goal or mission is:

To contribute towards the provision of sustainable and equitable safe water and adequate sanitation to the poor through advocacy and strategic partnerships.

This will be achieved by:

- **Working with partners**¹⁶ to develop an engagement process that clearly defines a joint programme of work to achieve the mission, and acknowledges the need to support partner capacity in practical programme skills. WAU recognises that civil society is heterogeneous in nature, and that CSOs reflect this diversity. The choice of partner will be determined by the context (e.g. urban vs. rural, or extent of marginalisation), the type of intervention planned (e.g. service delivery vs. advocacy or type of expertise needed) and the particular target group.
- **Demonstrating and stimulating ways of scaling up** the delivery of sustainable and equitable water, sanitation and hygiene promotion within the context of the Government of Uganda's decentralised policy environment.
- **Investigating barriers** to sustainable and equitable water, sanitation and hygiene promotion service delivery. This will include making evidence-based arguments for the improvement of the decentralised delivery of those services.

4.3 Strategic Objectives

4.3.1 Strategic Objective 1: to demonstrate and stimulate the scaling up of water supply services to improve access in line with MDG and PEAP targets.

Indicators: Increase access to safe water from 20,000 to 39,000 users annually by 2011, in partnership with local government, private sector and CSOs.
Raise users from levered income to 20,000 people per annum.

This target anticipates an almost 100% increase in water users from our current count of about 19,000 per year. A phased increase (see section 9.2) will be achieved by increasing the total country budget and by directing more resources to partners.

Whilst difficult to quantify, it is anticipated that extra users from levered income will arise from the increased capacity of partners to fundraise outside of their WAU partnership and their engagement with government and other NGOs. It is also anticipated that the current reluctance of some partners to share details of their programmes funded by other agencies will diminish as longer-term relationships engender a more open atmosphere.

Key aims:

Rural

- 1.1 We shall support sector coordination in our project areas, and develop and promote best practices for equitable and sustainable service delivery. This work will include:
 - o The development of clear and transparent criteria to determine what local government priorities WAU and its partners will support, for more equitable and efficient pro-poor service delivery
 - o Support to develop district plans aimed at achieving local MDG targets, based primarily on water point mapping as part of appropriate district-based information management systems
 - o Support to district local government to build skills and systems to enable it to participate in joint coordination, support and monitoring of projects (in partnership with communities, local NGOs and the private sector)

¹⁶ The term 'partner' is used here in general terms to mean 'collaborating organisation' and could be an NGO, CBO, research organisation or government structure.

- 1.2 Our rural programmes will include direct funding for the rehabilitation and construction of new water facilities for communities and vulnerable households.
- 1.3 WAU will build on existing work with the Directorate of Water Development, and continue to support the prioritisation of self-supply in the sector as a contribution towards fulfilling the MDGs.

Urban

- 1.4 In line with the complex nature of work in urban areas, we recognise the need for a defined focus. By December 2007, we will have developed an urban strategy. We will increase urban investment¹⁷ to at least 15% of the country programme budget by 2010.
- 1.5 We will continue to follow progress and trends in urban water sector reform, and monitor the outcomes of the water dialogues. We will ensure that the urban poor are prioritised in private sector plans and identify opportunities for our intervention.
- 1.6 Our current urban work is only in Kampala; but it will be scaled-up to support the provision of water supplies and sanitation systems for up to one urban centre every two years within our wider areas of geographical focus. Identification of these centres will be based on national priorities, as well as pro-poor targeting criteria (such as the presence of IDPs or other vulnerable populations).

IWRM

- 1.7 WAU will deepen the understanding of IWRM by its own and implementing partner staff, in order to adequately provide for it in our work. This will eventually inform the development of an IWRM guideline to ensure that interventions fall within the context of the national WRM strategic plan (by April 2008). It is hoped that the 2006 Joint Sector Review undertaking "to prepare and test a framework for participatory IWRM", will contribute to this WAU guideline.
- 1.8 In the interim, we will continue to integrate WRM into planning and implementation activities at district and community level. We will support districts to undertake water quality monitoring/ surveillance, proper geophysical/ hydro-geological investigations and sanitary surveys, as well as participative project design and implementation procedures. We shall also continue to promote and apply appropriate WRM approaches like Ecosan latrines and rain water harvesting, as well as engaging in water catchment management practices at the lowest possible level.
- 1.9 We shall internalise the new National Water Quality Strategy by August 2007, in order to adequately provide for it in our project work. WAU's water quality policy will be amended accordingly

Sustainability

- 1.10 Operation and maintenance (O&M) is a persistent issue in the sector, and it was again prioritised in the 2006 sector review. During the life of this strategy, WAU will promote appropriate/ innovative approaches to O&M, and support the strengthening of O&M and M&E systems. This will include exploring sub-county based mechanisms for effective implementation of the national O&M framework.
- 1.11 We will support interventions with community-based management systems over at least three years, and we will strengthen existing institutional frameworks and encourage long-term backstopping from local government and/or Faith Based Organisations.
- 1.12 We shall lobby government to be clearer about their commitment to supplement village level O&M.

