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# UGANDA SANITATION FOR HEALTH ACTIVITY

ANNUAL REPORT

October 1, 2020–September 30, 2021



## OCTOBER 2021

This publication was produced for review by the United States Agency for International Development. It was prepared by Tetra Tech.

## ACTIVITY INFORMATION

<b>Activity Name:</b>	USAID Uganda Sanitation for Health Activity
<b>Project:</b>	Contemporary and integrated water, sanitation and hygiene (WASH) interventions at community and household levels.
<b>Start Date and End Date:</b>	January 29, 2018–January 28, 2023
<b>Name of Prime Implementing Partner:</b>	Tetra Tech ARD
<b>Contract Number:</b>	72061718C0003
<b>Name of major Subcontractors:</b>	SNV USA Sanitation Solutions Group (SSG) BRAC Uganda FSG
<b>Major Counterpart Organizations:</b>	Ministry of Health, Ministry of Water and Environment, Ministry of Education, Rotary International, Uganda Sanitation Fund, National Sanitation Working Group
<b>Geographic Coverage (districts):</b>	In FY21, active in 21 districts and supports fecal sludge management (FSM) services in the Municipal Councils of Jinja, Njeru, Masaka, and Gulu  <u><b>Central East Cluster</b></u> 1) Buikwe 2) Kaliro 3) Jinja 4) Buyende 5) Namutumba 6) Kayunga 7) Luuka <u><b>Central West Cluster</b></u> 1) Mpigi 2) Kyotera 3) Lwengo 4) Bukomansimbi 5) Gomba 6) Ssembabule 7) Masaka (only Output 1) <u><b>Northern Cluster</b></u> 1) Gulu 2) Agago 3) Kitgum 4) Lamwo 5) Omoro 6) Pader 7) Nwoya
<b>Reporting Period:</b>	October 01, 2020–September 30, 2021

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Contract Number: 72061718C00003

Activity Start Date and End Date: January 29, 2018 to January 28, 2023

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# ACRONYMS AND ABBREVIATIONS

AMELP	Activity Monitoring, Evaluation, and Learning Plan
CCA	Clean Clinic Approach
CDCS	Country Development Cooperation Strategies
CE	Central East
CHP	Community Health Promoter
CLA	Collaborating, Learning, and Adapting
CLTS	Community-Led Total Sanitation
COP	Chief of Party
COR	Contracting Office Representative
CW	Central West
DCOP	Deputy Chief of Party
DLG	District Local Government
DQA	Data Quality Assessment
DWSCC	District Water and Sanitation Coordination Committee
FI	Financial Institution
FS	Fecal Sludge
FSM	Fecal Sludge Management
FSME	Fecal Sludge Management Enterprises
FUM	Follow-up MANDONA
FY	USAID Fiscal Year
GBV	Gender-based Violence
GDA	Global Development Alliance
GIS	Geographical Information System
GoU	Government of Uganda
HC	Health Center
HCF	Health Care Facility
HH	Household
HWS	Handwashing with Soap
IP	Implementing Partner
IR	Intermediate Result
ISI	Institutional Strengthening Index
ISP	Institutional Strengthening Plans
LCI	Local Council I Chairperson
LOA	Life of Activity
M&E	Monitoring & Evaluation
MBS	Market-Based Sanitation
MBSIA	Market-Based Sanitation Implementation Approach
MEL	Monitoring, Evaluation, and Learning



MFI	Microfinance Institution
MHM	Menstrual Hygiene Management
MOU	Memorandum of Understanding
MWE	Ministry of Water and Environment
NC	Northern Cluster
NGO	Nongovernmental Organization
NHOP	Nice House of Plastics
NRW	Non-revenue water
NSMG	National Sanitation Marketing Guidelines
NSWG	National Sanitation Working Group
NWSC	National Water and Sewerage Corporation
ODF	Open Defecation Free
PCA	Principal Component Analysis
P&L	Profit and Loss
PIRS	Performance Indicator Reference Sheets
PCM	Project Coordination Mechanism
RFA	Request for Applications
RHIS	Rural Household Institution Survey
RHITES	Regional Health Integration to Enhance Services (Central East and North)
RI	Rotary International
SACCO	Savings and Credit Cooperative Organizations
SATO	Safe Toilet
SBC	Social Behavior Change
SHC	School Health Club
SODAS	Sons and Daughters of the Soil
SOP	Standard Operation Procedures
SP	Sanitation Promoter
SSG	Sanitation Solutions Group
SWIPS	School WASH Improvement Plans
TA	Technical Assistance
TWG	Technical Working Group
UA	Umbrella Authorities
UBOS	Uganda Bureau of Statistics
UNICEF	United Nations Children’s Fund
USAID	United States Agency for International Development
USF	Uganda Sanitation Fund
USG	United States Government
USHA	USAID Uganda Sanitation for Health Activity
UWASNET	Uganda Water and Sanitation NGO Network
WASH	Water Supply, Sanitation and Hygiene
WiS	Wash in Schools

# I.0 INTRODUCTION

## I.1 ACTIVITY DESCRIPTION

The Uganda Sanitation for Health Activity (USHA) is financed by the United States Agency for International Development (USAID) in Uganda with the goal of increasing the number of people with access to improved and sustainable water, sanitation, and hygiene (WASH) services, ultimately contributing to the improved health and nutrition status in focus areas and population groups. USHA works in close coordination with complementary development programs both within USAID and the Ugandan WASH sector.

Through a series of contemporary and integrated WASH interventions at the national, district, community, and household levels, USHA focuses on achieving three interdependent outputs:

1. Increased household access to sanitation and water services;
2. Adopted and expanded key hygiene behaviors at home, school, and health care facilities (HCFs); and
3. Strengthened district water and sanitation governance for sustainable services.

The USHA contract was effective on January 29, 2018 and runs for a five-year period. Tetra Tech ARD implements the Activity in collaboration with a cadre of distinguished nongovernmental organizations (NGOs), including SNV, BRAC, and FSG, and a Uganda small-business partner, Sanitation Solutions Group (SSG). USHA collaborates closely with Rotary Uganda to support a memorandum of understanding (MOU) between Rotary International (RI) and USAID Uganda to expand USAID's Global Development Alliance (GDA) in Uganda.

Through a systematic approach to collaborating, learning, and adapting (CLA), the Activity aims to be embedded within and responsive to local WASH service delivery systems at the district level, while contributing to national WASH sector processes and policy discourse. The Activity has an active presence in 21 districts clustered in the Central West (CW), Central East (CE), and Northern Cluster (NC). See Appendix A for a map of USHA districts at the end of FY21. In addition, USHA supports fecal sludge management (FSM) services in the Municipal Councils of Jinja, Njeru, Masaka, and Gulu.

This is USHA's Annual Report for USAID Fiscal Year (FY) 2021 from October 2020 to September 2021, corresponding to Months 32–44 of the 60-month contract performance period. The report documents quarterly progress toward achieving annual and life of Activity (LOA) targets for 22 Activity Monitoring, Evaluation, and Learning Plan (AMELP) indicators and offers a tabular summary and narrative description of USHA's major activities and milestones under each Output in FY21. The report discusses management challenges encountered, including the effects of the COVID-19 pandemic, documents examples of CLA, and contributions to USAID cross cutting areas including gender and youth, science and technology, and leadership development. The FY21 Environmental Monitoring Mitigation Report (EMMR) is included as an Appendix. Six communications pieces (three learning briefs, a success story and two blogs) are submitted as separate attachments to the report.

## I.2 RESULTS TO DATE

The indicator progress table below reflects changes made to the indicators along with the annual and LOA targets in revision #1 of the USHA AMELP, approved on November 13, 2019<sup>1</sup>.

**Table 1. Indicator Progress Table**

<b>Strategic Objective: Increasing the number of people with access to improved and sustainable water, sanitation, and hygiene (WASH) services, ultimately leading to improved health and nutrition status in focus areas and population groups.</b>								
<b>Indicator</b>	<b>2021 Q1</b>	<b>2021 Q2</b>	<b>2021 Q3</b>	<b>2021 Q4</b>	<b>FY21 Total</b>			<b>Comments</b>
	<b>Actual #</b>	<b>Actual #</b>	<b>Actual #</b>	<b>Actual #</b>	<b>Actual #</b>	<b>Target #</b>	<b>% of Annual Target</b>	
<b>Intermediate Result (IR) 1: Increase household access to sanitation and water services</b>								
<b>Sub-IR 1.1: Increase access to and improve sanitation products and services</b>								
1. Number of people gaining access to a basic sanitation service as a result of USG assistance (HL.8.2-2, Output) (40% in the lowest 2 poverty quintiles)	40,770	65,035	97,280	156,325	359,410	220,000	163%	Market-based Sanitation Implementation Approach (MBSIA) results were stronger than expected
2. Number of institutions [2] gaining access to safely managed sanitation services as a result of USG assistance	22	54	37	27	140	300	47%	Annual and LOA target will be revised
3. Number of improved sanitation products sold at national level	22,502	27,103	15,401	12,676	77,682	50,477	154%	
4. Number of enterprises or linked enterprises established or supported to offer latrine services and products (Output)	33	5	13	12	63	NA (target is zero)	NA (target is zero)	USHA continues to report this indicator though the LOA target was surpassed in FY20

<sup>1</sup> A second AMELP revision is expected in Q1 FY22. This will include modifications to FY21, FY22 and LOA targets for some indicators effected by the COVID-19 pandemic and a lower than expected obligation ceiling in FY21.



**Strategic Objective: Increasing the number of people with access to improved and sustainable water, sanitation, and hygiene (WASH) services, ultimately leading to improved health and nutrition status in focus areas and population groups.**

Indicator	2021 Q1	2021 Q2	2021 Q3	2021 Q4	FY21 Total			Comments
	Actual #	Actual #	Actual #	Actual #	Actual #	Target #	% of Annual Target	
<b>Sub-IR 1.2: Develop new management models for improved water supply and sanitation services</b>								
5. Number of urban areas in supported districts supported with improved managed excreta sanitation services (Output)	4	0	0	0	4	6	67%	FY21 annual and LOA targets under revision
6. Number of people receiving improved service quality from an existing basic drinking water or safely managed water service as a result of USG assistance (HL.8.1-3, Output)	0	26,136	0	0	26,136	21,000	124%	
7. Number of people gaining access to basic drinking water services as a result of USG assistance (HL.8.1-1, Output)	0	0	2,100	11,700	13,800	15,000	92%	All from boreholes drilled by RI
<b>Intermediate Result (IR) 2: Expand adoption of key hygiene behaviors at home, school, and health facilities</b>								
<b>Sub-IR 2.1: Implement demand-led community-led total sanitation (CLTS) at-scale</b>								
8. Number of communities verified as Open Defecation Free (ODF) as a result of USG assistance (HL.8.2-1, Outcome)	0	8	217	659	884	1,100	80%	
<b>Sub-IR 2.2: Increase adoption of key hygiene behaviors at home</b>								
9. Percentage of households (HHs) with soap and water at a hand washing station commonly used by family members in USG assisted programs (HL 8.2-5, Outcome)	3,254	8,504	18,432	20,451	50,641	5,000	1,013%	Target based on an assumption of 12,000 HHs gaining access to basic handwashing with soap (HWS)
<b>Sub-IR 2.3: Improve school WASH behaviors and management</b>								
10. Number of schools facilitated which become WASH Friendly (Outcome)	0	23	0	0	23	38	61%	FY21 annual and LOA targets under revision because of the

**Strategic Objective: Increasing the number of people with access to improved and sustainable water, sanitation, and hygiene (WASH) services, ultimately leading to improved health and nutrition status in focus areas and population groups.**

Indicator	2021 Q1	2021 Q2	2021 Q3	2021 Q4	FY21 Total			Comments
	Actual #	Actual #	Actual #	Actual #	Actual #	Target #	% of Annual Target	
								impacts of COVID-19
11. Number of basic sanitation facilities provided in institutional settings as a result of USG assistance (HL.8.2-4 Output)	0	45	0	85	130	200	65%	FY21 annual and LOA targets under revision because of the impacts of COVID-19 and USAID reprioritization
<b>Sub-IR 2.4: Integrate promotion of essential WASH actions in health facilities</b>								
12. Number of institutional settings gaining access to a basic drinking water service a result of USG assistance (HL.8.1-4, Output)	0	0	7	46	53	20	265%	Mix of boreholes and rainwater harvesting tanks
13. Number of health facilities supported to conduct hygiene audits and action planning (Output)	0	0	0	0	0	N/A	N/A	Target achieved in FY20; activity deprioritized in FY21 and FY22
<b>Intermediate Result (IR) 3: Strengthen district water and sanitation governance for sustainable services</b>								
<b>Sub-IR 3.1: Strengthening local governance and management</b>								
14. Number of targeted districts that received a Sanitation and Hygiene Institutional Strength Index (ISI) move from one subcategory to another (Outcome)	0	13	0	0	13	13	100%	
<b>Sub-IR 3.2: Support selected WASH sector policy reforms</b>								
15. Number of policies, agreements, plans, or regulations <i>created or improved</i> to promote access to improved WASH services (Outcome)	NA	NA	NA	NA	NA	NA	NA	Achieved in FY20
16. Number of policies, agreements, plans, or regulations applied to promote	0	4	0	0	4	7	57%	LOA stands at 88%

**Strategic Objective: Increasing the number of people with access to improved and sustainable water, sanitation, and hygiene (WASH) services, ultimately leading to improved health and nutrition status in focus areas and population groups.**

Indicator	2021 Q1	2021 Q2	2021 Q3	2021 Q4	FY21 Total			Comments
	Actual #	Actual #	Actual #	Actual #	Actual #	Target #	% of Annual Target	
access to improved WASH services (Outcome)								
<b>Guiding Principles: CLA-focused indicators</b>								
17. Number of interns supported with work skills through USHA (Output)	6	0	0	0	6	6	100%	
18. Number of knowledge products produced by USHA (Output)	5	3	15	17	40	15	267%	
19. Number of learning events sponsored by USHA (Output)	2	1	1	1	5	3	167%	
20. Number of functioning, intentional partnerships and collaboration networks and platforms (implementing partner [IP], Government of Uganda [GoU], other stakeholders) at national, district, and community levels (CDCS 2.0 PMP)	1	0	1	0	2	NA	NA	LOA activity target surpassed in FY20
21. Value of new funding mobilized to the water and sanitation sectors as a result of USG assistance (HL.8.4-1, Output)	\$136,182	\$54,975	\$55,525	\$219,759	\$466,441	\$720,000	65%	Strong Q4 and poised to continue in the first half of FY22

## 2.0 SUMMARY OF IMPLEMENTATION PROGRESS

### 2.1 SUMMARY DESCRIPTION OF KEY ACTIVITIES AND TASKS

Below is a summary description of key activities and tasks per Output as described in the approved FY20 Work Plan versus what was achieved during the reporting period.

**Table 2. Summary Description of Key Activities and Tasks in FY21**

Activity Result Area	Activities in FY21 Work Plan	Summary of progress in FY21
<b>Output I: Increase Household Access to Sanitation and Water Services</b>		
<b>Activity I.1. Increase Access to and Improve Sanitation Products and Services</b>		
Refine and test sanitation business models and approaches to financing	Roll out, pilot, and refine Market-Based Sanitation Implementation Approach (MBSIA)	<ul style="list-style-type: none"> <li>MBSIA started in Q1 and lasted throughout the year. Phase I learnings were documented, and modifications made to the model. A consolidated list of modifications was compiled and shared across the seven grantees to help them better achieve the targets. Between October 2020 and September 2021 1,789 villages were triggered.</li> <li>As of the end of the FY, 66,045 HHs in Phase II villages had made some improvement on their sanitation status over the FY2021. Of these, 37,511 HHs chose to invest in basic sanitation (including those with SATO), 17,335 were new constructions (46%), and 20,175 were upgrades (54%).</li> <li>In addition, gains continued to be registered in the Phase I villages with 10,278 HHs having made some improvement in their sanitation status in FY21. Of these, 7,335 HHs invested in basic sanitation (including with SATO), of which 4,933 were new constructions (67%) and 2,402 were upgrades (33%).</li> <li>During Phase II 252 masons were trained (i.e., 146 in CE and 106 in CW). All the trained masons were furnished with both the San plat and slab wooden molds. Preliminary analysis of Phase II data as of May 2021 indicated improvement in <u>percentage of HHs</u> who hired USHA-trained masons, especially in the CE, with 37% of the roughly 4,000 latrines endlined having been constructed with the support of trained masons, an increase from 10% in phase I.</li> <li>Completed a study to ascertain the severity of the difficult soil conditions as an impediment to some of the households' efforts to construct new latrines across all three USHA regions. This led to the design of appropriate latrine/toilet technologies aimed at addressing some of these challenges.</li> <li>Continued to shadow MBSIA actors, particularly the sanitation promoters (SPs) that are attached to the grantees, to ensure they are making the right pitches, to further stimulate sales, and to communicate the need for HHs to upgrade or make improvements to their unimproved latrines. Initiated monthly "all actors" meetings to better connect the dots between the SPs, masons, and district local government (DLG) support structures.</li> <li>Activities to capture key learnings included:               <ol style="list-style-type: none"> <li>Performance-based incentive model for SPs across CE &amp; CW</li> <li>Documentation of early impact and learnings from Phase-I, done in May 2021 (as an update to the October 2020 learning brief).</li> <li>The learning visits from MBSIA Phase II in CE &amp; CW.</li> <li>The learning visits from community-led total sanitation (CLTS) with market-based sanitation (MBS) for NC</li> </ol> </li> </ul>

Activity Result Area	Activities in FY21 Work Plan	Summary of progress in FY21
		<ul style="list-style-type: none"> <li>Initiated a partnership and collaboration with UNICEF in Q3 to bring MBS to two priority United Nations Children’s Fund (UNICEF) districts: Kamuli and Adjumani.</li> </ul>
	Sell sanitation products through BRAC’s Community Health Promoter (CHP) model	<ul style="list-style-type: none"> <li>A total of 16,643 SATOs were sold to households through 13 BRAC branches representing 63% of total project SATO sales in FY21.</li> <li>Data-driven, real-time reporting and supervision were adopted using ONA and Power BI visualization.</li> <li>To boost sales, BRAC adopted a staffing model where project officers and program officers were fully dedicated to USHA.</li> </ul>
	Sell sanitation products through independent retailers	<ul style="list-style-type: none"> <li>A total of 9,971 SATOs were sold through 194 independent retailers – SACCOs and hardware stores (CE-80; CW-85; NC-29), representing 37% of SATO sales in FY21.</li> <li>Fifty-four retailers (i.e., micro and small enterprises) met the definition of a sanitation enterprise, selling over 50 SATO products over the course of the year.</li> <li>In addition, seven masons qualified as an enterprise, constructing 30 latrines each.</li> <li>Onboarded 32 new independent retailers.</li> </ul>
	Promote traditional and innovative community financing for HH sanitation	<ul style="list-style-type: none"> <li>The strategy for partnership with financial institutions (FIs) was revised to focus on access and uptake barriers for sanitation loans.</li> <li>Grant agreements were signed with three FIs in Q4 to decrease barriers to entry for sanitation loan products.</li> <li>USHA-trained masons attached to the FIs constructed 163 new toilets and upgraded 260 toilets.</li> <li>Sanitation loans worth UGX 215m (~USD 60,000) were disbursed to 236 households. Repayment is ongoing.</li> <li>Innovative financing models for household sanitation were integrated into MBSIA guidelines and shared with grantees for possible replication and scale up.</li> <li>Shared sanitation financing experience with Water.Org, who is interested in the Uganda WASH sector.</li> </ul>
	Develop sanitation delivery model for urban areas in NC	<ul style="list-style-type: none"> <li>Identified two contractors as potential partners to operationalize a turnkey service provider model in two districts of Gulu and Kitgum.</li> <li>Activity was deprioritized in March 2020 because of the FY21 funding shortfall.</li> </ul>
<b>Activity 1.2 Develop New Management Models for Improved Water Supply and Sanitation Services</b>		
Fecal Sludge Management	Support FSM enterprise (FSME) in the CE and CW	<ul style="list-style-type: none"> <li>Developed and implemented FSM marketing package through a radio media campaign including spot adverts and talk shows to generate demand.</li> <li>Identified, trained, equipped additional FSM sales agents with tools and linked them to FSMEs to support marketing emptying services in communities.</li> <li>Conducted quarterly FSM performance review workshops with all stakeholders (FSMEs, sales agents, and local government)</li> <li>Established a common brand, CLEANPIT, to support the marketing efforts of all supported FSMEs, a logo developed and fully registered and patented with Uganda Registration Services Bureau.</li> <li>Began the process of onboarding a gulper FSME in CW (Kyotera).</li> <li>Conducted monthly profit and loss (P&amp;L) analysis for two FSMEs receiving grants from USHA to track key performance metrics and viability over time.</li> </ul>

