
CIDI is a not-for-profit organization founded in 1996 and registered with the Non-Governmental Organisation (NGO) Board under the Ministry of Internal Affairs of Uganda in 1999 (Registration Certificate No. 2715 and Reference No. S-5914/2868). CIDI currently implements programmes that cover 25 districts in Uganda.

In February 2019, CIDI secured funding from Democratic Governance Facility-DGF for an 18 month project named; "Kampala Advocacy Project for Improved Water, Sanitation And Hygiene [WASH] Resource Allocation and Reduced Water Tariffs".

Through this project, CIDI wishes to contribute to increased engagement of citizens, and agencies such as CIDI and other Civil Society Organisations (CSOs) with WASH duty bearers so as to improve planning and budgeting for WWASH services in the city.

In order to achieve this, it was necessary to have a clear understanding of the current KCCA and NWSC's planning, budgeting and WASH monitoring processes, and the involvement of key stakeholders hence this study.

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KAMPALA ADVOCACY PROJECT FOR IMPROVED WATER, SANITATION AND HYGIENE [WASH] RESOURCE ALLOCATION AND REDUCED WATER TARIFFS.

Examining the Kampala Capital City Authority (KCCA) Planning, Budgeting, and Monitoring Process for WASH

STUDY REPORT

August 2019

Table of Contents

List of Tables	4
List of Figures	4
Annexes:	4
Acknowledgements.....	6
List of Acronyms.....	7
1 Introduction and Background to the Study	10
1.1 About Community Integrated Development Initiatives (CIDI).....	10
1.2 About the project.....	10
1.3 Goal and objectives of the study.....	10
1.3.1 Aim of the study.....	10
1.3.2 Specific objectives	11
1.4 Study approach and methodology.....	11
1.4.1 Approach	11
1.4.2 Methodology	11
1.5 Gaps in fulfilling the Terms of Reference (ToR).....	13
2 Context Analysis.....	13
2.1 Vision, Mission & Mandate of KCCA in relation to planning, budgeting & monitoring of WASH.....	14
2.2 Population of KCCA.....	14
2.3 Governance, Administrative & Management Structure of KCCA.....	15
2.4 Directorates and staffing at KCCA to support planning, budgeting and monitoring of WASH.....	16
2.5 Mandate and Structure of Directorate of Public Health & Environment (DPHE).....	16
2.6 Institutional mandates for the delivery of WASH in Kampala.....	18
2.7 Stakeholder coordination efforts.....	19
2.8 Access to water and sanitation services in Kampala city.....	20
2.8.1 Access to safe water	20
2.8.2 Access to household sanitation.....	20
2.8.3 School Sanitation.....	20
2.9 Future planning for WASH by KCCA and NWSC(2019 – 2020/2026).....	21
2.9.1 City-wide Inclusive Sanitation:	21
2.9.2 Integrated Solid Waste Management (SWM) System	22
2.9.3 Environmental Management & Pollution Control	22
2.9.4 Public Health Inspection and Education	22
2.9.5 WASH coordination & multi-stakeholder platforms.....	22
2.10 NWSC planning for water supply in informal settlements in Kampala city.....	23
3 Findings of the Study.....	23
3.1 Uganda long-term plans that guide planning, budgeting and monitoring of WASH in KCCA.....	23
3.1.1 National Resistance Movement-NRM Manifesto 92016-2021).....	23
3.1.2 Vision 2040 (April 2013).....	23
3.1.3 The National Development Plan II (NDP II, April 2015).....	24

3.2	Policies, guidelines & strategies relating to KCCA’s planning, budgeting and monitoring processes for WASH.....	24
3.2.1	The KCCA Act (2010);.....	24
3.2.2	The KCCA Strategic Plan 2014/15 – 2018/19.....	25
3.2.3	Sanitation Mapping/Baseline Assessment Report (September 2017).....	25
3.2.4	Solid Waste Management Ordinance of 2000.....	26
3.3	Planning for improvements in WASH by NWSC.....	26
3.3.1	NWSC 5-year Strategic Direction (2016-2021).....	26
3.3.2	NWSC Corporate Plan (July 2018-June 2021).....	26
3.3.3	NWSC’s Pro-Poor Strategy.....	27
3.4	Other WASH Strategies & Planning Guides.....	28
3.5	KCCA planning, budgeting, and monitoring process and its provision for participation of the Kampala City Urban Division Councils and Citizens.....	28
3.5.1	Planning and budgeting process by KCCA.....	28
3.5.2	Planning and budgeting process by NWSC Pro-Poor Unit.....	30
3.5.3	The KCCA budget for WASH.....	31
3.5.4	The monitoring process for WASH in KCCA.....	31
3.6	Documentation of key community participation gaps of Division Councils and Citizens in KCCA planning, budgeting, and monitoring processes for WASH.....	33
3.6.1	Participation of communities, their leaders, NGOs and the Division Councils in the planning & budgeting process.....	33
3.6.2	Gaps in the KCCA law and in the mandates.....	33
3.6.3	Lack of budget allocations to Division Councils.....	34
3.6.4	Gaps in staffing, both at KCCA City Hall level and at the Division Councils.....	34
3.6.5	Gaps in the flow of information from KCCA at the Centre/City Hall to the Divisions and Communities.....	34
4	Conclusions and Recommendations of the Study.....	35
4.1	Conclusions.....	35
4.2	Recommendations.....	35
4.2.1	Lobby for devolution of powers to Division Councils.....	36
4.2.2	Costed Division Council WASH Plans and Budgets.....	36
4.2.3	Community-level engagements and participation by Development partners.....	36
4.2.4	Lobby for more budget support from government and development partners.....	36
4.2.5	Lobby for recruitment of new staff to fill the vacant positions.....	36
4.2.6	Harmonise Division Councils’ Wish-lists and KCCA WASH priorities at the Centre/City Hall.....	37
4.2.7	Documentation and dissemination of planning guidelines and frameworks.....	37
4.2.8	Improvement in documentation and communication about WASH programmes in KCCA.....	37
	LIST OF REFERENCES.....	38
	Annexes:.....	39

List of Tables

Table 1: Kampala’s Population and Household Distribution.....	14
Table 2: Current SDG indicators for Sanitation in Kampala.....	21
Table 3: NWSCO Tariff structure.....	27
Table 4: KCCA medium term budgetary allocation by vote function.....	32

List of Figures

Figure 1: Snapshot of the KCCA Governance Structures at December 2017.....	16
Figure 2: KCCA Directorate of Public Health and Environment-DPHE staffing structure.....	17
Figure 3: KCCA Planning and budgeting process.....	29

Annexes:

Annexe 1: Focus Group Discussions (FDG) With Community.....	39
Annex 2: Key informants Interview Guide (KCCA Sanitation Staff – Health Inspectors, Health Assistants, Solid Waste Staff, Drainage staff).....	44
Annex 3: Key informants Interview Guide (Mayor/Secretary for Health).....	50
Annex 4: Key informants Interview Guide (KCCA Division Town Clerk).....	55
Annex 5: Key informants Interview Guide (NWSC Pro-Poor Unit).....	62
Annex 6: Key informants Interview Guide (KCCA Centre/City Hall Staff).....	68

Foreword



I take the pleasure to present to you this report Examining the Kampala Capital City Authority (KCCA) Planning, Budgeting, and Monitoring Process for WASH services. This study was commissioned by CIDI through the Good Governance and Research department under the project: Kampala Advocacy Project for Improved Water, Sanitation and Hygiene [WASH] Resource Allocation and Reduced Water Tariffs.

Community Integrated Development Initiatives (CIDI) in partnership with Democratic Governance Facility (DGF) believe in promoting citizen's right to participate in governance issues especially service delivery planning, implementation and monitoring in order to influence better service delivery in communities. CIDI and DGF also believe that citizens and duty bearers at all levels have a role to play in propelling good governance, accountability and participation in decision making about matters that contribute to the development of their society.

The study was able to establish that KCCA has a very clear Vision, Mission and institutional mandate to plan, budget, and monitor WASH services in Kampala city and so do other service providers such as National Water and Sewerage Corporation (NWSC). Further analysis revealed that National and KCCA level policies, guidelines, legal frameworks and strategies such as Vision 2040 and the KCCA Strategy (2014/15-2018/19) guide the planning, budgeting and monitoring of WASH service delivery in the Kampala City.

This intervention will provide citizens and duty bearers with relevant information on the KCCA service delivery planning, budgeting, monitoring and policies/legal frameworks. This will enhance the capacity of these stakeholders to engage with each other on issues of concern for better WASH service delivery. Consequently, responsiveness on proper policy implementation and issues of concern in the WASH sector will also be achieved.

The study has also established gaps in the existing KCCA planning and budgeting process of which recommendations have been made in order to operationalize the policy and legal frameworks available to improve the wellbeing of the citizens through the WASH service sector. The recommendations made in this report can also be leveraged for project extension or project scale up given a dynamic governance situation that exists in Kampala City which ultimately affects service delivery in the city.

This publication provides a spectrum of the KCCA planning and budgeting process, its characteristics, stakeholders concerned, levels of participation, financing, implementation, legal and institutional frameworks available. The publication will ultimately help citizens, duty bearers and other Civil Society Organizations in designing interventions that promote inclusiveness in order to improve issues of accessibility, availability and affordability of WASH services in Nakawa, Lubaga, Kawempe divisions and Kampala Capital City at large.

Dr. Jjuuko Fulgensio

A handwritten signature in blue ink, appearing to read 'Jjuuko Fulgensio', written over a horizontal line.

Executive Director CIDI

Acknowledgements

The Consultant would like to extend her appreciation to Community Integrated Development Initiatives (CIDI) for the opportunity to undertake the assignment. Special thanks are extended to the Management of CIDI specifically Ms Hellen Kasujja and to Ms Maria Nagirinya, the Project Manager of the Kampala Advocacy Project for Improved Water, Sanitation and Hygiene [WASH] Resource Allocation and Reduced Water Tariffs for the support they provided during execution of the assignment.

The Consultant would also like to recognise the valuable input provided by the participants and key informants that were interviewed both at Kampala Capital City Authority (KCCA) at the Centre/City Hall and Divisions level. These include but are not limited to the Lord Councillors, Chairpersons of Public Health Committees, Women's Representatives, Personal Assistants to Division Lord Mayors, as well as technical staff (such as Town Clerks, Education Officials, Health Inspectors, Water, Sanitation and Hygiene (WASH) Supervisors, Solid Waste Officers and Staff of Strategy Unit). Their ideas and views provided useful insights on the planning, budgeting and monitoring process for WASH in the city, the current gaps and opportunities for improvement. The Consultant is very hopeful that these results of the study will contribute to further engagements and strengthened collaboration between CIDI, other agencies and communities with KCCA as a duty bearer to address the identified gaps and improve the current planning, budgeting and monitoring process for WASH services in Kampala city.

Finally, the Consultant would like to acknowledge the financial support from the Democratic Governance Facility-DGF, without which it would have not been possible to conduct this study.

List of Acronyms

AEE	African Evangelistic Enterprise
AFD	French Development Agency
AfDB	African Development Bank
Ag	Acting
AMREF	African Medical Research Foundation
BCC	Budget Call Circular
BFP	Budget Framework Paper
BMGF	Bill & Melinda Gates Foundation
CBOs	Community Based Organisations
CBD	Central Business District
CEO	Chief Executive Officer
CIDI	Community Integrated Development Initiatives
CSOs	Civil Society Organisations
CWIS	City-Wide Inclusive Sanitation
DESS	Directorate of Education and Social Services
DfID	Department for International Development
DGF	Democratic Governance Facility
DPHE	Directorate of Public Health and Environment
DWD	Directorate of Water Development
DWRM	Directorate of Water Resources Management
ED	Executive Director
EIB	European Investment Bank
FGDs	Focus Group Discussions
FS	Faecal Sludge
FSM	Faecal Sludge Management
FST	Faecal Sludge Treatment
GDP	Gross Domestic Product
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GKMP	Greater Kampala Metropolitan Plan
GKMA	Greater Kampala Metropolitan Area
GoU	Government of Uganda
IFC	International Finance Corporation
IRC	International Resource Centre
JMP/WHO	Joint Monitoring Programme/World Health Organisation
KCC	Kampala City Council
KCCA	Kampala Capital City Authority
KfW	German Development Bank
KFSM	Kampala Faecal Sludge Management Project
KIIs	Key Informant Interviews
KIIDP	Kampala Institutional & Infrastructure Development Programme
KPCTF	Kampala Pollution Control Task Force
KWSF	Kampala Water and Sanitation Forum
LV-WATSAN	Lake Victoria-Water and Sanitation
MDAs	Ministries, Departments and Agencies
MEC	Management Executive Committee
M&E	Monitoring & Evaluation
MoFPED	Ministry of Finance, Planning and Economic Development
MoH	Ministry of Health
MoU	Memorandum of Understanding
MTEF	Mid-Term Expenditure Framework
MTN	Mobile Telephone Network

MWE	Ministry of Water and Environment
NDP II	National Development Plan II
NEMA	National Environment Management Authority
NGOs	Non-Governmental Organisations
NPA	National Planning Authority
NRM	National Resistance Movement
NSWG	National Sanitation Working Group
NWSC	National Water and Sewerage Corporation
O&M	Operation and Maintenance
OSS	On-Site Sanitation
PPP	Public Private Partnership
PSC	Public Service Commission
PSC	Project Steering Committee
PCOB	Presidential Committee On Budgets
PS	Private Sector
PSP	Public Stand Pipes
SC	Standing Committee
SDG	Sustainable Development Goal
SWAS	School Water and Sanitation Clubs
SWM	Solid Waste Management
ToR	Terms of Reference
UBOS	Uganda National Bureau of Statistics
UCPC	Uganda Clean Production Centre
UK	United Kingdom
UMA	Uganda Manufacturers Association
UNHCR	United Nations High Commission for Refugees
USD	United States Dollars
UWASNET	Uganda Water and Sanitation NGO Network

Executive Summary

This study was commissioned by Community Integrated Development Initiatives (CIDI) and undertaken in the three Divisions of Kawempe, Nakawa, and Rubaga in Kampala City to understand the planning, budgeting, and monitoring processes under the Kampala Capital City Authority (KCCA) arrangement with particular focus on Water, Sanitation and Hygiene (WASH) services. This was after CIDI secured funding from Democratic Governance Facility-DGF for an 18 month project named; "Kampala Advocacy Project for Improved WASH Resource Allocation and Reduced Water Tariffs". The results of this study, therefore, are intended to improve the advocacy and engagement between CIDI, other development agencies and communities with WASH duty bearers such as KCCA and ultimately contribute to improved participatory decision-making in planning, budgeting, monitoring and evaluation processes for WASH in the city.

The approach for the study was largely qualitative analysis of the key policies, strategies and guidelines for planning, budgeting and monitoring of WASH services, both at national and KCCA levels; interrogation of the current KCCA's staffing structure, particularly for the Directorate of Public Health-DPHE (both at the Division and KCCA City Hall levels) and how the structure supports planning, budgeting and monitoring of WASH in the city. The approach was participatory and consultative in nature and emphasized the active involvement of the key stakeholders in the process of data collection and validation of results through interactive meetings and discussions.

The study established that KCCA has a very clear Vision, Mission and institutional mandate to plan, budget, and monitor WASH services in Kampala city; so do other service providers such as National Water and Sewerage Corporation (NWSC). Further analysis revealed that national and KCCA level policies, guidelines, and strategies such as Vision 2040 and the KCCA Strategy (2014/15-2018/19) do exist to guide planning, budgeting and monitoring of WASH service delivery. Unfortunately, gaps exist in so far as that some policies such as the KCCA Act (2010) have re-centralised power for planning and budgeting, and disempowered and demotivated the Division Councils. Although the planning, budgeting and monitoring process for WASH and other services is elaborate with provisions for bottom-up involvement of stakeholders, community-level engagements do not happen as expected, which affects participation of the citizens in decision-making regarding their WASH development needs and priorities

The study recommends areas for improvement that CIDI and other agencies can focus on to engage the Authority to improve the process of planning, budgeting and monitoring of WASH in the city. These include but are not limited to advocacy for the following: increased resource allocation by KCCA to facilitate community-level engagements in planning and budgeting for WASH; Division Councils to have costed WASH plans for inclusion in the overall KCCA plans and budgets; devolution of powers for planning and budgeting for WASH to the Division Councils as provided for in the KCCA Act (2010); staff recruitment by KCCA to fill vacant positions particularly at Divisions level; and improvement in information flow and sharing between KCCA at the Centre/City Hall, and the Divisions and communities especially on the plans, budgets and on-going WASH programmes implemented by the Authority.