4.3.2 Strategic Objective 2: to demonstrate and stimulate the scaling up of sanitation service provision in line with PEAP and MDG targets.

Indicators: Increase access to adequate sanitation from 10,000 to 39,000 users annually by 2011, in partnership with local government, private sector and CSOs.
Raise users from levered income to 15,000 people per annum

The increase in sanitation users will be quite dramatic (from the current 9,000 to 39,000), reflecting the national need for more sanitation work. In the short-term, this will depend on beginning sanitation-only programmes in rural growth centres. In the longer-term, this will be achieved through extended engagement periods (up to 3 year projects) and improved M&E procedures.

¹⁷ Much of our current project work in central region (although now classed as 'rural') is in fact peri-urban in nature, and we are also anticipating working in rural growth centres during the life of this strategy. Additionally, some of what we currently refer to as advocacy work is focused on our urban work and should be considered as part of this target.

Key aims:

- 2.1 **WAU shall place a renewed emphasis on hygiene promotion and sanitation. By June 2007, it will develop a Sanitation and Hygiene Strategy to reflect this commitment and clearly define our approaches.** As part of this we shall continue to play a leading role in the WASH campaign and engage in school/ institutional sanitation. Our current project cycle is based on an annual planning cycle, which limits engagement with any particular community to one year or less. Whilst it is possible for water supply work to be completed in this time frame, it has serious implications for sustainability, achieving hygiene behaviour change and gaining adequate access to sanitation. From April 2007, we will extend our engagement with communities to multi-annual project cycles. There will be a renewed emphasis on geographic concentration, to enable cost effective approaches to long-term engagement. Interventions will emphasise community-centred management systems and will build on our current experience with the ten family cluster approach and the use of village health workers.
- 2.2 We will adopt the principle of 100% access to WSS services in the communities where we work, and to take specific measures to ensure that the poorest sections of the community are served.
- 2.3 Sanitation receives a very minimal percentage of funding, even though it has been identified as a key priority during successive sector reforms. We shall continue to demonstrate an increased investment in sanitation and hygiene across all of our projects, and we will explore sanitation only projects. We shall also lobby for increased funding for hygiene and sanitation within the sector.
- 2.4 WAU will continue its active involvement as member of the national sanitation working group to ensure that sanitation is prioritised in the sector, and that best practices are identified and promoted.
- 2.5 Sanitation in unplanned areas is a great challenge. Through our urban programme, we have started to explore use of sanitation social marketing; we shall develop this further and explore appropriate solutions to garbage and excreta management like recycling and latrine emptiers. This will require better understanding of market dynamics, and the social marketing concept.
- 2.6 We shall engage in environmental sanitation in urban areas, including institutional sanitation, solid waste management and surface drainage using appropriate approaches and market mechanisms.
- 2.7 In our rural projects we will develop appropriate solutions that target communities in a context-specific way and there will be focus on social as well as health benefits. This will involve the development of various design options to improve community choice and support for gradual succession on the sanitation ladder (i.e. not expecting communities to jump from nothing to very smart latrines) while clearly defining and promoting “adequate sanitation”. We will also develop promotional materials, manuals and approaches in line with sector strategies; amending our technical and implementation manuals accordingly. We shall develop the use of radio advocacy and drama as tools for participatory sanitation promotion.
- 2.8 Building on our experience with Mpigi district, we will support districts to develop frameworks for improving sanitation and support their implementation in line with the new national Integrated Sanitation and Hygiene (ISH) Promotion Strategy.
- 2.9 WAU will share and promote best practices and approaches using evidence-based interventions. This includes current work on scaling up the Kampala Declaration on Sanitation in three districts of Nebbi, Arua and Masindi with the Environmental Health Division of the Ministry of Health.
- 2.10 We will strengthen existing institutional frameworks and encourage long-term backstopping from Local Government and Faith-Based Organisations and support sector co-ordination in our project areas.
- 2.11 We will continue to support the Mbale School of Hygiene and other universities with courses training up sector professionals. We will support capacity building in these institutions where appropriate (such as in the Mbale School of Hygiene to adequately undertake its mandate and to ensure health workers can deliver quality preventative health services for sustainable socio-economic development).

4.3.3 Strategic Objective 3: To advocate for sustainable and equitable WSS services to the poor through demonstrating practical examples, monitoring and analysing sector policies.

This objective is closely related to the first two strategic objectives. It serves to emphasise the special role of advocacy in increasing the profile and impact of WAU’s work ‘on the ground’. We have categorised our advocacy work into three levels of implementation, with the objective of further integrating it into our service delivery work.

Rooted Advocacy (local/micro)

There is national agreement on the need for community involvement in water supply and sanitation development. Corruption appears to be rising in the sector, so there is need to raise debate on accountability and transparency, especially among government at all levels and civil society.

In order to contribute to this, we will continue to implement the Citizens' Action project and policy monitoring that is being implemented by UWASNET member NGOs. This provides communities with methods to help the poor understand and document their water and sanitation services. It will help all parties to engage in ongoing dialogue, so that service providers and governments can be held to account for service delivery and policy prioritisation.

Detailed research will also be carried out at community level to document the positive impacts of good WSS services. This will be linked to advocacy that will be carried out at both local government and national levels for more funding in the sector.