Activity Result Area	Activities in FY21 Work Plan	Summary of progress in FY21
	<ul style="list-style-type: none"> <li>Support FSME in the NC</li> <li>Improve FSM facilities</li> </ul>	<ul style="list-style-type: none"> <li>FSMEs completing 549 emptying jobs during FY21 (260 institutional jobs and 289 household jobs), an average of nearly 46 jobs per month</li> <li>Onboarded Gulu Cesspool Sanitation Services and supported the FSME to obtain a 10,000-litre capacity cesspool truck through financing from a local bank (Centenary Bank) and a grant package linked to achieving revenue and utilization targets.</li> <li>In partnership with Gulu local government, identified and trained sales agents on selling emptying services and generating demand for the FSME in Gulu.</li> <li>Plans to design and retrofit the fecal sludge treatment plant (FSTP) in Kitgum were deprioritized, in consultation with USAID, in Q3.</li> <li>Embarked on process of establishing a partnership with National Water and Sewerage Corporation (NWSC) aimed at modifying the Jinja wastewater treatment plant (WWTP) to manage gulper fecal sludge, and create a safe disposal point for the Activity-supported FSME in CE. A concept note and a MOU were developed.</li> </ul>
Improve service quality of drinking water supplies through demand-driven local solutions	Provide technical assistance (TA) for network expansion through subcontracts with two Umbrella Authorities (UAs)	<ul style="list-style-type: none"> <li>Developed scopes of work for the UAs to execute network extension and intensifications at four water supply schemes (WSS).</li> <li>Signed indefinite delivery/indefinite quantity (IDIQ) contracts with the Central UA and Eastern UA to expand capacity of six WSS.</li> <li>Fully executed three scheme-specific task orders (Kamengo WSS – Central UA, Namagera WSS and Irundu WSS – Eastern Umbrella), and began implementation in Q4.</li> </ul>
	Improve UA internal reporting systems	<ul style="list-style-type: none"> <li>Completed updating of UA's billing software to include the increasing block tariff, option to pay new connection costs in installments, integration of data from digital prepaid water meters, and ability to report billing data into the online reporting system.</li> <li>Supported backend updates to the UPMiS performance management system and the development of a user manual.</li> </ul>
	Pilot pro-poor strategies	<ul style="list-style-type: none"> <li>Developed a pro-poor strategy for targeting Activity assistance to increasing access to piped water by HHs in the bottom two wealth quintiles.</li> <li>Supported the Ministry of Water and Environment (MWE) to pilot a new block tariff that subsidizes the first unit of water to increase the affordability for low volume users at four schemes.</li> <li>Documented the effects of introducing the new block tariff for the first six months (March–August) and shared with MWE on a quarterly basis.</li> <li>Refined and piloted the other pro-poor strategies, including use of socio-economic survey data to allocate new connection subsidy and social marketing of connections is priority for Q1 and Q2 FY22.</li> </ul>
	Design network intensification and extensions at six priority WSS	<ul style="list-style-type: none"> <li>Completed detailed engineering design of four schemes (Kamengo and Matala WSS – Central UA and Namagera and Irundu WSS – Eastern UA).</li> <li>Conducted reconnaissance and topographic surveys of existing transmission and distribution network, proposed areas of extension, and started detailed engineering designs of the two schemes (Nkoni WSS – Central UA and Namwiwa WSS – Eastern UA).</li> <li>Designed improvements to augment the spring water source capture at the Kammengo WSS.</li> </ul>



Activity Result Area	Activities in FY21 Work Plan	Summary of progress in FY21
		<ul style="list-style-type: none"> <li>Completed pump testing of five boreholes to measure sustainable yield of the water sources.</li> </ul>
Collaboration with RI	Extend piped water to HCF and construction of new piped water schemes	<ul style="list-style-type: none"> <li>Completed the designs of three new water schemes to serve large trading centers</li> <li>Completed designs to extend water to points of care at five HCF</li> <li>Drilled and installed three production boreholes</li> </ul>
<b>Output 2: Expand Adoption of Key Hygiene Behaviors at Home, Schools, and Health Care Facilities</b>		
<b>Activity 2.1: Implement Demand-led CLTS at Scale</b>		
ODF verification in MBSIA communities	Verify open defecation free (ODF) in CE and CW	<ul style="list-style-type: none"> <li>Adapted the two-tiered ODF verification protocol and tools to provide clarity to grantees and DLGs on what to measure as ODF in all USHA regions.</li> <li>Trained grantees and DLG officials from the 20 districts on applying the ODF verification protocol and tools.</li> <li>A total of 578 villages conducted Tier I verification/self-claims, out of which 480 were declared ODF by District Tier II verification teams across 13 districts</li> </ul>
CLTS with quality and scale in the NC	Roll out CLTS model in seven districts	<ul style="list-style-type: none"> <li>Trained 51 grantee, district, and sub-county local government officials on Follow Up <i>Mandona</i> (FUM).</li> <li>Conducted baseline surveys in 702 villages and mapped over 38,743 HHs.</li> <li>Pre-triggered and triggered 717 villages.</li> <li>Trained 714 sanitation committees on CLTS</li> <li>Trained 14 grantee staff and 42 DLG officials from seven districts on the ODF verification protocol.</li> <li>A total of 511 villages self-claimed ODF status (Tier I verification)</li> <li>Tier 2 district verification teams verified 435 villages as ODF.</li> </ul>
<b>Activity 2.2: Increase Adoption of Key Hygiene Behaviors at Home</b>		
Implement USHA social behavior change (SBC) approach	Develop overarching SBC brand, messages, and materials	<ul style="list-style-type: none"> <li>Through a participatory process involving national, district, and sub-county stakeholders, developed an overarching SBC brand, messages, and materials targeting HHs and HCFs.</li> <li>Completed first meeting with the Ministry of Health (MOH) to review and approve overarching SBC messages and materials in August 2021.</li> <li>Submitted second draft of overarching SBC materials and awaiting final review and approval by the MOH before wide dissemination.</li> <li>Contributed to development of a national handwashing strategy led by UNICEF.</li> </ul>
	Continue door-to-door behavior promotions in HHs	<ul style="list-style-type: none"> <li>Through support from grantees and supervision from USHA regional staff, the SPs in the CE and CW and sanitation committee members (SCMs) in NC continued promoting positive sanitation and hygiene behaviors among households in targeted communities.</li> </ul>
<b>Activity 2.3. Improve School WASH Behaviors and Management</b>		
WASH in Schools (WiS)	Support WASH Friendly Schools	<ul style="list-style-type: none"> <li>Continued to support 88 schools (53 schools in CE &amp; CW; and 35 schools in the NC) to move across the WiS Friendliness Index with a blend of infrastructure and institutional strengthening support.</li> <li>Conducted training on WiS's endline and sustainability assessments for 26 local government officials from 13 districts in the CE and CW regions.</li> <li>Held a training of trainers (ToT) for grantees and DLGs in all three USHA regions to prepare for Phase II WiS work and to disseminate the results of the WiS assessments of Phase I schools.</li> </ul>

Activity Result Area	Activities in FY21 Work Plan	Summary of progress in FY21
		<ul style="list-style-type: none"> <li>Due to COVID-19 school closures, the second WiS endline and sustainability assessments for Phase I schools in CE and CW and the endline assessments at 35 schools in the NC were not conducted as planned.</li> <li>Developed a WiS toolkit to standardize the step-by-step process through which USHA and partners engage with key stakeholders to achieve WASH friendliness in schools.</li> </ul>
	Expand sanitation and hygiene services	<ul style="list-style-type: none"> <li>Substantially completed construction work in 35 NC schools that include 11 boys' blocks, 11 girls' blocks, 34 incinerators, and 35 group handwashing facilities. The six-month defects liability period (DLP) for all sites will end by 30 April 2022.</li> <li>Conducted site inspections to close the six-month DLP at the 52 CE and CW Phase I schools.</li> <li>Eighty-two people were trained in operations and management (O&amp;M) of the WASH facilities at schools from seven districts in the NC.</li> <li>A total of 765 persons from the school communities where infrastructure was constructed were sensitized on HIV and COVID-19 as a pre-construction activity.</li> </ul>
	Support access to basic water provision at schools	<ul style="list-style-type: none"> <li>The USAID/RI collaboration installed boreholes at 27 schools, serving the school communities and 8,100 people</li> <li>The collaboration also installed rainwater harvesting tanks at 18 schools in water scarce areas.</li> <li>One school was served by extending water from the NWSC pipeline.</li> <li>Community water point management committees were established at each borehole following the guidelines outlined by the MWE.</li> </ul>
	Disseminate SBC package for WASH in schools	<ul style="list-style-type: none"> <li>Completed development of "SOAPY" SBC materials (calendars, board games, teachers and pupils' posters, jingles, badges, etc.) in November 2020.</li> <li>Completed teachers' training on the use of "SOAPY" and disseminated materials for 53 teachers from 53 Phase I schools and 13 district education officers in the CE and CW in January and February 2021, respectively.</li> <li>Began preparations for training of teachers from 35 NC schools, seven district education officers, and grantee WiS officers. This training is planned to take place in Q2 FY22 after schools reopen.</li> <li>Reengaged artists to install nudges to promote handwashing with soap (HWWs) in 35 schools in the NC.</li> <li>Presented the "SOAPY" package to the Ministry of Education and Sports (MoES) in August 2021.</li> </ul>
<b>Activity 2.4. Integrate Promotion of Essential WASH Actions in HCFs</b>		
WASH in HCF	Improve sanitation and water supply infrastructure at HCF	<ul style="list-style-type: none"> <li>Substantially completed construction of three-six stance blocks and one-two stance block at four HCFs in NC.</li> <li>The RI/USAID collaboration completed rainwater harvesting tanks at three HCFs in water-scarce areas.</li> </ul>
<b>Output 3: Strengthen district Water and Sanitation Governance for Sustainable Services</b>		
<b>Activity 3.1: Strengthen Local Governance and Management</b>		
Support Institutional strengthening for sanitation and hygiene governance	Conduct ISI mid-term assessments in the CE and CW	<ul style="list-style-type: none"> <li>Conducted ISI mid-term assessments comparing baseline and progress-to-date for 13 districts in CE and CW regions. All 13 districts have achieved an upward move in at least one subcategory on the ISI. Domains with the greatest improvements were coordination, leadership and advocacy, and service delivery. Monitoring and data use was the weakest domain.</li> </ul>

Activity Result Area	Activities in FY21 Work Plan	Summary of progress in FY21
	Support District Water and Sanitation Coordination Committees (DWSCCs) in CE, CW, and NC	<ul style="list-style-type: none"> <li>Following successful preparatory meetings, USHA supported and participated in 10 out of 14 DWSCC meetings planned for seven districts in the NC.</li> <li>DWSCC continued in the CE and CW, with all meetings in Q4 convened without USHA support.</li> <li>Joint field monitoring visits with USHA staff and DLG representatives took place in villages and schools where USHA is and is not working in FY2021.</li> </ul>
	Disseminate policies in CE, CW, and the NC.	<ul style="list-style-type: none"> <li>In the NC, USHA conducted two regional policy dissemination workshops. The workshops included six participants from each of seven NC districts (42 total participants). Officials from the line ministries of Health and Water and Environment co-facilitated the workshops.</li> <li>Also in the NC, conducted policy dissemination workshops for sub-counties and held district-level workshops targeting all extension staff (health assistants, sub-county chiefs, secretary of social services, and community development officers in all districts - approximately 35 participants per district attending depending on the number of parishes in a district.</li> </ul>
	Attend Acholi sub-region DHO's Forum quarterly review	<ul style="list-style-type: none"> <li>USHA attended two Acholi sub-region DHO's Forum meetings in 2021, coordinated by RHITES-Acholi, whereby districts coordinate all health activities by government and other implementing partners in the sub-region and share learnings. Participants in this forum included district health officers, NGOs, and other civil society organizations (CSOs) implementing health activities in Acholi sub-region.</li> </ul>
	Follow-up support to utilize in-kind grants (IKGs)	<ul style="list-style-type: none"> <li>With USHA support, 20 DLGs submitted quarterly IKG reports to USHA. The reports covered activities related to monitoring and supervision, O&amp;M training for schools, and coordination, among others.</li> <li>USHA also supported the transfer of ownership and handover process of IKGs to the 20 districts. The transfer of motorcycles is still in process.</li> </ul>
	Support district monitoring and reporting	<ul style="list-style-type: none"> <li>Oriented 36 District Health Inspectorate (DHI) staff (10 female; 26 male)—DHIs, biostatisticians, and health assistants from the CW, CE and NC regions—on USHA's using ONA monitoring (Power Bi) dashboards for accurate Joint Monitoring Program (JMP)-aligned data disaggregation to the MoH and MWE for their annual FY20/21 report.</li> <li>Provided extensive feedback and consultation to USAID and partners on proposed revisions to the national VHT reporting tools to align with JMP monitoring.</li> <li>Provided written and verbal feedback on questionnaires and data management processes UNICEF is developing for the national management information system (MIS) platform for sanitation and hygiene monitoring consistent with the JMP service ladder.</li> </ul>
<b>Activity 3.2: Support Selected WASH Sector Policy Reforms</b>		
USHA active in national forums	Attend National Sanitation Working Group (NSWG) meetings	<ul style="list-style-type: none"> <li>USHA continues to be a strong supporter of the NSWG, a longstanding forum with much credibility in the sector, and one that routinely brings diverse stakeholders together to share notes on what is taking place across the sector. USHA participated in four NSWG meetings in FY21.</li> <li>Represented by the Chief of Party (COP) and Deputy Chief of Party (DCOP), USHA had the opportunity to peer review some chapters of the National Sanitation Design Manual, which is under preparation.</li> </ul>
	Participate in MBS and other	<ul style="list-style-type: none"> <li>The MBS subcommittee met only once, in Q4. The forum was inactive for much of the year because of COVID-19.</li> </ul>

Activity Result Area	Activities in FY21 Work Plan	Summary of progress in FY21
	NSWG subcommittees	
<b>Monitoring, Evaluation and Learning</b>		
General	Submit Quarterly Reports	<ul style="list-style-type: none"> <li>Submitted drafts for Q1, Q2, and Q3 FY21 quarterly reports on or before the deadline. In tandem, USHA uploaded the quarterly performance progress indicators to the online reporting system for all quarters.</li> </ul>
	Hold mid-year and annual review progress workshops	<ul style="list-style-type: none"> <li>Annual progress review and planning workshop held in April 2021. The FY21 annual planning workshop was held in August 2021.</li> </ul>
	Actively manage and adapt the Activity data management system	<ul style="list-style-type: none"> <li>The MEL team enhanced USHA's capabilities in evidence-based and real-time reporting of indicators by developing and refining digital tools aligned with the Activity's workstreams.</li> <li>Introduced dynamic dashboards developed using MS Power Bi into the MBSIA/CLTS workflows. Dashboards are updated biweekly.</li> <li>Offered routine backstopping to grantee and USHA regional staff on the use of the USHA M&amp;E system.</li> </ul>
Research and Learning	Conduct WiS endline survey in CE and CW	<ul style="list-style-type: none"> <li>Collaborated with the USAID Uganda Learning Activity (ULA) to design a theory of change and data collection tools for measuring drivers of sustainability in WiS interventions.</li> <li>Grantees and the district officials carried out the first WiS endline and sustainability assessments in 52 Phase I schools in CE and CW, which showed that 23 schools are WASH friendly (19 in CE and 4 in CW).</li> </ul>
	Conduct special studies	<ul style="list-style-type: none"> <li>Collaborate with the University of South Florida to analyze MBSIA data to look for trends in women's participation in the sanitation buying process and gender dynamics.</li> <li>Engage with the Tetra Tech Technology for Development team to investigate use of Artificial Intelligence/Machine Learning (AI/ML) to categorize characteristics of latrines using digital images.</li> </ul>
Communications	Submit communications pieces (stories, learning briefs, infographics, opinion pieces).	<ul style="list-style-type: none"> <li>The USAID Development Outreach Communications (DOC) team reviewed and approved five success and human-interest stories in FY21 (refer to Annex B). A profile on the second cohort of interns' innovative capstones was approved.</li> <li>USAID approved three Learning Briefs: Water Tariff Simulations, Synthesis report on Using Tariff Simulation to Inform Inclusive Tariff Reforms, and Early Impact and Learnings from USHA's Market-Based Sanitation Model Phase I (updated May 2021),</li> <li>One Good Governance Learning Brief was submitted to USAID and currently with USHA for revisions.</li> <li>Generated an infographic of the Early Impact and Learnings from USHA's Market-Based Sanitation Model Phase I (updated May 2021).</li> <li>Through the governance workstream, produced two opinion pieces in Q4: Governance-The Heart of the Matter, Leadership: A crucial piece to accelerate achievement of proper sanitation and hygiene in Uganda.</li> <li>Compiled 52 WiS baseline briefs on Phase I schools in CW and CE districts and six ISI progress assessment summary briefs for CW districts.</li> </ul>
	Deliver conference presentations	<ul style="list-style-type: none"> <li><i>Menstrual hygiene management in schools</i> during the USAID IP Gender Learning Event;</li> </ul>

Activity Result Area	Activities in FY21 Work Plan	Summary of progress in FY21
		<ul style="list-style-type: none"> <li>Presented <i>Solutions to increase affordability of Piped water services among low-income households: case of umbrella authorities</i> at a UWASNET national MWE meeting.</li> <li>Delivered two presentations at the Uganda Water and Environment Week conference (UWEWK-2021); i) Increasing access to safely managed fecal sludge services in underserved urban areas of Uganda through private sector partnerships; and ii) solutions to increase affordability of piped water services among low-income households: case of umbrella authorities.</li> <li>Made three presentations at the WEDC Conference (see Appendix B).</li> <li>Participated in a side session entitled <i>Scaling Inclusive Public and Private Enterprises in Fecal Sludge Management: A Global Perspective</i> at the international FSM6 Conference.</li> </ul>
	Prepare site briefs for US Mission visits	<ul style="list-style-type: none"> <li>Eight site briefs were prepared for USAID visits to the NC – Kitgum district and CW Kyotera and Gomba districts in May and September 2021 respectively.</li> <li>Four site briefs were developed for GoU visit to CW in October 2020.</li> <li>One site brief produced for the US Ambassador’s visit to Lugazi.</li> </ul>
	Prepare sector newsletters	<ul style="list-style-type: none"> <li>Commissioned, contributed to, and edited a Uganda Water and Sanitation NGO Network (UWASNET) national newsletter on MBS in Uganda.</li> </ul>
	Implement cross-cutting activities	<ul style="list-style-type: none"> <li>Developed nine posters and other promotional materials to support the community water supply and marketing works to support social marketing of HH water connections.</li> <li>Edited and procured O&amp;M posters to support school stakeholders training.</li> </ul>
	Maintain online presence	<ul style="list-style-type: none"> <li>Four USHA stories were posted on Tetra Tech’s exposure website and promoted on social media. These include Empowering 10-year-old Handwashing Ambassador, Leading a Community to Open Defecation Free status, Taking Sanitation into their own Hands – Women Sanitation Champions, Celebrating and Early Adopter from Northern Uganda,</li> <li>USHA actively participated in the #IChooseToChallenge global campaign conducted in March 2021, the Women History Month. The Activity compiled messages (quotations and photos) from staff. These were widely promoted online by Tetra Tech. USHA’s work in partnering with private the sector featured in a compilation “Five ways USIAD is supporting sustainable sanitation” on <a href="http://www.globalwaters.org">www.globalwaters.org</a></li> <li>USHA’s Director of Engineering and Construction – Diana Keesiga featured in the International Women in Engineering Day 2021 on Tetra Tech website and social media platforms. <a href="https://www.tetrattech.com/en/articles/tetra-tech-recognizes-international-women-in-engineering-day-2021">https://www.tetrattech.com/en/articles/tetra-tech-recognizes-international-women-in-engineering-day-2021</a></li> </ul>
	Use multiple media	<ul style="list-style-type: none"> <li>Reviewed stories, photos, and videos produced by the contracted firm Water and Environment Media Network (WEMNET). A stock of 300 photos, 30 short video clips and 30 voice notes were produced. Seventeen media stories were published in major print and electronic media outlets.</li> </ul>

## 3.0 PROGRESS NARRATIVE

### 3.1 OUTPUT I: INCREASE HOUSEHOLD ACCESS TO SANITATION AND WATER SERVICES

#### 3.1.1 ACTIVITY I.1: INCREASE ACCESS TO AND IMPROVE SANITATION PRODUCTS AND SERVICES

USHA assisted 71,882 households to achieve basic sanitation in FY21 through five<sup>2</sup> sanitation service delivery models (focused on containment):

1) Market-Based Sanitation Implementation Approach (MBSIA), a network delivery model<sup>3</sup> in the CE and CW clusters; 2) SATO product sales through partner BRAC; 3) SATO product sales through independent retailers; 4) sanitation loans through financing partners; and 5) community-led total sanitation (CLTS) in the NC. This section discusses progress with the first four, while the fifth is presented under Output 2.