1 Introduction and Background to the Study

1.1 About Community Integrated Development Initiatives (CIDI)

CIDI is a not-for-profit organization founded in 1996 and registered with the Non-Governmental Organisation (NGO) Board under the Ministry of Internal Affairs of Uganda in 1999. CIDI operates under registration certificate No. 2715 and Reference No. S-5914/2868. CIDI currently implements programmes that cover 25 districts in Uganda. The head office is located in Kampala. CIDI's Vision is to have "*Communities enjoying a decent life free of hunger, poverty and disease*". The Mission is "*promotion of sustainable community livelihoods through; Water and Environmental sanitation, Income and Food security, Good health and promotion of Good Governance*". CIDI's has a strategic goal to contribute to "improved access to clean and safe water, hygiene and sanitation services for poor communities in Uganda" as well as to have "increased capacity of the disempowered local communities to be their own advocates in bringing about positive change in their lives".

1.2 About the project

In February 2019, CIDI secured funding from Democratic Governance Facility-DGF for an 18 month project named; "Kampala Advocacy Project for Improved WASH Resource Allocation and Reduced Water Tariffs". The project is being implemented in the three Kampala Urban Divisions of Kawempe, Nakawa and Rubaga in Kampala. Through this project, CIDI plans to improve participatory decision-making in planning, budgeting, monitoring and evaluation processes, particularly those relating to water tariffs setting and water and sanitation resource allocation in the Kampala Capital City Authority (KCCA) and national budgets.

Additionally, CIDI wishes to contribute to: (i) increase engagement of citizens, and agencies such as CIDI and other Civil Society Organisations (CSOs) with WASH duty bearers so as to improve planning and budgeting for WASH services in the city; (ii) improved responsiveness by the WASH duty bearers (e.g. government institutions such as KCCA and National Water and Sewerage Corporation (NWSC) towards advocacy efforts for improved WASH planning & budgeting processes. In order to achieve all this, it was necessary to have a clear understanding of the current KCCA and NWSC's planning, budgeting and WASH monitoring processes, and the involvement of key stakeholders.

It's against this background that CIDI sought the help of this consultancy to study the current planning, budgeting, and monitoring of WASH services by KCCA and NWSC and its implications to service delivery especially for the Kampala City Division Councils (please see Terms of Reference-ToR in *Annex 1*). This study report will contribute directly to one of the two project outputs, which is: increased understanding among duty bearers and Kampala City Division Councils on the WASH policies, legal framework & guidelines including the planning and budgeting processes/cycle of KCCA.

1.3 Goal and objectives of the study

1.3.1 Aim of the study

To examine the planning, budgeting, and monitoring processes under the Kampala Capital City Authority arrangement with particular focus on WASH services.

1.3.2 Specific objectives

1. To identify and review the policies and guidelines relating to KCCA planning, budgeting, and monitoring process.
2. To examine the KCCA planning, budgeting, and monitoring process and its provision for participation of the Kampala City Urban Division Councils and citizens.
3. To identify and document key participation gaps for Kampala City Urban Division Councils and citizens in KCCA planning, budgeting, and monitoring process.

1.4 Study approach and methodology

1.4.1 Approach

The approach for the study was largely qualitative analysis of the key policies, strategies and guidelines for planning, budgeting and monitoring of WASH services, both at national and KCCA levels; interrogation of the current KCCA's staffing structure, particularly for the Directorate of Public Health-DPHE (both at the Division and KCCA City Hall levels) and how it supports planning, budgeting and monitoring of WASH in the city. The approach was participatory and consultative in nature and emphasized the active involvement of the key stakeholders in the process of data collection and validation of results through interactive meetings and discussions. Key informant interviews were employed to gather information and insights from participants at the different levels (Division and KCCA and NWSC levels) on the planning, budgeting and monitoring processes, their participation in the process, and perhaps where they see gaps and areas for improvement. A feedback workshop was held with KCCA to disseminate the findings of the study and to get input into the final recommendations on how to improve the process of planning, budgeting and monitoring of WASH in the city.

1.4.2 Methodology

The methods that were adopted for the study were consistent with both the basic principles of research and analysis. The context analysis employed a mixed set of methods to collect both primary and secondary data (please see *Annex 3* for the detailed data collection tools).

i) Inception meeting

Prior to commencement of the study, an inception meeting was held with the staff of CIDI purposely to harmonise the study approach and secure contacts for the participants for interviews particularly at KCCA Divisions level. The Project Officer In-charge of the project provided a list of contacts and guided the Consultant on the people to participate in the interviews and focus group discussions.

ii) Documentation review:

Detailed review of literature and relevant documents was undertaken to generate information related to existing regulations, strategies, policies, and laws/legal frameworks and guidelines for planning, budgeting and monitoring. These included both national-level and KCCA specific guidelines, frameworks and strategies. Desk review helped to identify what the guidelines present in theory and compare with the practice in reality on the ground. The Consultant reviewed the national policy guidelines and strategies such as Vision 2040 and the National Development Plan II (NDP II); KCCA guidelines such as the KCCA Act 2010 and the KCCA Strategy 2014/15 – 2018/19; as well as the Local Government planning cycle & guidelines. Additionally, an analysis was conducted of key stakeholders involved in the planning and budgeting processes at all levels, their roles and responsibilities and levels of participation in the processes.

iii) Key Informant Interviews (KIIs):

Key Informant Interviews (KIIs) were conducted with KCCA technical staff from the Directorate of Public Health and Environment (DPHE) at KCCACentre/City-Hall and Division levels, staff of KCCA's Strategy Unit, as well as the political leadership such as the Councillors. The staff that are responsible for planning and implementation of WASH programmes were targeted at the Divisions level in the 3 target Divisions of Kawempe, Rubaga, and Nakawa including the Town/Municipal Clerks, Health Inspectors, Health Assistants and Sanitation Project Officers and Councillors. The Consultant also interviewed staff of NWSC particularly from the Pro-poor Unit.

iv) Focus Group Discussions (FGDs):

Specific FGDs were planned (one in each of the three targeted KCCA Divisions) to be held at Ward level to brain-storm and get community and local leaders' views on the current planning, budgeting and monitoring processes. Using a FDG guide, the Consultant was meant to capture the ways in which poor people in communities currently participate in identifying their WASH development needs and priorities. Their concerns with the planning and budgeting processes were to be noted and documented to inform further advocacy engagements between CIDI and the duty bearers. However, FGDs were not possible given the limitations in financial resources to organise themeetings.

v) Sampling of respondents & data collection

The study was conducted in the three Divisions of Rubaga, Kawempe and Nakawa. The three Divisions were purposely selected based on the fact that CIDI implements the advocacy project on WASH in those 3 specific locations. The Consultant used semi-structured interview guides to interview a selected number of critical WASH participants in the water and sanitation sub-sector from NWSC and from KCCA at the Centre/City Hall and Divisions level. A list of key informants, both at KCCA City Hall and Divisions level, was purposely generated in consultation with CIDI. It was useful to interview both the technical staff and politicians at the different KCCA levels, to get their own perspectives and roles in planning, budgeting and monitoring under the current KCCA arrangement. Though initially planned, community level consultations were not possible due to limited resources to facilitate the engagements.

vi) Data analysis and reporting

Data analysis was based on specific themes aligned to the two main objectives of the study: (i) review of policies and guidelines relating to KCCA's planning, budgeting and monitoring process; and (ii) examination of the KCCA planning, budgeting, and monitoring process and its provision for participation of the Kampala City Urban Division Councils and citizens. Data was categorized into sub-themes and analysed for meaning based on discussions with the different stakeholders. It was then summarised according to the key assessment questions into a report, to form the theme for objective 3. Emerging themes were interpreted and conclusions and recommendations drawn for consideration by CIDI.

vii) Organisation of the report

This report is organized in four sections. Section 1 provides the introduction and background to the assignment, the goals and specific objectives of the assessment, and the approach to the study and methodology. Section 2 focuses on context analysis, including providing some information on how KCCA is organised administratively, governance & management, staffing structure, mandates for service provision, coordination mechanisms with other actors, current WASH access and coverage figures, and future plans and targets. Section 3 presents the study findings in three parts: (i) the policies and guidelines for planning and budgeting; (ii) the KCCA planning, budgeting, and monitoring process and its provision for participation of the Kampala City Urban Division Councils and citizens; (iii) identification and documentation of key participation gaps for Kampala City Urban Division Councils and citizens in KCCA's planning, budgeting, and monitoring processes for WASH; while Sub-section 4 focuses on the conclusions and recommendations of the study.

1.5 Gaps in fulfilling the Terms of Reference (ToR)

There were data gaps, with information visibly missing particularly written-down planning guidelines at KCCA Divisions levels. Although the Strategy Unit at KCCA at the Centre/City Hall was able to share a format in PowerPoint of what the planning process is supposed to be, a well-documented guide is not available and widely shared with Division Councils. However, it is assumed that KCCA at the Centre/City Hall and the Divisions level use the Local Government planning guidelines, at least from the description of the planning process by some of the Division staff and staff of the KCCA Strategy Unit that were interviewed.

Due to the limited time available for conducting the study, and the very busy schedules of KCCA officials (both technical and political) the Consultant was not able to meet and speak to all potential key informants, as lined up by CIDI. Additionally, a good number of the would-be respondents at the Divisions level declined to speak to the Consultant and referred her to KCCA at the Centre/City Hall, with a view that they have no role whatsoever in planning and budgeting for WASH. Secondly, some of them said they could not speak to the Consultant without authority from their managers at KCCA at the Centre/City Hall.

The inability to hold community community-level consultative meetings means the voice of community members is missing in this report. Henceforth the report mainly represents the views of the few Divisions level staff and politicians from the three Divisions of Rubaga, Kawempe and Nakawa that the Consultant was able to speak to. These staff and politicians periodically interface with communities during planning and budgeting processes and hence represent a fair view of what transpires at community level.

The report also represents the views of KCCA Centre/City Hall level and NWSC staff that were interviewed to understand how KCCA at the Centre and NWSC work hand-in-hand with the Division Councils to plan, budget and monitor WASH services in the city. Coupled with information gathered from the extensive review of literature, the report presents a fair view of the situation on the ground to inform further engagements by CIDI with KCCA.

2 Context Analysis

In order to understand the planning & budgeting process of KCCA, it was important to review and understand the way KCCA is organised and structured in its operations to deliver WASH services to the residents of Kampala city. Specifically, the review covered the Vision, Mission and Mandate of KCCA; and the staffing structure & operations of KCCA right from the Centre/City Hall level up to the Divisions level; and the roles and responsibilities of the technical and political wings of KCCA. Additionally, the report also provides a snap-shot of the current access and coverage figures for WASH in the city and KCCA and NWSC's aspirations in terms of planning for improvement of services in the future.

2.1 Vision, Mission & Mandate of KCCA in relation to planning, budgeting & monitoring of WASH

The Vision of KCCA is to transform Kampala into the city of the future; a Vibrant, Attractive and Sustainable City. The Mission is to deliver quality services to the city¹. KCCA as an institution is mandated to facilitate the delivery of quality services such as WASH to the people in Kampala city. The specific functions of KCCA related to WASH include but are not limited to: preparation of comprehensive and integrated plans that incorporate plans of lower urban councils (Division Councils) for submission to the Metropolitan Authority; formulation of policies; setting service delivery standards; construction and maintenance of major drains; and monitoring of the delivery of services in the Divisions. KCCA meets its mandate by implementing programmes financed by Government of Uganda, Development Partners as well as locally generated revenues.

2.2 Population of KCCA

Kampala became Uganda's capital city at independence in 1962. Kampala has expanded to be the largest urban centre in Uganda with 1.5 million residents living in 418,787 households. It is the country's political seat and economic hub accounting for 80% of industrial and commercial activities that contribute 65% of national GDP. Currently divided into 5 urban Divisions² or Municipalities, it has about 23% of its area as fully urbanised, a significant portion (60%) semi-urbanised (urban poor) and the rest (17%) considered as rural settlements. Kampala has a very dynamic growing urban informal sector, and by far the most important employer in the country accounting for 55% of the 1.5 million enterprises in Uganda³. Table 1 below summarises the population and the households' distribution in Kampala, per Division (UBOS 2014).

Table 1: Kampala's Population & Household Distribution

Division	Total Population			No. of Households	Land Area (Km ²)	Population density (persons/km ²)
	Male	Female	Total			
Central	41,107	38,682	79,789	23,205	15.2	4,945
Kawempe	159,800	178,512	338,312	94,574	31.2	10,925
Rubaga	178,353	206,033	384,386	105,991	36.9	10,385
Makindye	188,537	206,739	395,276	110,224	54.2	7,251
Nakawa	154,841	163,606	318,447	84,793	52.8	6,004
Total:	722,638	793,572	1,516,210	418,787	190.1	7,928

Source: 2014 Census Provisional Results

¹KCCA Strategic Plan 2014/15 – 2018/19.

² These are namely: Central, Kawempe, Makindye, Rubaga and Nakawa

³ KCCA Strategic Plan 2014/15 – 2018/19

2.3 Governance, Administrative & Management Structure of KCCA

The Governing Law

Kampala city is governed by KCCA through the KCCA Act (2010)⁴, which draws several provisions from the Local Government Act (1997). The Act created many offices such as the Office of the Lord Mayor, the Office of the Minister for Kampala and the Office of the Executive Director of KCCA. Deeper analysis of the law indicates that challenges may still exist in the administration of the city, not caused by individuals but by the existing Act. According to Article 5 of the Constitution, the Capital City is supposed to be administered by Central Government. However, the current law stipulates that the Lord Mayor is the political head of Kampala City, yet this would purely be the role of the Minister for Kampala Capital City and Metropolitan Affairs who is the representative of central government. Section 11(1)e provides that the Lord Mayor shall head the Authority in developing strategies and programmes for the development of the city.

The political wing

The KCCA Act (2010) stipulates that the Authority shall consist of the Lord Mayor and his/her deputy and elected councillors and representatives of various professional bodies (such as architects, medical practitioners and the Law Society). The central government appoints a Minister and an Executive Director (ED) who report directly to the President. The Minister for Kampala, therefore, wields political power and leads on policy formulation, policy guidelines and monitoring the Authority whereas the ED carries executive power. According to the Act, in the performance of his/her functions, the Lord Mayor is answerable to the Authority and the Minister, which brings about role confusion. This leaves the elected Mayor with ceremonial powers and little to do with formulation of strategies and programmes.

Divisional Mayors are also elected to represent the five divisions in Kampala City. According to the Act, primarily the role of the Divisional Mayors and elected councillors is to maintain contact with the residents of the electoral area, and thereby gain an understanding of the needs and challenges facing the populations, as well as overseeing the impact of programmes that have been implemented. Based on these interactions the councillors can then make recommendations and proposals to the Authority, which can be included in the KCCA's development plans.

The technical wing

The administrative roles of KCCA are vested in the executive arm of the Authority and this is the KCCA's Executive Director (ED) and Deputy Executive Director who are appointed by the State President on the recommendation of the Public Service Commission (PSC). This ensures independence from the political authority as their positions are not dependent on the councillors or the Lord Mayor. Therefore, the ED is the Chief Executive Officer (CEO) who is the chief accounting officer of KCCA. The ED presides over the senior management team (Management Executive Committee –MEC) with membership from Heads of Directorates and their deputies. The ED is accountable to the Minister of Kampala and Metropolitan Affairs and the KCCA Council which is the political wing headed by the Lord Mayor.

Office of the Minister for Kampala & Metropolitan Affairs

The Minister for Kampala and Metropolitan Affairs and his/her Deputy represent Central Government and are supposed to give political leadership, policy guidelines and monitoring the Authority. Analysis of the role of this Office of the Minister shows conflict of roles with the Office of the Lord Mayor, which may be one of the reasons why the two offices may not be working harmoniously together to improve service delivery in the city.

⁴KCCA Act (2010)

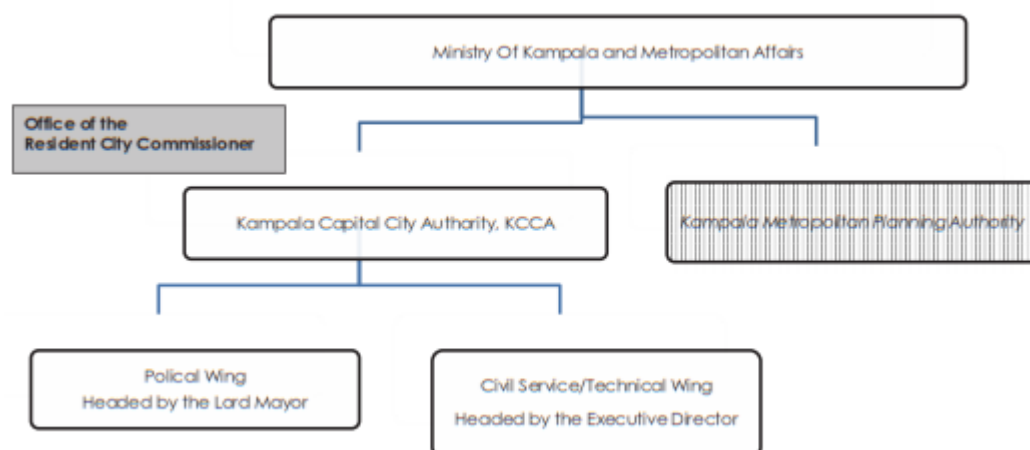
Standing Committees of KCCA

The Authority has appointed Standing Committees (SC) for each Directorate, whose functions include but are not limited to: overseeing the performance of the Directorates; receiving and approval of quarterly and annual work plans of directorate; reporting (quarterly and annually) to the Authority on the performance of the Directorates; and receiving, scrutinising, and recommending to the Authority proposals for the budgets of the Directorates/departments. The SC responsible for WASH, both at KCCA City Hall and Divisions level, is known as Public Health and Environment Committee.