Key aims:

1. Develop NGO partner capacity to participate more fully in policy analysis, dialogue and influencing, as well as to operate as more independent organisations
2. Strengthen our analysis of sector performance monitoring at community and district level as the foundation for rooted advocacy
3. Promote transparency of resource allocation and fund use at parish, sub-county and district level
4. Monitor and document project work to identify best practice, impact and lessons learnt for sharing with other stakeholders

District/ Meso

We will aim to improve planning and governance at local government level through establishing and supporting the updating of district water point mapping and MIS. This will address issues of equity and monitoring and will further inform our work with districts to localise MDGs and meet PEAP/ MDG targets. We will further investigate effective use and equitable distribution of funds at district and lower level.

We also aim to work with districts to investigate and address sustainability issues. The scaling-up of the Kampala Declaration on Sanitation will continue in the three districts to generate best practices to be replicated at national level.

Key aims:

1. To improve efficient and equitable allocation of resources by establishing and supporting the updating of district water point mapping
2. Demystify and promote the localising of MDG targets at district and sub-county level for better planning and attainment
3. Strengthen coordination of sector actors through different fora, to develop consolidated plans, harmonise approaches and share best practices
4. Develop clear and transparent criteria to determine what local government priorities WAU and its partners support for a more efficient pro-poor service delivery
5. Promote the capacity of local government staff, through improving their planning, monitoring and analysis according to the local government capacity building framework
6. Identify gaps in policy understanding and implementation
7. Disseminate simplified or popularised policies through district forums

National/International/Macro

At national level we will continue to be active in monitoring sector effectiveness and efficiency. We will advocate for more funding through linking our work at community and at local government level.

We will monitor the outcome of the multi-stakeholder reviews of private sector participation and urban reform to ensure that the poor are prioritised in urban plans. We will support the prioritisation of self-supply in the sector as an important contribution to fulfilling the MDGs. We will seek to strengthen participation of networks such as UWASNET and the African Network of Civil Society Organisations in Water (ANEW), as they monitor and critique sector policies and strategies; and as they engage in policy dialogue with international financial institutions like the African Development Bank and European Union's Water Initiative.

We will also link up with WaterAid UK and other country programmes to contribute to macro level policy debates and advocacy work.

Key aims:

1. Increase WAU's advocacy capacity through good policy analysis links to the rooted advocacy mentioned above and thus ensure constructive engagement; speaking from evidence not rhetoric
2. Work through networks beyond project partners to influence the policy and practice of government and other actors in the sector
3. Improve the profile of WAU and partners among government, development partners and communities
4. Advocate for more funding for NGOs through supporting UWASNET as it justifies the input of NGOs in the sector
5. Mainstream advocacy activities and include them in proposals; ensure they are systematically recorded by WAU and partners
6. Reinforce the monitoring of project work by researching, documenting and disseminating lessons learned
7. Enhance the knowledge of policies and practice in the sector through popularising policies and sharing good practice

4.3.4 Strategic Objective 4: to continue to develop WAU as an efficient and effective organisation

Growth and fundraising

Indicators: The scale of growth will not be less than a 10% annual increase in country budget; WAU aims to be supporting long-term activities in 15 districts of Uganda by the end of 2010

Increased contract funding ratio meets the standard of 40:60 by 2010

Through planned growth, WAU seeks to increase the number of people who benefit from its programmes while maintaining or increasing the quality of its service. To do this effectively, WAU will both scale up its level of activities in existing programme areas, and expand its remit into at least one new district by 2011.

Selection of districts will follow poverty criteria provided by the national census and the UNDP Human Development Report rankings. Clarity will be needed about how and why we are scaling up our work, given that our aim is to optimise the catalytic effect of our work to lead to more economically poor and excluded people gaining access to adequate, affordable safe water and sanitation. WAU will seek the best way to realise its aims and ensure that growth, while not reducing the quality and sustainability of its interventions.

WAU will strengthen its budgetary planning, making it multi-annual. The traditional system of developing annual budgets will therefore change to a longer-term. Financial systems will be developed to be able to cope with various budgetary periods and the financial reporting requirements of different development partners (see WAU funding strategy for more detail).

Current trends in funding (which include unrestricted funds from the general public, reluctance on the part of development partners to fund certain overhead costs, and the shift in emphasis to funding southern NGOs and government budgets directly) pose some challenges to WAU in obtaining contract funding. The draft funding strategy will set out ways for WAU to proactively identify a range of funding sources to enable country programme growth. As WAU's approach of working with and through NGOs is strengthened, ways of linking groups to external funding sources will also need to be found.

Key aims:

1. At least three new donors (including corporate options) will be approached for funding by 2010
2. At least one new donor will be providing funding by the end of 2007/08
3. More funds will be received (10% per year)
4. 75% of funding is will be multi-annual (ongoing)
5. Support long-term activities in 15 districts of Uganda by the end of 2010.

Participatory Planning, Monitoring and Evaluation

Indicator: Effective and efficient participatory planning, monitoring and evaluation systems in use.