**MBSIA Phase I learning and adaptations for Phase II in CE and CW:** In late Q4 FY20 into Q1 FY21, the MBSIA workstream team focused on capturing and documenting learnings from Phase I. Key modifications to the model were proposed as a result. These were introduced to grantee partners in Q1 at the start of Phase II. These included conducting all actors' meetings at the sub-county level; having monthly grantee catchup calls with each grantee partner; shadowing of sanitation promoters (SPs) by regional staff; updating SPs' sales pitch to emphasize the advantages of hiring USHA-trained masons, sharing details of available financing options and holding tailored refresher trainings. Several learning and process documents were produced including:

- i. Revisions to the Phase-I analysis and update to the learnings brief and infographic
- ii. Guidelines for integration of gender-based violence (GBV) into MBSIA/CLTS
- iii. Updates to the digital monitoring tools (endline tool, SP tracker tool) based on grantee's feedback, and additional guidance shared for improving data quality; and
- iv. Development of learning questions, a methodology and data collection tools for qualitative learning visits that began in Q4 and will continue into FY21.

**MBSIA Phase II progress:** Phase II of MBSIA began in August/September 2020 and continued through the end of the fiscal year. The geographic scope of Phase II was roughly double that of Phase I, targeting 1,079 communities with over 174,958 households<sup>4</sup>. During the fiscal year, 55,457 households (32% of all baselined households) invested to improve their sanitation status in 13 CE/CW districts with the breakdown as follows.

- A total of 36,224 households invested in basic sanitation (65% percent of all HH that made an improvement)
- A total of 14,124 households (6,505 from CW; 7,619 from CE) moved from open defecation (OD) to unimproved facilities in Phase II.
- A total of 10,561 households (8,795 from CW; 1,766 from CE) moved from OD to limited or basic facilities in Phase II.

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<sup>2</sup> The pilot of a sixth urban sanitation model in the NC was deprioritized starting in Q3.

<sup>3</sup> The working definition of MBSIA is a facilitated approach of collective community action that encourages household investment in basic (i.e., improved) sanitation products (i.e., toilets) delivered through a network model characterized by sales agents linked with well-trained and capable masons and materials suppliers.

<sup>4</sup> This includes households that had basic sanitation at baseline and were not targeted by the intervention



- Of the 36,224 households that invested in basic sanitation, 16,242 (45%) invested in a new facility, while 19,981 (55%) invested in an upgrade. In the CE, 47% of basic latrines were new, where in CW 41% were new.

As expected, most gains were registered in Q3 and Q4 at the peak of Phase II implementation despite the second nationwide COVID-19 lockdown in June and July. MBSIA contributed to 61% of USHA's basic sanitation results in FY21, with over 44,845 toilets either newly constructed (22,268) or improved (22,577).<sup>5</sup> Using quantitative and qualitative data collected as part of MBSIA implementation, in the first half of FY22, USHA will take a deeper dive into these results to document the types of the investments made, the amount of money invested by households across the sanitation ladder, drivers and motivators for household investment, and other aspects of the model.

**Table 3. Breakdown of basic sanitation gains by workstream**

Service Delivery Model	Q1 FY21	% of Q1 reporting	Q2 FY21	% of Q2 reporting	Q3 FY21	% of Q3 reporting	Q4 FY21	% of Q4 reporting	Total FY21	% of FY21 reporting
Independent SATO suppliers	2,990	37%	2,337	18%	2,319	12%	2,325	7%	9,971	14%
BRAC SATO sales	2,600	32%	3,897	30%	4,961	25%	5,185	17%	16,643	23%
MBSIA	2,353 (CW – 59%, CE-41%)	29%	6,486 (CW – 44%, CE-56%)	50%	11,609 (CW – 48%, CE-52%)	60%	23,110 (CW – 41%, CE-59%)	74%	43,558 (CW – 44%, CE-56%)	61%
NC CLTS+	171	2%	151	1.16%	567	2.91%	398	1.27%	1,287	1.79%
Financial Institutions	40	0%	136	1.05%	0	0.00%	247	0.79%	423	0.59%
<b>Total</b>	<b>8,154</b>	<b>100%</b>	<b>13,007</b>	<b>100%</b>	<b>19,456</b>	<b>100%</b>	<b>31,265</b>	<b>100%</b>	<b>71,882</b>	<b>100%</b>

**Development of solutions for difficult soil conditions:** In Q2, USHA began efforts toward understanding and addressing challenges encountered across all three regions related to constructing toilets in difficult soil conditions. A consultant conducted regional learning visits and discussions with sector stakeholders to understand the varying soil challenges after which product options were developed. These include:

- New Lined Fossa Alterna or New alternating pit latrine* with burnt brick superstructure (with precast slabs) – designed to address the challenge of loose soil (irrespective of water table height);
- New unlined Fossa Alterna or New alternating pit latrine* with burnt brick superstructure (with precast slabs) – designed to address the challenges of rocky soils (irrespective of water table height);
- Urine Diversion Dry Toilet* – designed for rocky soils and loose soil areas with very high-water table (irrespective of water table height); and
- Pour Flush latrine (peri-urban areas)* - designed for areas with loose soils and reliable/affordable access to water.

<sup>5</sup> Phase I and Phase 2.

USHA also developed talking points for these products and is in the final stages of illustrating the training curriculum, technical guide, and talking points/sales pitch document that will complement the mason sales and training across all regions.

**Collaboration with the United Nations Children’s Fund (UNICEF):** After a long period of informal engagement, starting in Q3, USHA and UNICEF held a series of virtual and physical meetings to align on partnership roles and expectations to introduce a district local government (DLG)-led market-based sanitation (MBS) model in two districts in FY22: Kamuli in the Eastern Region and Adjumani in the Northern Region. The collaboration represents a great opportunity for USHA to infuse its MBS learning into a new context and work through a government-led delivery model with a high potential for scale.

The teams aligned on the target sub-counties and priority segments in each pilot district. The teams also agreed that moving households with unimproved sanitation to basic sanitation would be the primary target as most households in the target locations currently have unimproved toilets. USHA organized a virtual co-design workshop in Q4 through which the product and delivery model were designed. The collaboration is expected to continue throughout FY22.

**BRAC:** Consortium partner BRAC continued promoting and selling SATO products through its network of 500 community health promoters (CHPs) in 13 branches, spread across eight USHA districts.

To improve and strengthen supervision of CHPs and increase sales, in Q3 BRAC onboarded 24 project officers, one for 20-30 CHPs, to supervise and support the CHPs to stock and sell SATO products and participate in market storming and community drives. USHA also supported BRAC to

digitize CHP SATO sales reporting and to develop a Power Bi Visualization tool that enables field teams to upload SATO sales in real time. BRAC has also improved support and supervision of the field teams through weekly meetings to review prior week performance and plan for the upcoming week.

As a result of these adaptations, SATO sales through the BRAC CHP model were 16,701 for FY21, 71% higher than in FY20. SATO sales through BRAC

### USHA hosts the US Ambassador to Uganda

In May 2021, USHA had the privilege of hosting the US Ambassador to Uganda at the Lugzai BRAC branch in Buwikwe District. The visit focused on how poor sanitation impacts the lives of women in girls, while demonstrating BRAC’s all-female CHP community health model. The Ambassador interacted with Mary Nalugonda, a long-time BRAC CHP, who is a sanitation champion and role model in her community.

accounted for 21% of all national SATO sales during the period. CHP activeness (i.e., selling at least one SATO per month) also improved significantly from 64% at the close of FY20 to an average of 84% during FY21. The number of super active CHPs that sold 10 or more SATO products in a month also increased from an average of 10 to 15.

BRAC SATO sales steadily increased in each of the four quarters of FY21. Reasons for the improved sales performance and CHP activity—despite the extended COVID-19 lockdown from June to July 2021—are attributable to real-time, data-driven support and supervision: using of the Power Bi



visualizations, as well as more dedicated support supervision and market activation. The weekly review meetings also provided an opportunity to identify low-performing branches and CHPs and offer targeted support. The sales incentive plan for the field teams, introduced in FY20, continued to motivate project officers to provide better supervision and support to CHPs. Moreover, the CHP incentive from Lixil, whereby a CHP who sells 10 SATO products in a month receives one free SATO pan, continued to motivate the CHPs to register high sales. The orientation of Local Council I (LC I) leaders in FY20



also increased acceptance of the SATO products into communities, with the LCI Chairpersons supporting community mobilization and sensitization activities.

**Hardware stores/savings and credit cooperative organizations (SACCOs):** To bring construction materials nearer to households in the sub-counties and parishes targeted by MBSIA, USHA partners with independent hardware stores to stock and sell building materials like cement, iron bars, nails, iron sheets, etc. in sizes and quantities that meet household needs. Additionally, within the target districts but outside the MBSIA sub-counties, USHA partners with and supports 197 hardware stores and SACCOs to stock and sell SATO products. These value chain actors are linked to the network of USHA-trained masons (especially in the MBSIA sub-counties with some additional masons trained outside of the MBSIA areas) to complete installation of the purchased SATO products. The partner hardware stores and SACCOs are also linked to the Nice House of Plastics (NHOP) distributors/agents and supported by regional Lixil sales agents. To ensure sustainability and bring building materials closer to households, in FY21, USHA

continued to identify and link new hardware SACCOs to the NHOP distribution network, increasing the number of SATO resellers by 18% over the course of the year.

During the reporting year, independent hardware stores and SACCOs sold 9,970 SATO products, an increase of 3% over the previous year. Sales through this model account for 37% of total project SATO sales, down from 50% during FY20, and 13% of national sales. Twenty-eight independent suppliers sold at least 50 SATO products, thereby meeting USHA's definition of a sanitation enterprise. These will sign commitment letters during FY22. Sales through independent resellers was significantly impacted by the COVID-19 lockdown in Q2 and Q3 given that these partners primarily sell to walk-in clients.

USHA's regional Sanitation Business Development Specialists continued to provide regular business development support and resolve supply chain constraints for these partners. USHA also continued to strengthen linkages with the trained masons, local leaders, and NHOP distributors and sales agents.

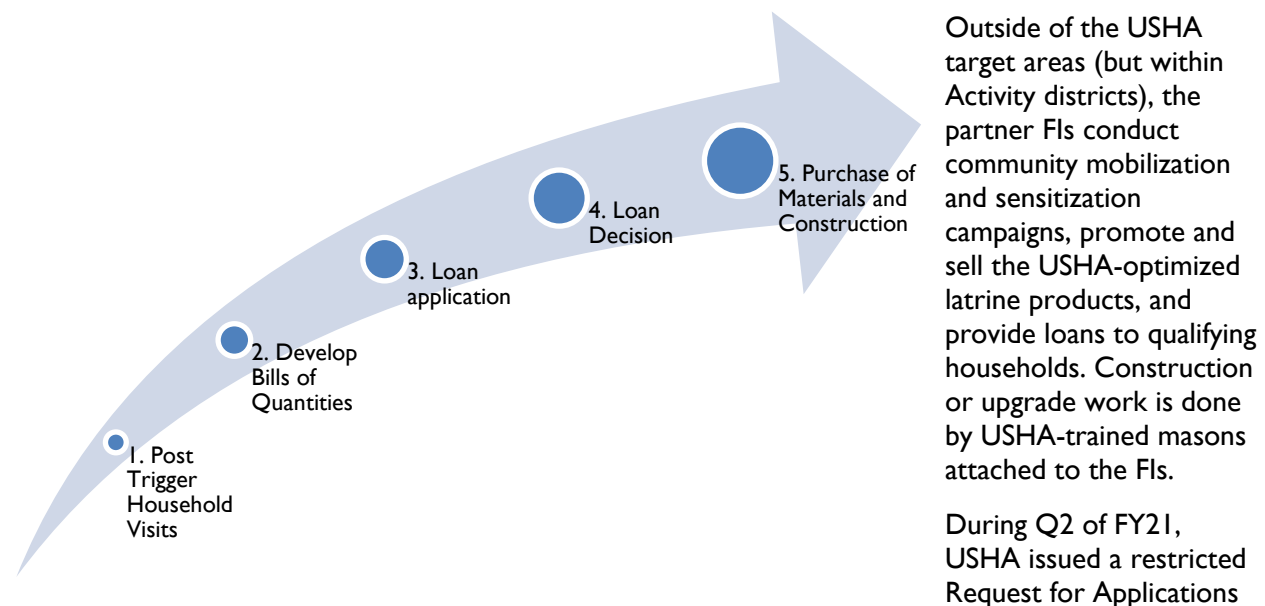
**Sales and marketing:** During Q3 and Q4 of FY21, Lixil contracted Spark Publicity, an international media firm, to run a social media campaign in a bid to increase product and brand awareness, improve the visibility of the value chain actors, and promote the key attributes of the SATO products. USHA provided content—stories, short video clips, and pictures. USHA also contracted Water and Environment Media Network (WEMNET), a group of local environmental journalists, to tour the Activity areas and capture the stories, experiences, testimonies, and insights of local leaders, grantees, value chain partners, and households. They produced 300 photos, 30 short video clips, and 30 voice notes— some of these were used for the Lixil/Spark Publicity campaign, while others will be shared with

grantees and other partners to support their promotional campaigns. Additionally, 12 media stories were published in major print and electronic media outlets.

NHOP reported national sales of 77,682 SATO products in FY21, an increase of 22.5% from FY20. This included a donation of 20,000 SATO pans by Lixil’s parent company, American Standard, in a bid to increase the footprint of the SATO brand in Africa. Sales through the USHA value chain partners account for 34% of the gross national sales, up from 32% during FY20. If the donation is disregarded, sales through the USHA partners account for 46% down from 53% during FY20. This is testament that Lixil/SATO and NHOP have expanded market penetration by increasing geographical reach and number of agents.

**Sanitation finance:** Building on work started in FY20, whereby USHA signed MOUs with seven financial institutions (FIs) and one microfinance institution (MFI) operating in the CE and CW, four<sup>6</sup> of which launched new or refined sanitation loan products over the course of the year. USHA supported these partners with promotional and visibility materials including branded advertising Boards depicting the range of sanitation products, pullup banners, teardrops, posters, and flyers. USHA also linked the partner FIs to the grantees operating in their districts. In many districts, grantees refer households who desire to construct new latrines or improve existing ones but cannot pay the entire cost in one lump sum to the partner FIs. Figure 1 shows the generic process a household follows to secure a loan.

**Figure 1. Generic Process for Household Sanitation Loans**



(RFA) to the partner institutions to address access and uptake barriers to sanitation loans (e.g., membership fees, share capital and minimum savings, application fees, monitoring fees, loan insurance, and other charges). Three of the five partners presented responsive proposals. Grant packages were signed in Q4 and implementation is underway.

As of September 2021, the partner FIs facilitated construction of 163 new latrines and 260 upgrades, disbursing 236 loans worth UGX 215m (~USD 60,000). Table 4 reflects the work of the partner FIs in FY21.

<sup>6</sup> Mateete SACCO, Masaka Microfinance Development Cooperative Trust, Nazigo SACCO, and Mateete SACCO



**Table 4. Latrine Constructions/Upgrades and Loans Disbursed by Partner Financial Institutions - September 30, 2021**

Financial Partner and District	Latrines constructed	Latrines Upgraded	Loans Disbursed
Nazigo SACCO, Kayunga	28	51	33
House of Hope, Namutumba	41	79	86
Rural Development Foundation Masaka	26	41	35
Rural Development Foundation - Kyotera	31	40	39
Mateete SACCO - Sembabule	37	49	43
<b>Totals</b>	<b>163</b>	<b>260</b>	<b>236</b>

At the national level, the Finance Task Force of the Market-based Sub-committee of the National Sanitation Working Group (NSWG) held three meetings. The task force brings together national and regional FIs active in WASH financing to share challenges, opportunities, and emerging trends. Additionally, the Association of Microfinance Institutions of Uganda (AMFIU), a membership umbrella body of microfinance actors, reached out to USHA to support their nascent entry into supporting WASH financing for their members. USHA shared experiences and opportunities at three regional forums.

**MBS enterprise model for urban North:** In Q1, USHA finalized a turnkey service provider delivery model for the urban MBS workstream for the NC and identified two contractors as potential partners to operationalize the model. In consultation with USAID, efforts to implement the model were deprioritized starting in late Q2 for the remainder of the year.

### 3.1.2 ACTIVITY 1.2: DEVELOP NEW MANAGEMENT MODELS FOR IMPROVED WATER SUPPLY AND SANITATION SERVICES

**Fecal sludge management:** USHA’s technical assistance (TA) to five FSM enterprises (FSMEs) in FY21 aimed to improve entrepreneur viability through strengthening operations while reducing market and contextual barriers. This involved improving FSMs’ capacity through regular mentoring and coaching; developing and implementing FSM marketing concepts aimed at generating increased demand for emptying services; and strengthening the relationship between the FSMs and the local government to create a favorable enabling operating environment. These efforts led to FSMs’ better managing their businesses, increasing demand for emptying services despite the adverse economic effects of COVID-19, and shifting the regulators’ mindset from the “enforcement only” approach to “promotion of safe emptying service provision.”

While continuing to support the three FSMEs (two private and one public, in the CE and CW) onboarded in FY20, USHA recruited and fully onboarded three additional FSMEs, one each in the NC, CE, and CW (see Figure 2 below). The recruitment and onboarding process included preparing detailed profit and loss (P&L) analysis for each and developing tailored interventions to address the biggest barriers that impact their operations. The onboarding process of a sixth FSME, Pet Pit, started in Q4 and is expected to be completed by the end of Q1 FY22.

**Figure 2. Summary of five USHA-supported FSMEs at the end of FY21**

	Central East		Central West		
	<i>AWASO</i>	<i>Ngeye Sanitation Services</i>	<i>Musoga</i>	<i>Central Umbrella</i>	<i>Pet Pit</i>
 Location	Jinja	Jinja	Masaka	Kyotera	Kyotera
 Service	Gulper	Cesspool	Cesspool	Cesspool	Gulper
 On-boarded	Mar 2020	Feb 2021	Mar 2020	Mar 2020	May 2021
 Plant	Jinja WWTP	Jinja WWTP	Bukoyolo WWTP	Kasaali FSTP	Kasaali FSTP

USHA specifically addressed barriers related to emptying and transportation equipment, increasing market share to address high levels of underutilization and monitoring costs. Most FSMEs were not systematically tracking business expenses such as labor, fuel, maintenance, and truck hire costs.

USHA's support includes establishing and monitoring FSME's performance (revenue & utilization) targets with the aim of achieving a steady state, providing prompt technical backstopping aimed at guiding the operations of the FSMEs, and providing the entrepreneurs with governance trainings to bring them in compliance with the prevailing local business and tax regulations.

In mid-Q1, USHA launched a three-month marketing initiative (talk shows, spot adverts, and DJ mentions) under the CLEANPIT common brand to increase demand for emptying services from target communities in the CE and CW. At the same time, the Activity retrained and recruited additional sales agents across all the three regions (NC, CE, and CW) to activate household demand. We strengthened the FSMEs' linkages with local governments where senior health inspectors are recommending FSMEs to the community for access to emptying services and inviting the FSMEs to participate in the monthly urban council Technical Planning Committee (TPC) meetings, which allows them to directly lobby the technocrats for a favorable FSM enabling environment for them to operate.