2.4 Directorates and staffing at KCCA to support planning, budgeting and monitoring of WASH

KCCA is split into 10 Directorates, with an approved total establishment of 1,425 technical staff⁵. However, as of December 2016, a total of 407 positions had been filled and have since reduced to 362 staff⁶ as at December 2017 constituting only 25.4% of the required workforce. The 10 Directorates cover areas such as Engineering and Technical services, Public Health and Environment, Physical Planning, Legal Affairs, Treasury, Revenue Collection and Internal Audit. Each Directorate has an appointed Director and Deputy Director, under whom a team of managers oversee the various aspects of the city's operations. This structure is decentralised to each of the five (5) local council Divisions of Central, Nakawa, Kawempe, Rubaga and Makindye. Each of the Divisions is headed by a Town Clerk who represents the ED at that level. Each of the KCCA Directorates has representative staff at the Divisions level to handle delegated directorate mandates from KCCA at the Centre/City Hall.

Fig. 1: Snapshot of the KCCA Governance Structure as at December 2017.



Source: Ministerial Policy Statement FY 2018/19

2.5 Mandate and Structure of Directorate of Public Health & Environment (DPHE)

Mandate of DPHE

DPHE is mandated to improve, maintain a clean, habitable and sustainable city environment and provide high quality services to the population of Kampala, ensuring healthy and productive citizens. The Directorate guides the Authority on the efficient management of public health and the environment in Kampala through ensuring compliance to the relevant regulations. All WASH planning, monitoring and execution within KCCA sits within the DPHE.

⁵ KCCA Ministerial Policy Statement for FY 2017/18.

⁶ Ibid

Staffing structure of DPHE

DPHE has two deputies: one in charge of preventive health and another one in charge of curative health. Thus the Directorate is composed of two departments:

- **The Medical Services** – the medical services arm oversees the provision of medical services that are responsive, high quality and accessible as per national policy and guidelines.
- **Sanitation, Environment & Inspectorate Services** – as the preventive arm, the major focus of this arm is to design and implement programmes that will ensure a clean and healthy environment. The key areas include; management of solid waste (including the landfill), environment management, providing and maintaining public sanitation facilities, and carrying out public health inspections and education.

Fig. 2: KCCA Directorate of Public Health and Environment Staffing Structure.



Source: Ministerial Policy Statement FY 2017/18

Under the DPHE, the Ag Director who is also a medical person is the overall Accounting Officer; his Ag Deputy who is the Deputy Director-Sanitation and Environment handles the preventive wing. There are 3 Managers under the Deputy Director-Sanitation and Environment, that is: Manager Health Inspectorate; Manager Sanitation, and Manager-Solid Waste and Environment. However, it is important to note that these are new positions which were only approved in FY 2017/2018.

At the Divisions level, there are Officers namely the Solid Waste Management Officer and Health Inspection and Education Officers. Currently, there are no Sanitation Officers at the Divisions level; however, under the new proposed structure, there will be a Sanitation Officer at each Division. It is useful to note that under the ongoing City-wide Inclusive Sanitation (CWIS) project funded by Bill & Melinda Gates Foundation (BMGF), there is a Team Leader/Manager and other support staff (e.g. for Monitoring & Evaluation-M&E) at KCCA City Hall, as well as Sanitation Project Officers at the Divisions level.

Further analysis of staffing in one of the Divisions (e.g. Nakawa Division), revealed that there are other staff who support the public health function although these are few in number. These include: Ward Administrators representing the Town Clerk at parish level; 1 Health Inspector; 2 Health Assistants; 1 Solid Waste Officer; 1 Project Officer under the CWIS project; casual labourers (such as Scouts and Village Health Teams-VHTs), and 3 Education Officials (1 Education Supervisor and 2 Education Officers) who handle matters of health and WASH in schools. The Health Inspectors and Health Assistants also work with the Courts of Law to enforce the sanitation laws.

2.6 Institutional mandates for the delivery of WASH in Kampala

Government agencies;

Institutional mandate for WASH delivery in Kampala city is divided between KCCA and the semi-autonomous NWSC. NWSC's mandate includes water supply and sewerage, including planning and development of, and Operation and Maintenance (O&M) of the sewerage network; and effective collection, treatment and safe disposal of sewerage (including Faecal Sludge-FS from on-site systems). NWSC also has an urban Pro-Poor Unit, which coordinates water and sanitation activities in the urban poor (slum) areas of Kampala. It is useful to note that the high capital investment costs for sewer systems have led to very limited sewerage development, coupled with inadequate faecal treatment plants to complete the faecal management cycle.

On the other hand, KCCA is responsible for On-Site Sanitation (OSS) service delivery (including infrastructure development) and solid waste management; and setting standards and enforcing policies and regulations. The Authority is also responsible for ensuring that these align with broader national standards on main issues such as environmental protection and water quality control. KCCA also ensures that basic public safety standards are met, quality control of works, monitoring, supervision, and that by-laws are in place and enforced with respect to the management, disposal and re-use of human waste. This distinguishes Kampala from other towns and rural districts where the local authorities deliver water & sanitation services, overseen by ministries such as the Ministry of Water and Environment and the Ministry of Health

KCCA & NWSC signed MoU between them, to implement partnership projects together, for example the Lake Victoria Water & Sanitation (LV-WATSAN) project – with focus on sewerage services, point water sources and Faecal Sludge Management (FSM). The two agencies also work together on operational issues such as maintenance of sewerage system in the city; on the Pollution-Control Task Force (PCTF), joint engagement of the Cesspool Emptiers Association, and FSM at NWSC plants.

NGOs and Private Sector Agencies

In addition to KCCA and NWSC, other stakeholders in Kampala's water and sanitation space also include a number of Non-Governmental Organisations (NGOs) and private sector organizations, such as Water for People, WaterAid, AMREF, CIDI, UNHCR, Cheshire, Norbrook, Rotary, Private Emptiers Association, and Gulpers Association, to name a few. Currently, NGOs and private sector stakeholders have low involvement in the overall planning and budgeting of KCCA's water and sanitation activities but are highly involved in activity implementation and are influential through their advocacy roles. There will be need for NGOs to harmonize interventions with KCCA to minimize duplication of efforts and ensure improved and equitable WASH service delivery.

Donors;

Many of the water and sanitation activities undertaken by KCCA, NWSC, and NGOs are supported by international development partners such as BMGF, GIZ, the French Development Agency (AFD), the International Finance Corporation (IFC), the World Bank, African Development Bank (AfDB), the European Investment Bank (EIB), Coca Cola, MTN and KfW. The donors have a large influence on the design and implementation of WASH systems and activities, and provide financing, capacity building, and technical assistance to improve services in line with SDG commitments but also aligned to their own policies and strategies. They finance construction of sewerage systems (sewers as well as wastewater and FS treatment plants) and public toilets in the city particularly through KCCA and NWSC. All the WASH interventions are targeted at the poor and marginalized groups; while school-related WASH funds are directed to schools in most need. KCCA usually has an input in the selection of the target areas where interventions in WASH are to be undertaken irrespective of the donor.

2.7 Stakeholder coordination efforts

Due to coordination needs arising from system fragmentation and the presence of many actors in WASH in the city, KCCA coordinates stakeholder efforts in the WASH sector through different platforms⁷ and initiatives. For example, KCCA is represented on all major WASH infrastructure projects undertaken by NWSC and other agencies in Kampala as part of the Project Steering Committee (PSC). Besides, KCCA requires other actors such as NGOs, Community Based Organisations (CBOs), and donor agencies that work in the WASH sector in Kampala to have Memoranda of Understanding (MoU) signed. The MoUs spell out the obligations, expectations and roles of the different actors. This partly enables KCCA to coordinate the actors and minimize duplication of interventions.

The coordination mechanisms and platforms for WASH that offer opportunity for improving planning, budgeting and monitoring of WASH include the following:

Kampala City-Wide Inclusive Sanitation (CWIS) Project Steering/Advisory Committee (PSC)

Established in 2010/2011 for the Kampala Faecal Sludge Management (KFSM) project (now CWIS project), this PSC is chaired by KCCA. Its membership includes: NWSC, National Environment Management Authority (NEMA), Ministry of Health (MoH), Ministry of Water and Environment-Directorate of Water Development (MWE-DWD); CSO Representative: Uganda Water and Sanitation NGO Network (UWASNET); and GIZ. Its mandate is to: i) strengthen inter-agency coordination on FSM; ii) minimize duplication and optimize use of available resources and capacities; and iii) share data on FSM among the various stakeholders. The PSC holds periodic advisory meetings and provides advice and direction to the KFSM team.

Kampala Pollution-Control Task Force (KPCTF)

Established in 2012, the KPCTF is chaired by KCCA and has a mandate to strengthen cooperation between regulatory agencies, and the public and private sector on wastewater discharge and pollution control. Its membership includes: Ministry of Water and Environment(MWE)-Directorate of Water Resources Management (MWE-DWRM); NEMA, NWSC, Uganda Manufacturers Association (UMA), and Uganda Cleaner Production Centre (UCPC). Some of the activities for the KPCTF include: i) enhancement of compliance to environmental regulations; ii) conduction of joint industrial assessments; iii) promotion of annual detailed cleaner production assessment, training& audits; iv) holding public-private dialogues on wastewater management and pollution control; v) campaigning for adoption of better occupational health and safety practices; and vi) conducting research to inform better & innovative practices for managing waste (solid waste, waste water, fecal sludge) in the greater Kampala.

Kampala Water & Sanitation Forum (KWSF)⁸

Established in April 2012⁹ (and currently under review), KWSF has the mandate to: i) facilitate coordination of stakeholders in WASH in the city; ii) open dialogue on prevailing WASH challenges and identify solutions; iii) enhance opportunities for synergy and learning as well as networking on WASH. With KCCA acting as the Chair/Host/Secretariat of KWSF, membership includes: NWSC, NEMA, the World Bank, Private Sector (such as Pit Emptiers and Gulpers' Associations), donors (such as GIZ), and NGOs (such as CIDI, WaterAid, AMREF, Water for People, IRC, AEE, and UWASNET). The scope of work of KWSF includes: i) holding regular coordination meetings; ii) development of citywide hygiene education/promotion strategy, and standards (e.g. minimum standards for sanitation); iii) development and enforcement of household sanitation

⁷ KCCA & WaterAid Baseline survey on WASH service levels and the enabling environment for provision of sustainable services in Kampala (July, 2018), By. Eng. Kenneth Musabe.

⁸ KWSF has four (4) Working Groups:

1. Hygiene, public health & education & promotion – Chaired by the World Bank;
2. Appropriate technology standards & business development – Chaired by Water for People;
3. Knowledge management & learning – Chaired by NWSC;
4. Governance, legal and Policy Advocacy – Chaired by WaterAid.

⁹<http://kiyimba-james.blogspot.com/2012/05/forum-to-kick-water-and-sanitation.html>

guidelines; iv) coordination of WASH infrastructure development, operation and maintenance; and v) enhancement of capacity building and knowledge sharing on WASH.

Establishment of KWSF was a step forward towards improving planning, coordination and learning on WASH in the city. However, the coordination of actors within the various working groups of the Forum is still externally driven and to ensure sustainability of efforts, there is need for these roles to be institutionalised within KCCA. KCCA also needs to ensure regular Forum meetings are held in order for partners not to lose momentum.

Mandates for WASH coordination & implementation within KCCA

The mandate for WASH coordination & implementation within KCCA is shared responsibility between Directorate of Public Health & Environment (DPHE) and other Directorates. WASH in Schools in KCCA, for example, sits in the Directorate of Education and Social Services (DESS), but technically is spearheaded by DPHE. DESS has the mandate to provide, guide, coordinate, regulate and promote quality Education, Sports, as well as recreation and tourism activities in Kampala city. WASH in Education monitoring is led by the Education Manager at KCCA level, who oversees the work of the Education Supervisors at the Divisions level. The Education Supervisors, in turn, oversee the schools. Functionally, the Education Supervisors report to the Town Clerk, but also to the Directorate of Education at KCCA. Other Directorates closely related to DPHE include Physical Planning; Engineering and Technical Services, among others. On the other hand, issues of drainage are handled under the Directorate of Engineering & Technical Services where master plans are drawn; however, some functions under drainage are also covered by DPHE especially to do with routine inspections and regular un-blocking of blocked drainage channels.

2.8 Access to water and sanitation services in Kampala city

2.8.1 Access to safe water

According to NWSC, in 2016, safe water coverage in Kampala stood at 82%¹⁰(about 341,841 people) compared to 78% country-wide. The long-term plan of NWSC is to improve access to clean water from 82% to 100% coverage by 2030 in line with the Sustainable Development Goal (SDG) target of safe water for all.

2.8.2 Access to household sanitation

According to the KCCA Sanitation Mapping Report (2017), 92% rely on OSS; access to some form of sanitation stands at 99% ; 70% predominantly use pit latrine options; 50% of the households share sanitation facilities; while sewerage accounts for 8% mainly in the Central Business District (CBD) and affluent areas. With 50% of latrines in informal settlements abandoned; and 30% emptied into the environment, only 58% of the residents have access to improved sanitation¹¹. With a total of over 90 cesspool trucks and 10 Gulpers, a lot of the pit emptying business is unregulated with only a FS collection efficiency of 44%. The current SDG sanitation indicators for Kampala as measured by KCCA using the JMP/WHO are summarised in Table 20 on page 20 below.

2.8.3 School Sanitation

KCCA, with support from partners (e.g WaterAid, CIDI, AMREF and GIZ), has made significant investment in school sanitation. A total of 94 sanitation facilities were constructed in the last 4 years majorly targeting government-aided primary schools. This has contributed to a reduction in the pupil: stance ratio from 118:1 in 2012 to 50:1 in 2019¹², as compared to the standard 40:1 by Ministry of Education & Sports. Some of the WASH technologies promoted in schools include: bio-toilets, incinerators for disposal of used menstrual pads, WASHaLots for handwashing, and rainwater harvesting tanks.

¹⁰Eng. James Maiteki, NWSC Poster Presentation during International Training Programme on Sustainable Urban Water and Sanitation (ITP-SUWAS), 2016/17.

¹¹ Improved sanitation is defined by KCCA as pit latrines which are emptiable and includes safely managed, basic & limited sanitation.

¹²KCCA Report during the KWSF (2019).

Table 2: Current SDG Indicators for Sanitation in Kampala

	SDG Ladder in Kampala (% coverage)				
	Safely managed	Basic services	Limited services	Unimproved services	No service
Sanitation	7%	14%	37%	42%	0.3%
	(Popn: 98,959)	(Popn: 184,649)	(Popn: 496,909)	(Popn: 573,339)	(Popn:3,544)

Definitions:

Improved sanitation:

- 1) Safely managed = Not shared + safely emptied + not to open ground
- 2) Basic = Not shared; Not emptied (=14%)
- 3) Limited = Shared between two or more H/Hs; but safely emptied

Unimproved sanitation:

- 4) Unimproved = Unlined toilets + no slab
- 5) Open defecation = No toilets

Source: KCCA Directorate of Public Health and Environment

2.9 Future planning for WASH by KCCA and NWSC(2019 – 2020/2026)

2.9.1 City-wide Inclusive Sanitation:

Since January 2019, KCCA has started to implement a 4-year (2019-2022) City-Wide Inclusive Sanitation (CWIS) project co-funded by BMGF and KCCA to the tune of approximately USD 5 million¹³. Through the CWIS and the LV-WATSAN programmes, KCCA and NWSC plan to increase safely managed waste Faecal Sludge (FS) to ≥ 80% by 2025 (e.g. through public infrastructure and services; organised and regulated Private Sector-led emptying services; promotion, regulation and incentivising household sanitation; improving equity, equality, efficiency, and innovation; elimination of open defecation; and promotion of resource recovery).