WAU is committed to involving all stakeholders in the ongoing planning, monitoring and evaluating of its interventions. This not only holds WAU accountable to its partners and target group, but also ensures that information is flowing between stakeholders. This leads to the sharing of learning, best practices and appropriate programme activities, and ultimately, the better achievement of objectives.

Key aims:

1. WAU and partners improve their performance in programme design and implementation.
2. Review and document WAU PM&E systems by September 2007.
3. Develop PM&E action plans annually and use them effectively in each regional programme
4. Improve quality of progress reports by WAU and partners
5. Carry out annual reviews each year

Information and Communication Technology (ICT) and Organisational Learning

Indicators: Timely and easy access to information

Effective systems ensuring that sharing of lessons and experiences feed into policies, procedures and programming.

In order for WAU to function effectively, it is important that the ICT systems are working well. This not only allows timely financial and programme reporting, but also assists the team to access training information, development journals, and online networks. It also promotes information sharing and learning between programmes; ultimately improving our overall performance.

WAU is committed to establishing a learning culture throughout the organisation. While WAU has shown itself to be quite good at problem solving, we have struggled to fully understand the impacts of our work and relate those impacts to our initial assumptions in future project design. Although much has been achieved and many valuable lessons have been learnt, WAU has not fully documented and circulated these experiences. This is a limiting factor for the replication of model approaches, restricting impact and more levered WSS users.

WAU will seek to promote learning at different levels of the organisation, including project-focused learning and advocacy-related learning. The former will be done through participatory and formal project monitoring/evaluations. The latter will ensure we can influence the policy and practice of other organisations. Better documentation will maximise these opportunities.

Key aims:

1. Carry out joint stakeholder planning (within WAU, with partners) that values dialogue and embraces multiple perspectives
2. Ensure M&E data is well captured and used to enable learning. In particular, carry out structured reflection action cycles that question why we are doing something, initiate dialogue about change and elicit buy-in for action. Use peer reviews (between departments, between partners, between communities) in M&E procedures
3. Identify and participate in appropriate networks/ associations, both local and international, so as to obtain and share information and learning. Actively encourage other actors to adopt and replicate WAU approaches
4. Ensure that the resource centre is well managed and kept up to date
5. Explore innovative ways of ensuring that staff make more use of existing resources such as documents, videos, CDs and access to internet and libraries
6. Carry out IT training for all computer users according to their training needs

5. Country Programme Approaches

5.1. Addressing Equity and Inclusion

Project experiences indicate that although we are successful in completing planned activities, our projects do not necessarily serve the poorest in communities. All WAU programmes should target poor areas, including support for displaced persons and resettlement of IDP communities. They should target the least served populations (as defined in the 2005 country poverty mapping exercise and JSR report 2006). Current work in urban slum areas and rural districts will continue, and the ongoing mapping and district MIS development will be used to prioritise locations. This information will be used to improve equity.

WAU will develop an intimate understanding of the relationship between poverty and access to WSS services in order to monitor the impact of our work on the poor. This will entail developing partnerships with research agencies and key stakeholders, as well as action oriented evaluations. We aim to establish a clearer definition of poverty in the context of our work, and develop a protocol for pro-poor targeting of projects by September 2007.

WAU will initiate several changes to the way we work with a view to increasing access to services by the poorest sections of the community. In particular, we will:

- Introduce wider technology choices to communities at project planning stage. This will build on our existing work on self-supply of water, as well as our research into the obstacles to access to safe sanitation
- Adapt our participatory community engagement practices to ensure that the poorest and most vulnerable sections of the community are able to fully participate in project planning
- Adopt a principle of 100% access to WSS services in the communities where we work, and take specific measures to ensure that the poorest sections of the community are served
- We will explore links with the livelihood approach in order to encourage community participation and focus on the poor

Process indicators

Objective	Question	Forum
• Technology choice	Do we have any evidence that technology choice increases access to WSS services to the poor	Research activities
• Participatory methodologies	Do we know who the poor are and can we demonstrate that they able to participate in project planning and implementation?	Research activities
• 100% access	Do we have any evidence that the poorest sections of the community are gaining access to WSS services in the projects where we fund implementation?	Research activities

5.2. Strategic Partnerships

WAU's relationship with its partners is currently led by the short-term need to achieve specific outputs, thus tends to be contractual in nature. A clearer understanding of what WAU means by 'strategic partnership' will be developed and will help us to determine whether WAU's current unequal capacity building relationships are genuine 'partnerships', or whether we should strive for - with organisations such as UWASNET or the NGO Forum - something more akin to the relationships between International NGOs.

Over the lifetime of this strategy, WAU will develop a portfolio of partnerships that addresses its strategic needs and contributes technical know-how to its work. We will shift from our current position of managing projects, to one of managing a series of relationships that together can deliver on its strategic objectives. Partnership will mean working together to share resources, knowledge and experience in pursuit of a common objective.