USHA is seeking to partner with National Water & Sewerage Cooperation (NWSC) in Jinja to modify the Jinja Wastewater Treatment Plant (WWTP) so it can receive and manage thick fecal sludge from unlined pits. The CE-based gulper FSME, AWASO, currently cannot service certain clients with deep unlined pit latrines because the sludge is too thick to be treated at the facility. By mid-Q4, a concept note for a drying bed and an MOU to formalize the partnership had been developed and discussed with NWSC, and both parties agreed on principles of the collaboration.

To complement demand generation efforts, in Q2 USHA started conducting quarterly performance review workshops per cluster (CW and CE) where FSME performance data from the preceding quarter was shared and discussed with all stakeholders (FSMEs, sales agents, and local governments) to identify key lessons, barriers, and solutions to improve performance. The best performing sales agent per cluster was recognized and awarded to motivate the rest. By Q3, USHA launched monthly FSM customer verification and satisfaction surveys with customers serviced by the supported FSMEs including the pros and cons of the service they received. Customer feedback is passed on to FSME with the view of improving service provision and customer satisfaction.

By the end of Q4, USHA supported an FSME in the NC to successfully obtain a 10,00-liter capacity cesspool truck through financing from a local bank (Centenary Bank) and a 12-month grant linked to achieving revenue and utilization targets. The FSME has also successfully registered Gulu Cesspool



Sanitation Services Ltd (GCSS) as a legal entity through which GCSS would provide emptying services to the community. In Q3, USHA conducted data collection tools training to enable GCSS and sales agents to better collect and utilize relevant FSM market data aimed at constantly improving performance.

The TA efforts described above resulted in the six supported FSMEs completing 549 emptying jobs during FY21 (260 institutional jobs and 289 household jobs), an average of nearly 46 jobs per month. By contrast, in the seven months that the FSM initiative was active in FY20, three supported FSMEs completed 167 jobs (62 institutional jobs and 105 household jobs), averaging close to 24 jobs per month. In FY21, 72% of all jobs completed were for new customers (54% of institutional jobs and 89% of household jobs). In other words, 397 customers (140 institutions and 257 households) gained access to safe emptying services for the first time in FY21. Quarter 2 (159) and Q3 (159) had the highest overall total of emptying jobs—a time the economy was fully opened, and institutions were partially functional after the first wave of COVID-19 in late 2020. Conversely, Q1 (73) and Q4 (88) had the lowest jobs, periods that coincided with the June-July COVID-19 lockdown.

**Figure 3. Summary of annual performance from six FSMEs**



<sup>1</sup> For the period Oct 2020 to Sep 2021

<sup>2</sup> New customers are households and institutional customers who have not been serviced by the FSMEs prior to USHA's interventions

<sup>3</sup> Actual volume emptied ranges from 3.6 million liters to 4.7 million liters. This is based on the assumptions that (i) in each trip, cesspool truck operators fill between 75% and 100% of truck capacity; and (ii) gulper operators fill 160 liters of sludge in each barrel (which is 90% of full barrel capacity)

**Community water supply: support to umbrella authorities (UAs):** FY21 saw USHA make great strides toward expanding sustainable water services and achieving the expected results for this workstream. Following approval of the pro-poor strategy by USAID and Ministry of Water and Environment (MWE) in Q1, USHA began piloting an Increasing Block Tariff (IBT) at four water supply schemes (WSSs) and supported modification of the UA billing and revenue system to incorporate the IBT. Due to budget limitations, USHA halted engagements with the Northern Umbrella in February. In late Q3, USHA received concurrence from USAID and MWE to subcontract directly with the UAs for water and sanitation including Central (Wakiso) and Eastern (Mbale) for six scheme network expansions. Detailed engineering designs for four of the six WSSs are complete and the other two will be finalized in Q1 FY22.

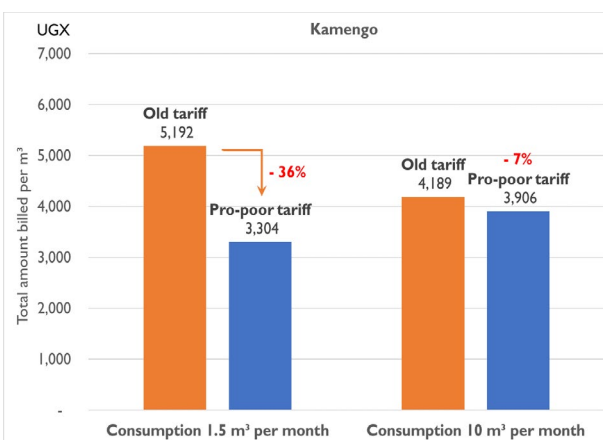
The MWE endorsed USAID's recommendation to directly subcontract UAs for network improvements and extensions. As subcontractors, the UAs are responsible for delivering scopes of work consistent with activities in their instructional mandate (e.g., community mobilization, pipe network replacements, extensions to new areas, new customer connections to the network). USHA has signed IDIQ contracts with the Central UA and Eastern UA to expand the capacity of six WSSs. Task orders specific to works at three WSSs including Kamengo – Central UA, Namagera and Irundu – Eastern Umbrella are fully executed, and implementation is underway. Execution of the last three task orders (Nkoni, Matala – Central UA and Namwiwa WSS – Eastern UA) is a priority for Q1 FY22. Each task order will be

implemented through 10 months, all the six are expected to be substantially complete before the end of Q4 FY22.

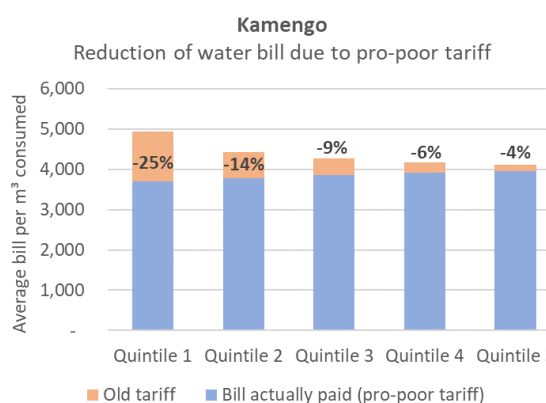
USHA supported backend updates to the Utility Performance Monitoring and Information System (UPMiS) to align UPMiS<sup>7</sup> functionalities with the new standard operating procedures (SOPS) and integrate the UPMiS with the UA billing and revenue collection system to ensure automatic transfer of financial and consumption data between the two systems. An updated version of the UPMiS user manual incorporating the new functionalities was developed. Dissemination and training of the UA secretariat staff and scheme operators in these new functionalities was delayed by the second COVID-19 lockdown but is a priority for Q1 FY22. The training will involve MWE officers to facilitate dissemination beyond the two UAs that USHA is supporting. USHA will continue to support the UAs to see that the six priority WSSs become model towns for performance monitoring and reporting and will reference the UPMiS to show improvements across multiple indicators as a result of USAID assistance.

USAID and MWE approved implementation of the pro-poor strategy that will enable advancement of consumption among the low volume users by improving affordability and guide USHA's allocation of subsidies for new connections. In early Q1, the MWE recommended piloting of a block tariff (IBT) that subsidizes the first unit of water to increase the affordability for a minimum quantity of water (1.5m<sup>3</sup>) by customers in the lowest quintiles. Working with Pegasus, the software provider for MWE's billing service, USHA modified the UA billing and revenue collection system to incorporate the IBT. Since its application in March 2021, this IBT has improved affordability for over 26,136 customers serviced by four priority WSSs: Namagera, Irundu, Matale and Kammengo.

As illustrated in Figure 4 below, in Kamengo, the IBT reduces the effective tariff to be paid by 36% for a household that consumes only 1.5 m<sup>3</sup> of water per month. Unlike under the old tariff, low-volume consumers now pay a lower price for water than the high-volume consumers. Additionally, the IBT resulted in a significant reduction of the water bill for poor households. The bottom quintile, with an average water consumption of 1.9 m<sup>3</sup> per month, benefits from a reduction of 25% in Kamengo and this percentage decreases for the wealthier quintiles pointing to good targeting of the IBT as illustrated in Figure 5.



**Figure 4. Comparison of the unit cost of water under the old and new tariff** (Total amounts including VAT)



**Figure 5. Reduction of household water bills due to pro-poor tariff, Mar-Aug 2021**

Obviously, reduced tariffs result in reduced revenue for the utility but because piped water supplies are associated with economies of scale, this can be compensated by an increase in the number of

<sup>7</sup> <http://upmis.geocodis.com/index.php/home>

connections and or an increase in consumption, which may be triggered by the IBT. There has been a modest increase in the number of customers and consumption since the introduction of the IBT and the revenue from these additional connections offset the revenue losses two months later. After only six months, USHA cannot certainly attribute these increases in consumption and connections to the IBT, but this illustrates that the IBT effects can be easily offset with scheme expansion. USHA will build capacity of the two UAs/MVE so they can replicate this approach to other schemes/UAs.

In FY22, USHA will continue to fine-tune and implement the other aspects of the pro-poor strategy including use of data to guide allocation of the new connection subsidy and social marketing of connections. The Activity will continue to monitor the impact of the IBT on consumption and UA revenues and expand the IBT pilot to an additional four towns in Q1.

Using survey data from the reconnaissance and topographic surveys, USHA completed hydraulic modelling and the engineering designs for four systems in FY21. Other than Kamengo WSS, all the priority WSSs are served by production boreholes. These were pump tested to assess the maximum quantity of water that can be safely abstracted and help in sizing submersible pumps. Of the 10 wells tested, Nkoni and Namagera WSS boreholes have undersized pumps. The boreholes have acceptable water quality and can supply up to 15 m<sup>3</sup> and 20 m<sup>3</sup> per hour, as opposed to the 8 and 12 respectively that are currently being extracted. USHA will consider upgrading the size of pumps for the Nkoni borehole.

Two of the designs (Kamengo WSS and Namagera WSS) were discussed with the MWE, generating respective UAs and priorities for extension and rehabilitation, which informed the scope of work to be subcontracted to the UAs. USHA will discuss the designs for the other four schemes (Matale, Irundu, Nkoni, and Namwiwa WSSs) with the MWE in Q1.

**TA to the RI-USAID Global Partnership in Uganda:** USHA continued to actively participate as the host activity for the RI-USAID Global Partnership in Uganda. The partnership, only the second of its kind globally, commits two million US dollars of USHA's funding matched with a two million US dollar contribution from Rotary. The Rotary contribution includes 1.8 million from Rotary International and 200,000 in private donations raised from local and international Rotary clubs. The partnership is designed to combine the grassroots energy and community influence of local Rotarians with the technical expertise of USHA.

The partnership started with 11 participating Rotary Clubs but has since grown to 29. Each club is represented by two focal persons while centrally the Host Organizing Committee (HOC), comprising of 14 Rotarians and the USHA Chief of Party, oversees the strategic leadership of the project. The four-person Rotary implementation team is hosted at the USHA office in Kampala. See more details in Section 3.5.

The partnership focuses on increasing access to water supply at schools and Health Center IIIs to contribute to infection, prevention, and control (IPC) measures in the clinics and to encourage menstrual hygiene management (MHM) at schools to promote girls' hygiene and retention. The RI investments in water supply at schools complement investments by USHA in private five-stance toilets for girls, separate changing rooms and incinerators for the safe disposal of menstrual materials.

Rotary also engages in advocacy on MHM, specifically the institutionalization of the national MHM guidelines in the targeted schools and districts. The goal is to see an increase in local public funding for MHM and that all schools follow the established operations and maintenance systems to keep the facilities running after the project. Rotarians from participating clubs are involved in advocacy activities at the national and district level and engage government officials at all levels, school management committees and community members to increase understanding of MHM and how it affects girls' education.

In addition to increasing access to water at participating schools and HCF, Rotary commissioned the engineering designs of three new community piped water schemes. It plans to invest in construction of two of the schemes in FY22. Both will be managed by their respective regional Umbrellas.

In FY21, the RI – USHA collaboration:

- Installed boreholes at 27 schools, serving the school communities and 8,100 people
- Installed rainwater harvesting tanks at 18 schools and three HCF in water scarce areas
- Drilled and installed three production boreholes
- Served one school by extending water from the NWSC pipeline
- Established community water point management committees at each borehole following the guidelines outlined by the MVE
- Completed nine detailed engineering designs for piped water schemes to serve health centers and nearby communities.
- Trained 156 active Rotarians from 29 Rotary Clubs in storytelling to document and disseminate the project's impact at schools, health centers and communities. The Rotarians also participate in field monitoring.
- Engaged district local governments staff such as District Water Officers, District Education Officers, District Inspector of Schools, Community Development Officers
- Developed an Advocacy Strategy

### **3.2 OUTPUT 2: EXPAND ADOPTION OF KEY HYGIENE BEHAVIORS AT HOME, SCHOOL, AND HEALTH FACILITIES**

In FY21, the USHA team continued to support communities in the CE, CW, and NC with MBSIA/CLTS activities to achieve universal access to basic sanitation (CE and CW) and to end the practice of OD (NC).

Schools remained closed for most of FY21 due to the COVID-19 pandemic. However, given the support USHA provided to school management structures in implementing their school WASH improvement plans (SWIPs) and infrastructure construction prior to March 2020, the USHA team, local Rotarians, grantees, and DLG teams in the CE and CW regions conducted an endline assessment to determine the WASH friendly status of the 52 Phase I targeted primary schools (not including the one secondary girls' school) across 13 districts in February 2021. In FY21, USHA also initiated support to 35 schools in the NC and 78 Phase II schools in the CE and CW, although progress was delayed because of the ongoing school closures and a reprioritization of infrastructure construction at the 78 Phase II CE/CW schools starting in February 2021.

Also in February, in consultation with USAID, USHA deprioritized collaboration with two USAID/Regional Health Integration to Enhance Services in the East Central Region of Uganda (RHITES) activities to improve infection prevention and control at points of care in 40 targeted HCFs in the CW, using the Clean Clinic Approach.

#### **3.2.1 ACTIVITY 2.1: IMPLEMENT DEMAND-LED COMMUNITY LED TOTAL SANITATION AT-SCALE**

**Sub-county entry meetings and MBSIA & CLTS baselines in CE, CW, and NC:** With support from the regional teams, grantees conducted Phase II district and sub-county orientations in October 2020 for local authorities in the CE and CW regions. Discussions focused on the MBSIA network model; how it is implemented; the roles and responsibilities of the different actors/stakeholders; and grantee targets, milestones, and work plans. Meanwhile, having completed subcounty entry meetings and baselines in the last quarter of FY 2020, CLTS work in NC was well underway as of September 2020.

Altogether across the three regions, USHA conducted baseline assessments in 213,701 households in 1,799 villages reaching out to 1,128,509 people. Baselines enabled USHA to benchmark the sanitation and hygiene status of each village prior to interventions for tracking future progress on sanitation and hygiene changes at household and community levels. This process also enabled aggregation of data to facilitate learning and steering of grantee priorities in supporting households to attain basic sanitation (CE and CW) and end OD (NC). The baseline details are summarized in Table 5 below.

**Table 5. Summary of progress on implementing MBSIA and CLTS approaches in FY21**

Metric	CE (MBSIA)	CW (MBSIA)	NC (CLTS)	TOTAL
# of villages baselined	563	534	702	1,799
# of households baselined	97,536	77,422	38,743	213,701
Household population	514,702	389,438	224,369	1,128,509

**Pre-triggering and triggering events in CE, CW, and NC:** USHA conducted triggering in 1,789 villages (531 villages in CW, 558 villages in CE, 700 in the NC). Local leadership at village level and community members attended the pre-triggering and triggering meetings facilitated by grantee staff (MBSIA officers and sales catalysts). Grantees shared maps and photos of each village on their community/household sanitation and hygiene status and discussed achieving sanitation and HWS targets. SPs and trained masons attended triggering meetings, where their roles and responsibilities within the MBSIA network delivery model was explained. Communities identified early adopters and developed village-level action plans to attain basic sanitation in CE and CW, and OD Free (ODF) in NC.

**Training on follow-up MANDONA (FUM) for NC grantees:** Having conducted baseline assessments in targeted communities and commenced with pre-triggering and triggering sessions at the end of FY20, the NC team needed to follow up with some triggered villages to accelerate their progress to achieving ODF status. In October 2020, 51 grantee staff and district and sub-county staff received a practical hands-on training on FUM, an approach promoted nationally by the Ministry of Health (MOH). The training equipped grantees and district staff with detailed knowledge and hands-on skills to facilitate the FUM approach.

**Training NC sanitation committee members (SCMs) on the CLTS Enterprise model:** In contrast to SPs in CE and CW, USHA relies on SCMs (with support from the grantees and district staff) to guide households in NC villages to construct toilets and to ultimately achieve ODF status through a CLTS Enterprise service delivery model. To date, USHA has trained 714 sanitation committees across the seven districts in the NC. The sanitation committees (comprising community leaders, VHTs, masons, etc.) are responsible for supporting demand activation for toilets post triggering, and sharing technical resources with the households to help them with the toilet construction process.

**CLTS institutional triggering and identification of local sanitation and hygiene leaders in the NC:** Grantees—such as SORUDA and GTI—organized meetings on institutional triggering in their respective districts and sub-counties. District and sub-county staff, including the district senior environment officer (USHA focal persons), health inspectors, health assistants, community development officers (CDOs), parish chiefs, and VHT coordinators attended the meetings. The meetings aimed to trigger the leaders to construct improved sanitary facilities and hand washing facilities (HWFs) within their own households to serve as models. The meetings also aimed to make district and sub-county staff understand their roles and responsibilities in promoting sanitation services in their jurisdictions. USHA staff oriented these local sanitation and health leaders on current sanitation laws, such as the Public Health Act and the Kampala Declaration on Sanitation. Both laws emphasize the need for exemplary leadership on sanitation and hygiene in communities.

**Technical and supervisory support to grantees on MBSIA/CLTS implementation:** USHA regional staff (including Regional Managers, RSBC Advisors, Governance Specialist, WASH Assistants, and Sanitation Business Development Advisors) work as a team to provide regular mentoring support to grantees in the following areas of the MBSIA/CLTS implementation process: conducting household baseline assessments; conducting pre-triggering, triggering, and post-triggering events; using and/or filling out monitoring and evaluation (M&E) tools including the sanitation tracker by SPs; monitoring SPs' performance and how grantees can support them to better achieve results; training SCMs in the NC; disseminating and using the SCM household follow-up tracker book (both hard copy for use by SCMs and the ONA platform for use by grantees); using the MBS product catalogues to track MBS community gains; uploading data on sanitation improvements onto the ONA platform and using ONA dashboards to inform implementation; tracing progress in the field and for decision making to improve performance; and conducting Tier 1 and Tier 2 ODF verifications. Regular in-person supervisory visits to grantees and DLG staff to provide technical guidance ensured timely grantee compilation and submission of milestone reports, and improved performance and achievement of Activity results.

#### **Monthly grantee exchange meetings in the CE**

Starting in November 2020, the CE cluster hosted monthly half-day learning exchange calls for staff of the four grantees working in the region. Eleven meetings were held in FY21, even continuing during the COVID-19 lockdown in June and July. These engagements are indicative of USHA's commitment to "putting grantees at the center" in FY21 as strategy to promote a culture of learning and adaptation and to maximize results.

**Review and learning meetings:** USHA conducted two review and learning meetings in each region aimed at supporting the implementation of MBSIA/CLTS and WASH in Schools (WiS). USHA's national and regional office teams, and grantee and district staff attended the meetings. The meetings offered opportunities for grantees and district teams to reflect on the status of project implementation and tracking district and grantee's progress (planned versus targets achieved) in implementing USHA's planned activities. The meetings also provided an opportunity to share innovations/success stories and best practices for scale-up; lessons learned from implementation, and operational challenges to collectively identify ways to address them. Review meetings helped grantees and districts to develop and implement clear strategies for improved/quality and speed in realization of the CLTS/MBSIA results; enhanced quality of deliverables by grantees based on their contractual milestones; and in identifying capacity building and support needs of grantees for follow-up by USHA technical teams.