KCCA and NWSC are jointly planning for improvements in sanitation in Kampala City as follows:

- **Promote collaboration between KCCA and neighbouring districts** – through the Network of Mayors of Kampala City, Wakiso /district and Mukono Municipality for WASH & Environmental Integrity.
- **Private sector development** –provide a conducive environment for sanitation business development; promote masons/builders & product suppliers (e.g. sato-pans); target improving services by the pit emptiers & gulpers (as alternative pit emptying technologies), and regulation (e.g. through implementation of the Sanitation Ordinance, passed by the Political Authority in 2019) and health and safety of desludging services.
- **Sanitation infrastructure development (sewerage & treatment)** – increase sewerage by 30% by 2040; construct 2 treatment plants (decentralised Sewerage Treatment Plants-STPs and Transfer Stations); Pilot Condominium Sewers in Makindye and Kibuye; and construct Micro FS treatment Units of 5m³/day in Kansanga and Namuwongo.
- **Households sanitation** –achieve 100% city-wide coverage of improved sanitation; eliminate unimproved sanitation facilities & open defecation; improve FSM; and provide adequate treatment capacity. This will be achieved through continued use of the sanitation marketing approach to encourage households to construct improved toilets according to standards, to desluge and to maintain hygiene through health education awareness; and implementation of pro-poor interventions (e.g. through appropriate subsidies).

¹³KCCA Report during the KWSF (2019).

- **Public sanitation** – increase number of public toilet facilities by 200, and establish O&M models. Sites selected for construction of public toilets are based on ownership of land by KCCA. However, there are many sites on whose land is not owned by KCCA but by Buganda Land Board, churches, and/or individuals. KCCA enters into agreements with the owners of the land.
- **School sanitation** – focus on improving and enforcing standards in schools and improve on O&M of sanitation facilities.

2.9.2 Integrated Solid Waste Management (SWM) System

KCCA plans to increase safely managed waste from 50% to 80% by 2025 through efficient collection, transportation, disposal, treatment and resource recovery interventions. Currently, waste collection and transportation is contracted to local private companies; however, zone 6 was not awarded to any service provider as KCCA is still fully operating in this zone and providing services in critical public places and some pockets of informal settlements. For example, KCCA's trucks still attend to streets, schools and other public places such as markets. KCCA also manages and finances the waste disposal and treatment landfill at Kiteezi. Additionally, KCCA entered into a partnership with Coca Cola to establish collection centres for plastics in each Division, based on availability of space. Coca Cola then supplies them with materials such as branding, and weighing scales. At the collection centres, community members are paid for plastics, based on volumes e.g. 1 kg is UGX 500= (approx. USD 0.14) depending on the type of plastics. Other interventions under solid waste include street sweeping, desilting of drainage channels, and sensitization of communities on proper SWM.

A review of the performance of the 5-year strategy by KCCA indicates that whereas the plan had outlined massive improvement in the management and collection of solid waste, the city is still grappling with uncollected waste. This is because concessionaires that were contracted to collect waste, do not have enough manpower; KCCA which is supposed to collect garbage from public institutions does not have enough trucks; Kiteezi landfill is already overflowing. The Authority completed procurement of 132 acres of land in Dundu, Mukono District, to construct a new landfill; however, KCCA still needs an Investor who can invest in an engineered landfill which can turn waste into biogas and manure.

2.9.3 Environmental Management & Pollution Control

KCCA plans to establish a robust city-wide environmental management coordination, regulation, and monitoring and pollution management system. Through this system, KCCA will manage to control development in the city, control Wastewater-Air-Noise-Pollution; and improve green spaces and ecosystem management.

2.9.4 Public Health Inspection and Education

KCCA is planning to establish a responsive community-based and public health surveillance & education system; household hygiene and sanitation; monitoring and ensure suitability of institutional, business, and commercial premises; promote safe medical examinations; and ensure occupational health and safety.

2.9.5 WASH coordination & multi-stakeholder platforms

KCCA plans to continue to participate in the National Sanitation Working Group (NSWG); facilitate the KWSF; and regularly convene the Kampala CWIS Advisory/Project Steering Committee for policy direction, planning, and support technical, financing and investment decisions.

2.10 NWSC planning for water supply in informal settlements in Kampala city

Pro Poor Approach

In 2006-to-date, NWSC established a well-defined urban Pro Poor Policy¹⁴ and Strategy to institutionalise and guide pro-poor service provision. With support from the World Bank, the strategy was reviewed in 2015. In the strategy, NWSC came up with a special tariff and connection policy for the poor (social connection policy & subsidized consumption tariff); decided to finance infrastructure expansion in informal settlements from a combination of internal resources and development partners; uses a mix of appropriate technology to increase access in a sustainable manner (e.g. prepaid metering); and also uses a social-marketing approach to service provision in the urban poor areas. NWSC also established a dedicated urban Pro-Poor Unit, with a clear budget, responsibility and high visibility within the company. NWSC mapped major slum areas across the city, in order to determine where to extend services.

a) Pre-paid water metering approach to serve the poor;

The first prepaid meter project started in 2006, with installation of over 1,513 prepaid meters in low income areas of Kampala. Over time, a total of over 35,000 tokens have been distributed to benefit about 300,000 urban poor persons¹⁵. NWSC fully subsidizes the prepaid connection fees.

b) Construction of sanitary facilities

Under the LV-WATSAN project, NWSC is closely working with KCCA and the communities on two major components:

- i. Technical infrastructure/construction of sanitation facilities, including: construction of public toilet facilities; development of a catalogue of appropriate technologies and sanitation marketing strategies; construction of sanitation facilities in schools; construction/rehabilitation of public toilets; piloting simplified sewers; construction of decentralized Faecal Sludge Treatment (FST) plants; and construction of fecal sludge transfer stations. Alongside the hardware works are sanitation marketing and business development interventions for sanitation entrepreneurs, hygiene promotion campaigns in schools, piloting management models for public toilets; and regulation and enforcement.
- ii. Capacity building and business development of small scale pit emptying and appropriate technologies; sanitation marketing of faecal sludge emptying services; and regulation development e.g. licences of pit emptying/regulation & enforcement.

3 Findings of the Study

3.1 Uganda long-term plans that guide planning, budgeting and monitoring of WASH in KCCA

3.1.1 National Resistance Movement-NRM Manifesto 92016-2021)

Uganda, like other East African countries, is on an ambitious transformational path from a predominantly low-income to a competitive upper middle-income country over the next 10 years. WASH is enshrined as a human right in Uganda's 1995 Constitution and well spelt out in the ruling party National Resistance Movement (NRM)

Manifesto (2016-2021). However, such political will still lacks proportional investment in the WASH sector to ensure WASH for all; lacks institutional effectiveness required to deliver this change; and lacks meaningful engagement from citizens, all of which are key requirements in sustaining such growth path.

3.1.2 Vision 2040 (April 2013)

Government of Uganda, through National Planning Authority (NPA) developed the National Vision 2040, which is "A transformed Uganda Society from a peasant to a modern and prosperous county within 30

¹⁴ Pro-Poor Strategy for the Water and Sanitation Sector (March 2006); Ministry of Water, Lands & Environment-Directorate of Water Development (DWD),

¹⁵Presentation on Urban Pro-Poor Operations in NWSC, Kampala: Kitakufe Ronald (January, 2018).

years". The theme of the Vision is: "Accelerating Uganda's Socio-economic Transformation". Vision 2040 for Uganda focuses on creating opportunities for wealth creation that will transform Uganda into a middle-income country. It is envisaged that the country will graduate to the lower middle-income country segment by 2017, and reach middle-income with per capita of USD 9,500 by 2040. The Vision underscores the importance and the central role of 100% access to water in the process of transforming Uganda.

However, it remains to be seen how this aspiration and commitment translates into proportionate prioritisation in resource allocation and implementation of quality and sustainable programmes. Another observation is that Vision 2040 may not be attained by 2020 because of ineffective financing of development priorities; misalignment between the intent of the budget and the actual budget allocations; poor budget discipline; public borrowing that is not aligned to NDP II priorities; high interest payments, which crowd out budget allocations to key sectors and priority infrastructure projects that are key in driving growth and improving competitiveness of the economy¹⁶.

3.1.3 The National Development Plan II (NDP II, April 2015)

NPA developed National Development Plan II (NDP II – 2015/16-2019/2020), whose theme is: "Strengthening Uganda's Competitiveness for Sustainable Wealth Creation, Employment and Inclusive Growth". NDP II is the second in a series of six 5-year plans aimed at achieving the Uganda Vision 2040. The second NDP II aims to transform Uganda into a middle income country by 2020 and estimates water access at 100% to be central in this transformation process. Relevant sectoral strategic plans have been developed and aligned with the NDP II including for delivering water and sanitation, education and health outcomes as contribution.

Unfortunately, nationally WASH is not among the top priority sectors within NDP II, in terms of funding; which is also reflected in terms of financing for WASH at Ministry level (Water & Environment; Health; and Education and Sports), and at KCCA level as DPHE received only 4.6% of the total budget for FY 2017/18. This will require KCCA to make a strong case for WASH as top-most key driver for city transformation and a key contributor to the achievement of the Vision and Mission of KCCA.

3.2 Policies, guidelines & strategies relating to KCCA's planning, budgeting and monitoring processes for WASH

3.2.1 The KCCA Act (2010);

Brief background

In the post-independence period, Kampala city was managed under the Local Government arrangement (Kampala City Council-KCC). Over the years, the sprawl of the Kampala outstripped the capacity of the city infrastructure to support the delivery of effective public services. Much of Kampala's infrastructure backlog resulted from years of neglect and underinvestment, combined with the rapid population growth and urbanisation of the city. The city was plagued by corruption and maladministration, which severely impacted its ability to deliver services to the residents. Mismanagement and poor governance of the city manifested itself in low levels of adherence to rules and regulations leading to errant behaviour, corruption and fraud¹⁷. Kampala that once had the best road networks, best health system, and best education system to reckon with in the region was fast eroding. In 2009, in realisation of the need to reverse the deteriorating status of the city, a study was commissioned by the Kampala Institutional and Infrastructural Development Programme (KIIDP), to investigate ways of corporatising the management of the city. The recommendations of this study culminated into the Kampala Capital City Act ("the Act"), which Parliament of Uganda passed in 2010¹⁸.

The KCCA Act 2010

Kampala city is governed by KCCA through the KCCA Act (2010), which draws several provisions from the Local Government Act (1997). The Act became effective in 1 March 2011. Under Section 4 of the Act, Kampala ceased to be a Local Government entity and under Section 3(2) of the Act, it became a Central

¹⁶<https://www.busiweek.com/why-uganda-cant-attain-middle-income-status-by-2020/>

¹⁷WaterAid Proposal to H&M Foundation for Sustainable WASH in Kampala City

¹⁸KCCA strategic plan – FY 2014/15 – 2018/19

Government entity administered by the Central Government. The law was intended to change Kampala city and transform the institution in terms of status, identity, governance, jurisdiction, staffing structure, financial management systems, staffing, accountability, and setting. Under Sec. 4 of the Act, Kampala ceased to be a Local Government entity and under sec.3(2) of the KCCA Act, it became a Central Government entity administered by the Central Government. In practicality, this meant that Central Government would have direct authority over Kampala, with the Minister in Charge of the Presidency, also being made responsible for the city¹⁹. Thus, the old Kampala City Council ("KCC") was transformed into the Kampala Capital City Authority ("KCCA or the Municipality"). The key feature of the Act (and the one which provided the impetus to reform the city's operations) was the separation of the political arm of the city from the managerial functions.

Thus, according to the KCCA Act (2010) and the Public Health Act (2000), the mandate of KCCA is to administer the mobilisation of local revenue and provide public services in the city; to promote and control physical development in the city; to promote socio-economic development in the city; provide safe water and sanitation in communities; and to maintain the city in a clean and sanitary condition, on behalf of Central Government.

3.2.2 The KCCA Strategic Plan 2014/15 – 2018/19

KCCA has a Strategic Plan for the period 2014/15-2018/19, which expired but was extended for a period of one year until 2019/20 to align and fit into the Central Government NDP III. According to the KCCA Strategy Unit, preparation of the new KCCA strategic plan will commence by December 2019. The current 5-year strategic plan lays the foundation for Kampala city transformation, and is aligned to both the National Vision 2040 and the Greater Kampala Metropolitan Area (GKMA) Development Framework 2040 that was approved in April 2013. The GKMA framework presents Kampala city as an economic and administrative hub and a major investment destination and the need therefore to transform Kampala into a sustainable city that can meet the current and future needs of all its stakeholders. The GKMP, however, pauses policy and institutional challenges since KCCA has no jurisdiction over the greater Metropolitan city; the current KCCA Act (under revision) is specific on mandates and boundaries.

The KCCA strategic plan not only provides a vision into the immediate future, but importantly defines clear outcomes against which to measure progress. The focus of the Strategy was to rebuild institutional credibility and functionality, and revamp basic urban infrastructure. KCCA also planned to rebuild key institutional and social structures that would drive the delivery of goods and services and respond to the challenges of increasing urbanisation and influx of rural-urban migration.

The preparation of the strategy was a consultative process with parishes, divisions, private sector, NGOs, and Ministries, Departments and Agencies (MDAs) before it was presented to the Minister for the Presidency and Kampala for approval. Further analysis of KCCA Strategy shows that WASH issues are clearly articulated under the priority theme of Social Development, Health and Education, which informs prioritisation for WASH in the city. However, the strategic plan was too ambitious and too focused on infrastructure (perhaps in line with the national level priorities such as roads), to the extent that financing to achieve the targets has been an issue, not only for capital investments but also other areas such as O&M of infrastructure. For example, KCCA had anticipated to spend Shs5.59 trillion to implement the plan but only Shs2.24 trillion was realised. KCCA still needs to clearly articulate how the Authority will deliver universal access to WASH to all city residents by 2030 and how much it will cost, to inform mobilisation of the required resources.

3.2.3 Sanitation Mapping/Baseline Assessment Report (September 2017)

With funding support from Bill and Melinda Gates Foundation (BMGF) and the UK Department for International Development (DfID), KCCA conducted city-wide sanitation mapping in 2016/17 in order to develop a sanitation GIS-based database (geodatabase) to be used for planning/allocation of resources and

¹⁹Ibid

monitoring of sanitation services in Kampala city. The primary sanitation data was collected from 167,607 locations using EpiCollect+ web/mobile application from the 5 Divisions of Kampala and used for developing a GIS-based sanitation database and a supplementary MS Access database. Some of the parameters that were assessed include: types of sanitation facilities; number of users per type of sanitation facility; age and condition of sanitation facilities; sharing of sanitation facilities; and access to sanitation facilities, FS emptying status, emptying method and quality of FS emptying services, among others. The sanitation mapping report is guiding planning for increasing safely managed city-wide inclusive sanitation in the city, plans of how to increase access to public toilet infrastructure and services, and how to address issues in the entire sanitation service chain.

3.2.4 Solid Waste Management Ordinance of 2000

The Local Government KCC Solid Waste Management (SWM) Ordinance of 2000, mandates KCCA and its agents to ensure that solid waste in Kampala is collected and conveyed to treatment installations to satisfy both public health and environmental conservation requirements. Hence, the SWM Unit manages the collection, transportation, deposit and treatment of the municipal waste produced in Kampala.

The Ordinance of 2000 also mandates KCCA to contract services of private parties (as delegated agents) to invest and undertake business operations along the waste management chain. This mandate has been strengthened by the Public Private Partnership (PPP) Act of 2015 which leverages a private sector driven environment in key service delivery sectors of government. Thus, through PPP, the City is zoned into seven (7) SWM Zones which are managed by three Concessionaires namely; 1- Homeklin (U) Limited, 2- Nabugabo Updeal Joint Venture and 3 - Kampala SWM Consortium – to collect and transport solid waste from the zones. Zoning has helped to ease KCCA's role of supervision of the private sector to ensure they are efficient.

3.3 Planning for improvements in WASH by NWSC

3.3.1 NWSC 5-year Strategic Direction (2016-2021)

Established in 1972, NWSC is a Public Utility company that is owned by Government of Uganda (GoU). NWSC is mandated, by the NWSC Act Section 5(1), to manage water and sewerage services in urban areas under its jurisdiction on a sound commercial and viable basis. NWSC's Vision is *"To be the Leading Customer Centered Water Utility in the World"*; their Mission is *"To sustainably and equitably provide cost-effective quality water and sewerage services to the delight of all stakeholders while conserving the environment"*. NWSC plans to increase access to Water coverage to 100% and Sewerage Coverage to 30% by 2020". This is in line with the SDGs, Uganda's Vision 2040, National Development Plan II, the NRM's Manifesto (2016-2021), as well as the Water and Environment Sector Sector Development Plan (2015-2020).