Over the lifetime of this strategy we will seek to:

- Draw up a guiding set of principles that map out the type of engagement and parameters of our relationships (advocacy and research, service delivery, media, training institutions and research bodies)
- Develop a portfolio of partners that contribute to our strategic objectives in research, IWRM, advocacy, service delivery and maximises the impact of our work. This will involve different models of partnerships, identifying a number of key strategic relationships and developing exit strategies for CSO relationships where appropriate
- Maximise opportunities to strengthen CSOs' ability to deliver sustainable water and sanitation services
- Provide resources for partners to build on their own capacity to take a leadership role in project management and implementation
- Recognise that different partners have different expectations and aspirations. One size does not fit all and our partner relations need to respect that. Where appropriate, we need to develop individually tailored capacity building plans (including partners' ability to attract additional non-WAU funding)
- To develop standard contractual relationships with the private sector for hardware designs and consultancies

Our work requires us to build quality relationships with NGO partners, governments and allies. We acknowledge that this takes time. We will endeavour to balance the potential tensions of growth and user targets, with long-term partner and community sustainability.

Our choice of partners, and investment in them, will be adapted as we respond to the needs of the excluded and most marginalised, and the sector's need for more hygiene education and sanitation initiatives.

Process indicators

Objective	Question	Forum
Develop a portfolio of strategic partnerships	Have we entered into multi-lateral partnership agreements whereby our activities are defined by shared objectives across a range of stakeholders /partners?	PACT Annual review (staff and partners)
Include long-term capacity building budgets in partners agreements	Do our partnership agreements include long-term capacity development objectives with sufficient resources allocated to the partner for their implementation?	PACT Annual review (staff and partners)
Differentiate our approach with partners to recognise their own expectations and aspirations	Have we defined our minimum requirements of all partnerships and included those requirements in all partnership agreements?	PACT MT

5.3. Multi-annual project cycles

Our current project cycle is based on an annual planning cycle. This has resulted in our limiting engagement with any particular community to one year or less. Whilst it is possible for water supply work to be completed in this time frame, it has serious implications for sustainability, achieving hygiene behaviour change and gaining access to sanitation. It has also led to a limited usage of project technical and implementation manuals.

Extending the time frame of project cycles will have an impact on the way we plan our work. It will allow a renewed emphasis on geographic concentration to enable cost effective approaches to long-term engagement. During the life of this strategy we will:

- Explore ways of extending our engagement with communities to three years. This will build on our current experience with the ten family cluster approach and the use of village health workers
- Place a renewed emphasis on hygiene promotion and sanitation
- Amend our technical and implementation manuals accordingly

Process indicators

Objective	Question	Forum
<ul style="list-style-type: none"> Extended engagement with communities 	What evidence do we have that by extending our engagement with communities we are improving sustainability, achieving hygiene behavioural change or improving access to sanitation?	Research activities
<ul style="list-style-type: none"> Emphasis on hygiene and sanitation 	Do we have any evidence that by concentrating on behavioural change rather than coverage we are improving the health status of poor people?	Research activities
<ul style="list-style-type: none"> Amended technical and implementation manuals 	Do we find the amended manuals useful and is there anything that we can do to make them even more useful?	PACT

6. Human and Financial Resources

6.1. Human resource development

WAU recognises that staff are its primary and most valuable resource. They are integral to the achievement of organisational goals and objectives. WAU is committed to equal opportunities with fair, open and participative recruitment, management and development of staff.

A flatter management structure has already been introduced and, in keeping with the organisation's commitment to participatory development, a greater emphasis has been placed on the involvement of staff in appropriate decisions about management and personnel policies. A greater emphasis is also being placed on tactical staff development, coherent with the strategic direction outlined in this plan.

The 2006 programme review identified the human resource development areas that need to be addressed. They include if personnel management and leadership, team development and work organisation, and managing stakeholder relationships.

Key aims:

1. Expand the management team to include field managers; with the aim of improving strategic planning, information flows and decision-making
2. Bring all programme support, advocacy and learning functions into one planning unit; with the aim of developing a holistic approach to project planning and implementation. Develop the role of the Programme Advocacy Coordination Team (PACT); with the aim of breaking down the current silo approach to project planning and implementation. Develop the role of the PACT to embrace programme learning, as well as project monitoring and problem solving
3. A Human resource audit and organisational review will be carried out and high quality staff recruited to ensure the successful implementation of this plan by September 2007
4. Utilise 100% of the staff development budget tactically by April 2009 and each year thereafter
5. Programme staff will meet regularly to discuss issues affecting them, and systems of communicating personnel issues will be established
6. Agreed personnel policies and procedures will be put in place and implemented according to best practices

6.2. Budget projection

The budget projection below represents a steady, planned growth in expenditure over the period of the strategic plan. The figures are based on the premise that increases in expenditure will stem from increases in partner capacities, and more considered partner choices.

Funding stream	06/07	07/08	08/09	09/10	10/11
Un-contracted income	771,000	797,000	990,000	1,100,000	1,200,000
Contracted income	179,000	295,000	266,000	400,000	600,000
<i>% contracted</i>	19%	27%	21%	27%	33%
New CSP total	950,000	1,092,000	1,256,000	1,500,000	1,800,000
<i>annual increase</i>		15%	15%	19%	20%
Levered income	0	100,000	200,000	300,000	300,000

The planned increases in numbers of users (see appendix 9.2) will come as a result of increased effectiveness in the way that WAU works, and a renewed commitment to ensure that increased funding results in increased beneficiary numbers.