**ODF Verification:** Starting in Q1, USHA continued supporting the establishment of district verification teams to roll out Tier 2 ODF verification processes. USHA revised its ODF verification protocol in Q2 to incorporate learning from earlier ODF verification exercises and to align with the global USAID definition for ODF verification. The protocol is applicable to both USHA's MBSIA and CLTS Enterprise approaches, even though MBSIA aims to achieve 100% access to basic sanitation in the targeted CE and CW districts, while CLTS in NC districts largely aims to end the practice of OD and verify ODF communities. The protocol guides USHA staff, grantees, and districts on the processes and parameters of Tier 2 verification for villages who have submitted ODF self-claim forms under the Tier 1 process. Beginning in late Q3, USHA oriented the district verification teams on the revised ODF verification protocol across the 20 districts in the three regions.

A total of 1,089 out of 1,929 villages triggered in FY21 submitted self-claim forms. District Tier II verification teams verified 915 of these villages as being ODF, or 47.4% of the villages that submitted self-claim forms, with most results coming in Q4 (see Table 6 and Figure 6). Households within these villages moved up the sanitation ladder from unimproved to improved toilets, or from no toilet/OD to



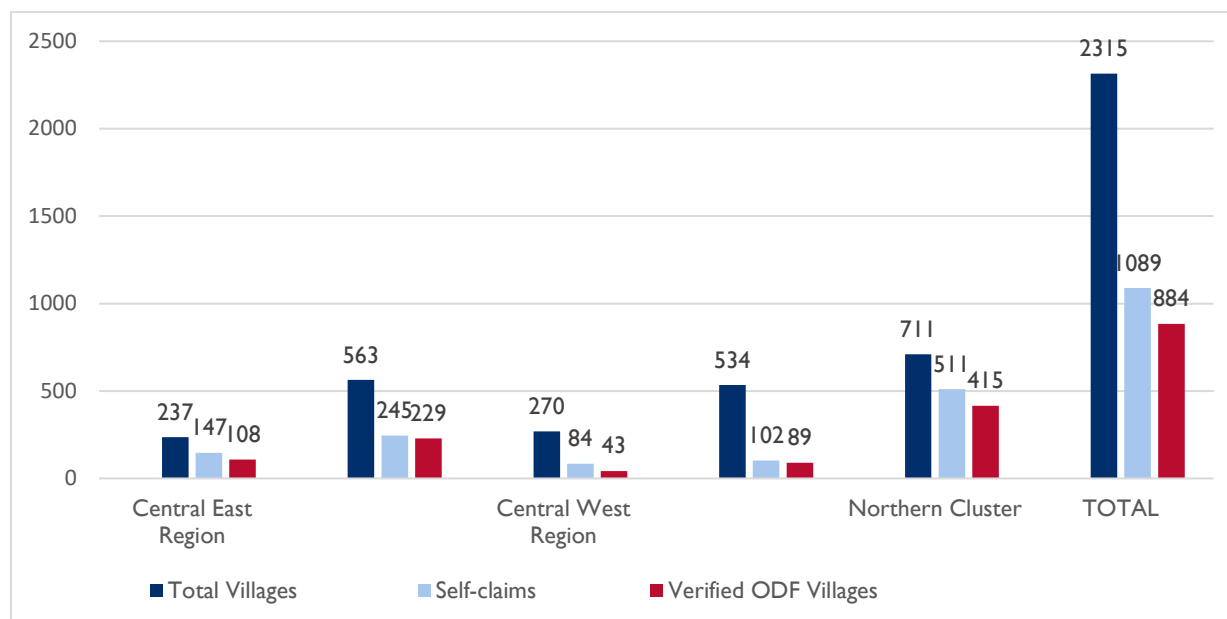
constructing and using a new toilet. These villages are officially “endlined” and reported as such in the ONA database.

**Table 6. Summary of ODF status at the end of FY21**

Category	Central East Region		Central West Region		Northern Cluster	TOTAL
	Phase I	Phase II	Phase I	Phase II		
<b>Total Villages</b>	237	563	270	534	711	2,315
<b>Self-Claims</b>	147	245	84	102	511	1,089
<b>Verified ODF Villages</b>	108	229	43	89	415	884

The villages that fell short in meeting the ODF standard were found to still have dirty latrines or feces in and around the homesteads, among other behavioral practices. In the NC, some households in a few villages still practiced OD. In FY22, USHA, the grantees, and districts will continue to conduct joint monitoring and support visits to these villages that have not attained ODF as they are considered close to achieving ODF status. USHA will also follow up with some newly triggered villages; endline households that have completed transformation to assess sustainability; and continue to conduct Tier I & Tier 2 verifications to determine the ODF status of remaining villages. USHA will also document the experiences of ODF in targeted districts.

**Figure 6. Progress in attaining ODF in USHA-supported regions**



### 3.2.2 ACTIVITY 2.2: INCREASE ADOPTION OF KEY HYGIENE BEHAVIORS AT HOME

**Households with soap and water at a handwashing station commonly used by family members:** SPs in the CE/CW and SCMs in the NC regularly promote handwashing with soap (HWWS) during visits to all households in the community, regardless of the household’s sanitation status. Coupled with heightened awareness of the importance of hand hygiene as a preventive practice against COVID-19 among partners and districts, USHA already surpassed its LOA HWWS target by the end of FY21. By end of FY21, the three USHA regions have recorded an additional 50,641 households of 138,992 households visited with HWFs with water and soap present in Phase II CE/CW villages and the Phase I villages from the NC (27,450 CE, 17,205 CW, 5,986 NC).

**Social behavior change:** In FY21, USHA developed an overarching WASH sector social behavior change (SBC) brand, messages, and materials. The logo “**Living Freshi**” and tagline “*Clean homes, Healthy Communities*” have been pretested and draft materials reviewed. In the spirit of partnership and to consider various perspectives, the development process involved sector partners through stakeholder consultations and two co-creation workshops carried out from May to June 2021. The materials were then pretested in three regions and feedback incorporated. The overarching SBC brand aligns with the SBC WiS as well as other SBC workstream materials USHA has developed.

USHA completed the first review meeting with MOH in August 2021. Based on the comments, a second draft of materials has been completed and is awaiting a final review and subsequent approval by MOH before socialization to other

sector partners through Uganda Water and Sanitation NGO (UWASNET) network members, among others. The messages and materials focus on promotion of five key behaviors: ending OD, handwashing with soap, building improved toilets, using toilets consistently and properly, and managing children’s feces properly. The brand and materials target households and HCFs. Under the custodianship of the MOH, WASH sector partners will be encouraged to adopt and use these SBC promotion materials.



### 3.2.3 ACTIVITY 2.3: IMPROVE SCHOOL WASH BEHAVIORS AND MANAGEMENT

In Q2 FY21, USHA continued to support 88 schools to attain and maintain WASH friendly status. USHA held a training of trainers (ToT) for grantees and DLGs in all three USHA regions to prepare for Phase II WiS work and to disseminate the results of the WiS assessments conducted of Phase I schools.

#### Effects of COVID-19 on school WASH activities

USHA staff and grantees struggled to maintain momentum with the WiS workstream because of the extended closure of schools beginning in March 2020. While “candidate classes” at some schools were able to return from September 2020 to May 2021, schools never fully reopened during the fiscal year and were closed again starting in early June 2021 with second countrywide lockdown. The second endline and sustainability assessments in the Phase I schools in CE and CW planned in July/August 2021 could not be carried out. Also affected was work by grantees to prepare the 35 NC schools for WASH Friendly status. Work at the 100 schools will continue when schools reopen, tentatively planned for January/February 2022.

USHA and the USAID Uganda Learning Activity carried out an orientation on conducting WiS’s endline and sustainability assessments for 26 officials from 13 districts in the CE and CW regions. With USHA support, grantees and the district officials carried out the endline and sustainability assessments in 52 Phase I schools in CE and CW, which showed that 23 schools are WASH Friendly (19 in CE and 4 in CW). Water and soap at a handwashing facility was not present in many schools for a range of reasons, including water availability, lack of financial resources to ensure the continuous presence of soap, and

lack of initiative to ensure the continuous presence of soap. To address water scarcity, partner RI is planning to install rainwater harvesting tanks at these schools.

Grantees continued to follow up with the Phase I schools in CE and CW that have not achieved WASH Friendly status, with selected and trained school health clubs in the Phase II schools in the CE and CW, and with the 35 targeted schools in the NC. Trainings on menstrual hygiene management (MHM) and for SMCs and Parent Teacher Associations also took place. As a result, some grantees (e.g., JOYI in CW region) reported 19 Phase I and Phase II schools (10 schools in Gomba district and 9 schools in Mpigi district) assessing themselves to have attained WASH Friendly status. It is worth noting that these 19 Phase II schools are on their journey to attain WASH Friendly status without hardware investments from the activity<sup>8</sup>. USHA, the districts, and grantees will continue to offer follow-up support to these schools after the expected reopening of schools in January 2022.

During the second COVID-19 lockdown, USHA codified the materials and learning to date in WiS into a *WiS Toolkit* to guide USHA staff, grantees, DLGs, and Rotarians to attain WASH Friendly schools and a healthy learning environment. The toolkit provides a step-by-step process through which USHA and partners engage with key stakeholders at the district, sub-county, and school levels to achieve WASH Friendly status in schools.

**Construction:** USHA’s definition of a WASH Friendly school includes incinerators for menstrual waste management, functional gender-segregated latrines for boys and girls with HWFs accessible to all students, and group HWFs to enhance institutional behaviors such as handwashing before lunch. In Q1, USHA procured the services of two construction subcontractors to construct school sanitation and hygiene facilities at 35 schools in the seven districts in the NC. By the end of FY21, 22 drainable latrine blocks (11 boys and 11 for girls) and 34 incinerators and 35 group HWFs were substantially complete and handed over to the respective schools for use. See Table 7 for a recap of WiS facilities constructed per district in FY21.

**Table 7. WiS facilities constructed per district in FY21**

District	Five-stance latrine block with handwashing facility			Group handwashing facility	Incinerator
	Boys Block	Girls Block	Total Number of Stances		
Gulu	3	3	30	5	5
Nwoya	0	1	5	5	5
Omororo	0	0	0	5	4
Pader	3	3	30	5	5
Agago	1	2	15	5	5
Kitgum	2	2	20	5	5
Lamwo	2	0	10	5	5
<b>Total</b>	<b>11</b>	<b>11</b>	<b>110</b>	<b>35</b>	<b>34</b>

**O&M training for 53 Phase I schools in CE and CW:** In September and October 2020, USHA trained district officials and grantees on operation and maintenance (O&M) of school WASH facilities at 43 schools: 14 in CW and 29 in CE. In Q2, USHA then conducted similar O&M trainings in the remaining 10 schools. District officials and grantees cascaded the trainings to school officials and other key actors focusing on O&M of newly constructed and existing sanitation and hygiene infrastructures, and the development of O&M plans for implementation at the targeted schools. Participants at the trainings included district health inspectors (DHIs), district inspectors of schools, SMCs, PTAs,

<sup>8</sup> Some schools mobilized community resources to construct or refurbish toilet blocks and MHM changing rooms.

foundation bodies, health assistants, O&M assistants, sub-county chiefs, patrons, senior men and women, opinion leaders, LC I chairpersons and their executives, and other community members. USHA also provided all 53 schools with a starter kit of cleaning equipment (brooms, cleaning brushes, etc.) and handed over WASH infrastructure elements (e.g., latrine blocks, incinerators, and handwashing facilities).

Following the high number of vandalism cases in CE and CW Phase I schools, community participation was increased before and during the NC construction works to enhance community ownership of these WASH facilities. This will continue to be a priority in the coming year for the last phase of construction in the 13 schools in CE and CW.

**HIV and AIDS mainstreaming:** At the suggestion of USAID and following local regulations and best practice, the USHA construction supervision team collaborated with health workers from HCFs close to the construction sites to conduct HIV/AIDS mainstreaming including HIV/AIDS testing, pre- and post-testing counselling, sensitization to myths surrounding HIV/AIDS, and sharing of preventive measures to the people at and near the construction sites. A total of 765 persons including community members, builders, teachers and chairpersons were reached. These were equipped with knowledge related to condom use, pre-exposure prophylaxis (PREP), post-exposure prophylaxis (PEP), and positive living when one is HIV positive. All the positive cases identified were referred for immediate follow-up and treatment.



*A teacher in Lwawebe P.S Kituntu, Mpigi shows how the boardgame has been framed before use by pupils.*

**‘SOAPY’ Promotions:** The development of USHA’s SBC WASH in Schools (WiS) messages and materials revolve around a playful, animated character named ‘Soapy,’ which aims to increase awareness of key hygiene behaviors in a fun, enjoyable and effective manner for pupils and teachers. USHA finalized the SBC materials (behavior calendars, board games, teachers and pupils’ posters, jingles, badges and teacher’s guides, among others) in November 2020.

USHA conducted a training of teachers on the use of these SBC WiS materials and disseminated these materials to all 53 schools in the CE and CW in January and February 2021, respectively. Teachers rolled out implementing these materials in their respective schools.

Preparations are underway for similar training of teachers - from 35 primary schools in NC and 13 primary schools in CE and CW - and district education officers once schools reopen. As was done

in Phase I, USHA has engaged artists to install nudges to promote handwashing with soap (HWWS) in 35 schools in the NC, and later in additional targeted Phase II schools in the CE and CW.

In August 2021, USHA briefed ministry officials about the WiS materials SBC developed for schools. We plan to have a wider engagement with MoES other WASH stakeholders to decide on which WiS materials to scale up nationally.

### **3.2.4 ACTIVITY 2.4: INTEGRATE PROMOTION OF ESSENTIAL WASH ACTIONS IN HEALTH FACILITIES**

In February 2020, in consultation with USAID, USHA deprioritized collaboration with two USAID/RHITES activities to improve infection prevention and control at points of care in 40 targeted health care facilities in the CW using the Clean Clinic Approach.

In Q2 FY21, USHA procured the services of a construction subcontractor to construct sanitation and hygiene facilities at four health care facilities in Kitgum, Lamwo and Agago districts in the NC. By the

end of FY21, four drainable latrine blocks (three-six stance and one-two stance patients blocks) were substantially complete and were handed over to the respective health care facilities for use pending O&M trainings (see Table 8 for recap of facilities constructed in HCFs in FY21).

**Table 8. Sanitation and Hygiene facilities constructed per district in FY21**

District	Name of Health Care Facility	Latrine block with a handwashing facility (5,000litre ferrocement tank)		
		6-stance Block	2-stance Block	Total Number of Stances
Agago	Patongo HCIII	1	0	6
Agago	Acholi Pii HCIII	1	0	6
Kitgum	Omiya Nyima HCIII	1	0	6
Lamwo	Lokung HCIII	0	1	2
<b>Total</b>		<b>3</b>	<b>1</b>	<b>20</b>

In FY22, USHA will focus on supporting the MoH to develop O&M Guidelines for WASH in HCFs as an annex to the HCF WASH guidelines released in Q4 FY21. USHA will provide more details to the WASH O&M chapter, focusing on costing and FSM, and later in the year disseminate these guidelines to the four HCFs and support them to develop O&M plans.

### **3.3 OUTPUT 3: STRENGTHEN DISTRICT WATER AND SANITATION GOVERNANCE FOR SUSTAINABLE SERVICES**

Increasing the capacity of DLGs to oversee and maintain WASH services in their jurisdictions is central to USHA’s long term success. Improved governance provides the critical enabling environment for delivery of services - it is the “heart of the matter.” USHA continues to position governance activities as the anchor by which to enable, support, and sustain investments made under Outputs 1 and 2 and ultimately determine the impact and legacy of the entire Activity. USHA’s governance work encompasses both hardware support in the form of In-Kind Grants (IKGs) and software support aimed at strengthening the capacity of the districts to coordinate sanitation and hygiene actors; improving reporting for monitoring purposes and increasing knowledge and application of existing WASH policies and guidelines.

#### **3.3.1 ACTIVITY 3.1 STRENGTHENING LOCAL GOVERNANCE AND MANAGEMENT**

**Policy dissemination for district-level and sub-county-level staff:** Policy dissemination of selected GOU sanitation and hygiene related policies and guidelines was undertaken in all the districts to create a shared understanding of the legal and institutional framework for the sanitation and hygiene sub-sector and reinforce knowledge and understanding of the existing policies for both district and sub county WASH extension workers. Specifically, USHA conducted district-level workshops in the 20 districts targeting sub-county extension workers. The workshops followed the regional-level workshops conducted in Q4 FY20 in CE & CW and in Q3 FY21 in the NC. These workshops brought together at least five district-level staff from each of the districts and sub counties in the two regions. The workshops addressed one of the outstanding issues emanating from the ISI assessments regarding the governance domain on “service delivery” and indicator related to “knowledge of GOU [sanitation and hygiene] plans, policies, laws, and regulations.” Emphasis was placed on the following guidelines/documents:

- The Uganda Public Health Service Protocols (2019);
- The Joint Monitoring Program (JMP) service levels and standards for WASH;
- National Sanitation and Hygiene Guidelines (2017);
- CLTS Implementation Protocols (2019);



- A Guide to Monitoring of Water Supply, Sanitation, and Hygiene Sector Indicators (2019); and
- National Framework for Operations and Maintenance of Rural Water Infrastructure (2019).

The guidelines presented were received with a genuine feeling of gratitude, given also that USHA targeted non-intervention sub-counties as requested by some districts (particularly in CE and CW regions) to ensure this capacity-building initiative gets to as many lower-local government staff as possible for wider impact.

**Support for DWSCCs:** USHA continued supporting the convening of DWSCC meetings, often preceded by field monitoring visits, to learn from ongoing interventions, implemented either by the districts themselves or by civil society organizations and private sector partners, including USHA. DWSCC meetings help districts to map out NGOs and other CSOs implementing WASH within the districts, and in some cases, private sector actors to support improved WASH services and affordable financing for household sanitation facilities, which assists with rationalizing and avoiding duplication of resources; establish the roles of the different government departmental heads in WASH promotion; improve on the quality of their reports and make informed decisions as a result of joint field monitoring visits that bring to light issues to discuss at the DWSCC meetings.

USHA support saw some districts convene the DWSCCs for the first time in many years in addition to convening meetings with clear objectives and announcing scheduled meetings well in advance so participants could clear their schedules to attend. In Q4 FY21, 5 districts in CW & CE regions (i.e., Lwengo, Gomba, and Kyotera in CW; and Luuka and Jinja in CE) convened their DWSCC meetings without USHA financial support.

In the NC, USHA supported and participated in 10 out of 14 DWSCC meetings planned in seven districts. Six districts held three DWSCC meetings each while one district held four meetings (one per quarter). Omoro district established and convened a DWSCC meeting for the first time. Preparatory meetings prior to the DWSCC meetings helped district officials to see the value of having a properly functioning DWSCC, identify key stakeholders that should comprise the committees, and key indicators of a properly functioning DWSCC. This important step resulted in improved utility of 10 DWSCC meetings across the seven NC districts.



*DWSCC meeting, Pader district, Northern Uganda*

**Uncovering the marvels of WASH data:** Districts requested USHA to train their biostatisticians on how to create databases for their respective Environmental Health departments, and USHA to regularly share links of their district-specific dashboards to enable LG officials to use the data to follow-up and monitor USHA activities. In response, USHA oriented 36 District Health Inspectorate (DHI) staff (10 female; 26 male) – DHIs, biostatisticians and health assistants from the CW and NC regions - on USHA's ONA monitoring and evaluation (Power Bi) tool to capture and store data, on the use of the ONA-powered MBSIA and WiS dashboards, and on monthly sanitation and hygiene data linked to the HMIS of MoH. All 20 DLGs can now access real time data for day-to-day reporting and decision-making; fast track reporting of MBSIA and WiS results; and support DLGs with their plans to respond to the MoH/MWE's annual call for sanitation and hygiene data to feed into sector reporting at the national level.

**IKGs to DLGs in CW, CE, and NC:** June 2021 marked the end of the 12-month IKG grants period in all three regions. USHA supported the formal transfer of ownership of in-kind grants, such as motorcycles, computers and water testing kits, to 20 districts.