To achieve its targets and Mission/Vision, NWSC developed a 5-year strategic direction to guide its planning, budgeting and monitoring. The strategic direction is hinged on four (4) priority areas: i) SMART systems, business continuity and infrastructure growth; ii) financial growth and sustainability; iii) customer and stakeholder delight; and iv) productivity and capacity development. Some of the strategic focus areas include: water service availability, increased water coverage, environmental protection, sewerage services enhancement, customer satisfaction, and stakeholder engagement.

3.3.2 NWSC Corporate Plan (July 2018-June 2021)

NWSC developed a 3-year Corporate Plan in line with the provisions in the NWSC Act. Cap. 317 (2000). The Corporate Plan is anchored onto the 5-year strategy and The theme of NWSC's Corporate Plan (July 2018-June 2021) is: *"Accelerated Sustainable Growth and Service Reliability through Innovations"*, with catchphrase: *"Water for all, for a delighted customer by a motivated workforce"*. At the time of development of this Corporate Plan, NWSC was providing services in 240 towns in Uganda, including Kampala City, with a customer base of more than 580,000 connections.

The Plan focuses on addressing key strategic challenges faced by NWSC and has five strategic focus areas including the following: 1) service growth through geographical expansion and infrastructure development; green economy and resilience to climate change; 3) SMART technologies; 4) business viability & sustainability; 5) good governance; 6) corporate citizenship, through establishment of a sanitation financing facility; and 7) human capital and capacity development. The strategic goal of for the Corporate plan (2018-2021) include, among others, to increase water service coverage from 72% to 100% and sewerage service coverage from 6.4% to at least 30%; and.

3.3.3 NWSC's Pro-Poor Strategy

NWSC has Pro-poor initiatives, to improve water and sanitation services for the urban poor. Under this initiative, Public Stand Pipes (PSPs) are installed to provide water services to the urban poor across the country. Public Sanitation facilities are also constructed to complete the water and sanitation chain. NWSC has also introduced School Water and Sanitation Clubs (SWAS) as a very novel initiative that targets the next generation (school children). Through SWAS clubs, NWSC creates awareness about and promotes water and sanitation and hygiene in the country through sensitization and empowerment of children and through support to the school's WASH initiatives. NWSC's customers in over 2018 towns are categorised by tariff as summarised on Table 3 below.

Table 3: NWSC Tariff Structure, which defines customers

Type of Customer	Tariff Structure
Domestic	UGX 3,305/m ³ or UGX 78/20 litre jerrycan
Commercial	UGX 4,102/m ³ or UGX 97/20 litre jerrycan
Institutional/Government	UGX 3,344/m ³ or UGX 79/20 litre jerrycan
PSP (Pro Poor)	UGX 1,061/m ³ or UGX 25/20 litre jerrycan

Definition of the Poor by NWSC

NWSC defines the poor by their socio-economic characteristics, for example:

- Survive on less than 1.3 USD/day and don't own land
- Live in informal settlements characterized by poor housing structures (temporary roof, wall, floor)
- Don't have personal water connections
- Mainly buy water from vendors and/or get from springs
- Earn irregular income
- Population density of 400/hectare compared to average 73 persons/hectare in rest of Kampala.

Barriers to pro-poor service provision

NWSC conducted an analysis and established the following barriers that affect pro-poor service provision:

- **Low service coverage** - Baseline study carried out in 2001 established that the urban poor constituted 60% of Kampala population but consumed only 12% of piped water supplied.
- **Poor coordination among stakeholders**—there were many players in WASH but with no clear mandate and collaboration framework.
- **Weak and inadequate community engagement** – there was lack of participation by the poor in identifying their needs, and designing/implementing solutions.
- **Bad payment culture** - monthly billing system by NWSC suited salaried employees and not those in informal employment. By 2003 there were 1,400 PSP's in Kampala; a total of 800 were disconnected due to non-payment.

NWSC used the results of the above study to guide Pro-Poor interventions in Kampala.

3.4 Other WASH Strategies & Planning Guides

Other mechanisms that guide planning, budgeting and monitoring of WASH services in KCCA include: the Financial Management Act provided by the Ministry of Finance, Planning, and Economic Development (MoFPED), the Local Government Act; and the KCCA Ministerial Policy Statement, which guides the Officers at Division level to know which of their Wish-lists have been considered to be addressed by the Strategy & Business Development Unit of KCCA.

3.5 KCCA planning, budgeting, and monitoring process and its provision for participation of the Kampala City Urban Division Councils and Citizens.

Brief introduction;

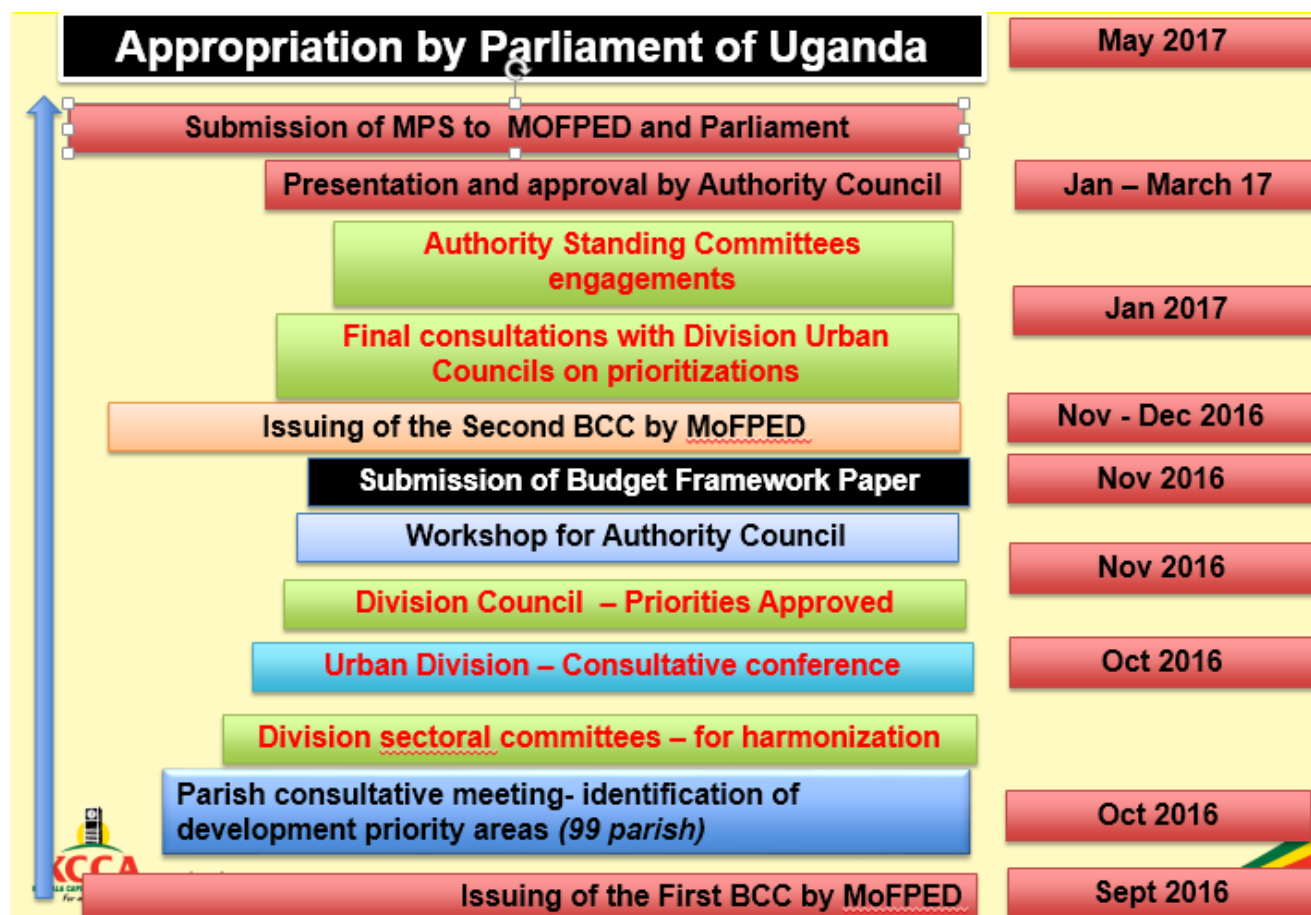
Planning and budgeting at KCCA is spearheaded by the Strategy and Business Development Unit within the office of the Executive Director. Planning and budgeting is guided by the government priorities in line with Vision 2040, NDP II, and the NRM/President's Manifesto; by the KCCA focus areas, as per the Strategic Plan; and the national resource envelop/administrative guidelines, as provided by MoFPED.

In order to strengthen the link between government strategic objectives, budget allocation and service delivery, Government of Uganda (GoU)w.e.f FY 2017/18 embarked on implementation of the *Programme Based Budgeting*. The new framework is intended to allow allocation of resources to national priorities through the linkage of programme to specific National Standard Indicators and their programme outcomes, thereby focusing on results/outcomes rather than inputs and outputs.

3.5.1 Planning and budgeting process by KCCA

The planning & budgeting process is a cycle that runs throughout the whole financial year, supposedly in a participatory manner. The planning process begins with the review and update of the Mid-Term Expenditure Framework (MTEF) and the country portfolio performance review in July/August of every year. The planning and budgeting process by KCCA is supposed to be as consultative as possible and takes the steps as outlined in Fig. 3 below.

Fig. 3: KCCA Planning & Budgeting Process



Source: KCCA Strategy and Business Development Unit

The process starts with issuance in August/September of the Budget Call Circular (BCC) by MoFPED, which provides national planning framework and planning figures. Upon receipt of the BCC, KCCA prepares a proposal to conduct the process, which is approved by both the ED and the Lord Mayor. Once the proposal is approved, the Divisions are guided to hold Parish-level consultative meetings. However, due to limited resources to facilitate the process, usually 4-5 parishes are grouped together and meetings/Barazas²⁰ held to identify community priorities. Ward Administrators at Parish level in each Division are responsible for organising Parish level Barazas in close collaboration with the Division Mayor and the Councillors. The process is documented into community “Wish-lists” and reported to the Town Clerk.

The Town Clerks in each Division mobilise all their technical staff from the different sectors to present issues and feedback from the parish Barazas. Community priorities identified from parish level Barazas feed into the Division-level Budget Consultative Conference. The Town Clerks also provide input into the process at this level, including identification of health and WASH issues to be taken into consideration in the Division plans. However, KCCA at the centre notes that although the Division Budget conferences are held, they may not be very effective because of the big numbers of participants i.e. up to 300 people and above attend.

Development partners such as NGOs are supposed to attend these Budget Conferences to articulate and explain what they have been doing in each Division and their future plans but often do not attend due to short notice periods or not communication at all for the meetings. The Head of Department (in this case, the Municipal Health Officer) is then tasked to document the priorities from this process for submission to the Public Health Committee for scrutiny before eventual submission to the Division Council for approval.

²⁰Baraza is when the community comes together to make a decision or plan in a meeting; a/so found at: <https://ghp-usa.org/2011/07/28/baraza-a-community-meeting/>

It is useful to note that at Divisions level, at the time of submission of Wish-lists by the technical teams, the Lord Councillors on the Sectoral Committees also have their interests and priorities and so may add or subtract to what is presented by the technical teams. The Mayor, who is the Head of the Division Council, mobilises the Chairpersons of different Sectoral Committees (e.g. Public Health, Education, physical planning, Gender, Administration, Business/Finance Committee) to present their priorities to the Division Council for approval. It is very important to note that there is no budget discussion at this level by the Divisions, and that the Division's Wish-lists are only included as annexes in the Ministerial Policy Statement for FY 2018/19 (Vote 122).

Upon approval of the Division priorities, the Town Clerk who is Secretary to the Council takes the documents to KCCA at the Centre/City Hall, assisted by the Clerk to Council for submission to the ED's Strategy and Business Development Unit. The Strategy and Business Development Unit reviews the Wish-lists from the Divisions and identifies which priorities will be addressed, depending on availability of funds.

As the planning process goes on at the Division level, at KCCA/City Hall level, staff in the Directorates also come up with their own priorities. At some point, the Division-level and KCCA City-Hall staff come together in one meeting/workshop at Directorate level to discuss priorities, which are also sent to the ED and Lord Mayor. Quite often, the priorities of DPHE at the Centre take precedence in terms of financing.

In November of each year, a planning and budgeting workshop is held by the Authority Council, to discuss and approve Division priorities. Results of the Authority Council workshop feed into the preparation and submission of the Budget Framework Paper (BFPs) to MoFPED by end of November. Upon receipt and scrutiny of the BFPs from Ministries and Agencies such as KCCA, MoFPED issues a second BCC which is more or less the final and more accurate budget.

It is based on the second communication from MoFPED that final consultations with Divisions on prioritisation as well as final engagements with the Authority Standing Committees is conducted, and the plan and budget is presented for approval by the Authority Council. The approved plan and budget by the Authority Council is presented by the ED to the Minister for the Presidency and Kampala, for her presentation and submission to MoFPED and Parliament of Uganda for approval as Vote 122.

3.5.2 Planning and budgeting process by NWSC Pro-Poor Unit

NWSC values community participation and involvement as well participation of KCCA's Divisions in the PSP programme and has set guidelines for the PSP process. For Example;

- NWSC obtains community input into the selection process of sites for installation of Pre-paid meters and toilets, so as to gain community acceptance at all stages of the process;
- NWSC engages the community to offer land on which to build the facilities and to guarantee public access. NWSC signs agreements with the community/owners of land not to demolish investments for a period of not less than 15 years; for the community to maintain the installations and pay for water and sanitation services; not to over-charge users of water (e.g. sale each 20 liter jerrycan at UGX 50/=); on the prices to charge for toilets and not to over-charge toilet users.
- The community also participates in the social marketing processes in order for NWSC to create demand and ownership by communities.
- The dedicated Pro-Poor branch of NWSC engages the community and their local leaders (such as LCs) and opinion leaders in order to respond to their special needs.
- NWSC has also established Points of Sale Vendors strategically located in communities to serve the communities better, and signs agreements with the Vendors as well as public/community sanitation caretakers.

NWSC recognises that the Division Councils are the local Authorities and representatives of KCCA at the Centre/City-Hall and are therefore critical in sanitation enforcement as part of their mandate. Therefore, NWSC ensures KCCA is represented on the committees of toilets, so that they are able to take over the management and maintenance of public and community toilets constructed by NWSC under the LV-

WATSAN project. KCCA also works with NWSC & the Consultants to agree on sites and the designs of public sanitation facilities.

NWSC has realized benefits from community and Division Council involvement in the Pro-Poor service provision. For example; water service provision is now enhanced; the pre-paid metering is convenient for both the utility and the users, as it has eased revenue management; meter theft and other forms of vandalism in informal settlements have substantially reduced; community policing has been enhanced through social marketing; illegal water connections and meter bypasses have reduced by about 80% in the urban poor areas; and NWSC's corporate image and customer satisfaction index have greatly improved in the peri-urban areas of the city.

However, NWSC has also faced some challenges e.g. high demand from communities for the services versus high investment cost of prepaid meters; how to ensure constant functionality of the installed units, as continuous supply of spare-parts and in-house capacity is critical; externalities like socio-technical challenges (such as vandalism, damage due to road works and new developments); land tenure problem and the poor physical planning of slums; resistance from some vendors who have been surviving on water vending; and denied communal access (e.g. some people erect fences and/or put locks thus denying some neighbors from accessing public water points).

3.5.3 The KCCA budget for WASH

Based on the available planning guidelines and frameworks by central government (NRM Manifest, Vision 2040, etc), the Directorates at KCCA identify areas of intervention and then prepare projects to address identified needs (e.g. building schools, construction of sanitation facilities, etc.). It is useful to note that currently, under the Division Councils' plans and budgets, the component of the budget has no figures. However, the DPHE in KCCA has a budget line for Water and Environment within the overall annual plan and budget of KCCA.

Table 4 on page 30 below shows the medium term budgetary allocation by vote, particularly for WASH under the DPHE for FY 16/17 and FY 2017/18. Water and Environment took only 2.6% and 4.6% of the total KCCA budget in FY 16/17 and FY 2017/18 respectively²¹ which is very inadequate to meet the WASH needs on the ground.

Out of the total KCCA Water and Environment Budget, 40% is allocated to solid waste management, while the sanitation portion is partially spent on improvement activities such as maintenance of public toilets and construction of school toilets.

3.5.4 The monitoring process for WASH in KCCA

At KCCA at the Centre/City Hall level, monitoring and routine inspection for WASH projects and programmes is often conducted with support from the Strategy and Business Development Department. Monitoring is the major role of Councillors to ensure that government or KCCA programmes are implemented. KCCA also has in place various offices that play a supervisory role and these include the Authority, the Standing Committees of Council (one for politicians and another for the Directors), as well as the Minister for Kampala and Metropolitan Affairs, all charged with the responsibility of monitoring progress of interventions. However, it is observed that continuous engagement with the politicians requires funding and is an area for improvement in KCCA.