The above projection does not take account of opportunities that may arise in contracted income that will enable us to accelerate our activities (e.g. the proposed SIMAVI initiative in small town sanitation). Such opportunities will be dealt with on a case by case basis and may involve additional pipeline projects if this remains in line with WA UK policy.

7. Risk Management

The following are the key risk areas that could seriously affect our ability to deliver the objectives laid out in this strategy.

They have been analysed as to whether they are likely to happen, what the impact would be and how worried we are about that particular risk. This is not a comprehensive risk register.

Income

This strategy sets out ambitious growth in terms of user numbers, as well as high expectations of our partner's ability to manage that growth. The key risks that could impact on our ability to deliver this are:

Predictability of income. It would be very difficult (and inadvisable) to persuade partners to gear up in terms of absorption capacity without entering into long-term agreements concerning the resources available and supporting them to do so.

Contract management. If we are to realise the expected growth in contract income, we will need to be able to demonstrate our ability to manage that growth. WaterAid UK will provide the backing to enable us to deliver fully on agreements made.

Resource allocation

The overall thrust of this strategy is to affect a relative decrease in the resources controlled by WAU, and a consequent increase in the resources controlled by partners (and thus spent on service delivery). In order to be successful, the following risks need to be addressed:

Planning and budgeting. We need to plan for the intended shift in resource allocation. This will inevitably involve a move away from the current historical approach to budgeting, and towards a more strategic, objective led approach.

Systems and procedures. The way that we work with each other, and with partners, has a tendency to be standardised and rather controlling. Our systems need to become a servant to, rather than master of, our mission to serve poor Ugandans.

Regulatory environment

As we begin to work closer with government, especially at the local level, there will be an increased risk associated with that closer relationship.

NGO legislation. The new NGO legislation makes it easier for government to control or even limit the activities of NGOs who are seen to be awkward, or associated with transparency and rights issues.

Corruption. The strategy envisages that local interests and planning structures will become increasingly important to us. Our work at district and lower levels could be affected by corrupt practices that are common with other sources of funding at that level.

External profile

There is already a high degree of expectation of WAU from development partners and government. The levels of expectation can only increase as we implement our new strategy.

Participation in sector issues. The strategy has specific objectives relating to increased participation in sector programmes. We will need to plan adequate time and budgets to enable full participation in sector processes. We will also need to stay focused, so that we can articulate – and stick to – our agreed strategic direction as outlined in this document.

8. Conclusion

Through the extensive, consultative process of compiling this document, substantial progress has been made in determining a strategic direction for WAU's country programme over the next five years. In going forward, it will be necessary to prioritise the areas that WAU will address each year. A rolling, three-year operational plan will be developed to clarify and update the most important and urgent issues for implementation. A monitoring framework will also be developed to ensure successful execution and learning. This will ensure that the implementation and review process becomes central to our daily activities and is not seen as a burden or a distraction from the core business of programme work.

WAU's objectives over the period of the plan have been outlined in some detail and, significantly, we make a clear commitment to expand country programme initiatives to reach more poor and excluded people with improved water and sanitation services (through direct service delivery and advocacy). The need for more 'joined-up' thinking, planning and monitoring is highlighted – both within WAU itself and between the other relevant stakeholders in the sector. It is also noted that, rather than focus minutely on inputs, WAU needs to more consistently monitor programme outputs and impact as a tool for partner empowerment, and as a key mechanism to ensure standards are maintained. Already there is a commitment to deeper learning, to strengthen our programmatic approach and to select and support partners more strategically.

WAU sees this strategy as a living document that will be reviewed and revised over its life-span, in light of new opportunities and any constraints that may arise. Key to its successful implementation will be quality programming and impact, and integral to these will be innovation and efficiency. We hope that WAU will stand out as a place within WaterAid international that demonstrates excellence, good practice and learning.

Most importantly, it will play a significant role in contributing to the achievement of organisational targets (see below) and Uganda's sector PEAP/ MDG targets; making it possible for the poor and marginalised to have much better access to improved water and sanitation services.

WaterAid's organisational commitment:

By 2010 WaterAid and its partners will help 1.5 million people gain access to safe water and 1.5 million people gain access to sanitation every year.

9. Appendices

9.1. Golden indicators

The following table sets out performance trends and targets as measured against the 10 golden indicators used for sector monitoring in Uganda (Water and Sanitation Sector Performance report, 2006)