**Institutional Strengthening Index (ISI) progress:** USHA conducted a mid-term ISI assessment of the 13 districts in the CE & CW region to compare baseline vs. endline results. The ISI demonstrated that partly through USHA support, all 13 districts had made progress in moving at least one step on the ISI in at least one domain. The most significant progress was consistently seen in the domains related to coordination (frequency, management and content of district water and sanitation coordination committee (DWSCC) meetings), increased knowledge of GOU WASH related policies, and increased monitoring and supervision. Other domains where improvements were noted included: advocacy and policy engagement; resource mobilization, especially to address the COVID-19 pandemic; attendance at donor conferences; and adequate staffing removing redundant positions and catering to key positions in the district water office and health office. Buikwe DLG formed a WhatsApp group with the District and subcounty/town clerk Deputy Chief Administrative Officers (DCOs), Community Development Officers (CDOs), Sub county Chiefs, Health Assistants Civil Society Organizations (CSOs) representatives to share and communicate information. In Bukomansimbi, the district health office is using M Track to coordinate extension workers. Monitoring and data use was the weakest domain and should be a focus area for USHA going forward.

Districts such as Sembabule, Luuka, Buyende, Kayunga and Buikwe, said that the ISI exercise was an eye opener in relation to identifying the needs of their different departments and the need to work closely with each other to be able to know what each other is doing, tap into resources to share and harmonize interventions. This need to collaborate was most evident among the health, water, education, and planning departments.

### **3.4 SUPPORT SELECTED WASH SECTOR POLICY REFORMS**

**Development of the National Sanitation Marketing Guidelines (NSMG):** In Q1 FY 2020, the National Sanitation Market Strategy (NSMS), approved by USAID in July 2019, was presented to the Environmental Health and Health Promotions Technical Working Group of the Ministry of Health for review and clearance in preparation for submission to the Ministry's senior management. The document was well received and approved for submission to Senior Management. A recommendation was made for the document to be renamed the National Sanitation Market Guidelines. Due to delays caused by COVID-19, USHA was only able to make a presentation to MOH Senior Management in May 2021. The guidelines were well received and referred to top management for approval, which is still pending. USHA, with support from USAID, shall continue to pursue the final endorsement.

**Influencing the next phase of USF:** At the end of the USF (December 2020), the Water Supply and Sanitation Collaborative Council was taking steps to transform its organization into a new global fund that will greatly amplify the response to the current sanitation, hygiene, and menstrual health crisis. Nearly all the components in the future Uganda Sanitation Fund (USF) reprogramming are being implemented by USHA, which had begun to seize on opportunities to share lessons and influence the direction of the new program, including hosting the final USF steering committee meeting in Masaka in Q1 FY21, which included a site visit for representatives from MOH/EHD, MWE and MoES to three USHA districts in Masaka to see MBSIA and WiS work firsthand. Unfortunately, this process has stalled and there is no information on the next steps.

**Community and national-level monitoring tools:** USHA provided extensive feedback and consultation to USAID and partners on the proposed revisions to the national Village Health Team (VHT) reporting tools to align with the JMP monitoring. The importance of harmonizing with the MIS system being developed for the MoH for WASH (with support from UNICEF) was emphasized.



Based on its own experience, USHA also provided written and verbal feedback to the UNICEF consultant tasked with developing a national MIS platform for sanitation and hygiene monitoring consistent with the JMP service ladder for the MoH.

**Influencing standards for the next generation of WiS services:** USHA's models of sanitation (5-stance latrine blocks for girls and boys) and hygiene facilities at schools have generated considerable interest by national stakeholders, some who are interested in potentially replicating them through their own programs. USHA has shared the costed design documents with the World Bank, MWE, Water for People, Water Mission and others. In Q2, USHA organized regional workshops in the CE and CW to share and discuss the designs with DLG and local partners. In late Q4, USHA participated in a series of national level meetings organized by the MoES and UNICEF to share experiences with WASH services at schools with the goal of aligning on a common set of sector standards and guidelines.

See Collaboration and Stakeholder Engagement sub-heading below for more details on USHA's involvement in the NSWG, UWASNET and other national level fora to participate in and influence policy dialogues.

### **3.5 PARTNERSHIP, COLLABORATION, AND STAKEHOLDER ENGAGEMENT**

Partnership development, collaboration, and stakeholder engagement are at the forefront of the USHA approach. Through partnerships, USHA is leveraging both USAID and external funding to have a more profound impact than what USHA would have on its own. Progress made fostering strategic partnerships and wider sector engagement in FY20 is summarized below.

**Rotary International and Rotary Uganda:** FY21 saw a deepening of the partnership with RI through the joint execution of many activities related to provision of water supply at schools and HCF. The RI team has a full-time Project Manager, an accountant, an Advocacy Officer, and a WASH Program specialist who are co-located at the USHA office in Kampala. USHA commits two staff members (COP and DCOP) to the Rotary Uganda Host Organizing Committee that meets quarterly to discuss overall direction of the partnership. The Project Manager collaborates closely with the Deputy Chief of Party (DCOP), Director of Engineering and Construction, Water Engineer, and the Construction Specialist to coordinate site assessment trips, review terms of reference and schedule interventions. A monthly (at minimum) technical meeting fosters collaboration and coordination. Each of the 29 participating clubs appoint two members (Club Advisory Teams) to promote linkages and ensure that club members feel connected and empowered to collaborate on school-based activities and connect with USHA grantees and regional staff working in shared communities.

In addition to the water supply outputs documented above, RI and USHA carried out several activities with joint participation and co-sponsorship. Examples of such activities included joint field monitoring of the water and sanitation facilities in conjunction with Sanitation Week in March 2021, preparing an exhibit at the national MHM conference in May 2021, and co-facilitating a communications trainings for local Rotarians. USHA actively participates in the procurement process of RI consultants and, time allowing, a review of the consultant's reports. Where possible, the supervision of construction is supported by USHA staff, e.g., the plumbing at the maternity ward of Patongo HCIII in Agago.

**USAID Implementing Partners:** Although USHA co-locates its CE office with RHITES-EC in Jinja, active collaboration was discontinued with the Q2 reprioritization of activities away from supporting IPC at HCFs in the CW using the Clean Clinic Approach (CCA) and the construction of water supply at HCF funded by USHA, although some HCF supported by RHITES have received support from RI. Collaboration with RHITES Acholi also was affected by the deprioritization, although four HCF RHITES-Acholi supports benefited from USHA construction of sanitation and hygiene facilities. USHA also

attended and actively participated in the quarterly DHO learning and exchange meetings organized by RHITES.

Beyond RHITES, USHA developed a strong collaboration with USAID/ULA to design and pilot a methodology and data collection tools for assessing the factors driving or inhibiting the sustainability of WASH Friendly status at schools. We also invited participation and inputs from USAID/SBC during the co-design process for the *Lyving Freshi* brand.

**LIXIL/NHOP:** USHA's most collaborative private sector partner continues to be Lixil, and their local manufacturer and distributor, Nice House of Plastics. During the past year, USHA and Lixil worked on multiple ventures to expand SATO sales: production and broadcasting of print and radio ads, expanding distribution and establishing last-mile retail in rural areas. Annual sales of SATO pans in Uganda have more than doubled since the start of the activity.

**Collaboration with the MWE:** USHA's engagement with the Urban Department that oversees work in FSM and the UAs, and the Rural Department that focuses on sanitation, deepened in the past year starting with the signing on an MOU in Q1. USHA is in close communication with the MWE and has quarterly review meetings with the urban department. The mention of USHA's contributions to the MWE in areas of FSM, governance, and sanitation in the MWE's 2020/2021 annual sector report demonstrates its recognition as a major sector contributor.

**WASH Sector Stakeholder Engagement:** As the activity has matured, USHA's contribution to the Ugandan WASH sector has expanded through an intentional of stakeholder engagement and partnership. In FY21, USHA expanded its efforts to share experiences and learning within national government ministries and among the national WASH fraternity. Examples include:

1. An active partnership with UNICEF to incorporate sanitation marketing into ongoing CLTS programs in two districts.
2. Multiple engagements with the MoES to share designs of toilet blocks at schools and the SBC package.
3. Supporting and participating in annual sector events such as National Sanitation Week, World Toilet Day, Global Handwashing Day, and the UWASNET CSO Forum.
4. Organizing an exchange visit with representatives from the MOH, MWE and MoES to see MBSIA and WASH in Schools work
5. Engaging UWASNET through a grant to support USHA's outreach and learning. This included co-sponsoring a national sector dialogue on WASH in schools, two learning exchanges (one physical and one virtual) in the NC, CE and CW, USHA participation in a water forum on inclusive water tariffs, the publishing of a newsletter on market-based sanitation.
6. Active involvement in the NSWG, which meets quarterly, to share lessons and experiences.

### **3.6 LEARNING AND ADAPTATION**

In FY21, USAID recognized USHA as a leader among Uganda implementing partners in learning and documentation. An emphasis on learning and adaptation continue to underpin USHA's programmatic approach across workstreams. Most of USHA's district and community-level engagements are detailed in comprehensive stand-alone implementation strategies based on an analysis of primary and secondary data developed before implementation, and updated periodically, to ensure USHA's efforts are data driven and adaptive to the operating environment.

Across the three Outputs, all community level activities begin with some form of baseline or socioeconomic measurement to understand and establish pre-intervention conditions. Baseline data is used to determine the scope of some interventions and to detect any changes that occur because of the activity. In most cases, baseline results are presented back to the districts, stakeholders, or communities

from which the data is gathered and forms the basis by which programming decisions are tailored to specific contexts.

USHA's systematic and evidence driven approach is demonstrated in workstream. Examples documented in other sections of this report include:

- Process adaptations made between Phase I and Phase II of MBSIA,
- Socio-economic data analysis that underpins the pro-poor engagement strategy with the UAs,
- Monthly tracking of cost and revenue data from the FSMEs,
- Adaptations made to the ODF verification strategy and associated tracking tools,
- Routine learning visits undertaken by the regional teams to shadow CLTS and MBSIA grantees,
- Development of the Power-Bi dashboards to enhance data visualization and use of data for targeted follow up on CLTS/MBSIA interventions down to the household level, and
- Design and piloting, in collaboration with USAID/ULA, of a sustainability survey to assess the long-term sustainability of WASH in schools' interventions

As documented in the communications section of this report, USHA produced several learning briefs across all Outputs for local, national and global audiences. presented MBSIA results at the UWASNET CSO Forum and the international African Water Association conference in Kampala.

### 3.7 INCLUSIVE DEVELOPMENT

#### 3.7.1 INTERNSHIP PROGRAM

**Graduation of Cycle 2 Interns:** In Q1, USHA graduated nine Cycle 2 interns (four in construction, two in communications and grants, two in WASH, and one in MEL) upon successfully completing their 12-month internship training. Each inter made a 20-minute virtual presentation of their capstone project to all USHA staff, after which they were presented with certificates. Capstone projects included diverse topics, for example: *Disability Inclusion in WASH Social Behavior Change Communication: Case Study of Paicho Sub-County to Use of Clay and River Sand as a Local Bonding Material in Construction.*

**Cycle 3 Interns:** As the tenure of the Cycle 2 interns was coming to an end, USHA finalized recruitment of the third and final cycle of six internship positions. As done previously, USHA sent the advertisement for internship opportunities to universities and trade schools targeting fresh graduates in pursuit of skills and experience in WASH programming. Of 300 applications received, the program shortlisted and interviewed 30 candidates for six available positions. Six interns were selected (three females and three males) to take up the roles of WASH (three) and Construction Quality Control (three) for the period January 2021–December 2021). Two Cycle 3 interns left during the year - one received an international scholarship and the other accepted a full-time job. The remaining four interns (three Construction; and one WASH), all based in the NC, are expected to complete their cycle in December 2021.

USHA documented its experience with the intern program in a publication entitled *USAID-USHA Mentored Young Professionals: A profile of Innovative Capstones.*

#### 3.7.2 GENDER AND YOUTH

**Training of USHA staff in gender and youth mainstreaming:** USHA conducted a gender mainstreaming training for all staff in December 2020. The purpose of the training was to improve USHA and grantee staff knowledge and skills in gender and youth integration, support the institutionalization of gender at grantee level, and provide staff with an understanding of USHA's gender and youth strategy and GAIM. The virtual two-day training targeted 60 staff. The training offered staff the opportunity to reflect on the gender and social inclusion gaps and opportunities in the

implementation of USHA’s different program approaches. The staff appreciated the use of GAIM as a guiding document and tool for mainstreaming gender and youth in the activity. Through the thematic group breakout sessions, staff reflected on current practices, gender gaps and developed gender mainstreaming considerations in incorporate into the implementation of CLTS, WASH in Schools, and MBSIA programs.

**Training of grantee staff in gender and youth mainstreaming:** USHA customized the materials used for the USHA staff training to suit the needs of the CLTS and MBSIA grantees and conducted subsequent trainings of grantee staff on gender and youth mainstreaming in all three clusters. The training was delivered to 86 grantee staff (21 from CE, 38 from the NC, and 27 from the CW). The training equipped grantee staff with knowledge and skills in gender and youth mainstreaming, socialize the USHA Gender and Youth Strategy and support the grantees to develop their respective gender action plans, which will aid in mainstreaming gender in the implementation of the project.

**Integration of Gender Based Violence (GBV) into MBSIA and CLTS:** In late FY20, grantees reported a few isolated incidences Gender-Based Violence (GBV) arising because of decision-making and power dynamics at household level related to the use of household investments in sanitation. In response, USHA developed talking points for masons and SPs on prevention of GBV as one way of supporting the integration of GBV into the MBSIA package as well the CLTS work. A consultant<sup>9</sup> was engaged to provide USHA grantees with a tangible package of recommendations they need to follow during triggering sessions to make the process responsive to gender needs. This package was discussed with all 11 grantees during the regional review meetings held in FY21 Q3 in all the three USHA regions. USHA also revised the reporting template for grantees to include a sub-section on Gender and Youth integration into the MBSIA/CLTS programs. USHA completed the development of a GBV Community Facilitator’s Guideline targeting: i) USHA staff and grantees to train Sanitation Promotes-SPs, Masons, and Sanitation Committee Members-SCMs; and ii) grantee staff, SPs, and Masons themselves during their day-to-day MBSIA/CLTS work in communities, to discuss and find solutions for GBV.

**Gender Learning Event:** In Q3, USHA participated in the Gender Learning Event organized by USAID/ULA, presenting experiences on MHM in schools to enable a bright future for every girl-child. MHM interventions contribute directly to USAID’s gender outcomes on: i) reducing the gender gap; and ii) increasing capacity of women and girls to realize their full potential/rights. The feedback from USAID on USHA’s presentation was *“the presentation was great; the content in the slides was very well laid out .... very clear and precise. You did very well for the visibility of the WASH Team and the entire USHA Team.”*

### 3.8 SCIENCE, TECHNOLOGY, AND INNOVATION

Activity Result Area	Science, Tech, Innovation activity/task description	Planned outcome	Achievements
Cross-cutting	Expansion of digital tools for longitudinal data collection	Digital data collection tools and a backend system that links longitudinal records at the same location (i.e., HH) for baseline and comparison.	Expanded use and upgrade of a longitudinal tracker to enable grantees to track results in real time, while concurrently administering the baseline or follow-up surveys in other HHs.
	Using a digital monitoring system linked to Microsoft	Increased use of data to drive decision-making	Developed and regularly updated many sets of interactive dashboards

<sup>9</sup> The full-time gender and youth advisor position was vacated in February 2021 and not replaced due to the budget reprioritization.

Activity Result Area	Science, Tech, Innovation activity/task description	Planned outcome	Achievements
	Power-BI dashboards to display and communicate data and longitudinal trends to grantees, DLG and other stakeholders	and results in MBSIA and CLTS programs	to track grantee and partner performance (inputs, outputs, impacts) and communicate results to DLG. The database has nearly 1 million entries and growing.
	Using Artificial Intelligence and machine learning to categorize images taken of toilets build through MBSIA	A machine learning algorithm to accurately classify toilet characteristics (structure, floor, door) from images taken from tablets	Proof of concept developed and piloted with an over 85% success rate of correct matching. Refer to Learning Note entitled <i>Using Artificial Intelligence and Machine Learning to Determine Sanitation Service Levels Using Images of Toilets: a Proof of Concept</i>

**3.9 TRANSPARENCY AND ACCOUNTABILITY**

No related activities to date.

## 4.0 LEADERSHIP DEVELOPMENT

**Table 9. Leadership Development Activities**

Leadership development activity/task	Outcome	Indications/examples of results
An assessment of grantee organizations use Gravitas Impact's 7 Attributes of Agile Growth framework to Assess their organization health. (Leadership, Talents, Strategy, Execution, Profit, Customer and Systems)	A rich discussion enabled the grantees to have a deeper appreciation of the 7 Attributes and where their organization stood. They ranked Leadership as their most important area for learning and opted for the training to focus on Leadership.	Not readily available as it was internal grantee organizational issue.
Leadership training for grantees	This was based on the questions: "Is your team authentic, healthy and Aligned?" The participants worked through the 5 whys tool and committed to use it with their boards and senior leaders to sharpen their organization's why.  The participants went through the mission to mars exercise and were encouraged to try it out with their leadership teams to ground the truths concerning their values.	As Above -
Leadership Coaching of the Senior Management Team	A leadership assessment of members of the USHA Senior Management team was carried out.	A 360-degree leadership training was recommended to promote improvement of the team dynamics and to alignment of teams as they work toward the end of the project.
Cluster 360-degree leadership training. A 360-degree leadership training was conducted for the North Cluster Central East and Central West.	The training made a big impression on the teams.  It is the hope of the team of trainers that there will be lasting change in how the team members view themselves, their leaders and those who serve below them. Taking a 360 Degree view makes all employees a lot more productive than they were before.	The participants rated the training very highly and would not hesitate to recommend to others. Perhaps this has contributed to USHA's outstanding performance in FY21, despite COVID-19



## **5.0 ENVIRONMENTAL COMPLIANCE**

The FY20 EMMR is included as Appendix C to this report.

## **6.0 AWARD-SPECIFIC REPORTING REQUIREMENTS**

Nothing to report.

## 7.0 MONITORING, EVALUATION, LEARNING (MEL) AND COMMUNICATIONS

USHA's MEL team is a technical support unit that ensures valid, reliable, and useful measures of performance are available and used to support USHA staff and its stakeholders' learning, program management and decision making. Below are the major accomplishments from the MEL and Communications teams in FY21.

**AMELP Revision:** In Q3, USHA worked with USAID to align on revisions to some AMELP indicator FY21, FY22 and LOA targets because of the second COVID lockdown and the limited budget ceiling for FY21. The revisions have been agreed upon and a formal contract modification is expected in Q1 FY22.

**Expanding and back-end support to the USHA Database and Information system:** In FY21, USHA expanded use of its centralized data management information system using the ONA<sup>10</sup> platform with android data collection capabilities and a suite of web-based visualization tools to all CE, CW, and NC grantees, and Ministry of Water Urban Department and Umbrella (Northern, Central, and Eastern) staff. This system integrates all USHA performance and monitoring data under one hub, allowing offline data collection using android devices. Currently, USHA's ONA platform is accessed by over 150 users and includes over 1,000,000 unique data entries.

FY21 saw a steady enhancement in USHA's capacity to track longitudinal data linking WASH outcomes to baseline status, giving the ability to measure numerous outputs of change while tracking the core interventions or exposures at the unit of data capture (households, schools, health facilities, sanitation promoters, etc.). Capturing longitudinal data provides USHA the opportunity to observe units' patterns of change over time and answer learning questions while picking GPS and pictorial evidence of each transformation. USHA enhanced DLGs WASH data reporting capabilities by developing an online dashboard that summarized outcomes from USHA implementation sub-counties and conducted WASH data management clinics for DLG staff to enhance their capacity to capture, internalize and report on the HMIS indicators using digitized real time data collection tools.

**Integrating PowerBi dashboards to the MBSIA/CLTS and WiS workflows:** In early FY21, recognizing ONA's limited data visualization capabilities for the volume and complexity of the data the activity collects, the Monitoring Evaluation and Learning Advisor sought to enhance the team's ability to use the information being collected. With support from the Tetra Tech home office, the MELA rapidly gained proficiency with Microsoft PowerBi. USHA now uses real time interactive dashboards to routinely track longitudinal performance for MBSIA, CLTS, BRAC SATO sales. These tools, that are updated every two-weeks, have completely transformed the way USHA manages grantees and holds us accountable for results.