²¹ KCCA & WaterAid Baseline survey on WASH service levels and the enabling environment for provision of sustainable services in Kampala (July, 2018), By Eng. Kenneth Musabe.

Table 4: KCCA medium term budgetary allocation by vote function

Sector /Vote Function	FY 2016/17		FY 2017/18	
	Total in UGX	%	Total in UGX	%
	(Billions)		(Billions)	
Production	7.88	1.4%	7.07	2.1%
Education	36.5	6.5%	37.96	11.3%
Health	6.88	1.2%	20.31	6.0%
Water & Environment	14.64	2.6%	15.55	4.6%
Social Development	1.82	0.3%	1.86	0.6%
Revenue Collection	3.6	0.6%	3.69	1.1%
Human Resources and Administration	78.44	13.9%	89.5	26.5%
Legal Support	18.44	3.3%	12.42	3.7%
Political Governance	14.05	2.5%	17.87	5.3%
Treasury Services	3.95	0.7%	2.98	0.9%
Internal Audit	0.27	0.0%	0.31	0.1%
Executive Support	5.21	0.9%	5.44	1.6%
*Urban Planning	3.05	0.5%	3.46	1.0%
Works and Transport	369.11	65.5%	118.98	35.3%
Grand Total	563.84	100.0%	337.39	100.0%

Source: Ministerial Policy Statement FY 2017/18

At Divisions level, ordinarily technical teams at the Divisions own programmes and projects and hence coordinate with the politicians of various committees to development monitoring programmes to visit on-going projects of interest to them. The technical teams work with Heads of Departments that have received funding from KCCA partners and request Clerk to Council to organise field visits e.g. to government and private health facilities, to markets and to schools. During such visits, the politicians also get time to look at equipment e.g. solid waste management equipment, public and community toilets, and how solid waste is managed in the communities.

There are also Audit and Finance Committees at the Division Councils. Although these are mandated to monitor budgets, they do not look at the budgets either; instead they focus more on how much revenue has been collected for a specific quarter and the expenditure. They also report on the amount of revenue collected from ground rent and licenses issued out by the Council.

With regard to WASH in schools, with support from GIZ, KCCA has come with a digitalised monitoring tool (using the 3 Star Approach) that will be used to supervise, inspect and monitor sanitation issues at schools. Ordinarily, routine inspection of WASH in schools is carried out at the Divisions level by Education Supervisors and Education Officers.

There is also the Presidential Committee on Budgets (PCOB) that gets involved in monitoring of projects to look at priorities especially in relation to the President's Manifesto; what is funded and what is not funded and why. PCOB can then help KCCA access additional funding where need be.

According to the KCCA Strategy Unit of KCCA, overall, the function of Monitoring & Evaluation (M&E) in the institution is not doing well. There is weak support supervision, for example, by Division Health teams because of lack of transport. Often fuel is budgeted for at KCCA at the Centre/City Hall level but not accessed on time or not given at all, depending on availability of funds for monitoring. The Strategy Unit

recommends that the DPHE puts in place mechanisms to improve monitoring and reporting on WASH interventions in communities. A question still remains, however, on how M&E can be improved for the entire KCCA and all Directorates.

3.6 Documentation of key community participation gaps of Division Councils and Citizens in KCCA planning, budgeting, and monitoring processes for WASH

The following are highlights of the gaps that have been identified as key participation gaps for the Kampala City Urban Divisions and citizens in the KCCA planning, budgeting and monitoring processes of WASH services. These gaps will inform the advocacy messages and engagements between CIDI, KCCA as a duty bearer, and the beneficiary communities to address gaps and improve WASH service delivery in the city.

3.6.1 Participation of communities, their leaders, NGOs and the Division Councils in the planning & budgeting process

Although provided for in the planning guidelines, community-level planning meetings for WASH are not well planned and budgeted for. Division-level staff would need, for example, funds for airtime for communication, public address systems, meals and/or drinks, and handouts for participants during planning meetings. Although Barazas are held at parish level, the planning & budgeting process is not participatory enough; and, due to limited funds and time, engagement of communities does not happen as expected. Often, Division Councils are given only 1-2 months to identify which WASH issues need to be addressed. Out of 23 parishes in Nakawa Division, for example, only 6 parishes are consulted with few community members representing their own and other parishes.

The study established that although the planning, budgeting and monitoring process in the Division Councils and at KCCA at the Centre/City Hall happens, it is not felt by the communities and NGO partners because the process is usually rushed; hence the majority of partners are left out of the process. Another observation was that NGO partners are called to participate in the planning and budgeting process at short-notice, which does not give them ample time to prepare to attend and to make presentations. Besides, the study also established that currently the DPHE is supported by many Development Partners, who are not represented in the Division and KCCA Centre/City Hall level planning and budgeting meetings. Yet they are expected to contribute finances for part of the Division Councils and KCCA DPHE's plan and budgets for WASH.

Additionally, it was established that many WASH needs are identified at community level but often these are not addressed in the final KCCA City-level plan and budget because of limited resources; neither do Division Councils have their own budgets to allocate to such WASH priorities. For example, out of a total of 100 proposed activities/interventions that would have been identified at Divisions level, only 2 of these Wish-lists may be funded. This leaves communities feeling that their proposals are not prioritised by KCCA.

3.6.2 Gaps in the KCCA law and in the mandates

The analysis indicates that KCCA Act (2010), weakened the Authority at Divisions level, and re-centralised the power for planning and budgeting for WASH and other services for KCCA at the Centre/City Hall. Consequently, the Division Councils feel disempowered as far as planning, budgeting and monitoring processes and services within KCCA is concerned. Wish-lists are generated by the Division Councils and sent to the DPHE; it is at the discretion of the Directorate and/or Strategy Unit of KCCA at the Centre/City Hall to decide which asks or priorities in the Divisions' Wish-lists will be implemented depending on the availability of funding.

Although provided for in the KCCA Act (2010), devolution of power to the Division Councils did not happen, which has negatively impacted the planning, budgeting and monitoring processes for WASH and other services within KCCA. Due to re-centralisation of power, there is less participation of community in the bottom-up planning process to ensure community priorities and needs on WASH are captured in the City Authority plans and budgets. As such, community voices are denied the power to ensure accountability.

The current KCCA model has also created a reporting challenge on one hand, with the ED reporting to both the Authority (Lord Mayor & City Council) as well as to the Central Government through the Line Minister. On the other hand, the Lord Mayor is expected to report to both the Minister of Local Government and the ED. The overall management of the city is handed to the ED and this means that the local voice is not effective. There is an overlap of mandate between the ED's office and the Lord Mayor, with no clear clarity on what constitutes the "Authority". This may necessitate, in the long-term, an amendment of the KCCA Act to streamline the roles and responsibilities of various players in the city and to address other contradictions and ambiguity in the law.

3.6.3 Lack of budget allocations to Division Councils

The study established that previously the Divisions under KCC had their own Budgets/Votes with Town Clerks as Accounting Officers. However, the new KCCA Act (2010) established one Municipality called KCCA; the implication of this was that all the Division Votes in terms of financing from Central Government were collapsed into one Vote called Vote 122 with only one Accounting Officer, who is the Executive Director. The consequence of this decision is that the Division Councils have no budgets of their own, as activity planning and budgets are handled directly at KCCA at the Centre/City Hall level. It is believed that, due to dissatisfaction, sometimes politicians especially Mayors and Councillors at the Division Councils frustrate the planning and budgeting processes at lower levels.

Upon identification of which Division Wish-lists will be addressed, the technical staff of KCCA at the Centre/City Hall level procure companies and/or service providers directly (e.g. the Solid Waste Management Companies) who are then sent to Divisions to address their selected Wish-lists. Additionally, since central government priorities also guide planning and budgeting processes by KCCA, these may take precedence in terms of final funds allocations at the expense of community's priorities.

It is important to note that there are on-going discussions about devolution of powers and budgets to Division Councils, so that Divisions may have their own budgets in the future. For now, a step has been taken where Divisions will be allocated budgets in FY 2019/20 and be informed by KCCA City Hall how much each will get, by specific intervention area.

3.6.4 Gaps in staffing, both at KCCA City Hall level and at the Division Councils

It was established KCCA as an institution is operating at the bare minimum as far as staffing levels are concerned. Particularly, staffing level in the DPHE (both at the centre and Divisions level) is not adequate; many positions are not yet filled or staff are acting and not confirmed. For example, there are no Sanitation Officers in the Divisions to adequately support the planning and budgeting process for WASH issues in each Division. This could partly explain why some planning goes on at KCCA at the Centre/City Hall level, especially with regard to heavy investments such as purchase of cesspool and solid waste tracks.

3.6.5 Gaps in the flow of information from KCCA at the Centre/City Hall to the Divisions and Communities

The study established that KCCA at the Centre/City Hall level has great plans to improve particularly sanitation in communities in line with global and national priorities such as SDGs and Vision 2040. The study also found out that KCCA and partners such as NWSC are implementing lots of great projects and programmes to address sanitation challenges in communities and public spaces (such as schools, markets, and bus/taxi parks).

Unfortunately, information about these on-going WASH projects and programmes is not known adequately by the Division Councils and not well communicated to the parishes and communities. KCCA at the Centre/City Hall level is not communicating enough what KCCA (and NWSC) are doing to improve people's welfare and livelihoods through improved water and sanitation, the locations where the interventions are being implemented and with how much money. Consequently, this leaves the Division Councils and communities with a perception that KCCA at the Centre/City Hall is not doing enough to address their priority WASH developmental needs.

4 Conclusions and Recommendations of the Study

4.1 Conclusions

It is evident from the study that KCCA has a very clear Vision, Mission and institutional mandate to plan, budget, and monitor WASH services in Kampala city; so does NWSC. KCCA also has a clear staffing structure to deliver on WASH; however, overall, only 25% of the staff are in place (both at KCCA at the Centre/City Hall and Divisions levels), which affects the support to the planning, budgeting and monitoring functions of WASH in KCCA. Additionally, the current WASH coverage figures in the city are known, and have informed KCCA and NWSC's own plans, aspirations and targets for WASH in the city by 2030. However, KCCA and NWSC will still need to articulate the cost of delivering universal WASH to all residents of Kampala city by 2030 to help inform mobilisation efforts of the required resources.

The study established that national level policies and guidelines (such as Vision 2040, NDP II and NRM Manifesto) as well as KCCA and NWSC guidelines, and strategies such as the KCCA Strategy (2014/15-2018/19) and the NWSC 5-year Strategic Direction (2016-2021) do exist and guide planning, budgeting and monitoring of WASH service delivery in Kampala city. Unfortunately, rather than empower, some policies such as the KCCA Act (2010) have re-centralised power for planning and budgeting, and disempowered and demotivated the Division Councils, leaving them frustrated and with no budgets to implement WASH interventions at their level.

Although the planning, budgeting and monitoring process for WASH and other services is well laid-out by government and by the KCCA Strategy Unit, with provisions for bottom-up involvement of stakeholders, due to challenges such as limited financial resources the community-level engagements do not happen as they should, hence affecting participation of the citizens in decision-making regarding their WASH development needs and priorities. Neither has the Strategy and Business Unit of KCCA developed and circulated well-laid out planning and budgeting guide for all KCCA staff and Division Councils.

The study also found out that information about planning platforms and forums at the Divisions' level is often passed on at very late to KCCA's development partners hence affecting their participation, for example, in Division level Budget Conferences. Hence their input is not well captured in the Divisions' plans and ultimately in the overall KCCA plans and budgets for WASH. However, other opportunities for partners' participation in planning and budgeting for WASH do exist through existing coordination forums.

Also, the study established that KCCA and NWSC are implementing many great WASH projects and programmes in the city as part of the overall agenda of government to improve the status of the city. However, these WASH programmes and projects are little known beyond the gates of KCCA at the Centre/City Hall because information on these on-going programmes and projects is not adequately shared. Consequently, the Divisions and communities have the perception that their WASH development needs are not prioritised by KCCA for possible funding and implementation.

4.2 Recommendations

The following recommendations are areas for improvement, based on the identified gaps, that CIDI and other agencies can focus on to engage the Authority to improve the process of planning, budgeting and monitoring of WASH in the city.

4.2.1 Lobby for devolution of powers to Division Councils

Many challenges surrounding the function of planning, budgeting and monitoring of WASH within KCCA seem to stem from the change in status of KCC to KCCA, through the KCCA Act 2010. This change removed power from and weakened the Authority at the Divisions level. The Act removed Kampala from local government to central government under the office of the President. It is recommended that CIDI engages KCCA to devolve some of the powers for planning and budgeting for WASH and other services to the Division Councils as provided for in the KCCA Act. This should include advocacy for the Divisions to have, in the long-term, their own plans and budgets and Votes. There will also be need, in the long-term, to advocate for an expedited review of the KCCA Act (2010) and clearly define roles and responsibilities of different offices of the Lord Mayor, the ED and Minister for Kampala City and Metropolitan Affairs to remove ambiguity.

4.2.2 Costed Division Council WASH Plans and Budgets

Once community-level WASH issues are generated and identified at Divisions level, CIDI needs to advocate to KCCA to allow the Divisions to prepare detailed costed plans and budgets incorporating their priorities for submission to KCCA, so that KCCA at the Centre/City Hall is aware roughly how much financial resources are needed by each Division to implement their WASH development projects and programmes. Division Councils' WASH Wish-lists need to be incorporated and reflected in the overall KCCA Ministerial Policy Statement.

4.2.3 Community-level engagements and participation by Development partners

KCCA at the Centre/City Hall level needs to prioritise and allocate adequate resources to facilitate the planning and budgeting processes for WASH and other basic services at all levels, particularly at community level. The ideal would be to hold Barazas for 2-3 parishes together to ensure full participation of community members in the planning and budgeting cycle. This is because Barazas are a powerful empowerment tool to enhance citizens' involvement not only in planning and budgeting but also in monitoring and holding the government accountable for service delivery in relation to the resources spent.

4.2.4 Lobby for more budget support from government and development partners.

The overall budget for WASH in the city is inadequate compared to the needs on the ground. CIDI needs to advocate to KCCA to articulate well the current WASH needs on the ground, and the estimated cost needed to ensure access to WASH for all in the city by 2030/40 and use this information as a tool to lobby for additional resources from both government and development partners. An opportunity for the DPHE to make this articulation clear is in the upcoming revised KCCA Strategic plan for FY 2019/2020-2024/25

KCCA also recognises the importance of partnerships, and calls upon partner agencies that can help facilitate the planning and budgeting processes. Such important processes of planning sometimes include critical components such as proposal development, preparation/conducting feasibility studies; and research. According to KCCA Strategy Unit, lack of investment in such important processes has had a negative impact including implementation of projects that are not well-streamlined and that do not adequately address the real issues associated with community's problems.

4.2.5 Lobby for recruitment of new staff to fill the vacant positions

With KCCA operating at only 25% of the total required staffing levels, CIDI needs to lobby the KCCA leadership and management to fill vacant positions, both at KCCA at the Centre/ City Hall and at the Divisions to ease the process of planning, budgeting and monitoring of WASH at community levels. It will be particularly important for KCCA at the Centre/City Hall level to fill the position of Sanitation Officers at the Divisions level to support the WASH planning, budgeting and monitoring function. It is useful to note that recruitment of additional staff at KCCA is directly related and linked to availability of funds and budget to pay their salaries and other emoluments.

4.2.6 Harmonise Division Councils' Wish-lists and KCCA WASH priorities at the Centre/City Hall

The study established that the Division Councils do identify quite many WASH priorities of the communities, which are submitted as "Wish-lists" but quite often these needs are not taken up for consideration for financing by KCCA at the Centre/City Hall level due to: (i) limited budgets; and (ii) City-level WASH plans and priorities take precedence in terms of financing. There is need for CIDI to advocate for harmonisation of both Division and City-level WASH plans, and that these Wish-lists form the critical part and input into the final plans and budgets for WASH in the city. Harmonisation could be achieved if the KCCA Centre/City Hall staff of DPHE and the staff located at the Divisions create ample time to sit and plan and budget together (e.g. in a workshop) and that this process is given ample time and the due attention it deserves.

4.2.7 Documentation and dissemination of planning guidelines and frameworks

CIDI will need to lobby KCCA's Strategy and Business Development Unit to draft and disseminate a clear planning and budgeting guide, and share it widely with KCCA staff at the Centre/City Hall level and with the Division Councils. There will be need for KCCA also to popularise and disseminate to the Division Councils the new KCCA Strategy (once completed) and other planning guides such as the Sanitation Mapping Study Report (2017). KCCA will also have to build the confidence of staff at the Divisions that they have a role to play in planning and budgeting and that they should lead and participate in the community-level engagements to identify community's WASH problems and priorities.