Golden Indicators			2005/06 Achieved	Targets		
				2004/05	2006/07	2014/15
1	% of people within 1.5 km (rural) and 0.2 km (urban) of an improved water source	Rural	61%	58%	62%	77%
		Urban	51%	70%	75%	100%
2	% of improved water sources that are functional at time of spot check	Rural	83%	82%	82%	90%
		Urban	93%	83%	90%	95%
		WfP ¹⁸	no data	Targets to be set		
3	Average cost per beneficiary of new water and sanitation schemes (US\$)	Rural	\$34	\$45	\$40	\$40
		Small towns	\$93	\$80	\$75	\$75
4	% people with access to improved sanitation (households and schools)	Rural HHs ¹⁹	58%	58%	62%	77%
		Urban HHs	no data	77%	92%	100%
	Pupil to latrine/ toilet stance ratio in schools	Total	61:1	57:1	40:1	40:1
5	% of water samples taken at the point of water collection, waste discharge point etc. that comply with national standards	Protected	90%	95%	95%	95%
		Treated	95%	100%	100%	100%
		Wastewater	no data	Targets to be set		
6	% increase in cumulative storage capacity availability of water for production	Rural	1.3%	0%	3.1%	3.1%
7	Mean parish deviation from district average in persons per improved water point	Rural	no av. data	Targets to be set		
		Urban	no av. data	Targets to be set		
8	% people with access to hand washing facilities	HHs	no data	14%	23%	50%
		Schools	no data	Targets to be set		
9	% of water points with actively functioning Water and Sanitation Committees	Rural	No data	Targets to be set		
10	% of Water and Sanitation Committees/water boards with women holding key positions	Rural	no data	Targets to be set		
		Urban	no data	Targets to be set		

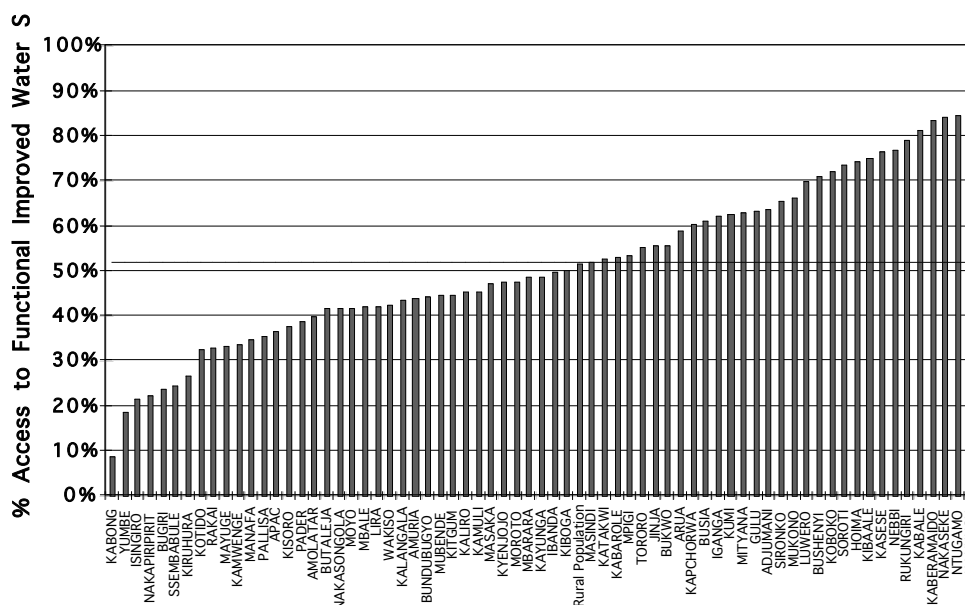
¹⁸ WfP – Water for Production

¹⁹ HH – Household

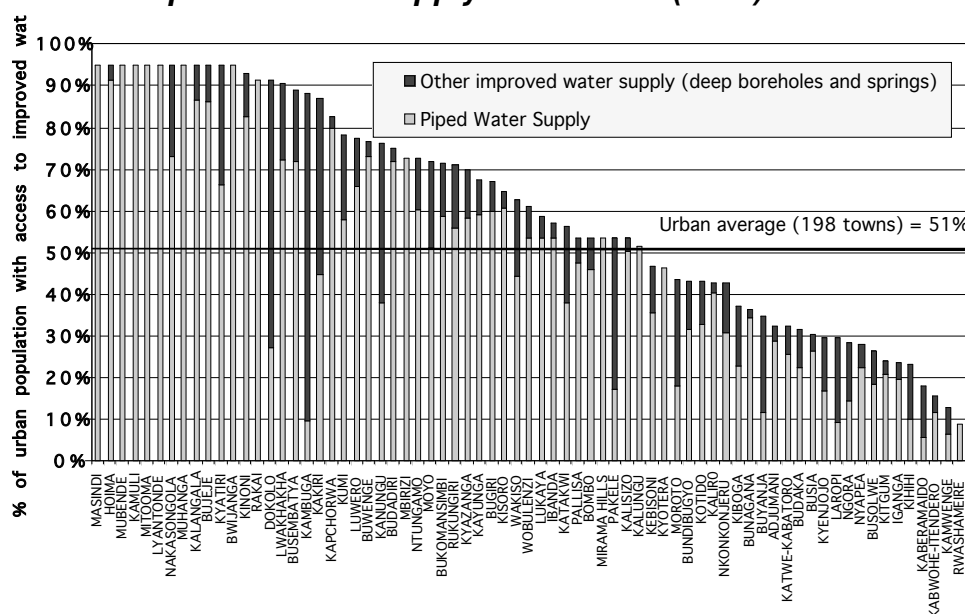
9.2. Annual user projections 2006 – 2011