**Refresher training and mentoring CE & CW grantee staff on the MEL tools and systems:** The MEL team conducted online refresher trainings or "Data Clinics" and one-on-one mentoring sessions for NC, CW, and CE grantee staff on all the MBSIA/CLTS ONA tools and PowerBi dashboards.

**Learning.** An emphasis on learning and documentation cuts across USHA's approach to each workstream (see Communications section below). FY21, saw USHA make considerable progress in

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<sup>10</sup> ONA is a fee for service data management platform for electronic data collection, visualization and record-keeping. <https://ona.io/home/>. ONA acts as a clearinghouse for all USHA data generated from two distinct data collection streams (1) Surveys, and (2) Performance Monitoring.

responding to the learning questing in the AMELP (see Table 10). Beyond the routine learning done as part of implementation, we collaborated with the USAID Uganda Learning Activity and the University of South Florida to respond to the core learning objectives as stipulated in the AMELP.

**Table 10. Progress of AMELP Learning Questions as the end of FY21**

AMELP Learning Question		Status as of September 2021
1	Understanding the MBSIA model – Effectiveness; mechanism of commissions from Masons to SPs; network linkages; prices of toilets built, etc.	On track – 2 Learning briefs developed and submitted; others planned in FY22
2	To what extent are women taking an active role in decision making related to adoption of improved toilets in their families?	Intermediate – Grad student from USF used MBSIA data for MS Thesis entitled..... BRAC will also document this through the CHP model in FY22.
3	Identifying factors and sustainability pathways to achieve and maintain WASH friendliness in schools	Intermediate - USHA collaborated with ULA to design a ToC questionnaire and methodology. Data collection stalled because of school closure
4	To what degree does integrating BRAC Community Health Promoters into the sanitation supply chain increase toilet sales (especially for women)?	USHA completed a SATO early adopters survey that partially answers this question. In FY22, BRAC's research and learning team will undertake a more in-depth study to assess the increase in toilet sales influenced by BRAC CHPs (especially among women).
5	How effective are initiatives to increase access to finance mechanisms through local financial institutions at stimulating HH investment in basic sanitation?	None. This question will be answered through routine monitoring of the three FI grants signed in Q4 FY21.
6	What have been the key successes and challenges to strengthening WASH governance capacity at the district level?	On track – Two Learning Briefs submitted. More blogs and other forms of knowledge sharing expected in FY22

**FY21 review and FY22 planning workshops:** USHA held a mid-year “pause to reflect” and planning workshop in April 2021, one of the few in-person workshops of the year. A three-day virtual FY21 planning workshop was organized in early August 2021.

**Communications:** The USHA Communications team comprises of the Behavioral Economist and a Communications Assistant who work closely with workstream leads to identify communications needs and opportunities, develop storylines, produce, format, and edit content for a variety of mediums. The Tetra Tech Home Office provides occasional support specifically related to formatting and content generation for Exposure Stories and other Tetra Tech online features.

In FY21, while continuing to document human interest stories, USHA broadened its communications focus to document and share best practices, processes, and learnings related to innovative and scalable programmatic approaches. In doing so, the activity developed learning briefs, human interest stories, opinion pieces, promotional materials, intensified USHA's online presence, and made various presentations at sector related events. In Q4, the activity developed a knowledge management dissemination plan that identifies and organizes communications activities intended to promote intensive use of the project's learning and the provide a wider dissemination of knowledge to a variety of stakeholders.

Appendix B includes a list of all 39 communications products produced in FY21 categorized by quarter, type of product, and status of USAID approval at the end of September 2021. This includes six products that are being submitted with this annual report.

## **8.0 MANAGEMENT AND ADMINISTRATIVE ISSUES**

Available upon request

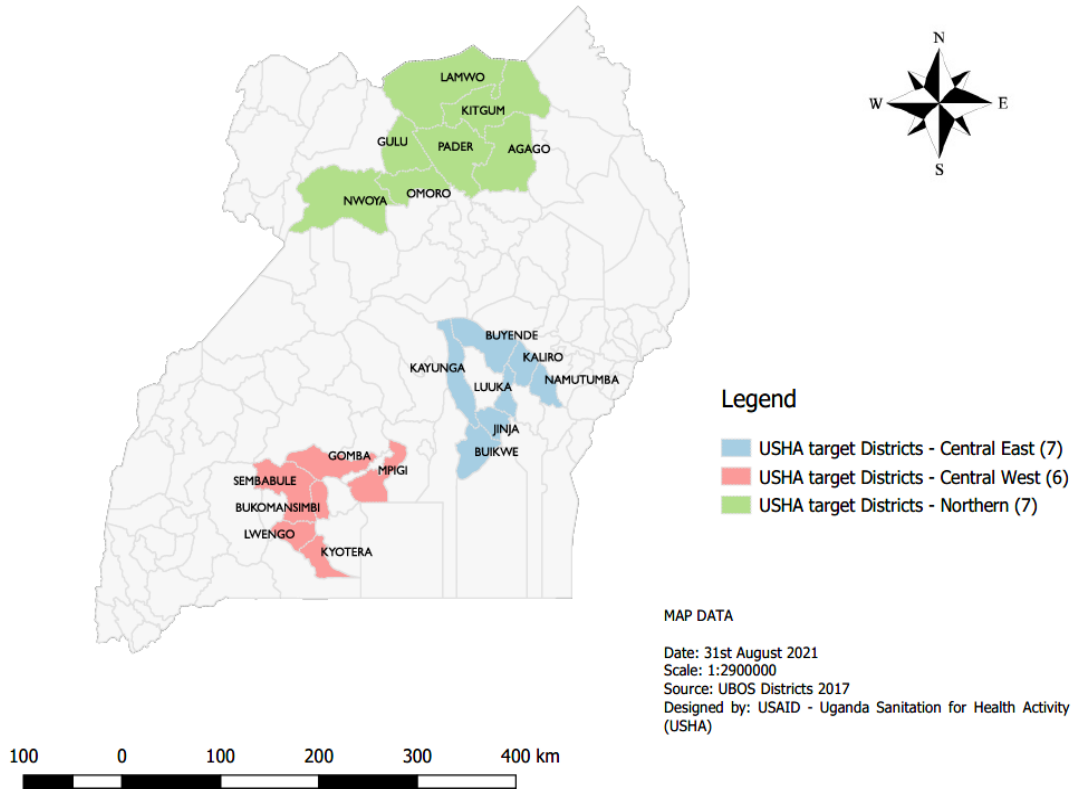
## **9.0 SUMMARY FINANCIAL MANAGEMENT REPORT**

Available upon request

# APPENDIX A: MAP OF USHA DISTRICTS BY CLUSTER BY END OF FY21



## USAID-UGANDA SANITATION FOR HEALTH ACTIVITY IMPLEMENTATION DISTRICTS





## APPENDIX B: SUMMARY OF PUBLIC-FACING COMMUNICATIONS MATERIALS PRODUCED IN FY21

	#	Type	Output	Product Title	Status
Q1	1	Success story	Output 2	Empowering 10-year-old handwashing Ambassador	Approved
	2	Success Story	Output 2	Celebrating an Early Adopter Household from Northern Uganda	Approved
	3	Blog	Output 1	Developing a Market-Based Approach to Sanitation in Uganda	Approved
	4	Success Story	Output 2	Restoring hope with soap. Promoting good hand hygiene across Uganda's rural villages.	Approved
	5	Learning Brief	Output 3	Strengthening District-Level WASH Governance: Critical to Sustainable Service Delivery	USAID comments received in Q4. Under revision
Q2	6	Success Story	Output 1	Private Sector Service Delivery	Approved
	7	Presentation	Output 1	Solutions to increase affordability of piped water services among low-income households: case of umbrella authorities	Presented at the Uganda Water and Environment Week 2021
	8	Presentation	Output 1	Increasing access to safely managed faecal sludge services in underserved urban areas of Uganda through private sector partnerships	Presented at the Uganda Water and Environment Week 2021
Q3	9	Success Story	Output 2	Leading a community to Open Defecation Free status	Approved
	10	Success Story	Output 2	Taking Sanitation into their own hands	Approved
	11	Learning Brief	Output 1	Early Impact and Learning from USHA's market-based sanitation pilot in Uganda (Update – May 2021)	Approved
	12	Learning Brief	Output 1	Water Tariff Simulation – May 2021	Approved
	13	Learning brief	Output 2	A journey to Achieving WASH friendly schools	<i>Submitted with the Annual report</i>
	14	Newsletter	Output 1	UWASNET national newsletter on Market-based sanitation	Approved
	15	Internship Profile	Operations	Cohort II Interns' profile	Approved
	16	Learning brief	Output 3	Good governance I	With USHA for revisions
	17	Learning brief	Output 3	Good governance II	<i>Submitted with the Annual report</i>
	18	Presentation	Output 2	Menstrual Hygiene Management in Schools	Presented at USAID IP-Gender Conference
	19	Presentation	Output 1	Solutions to increase affordability of piped water services among low-income households: case of umbrella authorities	Presented at UWASNET national meeting
	20	Newspaper Article	Output 2	Exemplary leadership fighting Open Defecation	Approved
	21	Newspaper Article	Output 2	100 villages in Lamwo vie for ODF status	Approved
	22	Newspaper Article	Output 2	Naming and Shaming fighting Open Defecation	Approved

#	Type	Output	Product Title	Status	
	23	Infographic	Output 1	Early Impact and Learning from USHA's market-based sanitation pilot in Uganda (Update – May 2021)	Approved
Q4	24	Blog	Output 3	Governance – The heart of the Matter	Submitted with the Annual report
	25	Blog	Output 3	Leadership: A crucial 'piece' to accelerate achievement of proper sanitation and hygiene in Uganda	Submitted with the Annual report
	26	Learning Brief	Output 3	Using Artificial Intelligence and Machine Learning to Determine Sanitation Service Levels Using Images of Toilets: a Proof of Concept	Submitted with the Annual report
	27	Success Story	Output 2	Beating the Odds of Open Defecation for a Healthier Family and a Happier Life	Submitted with the Annual report
	28	Conference Presentation	Output 1	Occupational Safety of Pit and Septic Tank Emptiers	Presented at the Water Engineering Development Centre (WEDC) conference
	29	Conference Presentation	Output 1	Building Viability of FSMEs	Presented at the WEDEC conference
	30	Conference Presentation	Technology	Using an AI/ML image analysis tools to identify characteristics of pits latrines	Presented at the WEDEC conference
	31	Conference Presentation	Technology	Scaling Inclusive Public and Private Enterprises in Fecal Sludge Management: A Global Perspective	Presented at the FSM6 Conference
	32	Video Clips	Cross-cutting	short videos - from an experiential tour with WEMNET journalists	Approved
	33	Newspaper article	Output 2	Districts Adopt USHA School Toilets as a Standard Model	Approved
	34	Television Script/Clip	Output 1	Hygiene and Sanitation Talk in Kayunga	Approved
	35	Newspaper article	Output 2	Improved Sanitation Improves Girl Child retention in Schools	Approved
	36	Newspaper article	Output 1	How Improved latrines are helping keep girls in schools	Approved
	37	Television Script/Clip	Output 2	Sanitation and Environmental Health Management in the Kisozi village	Approved
	38	Newspaper article	Output 2	Luuka on the path to Open Defecation Free Status	Approved
	39	Newspaper article	Output 2	Households rush to build Improved toilets	Approved
	40	Newspaper article	Output 2	Improved Sanitation for the Girl Child	Approved

# **APPENDIX C: ENVIRONMENTAL MITIGATION AND MONITORING REPORT (EMMR)**



**USAID**  
FROM THE AMERICAN PEOPLE

# UGANDA SANITATION FOR HEALTH ACTIVITY (USHA)

## Environmental Mitigation and Monitoring Report (EMMR)

FY2021: | October 2020–30 September 2021



### October 2021

This publication was produced for review by the United States Agency for International Development. It was prepared by Tetra Tech.

## ACTIVITY INFORMATION

<b>Activity Name:</b>	USAID Uganda Sanitation for Health Activity
<b>Project:</b>	Contemporary and integrated water, sanitation and hygiene (WASH) interventions at community and household levels.
<b>Start Date and End Date:</b>	January 29, 2018–January 28, 2023
<b>Name of Prime Implementing Partner:</b>	Tetra Tech ARD
<b>Contract Number:</b>	72061718C0003
<b>Name of major Subcontractors:</b>	SNV USA Sanitation Solutions Group (SSG) BRAC Uganda FSG
<b>Major Counterpart Organizations:</b>	Ministry of Health, Ministry of Water and Environment, Ministry of Education, Rotary International, Uganda Sanitation Fund, National Sanitation Working Group
<b>Geographic Coverage (districts):</b>	In FY21, active in 21 districts and supports fecal sludge management (FSM) services in the Municipal Councils of Jinja, Njeru, Masaka, and Gulu  <u><b>Central East Cluster</b></u> 1) Buikwe 2) Kaliro 3) Jinja 4) Buyende 5) Namutumba 6) Kayunga 7) Luuka <u><b>Central West Cluster</b></u> 8) Mpigi 9) Kyotera 10) Lwengo 11) Bukomansimbi 12) Gomba 13) Ssembabule 14) Masaka (only Output 1) <u><b>Northern Cluster</b></u> 8) Gulu 9) Agago 10) Kitgum 11) Lamwo 12) Omoro 13) Pader 14) Nwoya
<b>Reporting Period:</b>	October 01, 2020–September 30, 2021

# UGANDA SANITATION FOR HEALTH ACTIVITY

Environmental Mitigation and Monitoring Report (EMMR)  
FY2021: | October 2020 – 30 September 2021

OCTOBER 2021

Contract Number: 72061718C00003

Activity Start Date and End Date: January 29, 2018 to January 28, 2023

COR Name: Dr. Alfred Boyo

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## **DISCLAIMER**

The author's views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government



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# LIST OF ACRYONYMS

ADS	Automated Directives System
AWASO	Alliance Water Solutions
EMMP	Environmental Mitigation and Monitoring Plan
EMMR	Environmental Mitigation and Monitoring Report
FS	Fecal sludge
FSM	Fecal sludge management
FSME	Fecal sludge management entrepreneurs
FSTP	Fecal sludge treatment plant
IEE	Initial Environmental Examination
MBSIA	Market Based Sanitation Implementation Approach
MOH	Ministry of Health
MWE	Ministry of Water and Environment
O&M	Operation and Maintenance
PPE	Personal Protective Equipment
QA/QC	Quality Assessment/Quality Assurance
SATO	Safe Toilet
UA	Umbrella Authority of Water and Sanitation
USHA	Uganda Sanitation for Health Activity
USAID	United States Agency for International Development
WASH	Water Sanitation and Hygiene
WQAP	Water Quality Assurance Plan

# I.0 ENVIRONMENTAL MITIGATION AND MONITORING REPORT (EMMR)

## PROJECT/ACTIVITY DATA

<b>Project/Activity Name:</b>	Uganda Sanitation for Health Activity
<b>Geographic Location(s) (Country/Region):</b>	Uganda
<b>Implementation Start/End:</b>	2018/2023
<b>Contract/Award Number:</b>	72061718C00003
<b>Implementing Partner(s):</b>	Tetra Tech, SNV-USA, SSG, FSG, BRAC
<b>Tracking ID/link:</b>	
<b>Tracking ID/link of Related IEE:</b>	Infrastructure Development Activities: Economic Growth (DO1) and Investing in People (DO3).
<b>Tracking ID/link of Other, Related Analyses:</b>	

## ORGANIZATIONAL/ADMINISTRATIVE DATA

<b>Implementing Operating Unit(s): (e.g. Mission or Bureau or Office)</b>	Uganda/ East Africa
<b>Lead BEO Bureau:</b>	
<b>Prepared by:</b>	Tetra Tech
<b>Date Prepared:</b>	Oct 2021
<b>Submitted by:</b>	Tetra Tech
<b>Date Submitted:</b>	29 Oct 2021

## ENVIRONMENTAL COMPLIANCE REVIEW DATA

<b>Analysis Type:</b>	EMMP
<b>Additional Analyses/Reporting Required:</b>	EMMR

### I.1 PURPOSE

Environmental Mitigation and Monitoring Reports (EMMRs) are required for projects funded by the United States Agency for International Development (USAID) when the 22 CFR 216 documentation governing the project impose conditions on at least one project/activity component. EMMRs ensure that the Automated Directives System (ADS) 204 requirements for reporting on environmental compliance are met. EMMRs are used to report on the status of mitigation and monitoring efforts in accordance with Environmental Mitigation and Monitoring Plan (EMMP) requirements over the preceding project implementation period.

EMMRs, developed by the Implementing Partner (IP), are an important tool in adaptive management and are used by Mission, Regional, and Bureau Environmental Officers to ensure USAID interventions are implemented in compliance with 22 CFR 216 and mitigation measures are adequate.

## I.2 SCOPE

The following EMMR documents the status of each required mitigation measure as stipulated in the USAID Uganda Sanitation for Health Activity (USHA) EMMP. It provides a succinct update on progress regarding the implementation and monitoring of mitigation measures implemented as detailed in the EMMP. It summarizes field monitoring, issues encountered, actions taken to resolve identified issues, outstanding issues, and lessons learned.

This EMMR includes the following:

1. A succinct narrative description of the EMMP implementation and monitoring system, updates to the system, staff or beneficiary trainings conducted on environmental compliance, lessons learned, and other environmental compliance reporting details;
2. EMMR table summarizing the status of mitigation measures, any outstanding issues relating to required conditions, and general remarks; and
3. Attachments such as photos of mitigation measures and activities, waste disposal logs, water quality data, etc.

## I.3 USAID REVIEW OF EMMR

**Approval:**

[NAME], Activity Manager/A/COR [required]	Date
---	------

Clearance:

[NAME], Mission Environmental Officer [as appropriate]	Date
--	------

Clearance:

[NAME], Regional Environmental Advisor [as appropriate]	Date
---	------

**Concurrence:**

[NAME], _____ Bureau Environmental Officer [as required]	Date
--	------

## 2.0 PROJECT/ACTIVITY SUMMARY

The Uganda Sanitation for Health Activity (USHA) is financed by the United States Agency for International Development (USAID) in Uganda with the goal of increasing the number of people with access to improved and sustainable water, sanitation, and hygiene (WASH) services, ultimately contributing to improved health and nutrition status in focus areas and population groups in 21 districts in Uganda.

USHA works in close coordination with complementary development programs both within USAID and the Ugandan WASH sector. It aligns with the Government of Uganda's development priorities and the needs and wishes of beneficiaries. Through a series of contemporary and integrated WASH interventions at the district, community, and household levels, USHA focuses on achieving three interdependent Activity Outputs:

1. Increased household access to sanitation and water services;
2. Key hygiene behaviors at home, school, and health facilities adopted and expanded; and
3. Strengthened district water and sanitation governance for sustainable services.

Per the Mission's Initial Environmental Examination (IEE), USHA activities fall under two threshold decisions in terms of environmental risk: categorical exclusion and negative determination with conditions. Activities with a negative determination with conditions correspond with Activity Outputs 1 and 2. Output 1 focuses on strengthening the private sector to extend sustainable water and sanitation services to households. Services include toilet upgrades, construction of new toilets, pit emptying, transportation of fecal sludge to designated facilities, and treatment of fecal sludge. A comparatively smaller component of Output 1 increases access to sustainable water services, focusing primarily on improving operation and maintenance of existing systems, but also the construction of new water points through a partnership with Rotary International and the upgrading and extension of piped networks managed by two Umbrellas for Water and Sanitation.

Output 2 targets behaviors that affect access to improved WASH services in households, schools and health centers. Work at institutions will require small-scale infrastructure: rehabilitation or new construction of toilet blocks with menstrual hygiene management and handwashing facilities, installation or rehabilitation of water points and small-scale solid waste management facilities like incinerators. This report presents progress on the implementation of the mitigation measures for activities with a "negative determination with conditions".

With the onset of COVID-19 in March 2020 and requirement by Ministry of Health (MOH) to observe standard operating procedures (SOPs) to reduce its transmission, USHA adapted its implementation approach to incorporate prevention measures. Field activities are carried out while observing the guidance provided by the MOH to keep staff and their families safe such as wearing of masks, encouraging physical distancing of and frequent use of hand sanitizer.