4.2.8 Improvement in documentation and communication about WASH programmes in KCCA

Information sharing can be costly, and hence CIDI will need to lobby KCCA to plan, budget and allocate adequate resources to improve information flow from KCCA at the Centre/City Hall to the Division Councils and to the city residents about the on-going WASH programmes and projects. If well executed, such an initiative will go a long way in improving the current information gaps between the public and KCCA and to improve relationships between the citizens and the Authority.

Active Notice Boards could be established at each Division Council, and in selected communities (e.g. next to social meeting halls), for KCCA to periodically post information on the on-going WASH projects and programmes and associated budgets.

Radio programmes and/or Barazas could be organised periodically by the staff and management of KCCA, particularly DPHE, to discuss and inform citizens about the long-term planned investments in WASH by the City Authority, and the ongoing WASH projects and programmes and how they benefit the communities.

Such public forums, engagements and spaces will be one of the most effective ways of instituting accountability and transparency, especially as far as implementation of WASH programmes is concerned, which will give the city residents confidence but also an opportunity to express their views on such programmes and propose areas for improvement.

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Uganda's Vision 2040

Annexes:

Annex 1: Focus Group Discussions (FDG) With Community

STUDY ON PLANNING, BUDGETING & MONITORING OF WATER, SANITATION & HYGIENE (WASH) SERVICES IN KAMPALA.

FOCUS GROUP DISCUSSIONS (FDG) WITH COMMUNITY

FOCUS GROUP DISCUSSION GUIDE

Introduction

My name is I am working as a Consultant for Community Integrated Development Initiative (CIDI). CIDI wishes to conduct this study as input into designing an advocacy programme towards improved access to quality and affordable WASH services for the poor and marginalized communities living in informal settlements of Nakawa, Kawempe & Lubaga Divisions of Kampala city. The objective of the study is to examine the planning, budgeting, and monitoring processes under the current Kampala Capital City Authority (KCCA) arrangement with particular focus on sanitation services (On-site, Solid Waste & Drainage). The findings of the study will be used by CIDI in planning advocacy interventions to engage KCCA as a duty-bearer to improve sanitation service provision in the city.

I would therefore like to ask you some questions regarding planning, budgeting and monitoring processes for WASH issues in Kampala city. The interview will take about 1 hours. We shall ensure confidentiality of your responses and in the report, names of respondents will not be mentioned. If I ask a question that you do not understand, feel free to ask for clarification. Do you have any question before we start?

Physical Location of the meeting venue

Name of the Division	
Name of the Community	
Name of LC 1 Chairperson	
Name of Interviewer	
No. of Community members present at meeting (Males)	
No. of Community members present at meeting (Females)	

Discussion areas

1. What are the water and sanitation challenges faced by communities in the Division (Zones/Wards/Parishes)?

Onsite sanitation:

.....

Solid Waste:

.....

Drainage:

.....

Water supply:

.....

Other (Specify):

.....

2. What are the community and local leader’s roles in planning and budgeting for WASH services in the Division? **Please list these.**

.....

.....

3. Is the community consulted by the Division (KCCA City Hall or NWSC) on matters of sanitation and water, for planning & budgeting purposes?

Yes: **No:**

Probe: If yes, how is consultation done?

.....

Probe: If yes, who consults community from the Division/City Hall?.....

.....

Probe: If yes, when are consultations done/what time of year?

.....

Probe: If yes, who in the community is consulted?

.....

Probe: If yes, how often in a year is community consulted?

.....

Probe: How does KCCA or NWSC decide where to construct Toilets or Pre-Paid meters?

.....

.....

4. If not consulted, how are community's water and sanitation priorities & needs identified and included in KCCA's plans & budgets at the Division and Centre/City Hall?

.....
.....

5. What is the roles of the local politicians (e.g. LC 1s and area Councilors) in planning and budgeting for water and sanitation services?

.....
.....

Probe: whether the local politicians play their roles well.

.....
.....

6. Overall, what support does the community and its leadership receive from the Division (or KCCA City Hall) in terms of planning and budgeting for WASH in their respective Zones/Wards?

.....
.....

Probe: Which KCCA (or NWSC) staff do they regularly interact with in their Zones/Wards, especially to plan & budget for water and sanitation services?

.....
.....

7. Are communities and local leaders aware about their water and sanitation budgets at KCCA Division and City-Hall level?

Yes: **No:**

Probe: If yes, what is the WASH budget for the Division?

.....

8. What role does the community and local leaders play in monitoring water and sanitation projects in their respective Zones/Wards?

.....

.....

9. What gaps does the community and its leadership currently see in the planning, budgeting and monitoring process for water and sanitation in their Zones/Wards?

.....

.....

10. What are your suggestions by the community and local leaders to improve planning, budgeting and monitoring of WASH services in their Zones/Wards and Division as a whole?

.....

.....

.....

THANK YOU

Annex 2: Key informants Interview Guide (KCCA Sanitation Staff – Health Inspectors, Health Assistants, Solid Waste Staff, Drainage staff)

STUDY ON PLANNING, BUDGETING & MONITORING OF WATER, SANITATION & HYGIENE (WASH) SERVICES IN KAMPALA.

Key informants Interview Guide (KCCA Sanitation Staff – Health Inspectors, Health Assistants, Solid Waste Staff, Drainage staff)

Introduction

My name is I am working as a Consultant for Community Integrated Development Initiative (CIDI). CIDI wishes to conduct this study as input into designing an advocacy programme towards improved access to quality and affordable WASH services for the poor and marginalized communities living in informal settlements of Nakawa, Kawempe & Lubaga Divisions of Kampala city. The objective of the study is to examine the planning, budgeting, and monitoring processes under the current Kampala Capital City Authority (KCCA) arrangement with particular focus on sanitation services (On-site, Solid Waste & Drainage). The findings of the study will be used by CIDI in planning advocacy interventions to engage KCCA as a duty-bearer to improve sanitation service provision in the city.

I would therefore like to ask you some questions regarding planning, budgeting and monitoring processes for WASH issues in Kampala city. The interview will take about 30-40 minutes. We shall ensure confidentiality of your responses and in the report, names of respondents will not be mentioned. If I ask a question that you do not understand, feel free to ask for clarification. Do you have any question before we start?

Name of Officer	
Title of Officer	
Name of Interviewer	
Date	
Contact of Interviewee	

SECTION A:- Long-term Vision/plans and targets for sanitation in the Division

1. What is the percentage population with access to safely managed sanitation in your Division?

.....

2. What is KCCA's long-term plan and goal/target for sanitation for your Division, in 3-5 years' time?

On-site sanitation:

Solid waste

Drainage

Probe: for focus on universal access, whether the Division Health staff are aware of the existence of KCCA's 5-year Development plan, and whether they make reference to this document when planning & budgeting for sanitation in the Division.

.....
.....

SECTION B: STRUCTURE OF KCCA/Directorate of Public Health and Environment at Division level

- 3. Which sanitation staffs/positions are based at the Division and are involved in planning, budgeting and monitoring sanitation?

On-site sanitation:

Positions:

Nos.

Solid waste:

Positions:

No.:

Drainage/No:

Positions;

No.:

Other; Please specify

Positions;

No.:

4. Which sanitation staff is answerable to who, at the Division and KCCA-Centre? Who reports to who on matters of sanitation?

.....
.....

Probe: Comment on any conflict in roles and reporting lines of sanitation staff at the Division level, with KCCA at the Centre.

.....

Probe; Please comment on the adequacy of the current numbers of sanitation staffs, at the Division level;

.....
.....

Probe: Explain any gaps you observe in the current sanitation staffing structure at the Division and KCCA-Centre

.....
.....

SECTION C: PLANNING, BUDGETING AND MONITORING POLICIES & GUIDELINES

5. What are the mechanisms in place to guide planning in general and for sanitation in particular in your Division?

.....

Probe for: Whether the sanitation/Health staff know the existence of the Health Committee, its composition, roles and how they work with this committee.

.....
.....

6. Can you, please, explain the relationship between the technical and political wing and how the two work together, in terms of planning, budgeting and monitoring for WASH in the Division?

.....

7. Which policies and frameworks currently guide the Division’s sanitation team in planning, budgeting and monitoring services in the Division?

.....
.....

Probe: For awareness about policies and frameworks such as SDGs (at global level), NDP II (at national level), and the KCCA Act.

.....
.....

8. Is the policy in 8 above (KCCA Act) being implemented at the Division level?

Yes:; No:

If No, why not?

.....
.....

9. Please comment on the adequacy of the law (KCCA Act) to guide planning & budgeting processes for WASH in the city? Any concerns?

.....
.....

10. What are the guidelines currently used by the Division Sanitation Team to guide planning, budgeting and monitoring of sanitation in the city? **Please outline these**

.....
.....

Probe: Whether the Division Sanitation/Health team uses national Local Government Planning Guidelines or from Ministry of Finance, or perhaps they have their own, or have nothing at all.

.....
.....

Probe: for a Soft-copy of the planning & budgeting guideline used (if any).

.....

11. What is the Divisions annual budget for sanitation?

.....

	2017/18	2018/19	2019/20
Budget Allocation for On-site sanitation			
Budget Allocation solid waste			
Budget Allocation for drainage			

Probe: In case there are no plans and budgets for sanitation in the Division, why?

.....

12. Who finances sanitation service provision in the Division?

.....

Probe: for development partners (include Gou, banks, etc.) and what components of sanitation they finance (on-site sanitation, solid waste, drainage), plus amounts.

.....

	Name of financier / donor	What component of sanitation is financed	Amount
1.			
2.			
3.			
4.			
5.			
6.			

13. Please comment on the adequacy of funding for sanitation in the Division and shortfalls (if any)

.....

SECTION D: PLANNING, BUDGETING AND MONITORING PROCESS

14. Please describe the planning and budgeting cycle that you follow, to generate the Division's annual sanitation plans and budgets

.....

Probe: Whether Division sanitation team uses national Local Government planning & budgeting cycle or, perhaps they have their own, or nothing at all.

.....

Probe: For the Division to share a copy of the planning cycle used by KCCA Division sanitation team.

.....

15. Please enumerate the stakeholders involved in the planning, budgeting and monitoring process and their respective roles at the different levels (*community, Ward, Division*).

.....

.....

Probe: Whether communities are consulted during the planning and budgeting process and how; if not, why not?

.....

16. How are community sanitation needs identified and integrated into KCCA's overall Division plan and budget?

.....

.....

17. Please describe the gaps you have observed in the current KCCA's Division planning, budgeting and monitoring process?

.....

.....

18. Suggest any recommendations on how planning, budgeting & monitoring process for sanitation can be improved in the Division.

.....

.....

19. Any other comment on the planning, budgeting and monitoring process for sanitation in the Division?

.....

Thank you

Annex 3: Key informants Interview Guide (Mayor/Secretary for Health)

STUDY ON PLANNING, BUDGETING & MONITORING OF WATER, SANITATION & HYGIENE (WASH) SERVICES IN KAMPALA.

Key informants Interview Guide (Mayor/Secretary for Health)

Introduction

My name is I am working as a Consultant for Community Integrated Development Initiative (CIDI). CIDI wishes to conduct this study as input into designing an advocacy programme towards improved access to quality and affordable WASH services for the poor and marginalized communities living in informal settlements of Nakawa, Kawempe & Lubaga Divisions of Kampala city. The objective of the study is to examine the planning, budgeting, and monitoring processes under the current Kampala Capital City Authority (KCCA) arrangement with particular focus on sanitation services (On-site, Solid Waste & Drainage). The findings of the study will be used by CIDI in planning advocacy interventions to engage KCCA as a duty-bearer to improve sanitation service provision in the city.

I would therefore like to ask you some questions regarding planning, budgeting and monitoring processes for WASH issues in Kampala city. The interview will take about 30-40 minutes. We shall ensure confidentiality of your responses and in the report, names of respondents will not be mentioned. If I ask a question that you do not understand, feel free to ask for clarification. Do you have any question before we start?

Name of Official	
Title of Official	
Name of Interviewer	
Date	
Contact of Interviewee	

SECTION A:- Demographic Information

20. Existing Wards/Parishes and population in the Division

No. of Wards/Parishes

Population in the Division: Men:Women: Total:

21. How many slums/poor neighborhoods currently exist in your Division?

.....

22. What is KCCA's long-term plan and goal/target for sanitation for your Division, in 3-5 years' time?

On-site sanitation:

Solid waste

Drainage

Probe: for focus on universal access, whether the Division has a 5-year Development plan, and whether sanitation plan is clearly articulated in the Division's Development Plan. **Ask for a copy of the Divisions 5-year Development Plan/Strategy.**

.....

.....

SECTION B: PLANNING, BUDGETING AND MONITORING POLICIES & GUIDELINES

23. What are the mechanisms in place to guide planning in general and for sanitation in particular in your Division?

.....

Probe for:

Existence of the health committee at the Division

.....

Composition of the health committee

.....

Roles of the health committee

.....

24. Can you, please, explain the relationship between the technical and political wing and how the two work together, in terms of planning, budgeting and monitoring for WASH in the Division?

.....

25. Which policies and frameworks currently guide the Division’s sanitation/health team in planning, budgeting and monitoring services in the city?

.....
.....

Probe: For policies and frameworks such as SDGs (at global level), NDP II (at national level), and the KCCA Act.

.....
.....

26. Is the policy in 8 above (KCCA Act) being implemented at the Division level?

Yes:; No:

If No, why not?

.....
.....

27. Please comment on the adequacy of the law (KCCA Act) to guide planning & budgeting processes for WASH in the city? Any concerns?

.....
.....

28. What are the guidelines currently used by the Division Sanitation/Health Team to guide planning, budgeting and monitoring of sanitation in the city? ***Please outline these***

.....
.....

Probe: Whether the Division team uses national Local Government Planning Guidelines or from Ministry of Finance, or perhaps they have their own, or have nothing at all.

.....
.....

Probe: for a Soft-copy of the planning & budgeting guideline used (if any).

.....

29. What is the Divisions annual budget for sanitation?

.....

	2017/18	2018/19	2019/20
Budget Allocation for On-site sanitation			
Budget Allocation solid waste			
Budget Allocation for drainage			

Probe: In case there are no plans and budget for sanitation in the Division, why?

.....

.....

30. Who finances sanitation service provision in the Division?

.....

Probe: for development partners (include Gou, banks, etc.) and what components of sanitation they finance (on-site sanitation, solid waste, drainage), plus amounts.

.....

	Name of financer / donor	What component of sanitation is financed	Amount
1.			
2.			
3.			
4.			
5.			
6.			

31. Please comment on the adequacy of funding for sanitation in the Division and shortfalls (if any)

.....

.....

SECTION C: PLANNING, BUDGETING AND MONITORING PROCESS

32. Please describe the planning and budgeting cycle that you follow, to generate the Division’s annual sanitation plans and budgets

.....
.....

Probe: Whether Division team uses national Local Government planning & budgeting cycle or, perhaps they have their own, or nothing at all.

.....

Probe: For the Division to share a copy of the planning cycle used by KCCA Division team.

.....

33. Please enumerate the stakeholders involved in the planning, budgeting and monitoring process and their respective roles at the different levels (*community, Ward, Division*).

.....

Probe: Whether communities are consulted during the planning and budgeting process and how; if not, why not?

.....
.....

34. How are community sanitation needs identified and integrated into KCCA’s overall Division plan and budget?

.....
.....

35. Please describe the gaps you have observed in the current KCCA’s Division planning, budgeting and monitoring process?

.....
.....

36. Suggest any recommendations on how planning, budgeting & monitoring process for WASH can be improved in Kampala city.

.....
.....

37. Any other comment on the planning, budgeting and monitoring process for sanitation in the city?

.....

Annex 4: Key informants Interview Guide (KCCA Division Town Clerk)

STUDY ON PLANNING, BUDGETING & MONITORING OF WATER, SANITATION & HYGIENE (WASH) SERVICES IN KAMPALA.

Key informants Interview Guide (KCCA Division Town Clerk)

Introduction

My name is I am working as a Consultant for Community Integrated Development Initiative (CIDI). CIDI wishes to conduct this study as input into designing an advocacy programme towards improved access to quality and affordable WASH services for the poor and marginalized communities living in informal settlements of Nakawa, Kawempe & Lubaga Divisions of Kampala city. The objective of the study is to examine the planning, budgeting, and monitoring processes under the current Kampala Capital City Authority (KCCA) arrangement with particular focus on sanitation services (On-site, Solid Waste & Drainage). The findings of the study will be used by CIDI in planning advocacy interventions to engage KCCA as a duty-bearer to improve sanitation service provision in the city.