User	06-07	07-08	08-09	09-10	10-11
Water direct	20,000	25,000	25,000	30,000	39,000
Sanitation direct	20,000	25,000	25,000	30,000	39,000
Water levered	0	5,000	10,000	15,000	15,000
Sanitation levered	0	5,000	10,000	15,000	15,000
Cost per user (£)	23.75	21.84	25.12	25.00	23.08

9.3. Access to functional rural water supplies by District (June 2006)



9.4. Access to improved water supply in 71 towns (2006)

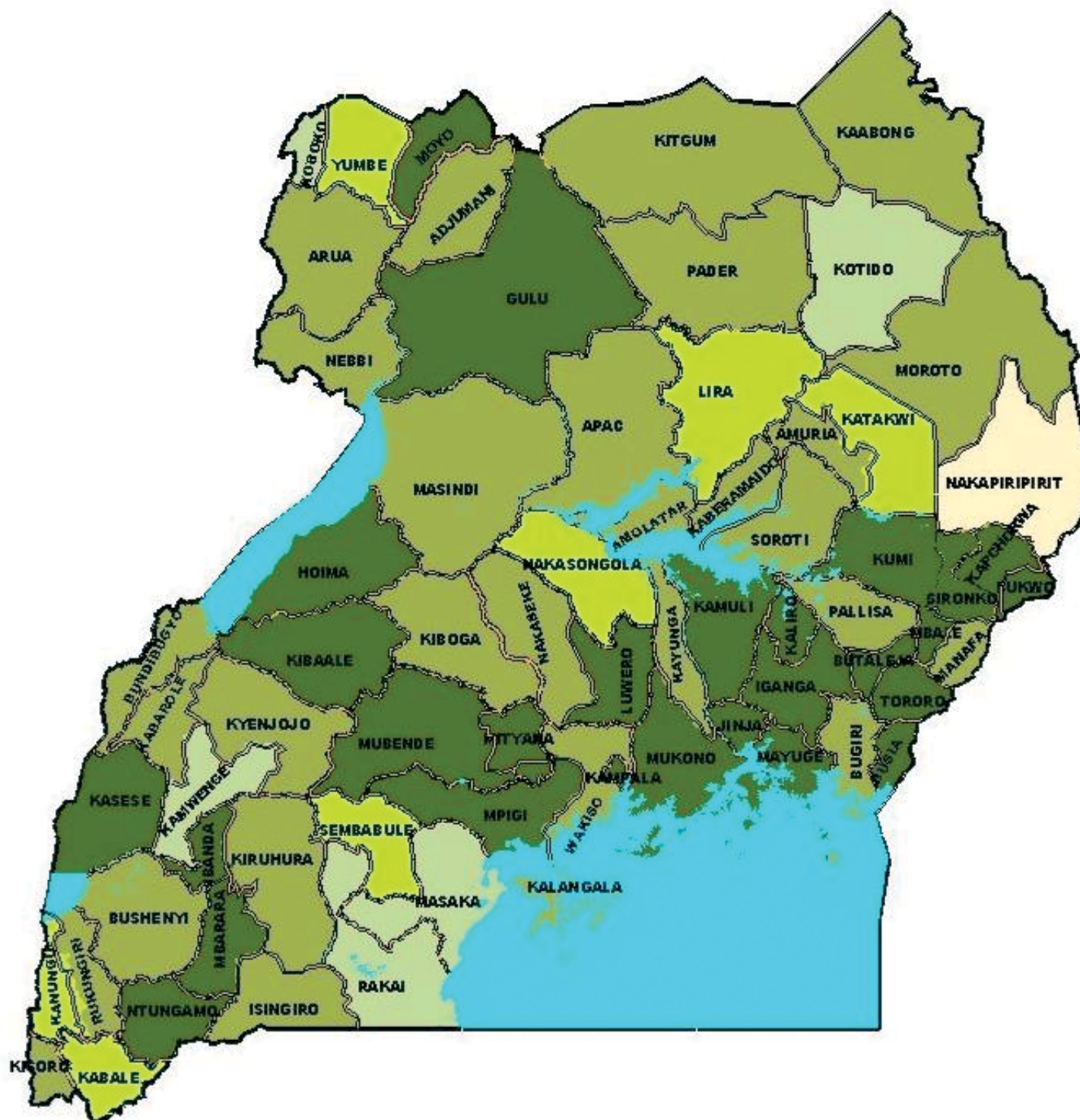


Source: SPR 2006

9.5. Bibliography of key documents

1. Poverty Eradication Action Plan (2004 -2008), GoU 2004
2. Water and Sanitation Sector Performance Report, 2005. GoU, September 2005
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5. Evaluation of WaterAid Uganda district Support Programme 1999-2004, WAU 2005
6. Organisational Assessment of WAU partners, WAU 2005
7. Country Programme Memory Study, WAU 2006
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Rural Water Supply Functionality Rates



Key
 Lake
 Administrative Boundaries
 National
 District
 International

Facility Functionality
 Below 60%
 60-70%
 70-80%
 80-90%
 90-100%

0 30 60 90 120 150 Kilometers

WaterAid's mission is to overcome poverty by enabling the world's poorest people to gain access to safe water, sanitation and hygiene education.



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