I would therefore like to ask you some questions regarding planning, budgeting and monitoring processes for WASH issues in Kampala city. The interview will take about 30-40 minutes. We shall ensure confidentiality of your responses and in the report, names of respondents will not be mentioned. If I ask a question that you do not understand, feel free to ask for clarification. Do you have any question before we start?

Name of Officer	
Title of Officer	
Name of Interviewer	
Date	
Contact of Interviewee	

SECTION A:- Demographic Information

38. Existing Wards/Parishes and population in the Division

	Name of Ward/Parish	Population		Total
		Males	Females	
1.				
2.				
3.				
4.				

39. How many slums/poor neighborhoods currently exist in your Division?

	Name of slums	Ward/Parish where located	Population?
1.			
2.			
3.			
4.			

40. What is the percentage population with access to safely managed sanitation in your Division?

.....

41. What is KCCA's long-term plan and goal/target for sanitation for your Division, in 3-5 years' time?

On-site sanitation:

Solid waste

Drainage

Probe: for focus on universal access, whether the Division has a 5-year Development plan, and whether sanitation plan is clearly articulated in the Division's Development Plan. ***Ask for a copy of the Divisions 5-year Development Plan/Strategy.***

.....

SECTION B: STRUCTURE OF KCCA/Directorate of Public Health and Environment at Division level

42. How is KCCA structured to deliver on sanitation at Division level; which staffs are in charge of planning & implementation of sanitation?

On-site sanitation:

Positions:

Nos.

Solid waste:

Positions:

No.:

Drainage/No:

Positions;

No.:

Other; Please specify

Positions;

No.:

Probe: Who is answerable to who? Who reports to who on matters of sanitation, both at the Division and to KCCA at the Centre?

.....

.....

Probe: Comment on any conflict in roles and reporting lines of sanitation staff at the Division level, with KCCA at the Centre.

.....

Probe; Please comment on the adequacy of the current numbers of sanitation staffs, at the Division level;

.....
.....

Probe: Explain any gaps you observe in the current sanitation staffing structure at the Division and KCCA-Centre

.....
.....

Probe: Can you please, share, a soft-copy of the current Organisational Structure at the Division level?

.....

SECTION C: PLANNING, BUDGETING AND MONITORING POLICIES & GUIDELINES

43. What are the mechanisms in place to guide planning in general and for sanitation in particular in your Division?

.....

Probe for:

Existence of the health committee at the Division

.....

Composition of the health committee

.....

Roles of the health committee

.....

44. Can you, please, explain the relationship between the technical and political wing and how the two work together, in terms of planning, budgeting and monitoring for WASH in the Division?

.....

45. Which policies and frameworks currently guide the Division’s sanitation team in planning, budgeting and monitoring services in the city?

.....
.....

Probe: For awareness of policies and frameworks such as SDGs (at global level), NDP II (at national level), and the KCCA Act.

.....
.....

46. Is the policy in 8 above (KCCA Act) being implemented at the Division level?

Yes:; No:

If No, why not?

.....
.....

47. Please comment on the adequacy of the law (KCCA Act) to guide planning & budgeting processes for WASH in the Division? Any concerns?

.....
.....

48. What are the guidelines currently used by the Division Sanitation Team to guide planning, budgeting and monitoring of sanitation in the city? **Please outline these**

.....
.....

Probe: Whether the Division team uses national Local Government Planning Guidelines or from Ministry of Finance, or perhaps they have their own, or have nothing at all.

.....
.....

Probe: for a Soft-copy of the planning & budgeting guideline used (if any).

.....

49. What is the Divisions annual budget for sanitation?

.....

	2017/18	2018/19	2019/20
Budget Allocation for On-site sanitation			
Budget Allocation solid waste			
Budget Allocation for drainage			

Probe: In case there are no plans and budget for sanitation in the Division, why?

.....

50. Who finances sanitation service provision in the Division?

.....

Probe: for development partners (include Gou, banks, etc.) and what components of sanitation they finance (on-site sanitation, solid waste, drainage), plus amounts.

.....

	Name of financer / donor	What component of sanitation is financed	Amount
1.			
2.			
3.			
4.			
5.			
6.			

51. Please comment on the adequacy of funding for sanitation in the Division and shortfalls (if any)

.....

SECTION D: PLANNING, BUDGETING AND MONITORING PROCESS

52. Please describe the planning and budgeting cycle that you follow, to generate the Division's annual sanitation plans and budgets

.....
.....

Probe: Whether Division team uses national Local Government planning & budgeting cycle or, perhaps they have their own, or nothing at all.

.....

Probe: For the Division to share a copy of the planning cycle used by KCCA Division team.

.....

53. Please enumerate the stakeholders involved in the planning, budgeting and monitoring process and their respective roles at the different levels (*community, ward, Division*).

.....
.....

Probe: Whether communities are consulted during the planning and budgeting process and how; if not, why not?

.....
.....

54. How are community sanitation needs identified and integrated into KCCA's overall Division plan and budget?

.....
.....

55. Please describe the gaps you have observed in the current KCCA's Division planning, budgeting and monitoring process?

.....
.....

56. Suggest any recommendations on how planning, budgeting & monitoring process for WASH can be improved in the Division.

.....

.....

57. Any other comment on the planning, budgeting and monitoring process for sanitation in the Division?

.....

.....

Thank you.

Annex 5: Key informants Interview Guide (NWSC Pro-Poor Unit)

STUDY ON PLANNING, BUDGETING & MONITORING OF WATER, SANITATION & HYGIENE (WASH) SERVICES IN KAMPALA.

Key informants Interview Guide (NWSC Pro-Poor Unit)

Introduction

My name is I am working as a Consultant for Community Integrated Development Initiative (CIDI). CIDI wishes to conduct this study as input into designing an advocacy programme towards improved access to quality and affordable WASH services for the poor and marginalized communities living in informal settlements of Nakawa, Kawempe & Lubaga Divisions of Kampala city. The objective of the study is to examine the planning, budgeting, and monitoring processes under the current Kampala Capital City Authority (KCCA) arrangement with particular focus on sanitation services (On-site, Solid Waste & Drainage). The findings of the study will be used by CIDI in planning advocacy interventions to engage KCCA as a duty-bearer to improve sanitation service provision in the city.

I would therefore like to ask you some questions regarding planning, budgeting and monitoring processes for WASH issues in Kampala city. The interview will take about 30-40 minutes. We shall ensure confidentiality of your responses and in the report, names of respondents will not be mentioned. If I ask a question that you do not understand, feel free to ask for clarification. Do you have any question before we start?

Name of Officer	
Title of Officer	
Name of Interviewer	
Date	
Contact of Interviewee	

SECTION A: Long-term Vision/plans and targets for WASH in the Pro-Poor Areas in Kampala

58. What percentage of the population in KCCA is regarded as poor?

.....

59. What is the percentage access of the poor in Kampala city in the NWSC areas to:

- Safely managed sanitation services?
- Safe water supply services?

60. What is NWSC’s long-term plan and goal/target for WASH in the Pro-Poor areas in Kampala in 3-5 years’ time?

.....

61. What are NWSC’s Pro-Poor intervention areas in Kampala city/KCCA?

- Sanitation:
- Water supply:
- Other (Please Specify)

62. What is the coverage/locations of NWSC Pro-Poor unit in Kampala city/KCCA?

Probe: Divisions, Parishes/Wards, Zones/Villages where NWSC works

	Name of Division	Names of Parishes/Wards	Names of Zones/Villages
1.	Central		
2.	Makindye		
3.	Lubaga		
4.	Kawempe		
5.	Nakawa		
	Total:		

SECTION B: PLANNING, BUDGETING AND MONITORING POLICIES & GUIDELINES

63. Which policies and frameworks currently guide NWSC’s Pro-Poor Unit in planning, budgeting and monitoring Pro-Poor services in Kampala?

.....

.....

Probe: For awareness about policies and frameworks such as SDGs (at global level), NDP II (at national level), and Pro-poor Policy, and existence of NWSC 5-year Development plan, and whether they make reference to this document when planning & budgeting for Pro-poor Services.

.....
.....

Probe: for a copy of the Pro-poor Policy & NWSC 5-year Strategic plan

.....

64. Is the Pro-poor policy being implemented by NWSC?

Yes:; No:

If No, why not?

.....

65. Please comment on the adequacy of the Pro-poor policy to guide planning & budgeting processes for WASH in the poor areas in the city? Any specific concerns?

.....

.....

SECTION C: PLANNING, BUDGETING AND MONITORING POLICIES & GUIDELINES

66. What are the mechanisms in place to guide planning & coordination in general and for WASH service provision, between KCCA & NWSC?

.....

Probe: for existence of Steering Committee at KCCA level and how often it meets

.....

Probe: how NWSC avoids duplication of efforts with KCCA.

.....

67. What are the guidelines currently used by the NWSC Pro-poor Unit to guide planning, budgeting and monitoring of Pro-Poor WASH services in the city? ***Please outline these***

.....

.....

Probe: Whether the Division team uses national Local Government Planning Guidelines or from Ministry of Finance, or perhaps they have their own.

.....

Probe: for a Soft-copy of the planning & budgeting guideline used (if any).

.....

68. What is the NWSC Pro-Poor Units annual WASH budget?

.....

	2017/18	2018/19	2019/20
NWSC Pro-Poor Unit			

69. Who finances WASH service provision by the NWSC Pro-Poor Unit?

.....

Probe: for development partners (include GoU, banks, etc.) and what components of sanitation they finance (Water, Sanitation), plus amounts.

.....

	Name of financier / donor	What component of sanitation is financed	Amount
1.			
2.			
3.			
4.			
5.			
6.			

70. Please comment on the adequacy of funding for WASH in the Pro-Poor Unit

.....
.....

SECTION C: PLANNING, BUDGETING AND MONITORING PROCESS

71. Please describe the planning and budgeting cycle that you follow, to generate the Pro-Poor units Annual WASH plans and budgets

.....

Probe: Whether NWSC Pro-Poor Unit uses national Local Government planning & budgeting cycle or, perhaps they have their own.

.....

Probe: for a copy of the planning cycle

.....

72. Please enumerate the stakeholders the Pro-Poor unit involves in the planning, budgeting and monitoring process for Pro-Poor WASH services and their respective roles

.....
.....

Probe: Whether communities are consulted during the planning and budgeting process and how; if not, why not?

.....
.....

73. How are community WASH needs identified and integrated into the Pro-Poor Unit's Plans and budget?

.....
.....

74. How does NWSC select priority Wards/Zones in each Division where to intervene?

.....
.....

75. What is the role of KCCA Centre/City Hall, the Divisions and Communities in the selection process of the areas/locations where NWSC Pro-poor Unit intervenes?

.....
.....

76. How does NWSC Pro-poor Unit relate and interact with KCCA Divisions?

.....
.....

77. Please describe the gaps (if any) that you have observed in the current Pro-poor Units planning, budgeting and monitoring process or planning by KCCA?

.....
.....

78. Suggest any recommendations on how planning, budgeting & monitoring process for WASH can be improved between NWSC and KCCA.

.....
.....

79. Any other comment on the planning, budgeting and monitoring process for WASH in the Pro-Poor areas?

.....
.....

Thank you.

Annex 6: Key informants Interview Guide (KCCA Centre/City Hall Staff)

STUDY ON PLANNING, BUDGETING & MONITORING OF WATER, SANITATION & HYGIENE (WASH) SERVICES IN KAMPALA.

Key informants Interview Guide (KCCA Centre/City Hall Staff)

Introduction

My name is I am working as a Consultant for Community Integrated Development Initiative (CIDI). CIDI wishes to conduct this study as input into designing an advocacy programme towards improved access to quality and affordable WASH services for the poor and marginalized communities living in informal settlements of Nakawa, Kawempe & Lubaga Divisions of Kampala city. The objective of the study is to examine the planning, budgeting, and monitoring processes under the current Kampala Capital City Authority (KCCA) arrangement with particular focus on sanitation services (On-site, Solid Waste & Drainage). The findings of the study will be used by CIDI in planning advocacy interventions to engage KCCA as a duty-bearer to improve sanitation service provision in the city.

I would therefore like to ask you some questions regarding planning, budgeting and monitoring processes for WASH issues in Kampala city. The interview will take about 30-40 minutes. We shall ensure confidentiality of your responses and in the report, names of respondents will not be mentioned. If I ask a question that you do not understand, feel free to ask for clarification. Do you have any question before we start?

Name of Officer	
Title of Officer	
Name of Interviewer	
Date	
Contact of Interviewee	

SECTION A: STRUCTURE OF KCCA/Directorate of Public Health and Environment

80. How is structured to deliver on sanitation in the city, particularly for the Directorate of Public Health and Environment? ***Focus down on those staff in-charge of sanitation (both faecal sludge, solid waste and drainage).***

.....

Probe:

Which staff/positions are based at the Centre/KCCA City Hall, and which staff/positions are based at the Divisions?

.....
.....

Who is answerable to who? Who reports to who?

.....
.....

How many sanitation staffs (faecal sludge, solid waste, drainage) do you have, both at the Centre & Division levels?

.....
.....

Please comment on the adequacy of the current numbers of staffs, both at the Centre and Division level;

.....
.....

Explain any gaps you observe in the current staffing structure

.....
.....

Can you, please, explain the relationship between the technical and political wing and how the two work together, in terms of planning, budgeting and monitoring for WASH?

.....
.....

Can you please, share, a soft-copy of the current Organisational Structure?

.....

SECTION B: PLANNING, BUDGETING AND MONITORING POLICIES & GUIDELINES

81. What is the percentage population with access to safely managed sanitation in the city, currently?

.....

82. What is KCCA's long-term plan and goal/target for Kampala's sanitation in 3-5 years' time?

On-site sanitation:

Solid waste

Drainage

Probe: for focus on universal access, and whether this sanitation plan is clearly articulated in KCCA's 5-year Development Plan. **Ask for a copy of KCCA's revised 5-year Development Plan/Strategy.**

.....

.....

83. Which policies and frameworks currently guide KCCA's WASH team in planning, budgeting and monitoring WASH services in the city?

.....

.....

Probe: For policies and frameworks such as SDGs (at global level), NDP II (at national level), and the KCCA Act.

.....

.....

84. Is the policy in 4 above (KCCA Act) being implemented in the city?

Yes:; No:

If No, why not?

.....

.....

85. Please comment on the adequacy of the law (KCCA Act) to guide planning & budgeting processes for WASH in the city? Any concerns?

.....

.....

86. What are the guidelines currently used by KCCA WASH Team to guide planning, budgeting and monitoring of sanitation in the city? ***Please outline these***

.....

.....

Probe: Whether KCCA team uses national Local Government Planning Guidelines or from Ministry of Finance, or perhaps they have their own.

.....

.....

Probe: for a Soft-copy of the planning & budgeting guidelines used.

.....

87. What is KCCA's annual budget for sanitation?

.....

	2017/18	2018/19	2019/20
Budget Allocation for On-site sanitation			
Budget Allocation solid waste			
Budget Allocation for drainage			

Probe: for plans and budgets for sanitation, by Division

.....

	2017/18	2018/19	2019/20
Central Division			
Lubaga Division			
Makindye Division			
Kawempe Division			
Nakawa Division			

Probe: In case there are no plans and budget, by Division, why?

.....

Probe: how feedback on plans and budgets is provided to Divisions

.....

88. Who finances sanitation service provision in KCCA?

.....

Probe: for development partners (include Gou, banks, etc.) and what components of sanitation they finance (on-site sanitation, solid waste, drainage), plus amounts.

.....

	Name of financer / donor	What component of sanitation is financed	Amount
1.			
2.			
3.			
4.			
5.			
6.			

89. Please comment on the adequacy of funding for sanitation and shortfalls (if any)

.....

.....

SECTION C: PLANNING, BUDGETING AND MONITORING PROCESS

90. Please describe the planning and budgeting cycle that you follow, to generate the city's annual sanitation plans and budgets

.....

.....

Probe: Whether KCCA team uses national Local Government planning & budgeting cycle or, perhaps they have their own.

.....

Probe: For KCCA to share a copy of the planning cycle used by KCCA WASH team.

.....

91. Please enumerate the stakeholders involved in the planning, budgeting and monitoring process and their respective roles at the different levels (**community, ward, Division, KCCA-Centre**).

.....

92. How are Communities and Divisions consulted during the planning and budgeting process? If not, why not?

.....

.....

93. How are community sanitation needs identified and integrated into KCCA's overall plan and budget?

.....

94. What support does KCCA sanitation staff at the Centre provide to Divisions during planning and budgeting process for sanitation?

.....

95. Please describe the gaps you have observed in the current KCCA's planning, budgeting and monitoring process?

.....

.....

96. Suggest any recommendations on how planning, budgeting & monitoring process for WASH can be improved in Kampala city.

.....

.....

97. Any other comment on the planning, budgeting and monitoring process for sanitation in the city?

.....

.....

Thank you.