## 3.0 ENVIRONMENTAL COMPLIANCE MONITORING AND REPORTING

USHA activities with a “negative determination with conditions” IEE threshold decision include: construction and rehabilitations of water systems, latrine construction, rehabilitation and upgrades, Fecal Sludge Management (FSM), and institutional WASH in schools and health facilities. These are detailed in Table I.

**Table I. USHA Activities with a Negative Determination with Conditions IEE Threshold Decision**

USHA Outputs	Activity	Task	IEE Threshold Decision
<b>Output 1: Increase Household Access to Sanitation and Water Services</b>			
1.1 Increase access to and improve sanitation products and services and 1.2 Develop new management models for improved water supply and sanitation services	Construction and rehabilitations of water systems	Borehole or piped water scheme construction, rehabilitation, or extension	Negative determination with conditions or Positive Determination depending on scale
	Latrine construction, rehabilitation and upgrades	Minor latrine rehabilitations and upgrades by households, including installation of Safe Toilet (SATO) products	Negative determination with conditions
		New latrine construction and rehabilitations	
	Fecal Sludge Management	Latrine emptying	Negative determination with conditions
Retrofit of decentralized fecal sludge treatment facilities		Negative determination with conditions or Positive Determination depending on scale	
<b>Output 2: Expand adoption of Key Hygiene behaviors at home, school and health facilities</b>			
2.3 Improve school WASH behaviors and management and 2.4 Integrate promotion of essential WASH actions in health facilities	Institutional WASH in schools and health care facilities	New latrine construction, rehabilitation, upgrades. Installation of hand washing and solid waste management facilities like incinerators.	Negative determination with conditions

### 3.1 CONSTRUCTION AND REHABILITATIONS OF WATER SYSTEMS

In line with the IEE, USHA drafted and submitted a Water Quality Assurance Plan (WQAP) to USAID for review and approval on 7<sup>th</sup> October 2020. This has gone through multiple rounds of comments and revisions and approval is pending of most recent version submitted in early October 2021. In FY22, USHA shall disseminate the approved WQAP to the Umbrellas of Water and Sanitation (UAs) Water Quality Analysts and select District Water Officers to ensure understanding and alignment on the required standards for drinking water prior to supply to communities. All water infrastructure interventions funded by USAID through USHA and Rotary International will adhere to this plan.

USHA received concurrence from USAID and Ministry of Water and Environment (MWE) to subcontract directly with the UAs including Central (Wakiso) and Eastern (Mbale) for six water supply



scheme (WSS) network expansions. IDIQ contracts have been signed with both UAs and three scheme specific task orders have been fully executed for implementation. Works for all task orders shall be substantially complete by the end of Q4 FY 22. Scheme specific details for construction are presented in Table below.

**Table 2. Specific interventions across the targeted water schemes**

SN	Targeted WSS	UA within which the WSS are located	Type of Intervention
1	Namagera WSS	Eastern Umbrella of Water and Sanitation	Upgrade 10.8Km of existing network, lay 3.7Km of pipes to reach the unserved areas and increase the number of connections by 300.
2	Irundu WSS		Upgrade 5Km of existing network, lay 8.8Km of pipes to reach the unserved areas and increase the number of connections by 200.
3	Namwiwa WSS		The detailed engineering design is underway. Expected works are similar to Irundu WSS.
4	Kamengo WSS	Central Umbrella of Water and Sanitation	Upgrade 6.5Km of existing network, lay 1.8Km of pipes to reach the unserved areas and increase the number of connections by 200.
5	Matale WSS		Exact interventions yet to be determined. However, engineering design reports indicates a need for 7.8Km of pipe upgrade in existing network, and 17.9Km of pipes to reach the unserved areas and potential to increase connections by 400.
6	Nkoni WSS		The detailed engineering design is underway. Expected works include system upgrades and expansion to new areas.

**Test Pumping:** Other than Kamengo WSS, all the six WSSs are served by production boreholes. In November 2020 and May 2021, these were pump tested to assess the maximum quantity of water that can be safely abstracted during long term pumping to inform environmentally sound sizing of the submersible pumps. The wells are currently being used their respective schemes, so regular water quality testing and reporting is done by the UAs. There was no need to again test water quality as part of this assignment.



**Figure 1. Retrieving the uPVC OD63mm riser pipes prior to test pumping (field photo from Nkoni WSS)**



**Figure 2. Yield measurement. The abstracted water was disposed away from the borehole to avoid recirculation.**

**Detailed Engineering Design:** For the six WSSs, the resultant water demand is compared to the available supply from 16 hours of pumping the production wells as recommended by the MWE Design Manual. Incases where the supply is deficient, recommendations are made for augmenting production

with the standby boreholes that are yet to be developed. USHA has made recommendations for when the developments should be made. Only two sites (Nkoni and Kamengo WSS) required immediate attention and the MWE has taken over motorization of second borehole to serve Nkoni WSS and improvements of the spring source in Kamengo to enable USHA to expand the network.

**Water supply facilities financed and constructed by Rotary International:** FY21 saw a deepening of the partnership with RI through the joint execution of activities related to provision of water supply at schools and HCF through borehole drilling in handpump installation, and the installation of rainwater harvesting tanks (RWHT) in water stressed areas. Environmental considerations at the contracting and supervision stages included, a) contracting only drilling firms that are vetted and shortlisted by the MWE; b) assigning an independent hydrogeologist to each drilling contractor to assist with site sitting and monitoring works during drilling; c) frequent visits of the drilling sites by a RI field engineer. Water samples from each borehole are taken and analyzed at an MWE accredited lab before handpumps are installed and the water points are commissioned. Before and after borehole installation, RI collaborated with the District Water Office to organize trainings of community water management committees at each borehole. Members includes representatives from the school and wider community. Similarly, members of the HCF management committees are trained in the operations and maintenance of the RWHTs. All boreholes and rainwater tanks are fenced (boreholes by the community and RHTs, by the contractor) before they are commissioned. Below is a summary of the water point constructions completed in FY21.

- Installed boreholes at 27 schools, serving the school communities and 8,100 people
- Installed rainwater harvesting tanks at 18 schools and three HCF in water scarce areas
- Drilled and installed three production boreholes
- Served one school by extending water from the NWSC pipeline

**Community Meetings:** USHA worked with the respective UAs to train communities in their roles and responsibilities for Operation and Maintenance (O&M), introduce pro-poor measures (pro-poor block tariff, reduced connection costs) to enhance affordability for the low volume users and increase access to all. This year, pre-construction meetings were held in Namagera WSS and the others shall be completed by end of Q2 FY22.



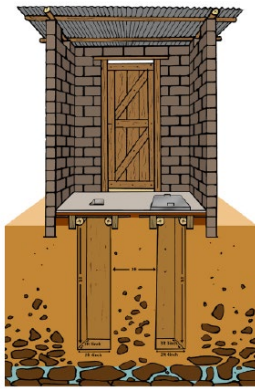
**Figure 3. Community meetings ongoing for Namagera WSS**

### **3.2 LATRINE CONSTRUCTION, REHABILITATION AND UPGRADES**

USHA continues to implement a Market Based Sanitation Implementation Approach (MBSIA) that blends the traditional community sanitation promotional approaches (i.e., Community Led Total Sanitation) with private sector service delivery and supply chain to support households to invest in basic sanitation. USHA uses MBSIA to promote access to improved sanitation through value chain actors including masons, pit diggers, hardware shops and sanitation promoters. The four sanitation products offered as part of MBSIA include new latrine construction with a washable interface, latrine upgrades with sanplats

and/or SATO pans. These started in FY19 and are still being implemented as reported in the previous EMMRs with only the addition of COVID-19 standard operation procedures.

**Difficult Soil conditions (Household Toilets):** A study was conducted to inform design of latrine/toilet technologies suitable for areas with challenging ground conditions (rocky soils where underground digging may be difficult, areas with high groundwater table, flood prone areas and areas with loose soil formations) across the CE, CW and NC. Four types of latrine products were recommended and a technical guide that provides guidance to community masons is under development. The products include: (a) alternating unlined pits using a pole interface, (b) alternating unlined pits using a pre-cast concrete slab interface, (c) alternating lined pits with a pole interface and (d) alternating lined pits with a pre-cast concrete slab interface. Illustrations for the lined and unlined options are presented in Figures 4 and 5.



**Figure 4. Alternating unlined pits using a pole interface, or a pre-cast concrete slab interface for rocky soils**



**Figure 5. Alternating lined pits with a pole interface or a pre-cast concrete slab interface for high water table and areas with loose soil formation**

**Masons Trainings:** To ensure quality constructions, USHA trained additional masons from the three project clusters in the construction of sound latrines. In FY 21, 283 masons were trained, 146 from CE, 107 from CW and 30 from NC to make a total of 750 masons across all clusters to date. Each of these masons is given personal protective equipment (PPE) kit and molds to help in constructing appropriate and environmentally friendly latrine structures in the communities.





**Figure 6. Training of masons**

### **3.3 FECAL SLUDGE MANAGEMENT (FSM)**

USHA began supporting Fecal Sludge Management Entrepreneurs (FSMEs) in Q2 of FY 19 to offer safely managed emptying and disposal services. The supported FSMEs include Musoga Sewerage Services and Pet Pit in CW, Alliance Water Solutions (AWASO) and Ngeye Sanitation Services in CE and Gulu Cesspool Sanitation Services (GCSS) in the NC.

**Transportation/Emptying Equipment:** In FY21, having identified high operational costs related to transportation as a core challenge faced by FSMEs, USHA in partnership with Opportunity Bank developed a financing package which resulted in supporting both AWASO and Musoga Sewerage Services acquiring a flat-bed motor vehicle truck, and a 10,000-liter capacity cesspool truck respectively. USHA also supported a similar blended finance model with a commercial loan from Centenary Bank to facilitate GCSS to acquire an 8,800-liter capacity cesspool truck. USHA has supported installation of GPS trackers to monitor truck field operations to ensure that FS is safely removed from communities and transported to disposal sites.



**Figure 7. GCSS 8,800-liter truck**



**Figure 8. Musoga 10,000-liter Cesspool truck**

### 3.4 INSTITUTIONAL WASH IN SCHOOLS AND HEALTH FACILITIES

#### 3.4.1 CONSTRUCTION OF SCHOOL LATRINES

This year, USHA constructed 22 five-stance school latrines, 34 incinerators, and 35 group washing facilities in 35 schools, three six stance and one two stance latrine in four health care facilities in the Northern Cluster. Monthly site meetings to review progress and check compliance and adherence to the specifications in the drawings and bills of quantities were also conducted in collaboration with respective local governments (district and sub-county) USAID-QED Senior Engineer (Nick Synman), beneficiary schools, and host communities. USHA conducted O&M training of trainers for the key stakeholders including grantees, district and subcounty local leadership who will cascade these trainings down to the school level once they re-open.



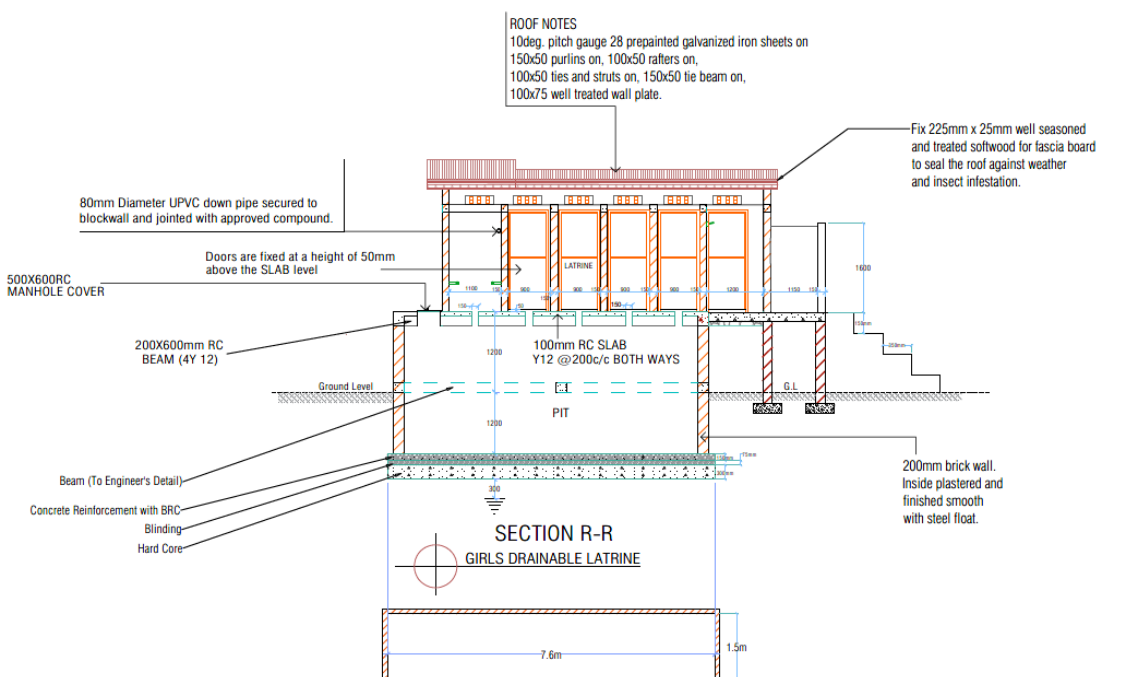
**Figure 9. Site meetings/Inspections**

**Environmental, Health and Safety Management on site:** USHA monitored and enforced all health and safety requirements among construction Subcontractors. Subcontractors submit a detailed health and safety plan before construction starts for implementation and monitoring (sample provided in Annex 1). Safeguards in these plans included hoarding off the site with provision of a temporary gate to reduce risks of accidents, providing a handwashing facility with water and soap at the entrance of the construction site to maintain the minimum SOPs as mitigation to spread/ contracting COVID-19. In addition, workers were provided with PPE as well as visitors to site, all sites are located least 30m from the nearest water source and application of the anti-termite treatment is done by professionals as per specification.





**Difficult Soil conditions (Schools):** High water table was encountered in Agago, Kitgum, Gulu, Pader and Nwoya districts during construction of sanitation facilities in select schools. USHA modified the five stance design to have a wider but shallower raised vault with appropriate pit bottom lining to avoid passage of water/waste through the pit walls/bottom.



**Figure 10. Raised vault design for five-stance drainable latrines in schools**

**Quality Control and Quality Assurance:** Several material tests were conducted to ascertain quality of materials prior to their use including:

- I. Slump test: This was carried out prior to any concrete work to ascertain the consistency of the mix and detect any variations in the uniformity of the mixes prescribed (1:2:4 for reinforced concrete and 1:3:6 for mass concrete). The slump was observed to be true for all tests as the general drop of concrete mass was even all around without disintegration.
- II. Checks on various items i.e., doors, incinerator covers, timber for roofing were done to ensure they qualify for construction as per the drawings and specification.
- III. Brick Water Absorption tests: These were conducted on the burnt bricks to ascertain quality prior to mass delivery on site.

- IV. Sand Silt Test: This test is carried out at least twice for a borrow pit. These tests were carried out occasionally to ensure that the quality of the sand being delivered to the sites is not compromised.

### 3.4.2 COVID-19 MAINSTREAMING INTO CONSTRUCTION

The MOH developed extensive guidance to different stakeholders on how to operate during the COVID-19 pandemic and worked with partners to design, produce, and distribute posters and messages for Village Health Team Members. In FY19, USHA produced messages promoting social distancing and handwashing to display at all the construction sites to remind all visitors to these locations of the recommended best practices to uphold which were used in FY 21 as well. All subcontractors procured and installed handwashing facilities and soap to be used by their workers and site visitors. Wearing masks is a best construction practice that is being reinforced by COVID-19 and social distancing is practiced in all meetings.



## 4.0 EMMR TABLE FOR USHA ACTIVITIES CATEGORIZED AS NEGATIVE DETERMINATION WITH CONDITIONS

Table 3. EMMR table for activities categorized as “Negative Determination With Conditions”

Project/Activity/ Sub-Activity	Mitigation Measure(s)	Summary Field Monitoring /Issues / Resolution (i.e. monitoring dates, observations, issues identified and resolved)	Outstanding Issues, Proposed Resolutions
Activity Category I: Latrine upgrades, construction and emptying			
Minor household latrine rehabilitation and upgrades, including installation of SATO products	<ul style="list-style-type: none"> <li>USHA will include a health and safety module in the training curriculum for masons, demonstrate the use of PPE found locally, and encourage masons to purchase and use PPE when installing SATO on existing latrines.</li> <li>Masons will be instructed how assess the structural soundness of latrines before embarking on work as guided by installation manual. During assessment, they will look for cracks in slab or walls, collapsing soil, and level of sludge in pit.</li> <li>As part of installation, masons will instruct Satopan users on operation and maintenance (O&amp;M) of the products and provide flyers with O&amp;M instructions to users.</li> </ul>	<ul style="list-style-type: none"> <li>Masons training curriculum included health and safety module; masons from 20 project districts received training.</li> <li>Masons were trained how to assess structural integrity prior to upgrading a latrine using a checklist developed to facilitate this process.</li> <li>SATO pan installations are routinely monitored through field visits and customer feedback sessions.</li> </ul>	For upgrades with saniplats that require molds normally provided by USHA central procurement system, interventions are being put in place to have these made in locations much closer to the communities. This will encourage sustainability.
New latrine construction and rehabilitation at households and institutions	<ul style="list-style-type: none"> <li>Promote household latrine designs that are appropriate to the soil conditions.</li> <li>Ensure proper siting of new latrine construction.</li> <li>For institutions, use standard latrine designs that are approved by the MOH and Ministry of Education and Sports.</li> <li>Devote adequate attention to identifying and addressing social barriers to using latrines.</li> <li>Properly decommission full or collapsing pit latrines. Do not leave pits open. Fill in unused capacity with rocks or soil.</li> </ul>	<ul style="list-style-type: none"> <li>MBSIA latrine products were designed based on site conditions and social data about household preferences.</li> <li>The masons technical guide provides guidelines on proper siting of latrines.</li> <li>Latrines, incinerators, and handwashing facilities designed according to MoES recommendations.</li> <li>Open bidding was used to establish a shortlist from which USHA normally obtains sub-contractors to build WASH infrastructure.</li> <li>Each subcontractor is mandated to develop a quality management plan to ensure health and</li> </ul>	

Project/Activity/ Sub-Activity	Mitigation Measure(s)	Summary Field Monitoring /Issues / Resolution (i.e. monitoring dates, observations, issues identified and resolved)	Outstanding Issues, Proposed Resolutions
	<ul style="list-style-type: none"> <li>At institutions, include training on toilet O&amp;M for staff to ensure facilities are open and used according to design specifications.</li> <li>Use registered and experienced contractors and include minimum safety standards to be followed during construction in the sub-contract.</li> <li>To the extent possible, construction at schools will occur during periods when the classes are not in session. When in session, construction sites will be cordoned off to limit risk of children wandering into the construction site.</li> </ul>	<p>safety during construction. Health and safety is also a costed item in the Bills of Quantities to allow subcontractors to plan for how this will be managed on site.</p> <ul style="list-style-type: none"> <li>During construction USHA construction supervisors are regularly on site to supervise the work and to prepare the required samples for laboratory testing.</li> <li>All of the constructions this year occurred during the lock down and hence did not interfere with school programs.</li> <li>During the COVID-19 era, all the activities progressed as guided by the MOH.</li> </ul>	
Slab fabrication and latrine construction	<ul style="list-style-type: none"> <li>Health and safety guidelines are included in training curriculum for masons and pit diggers.</li> <li>The masons technical guide booklet also has sections about environmental protection as well as health and safety guidelines for the whole latrine construction and quality control process.</li> </ul>	<ul style="list-style-type: none"> <li>USHA is regularly monitoring the activities of masons in communities and providing additional refresher trainings where necessary. Also identifies areas not well served by existing masons and conducts new trainings.</li> </ul>	Train masons in the construction of facilities suitable for the difficult soil conditions
<b>Activity Category 2: Fecal sludge management</b>			
Pit emptying, transport and disposal	<ul style="list-style-type: none"> <li>Offer safety training to FSM service providers supported by USHA</li> <li>Manual pit emptying will only be promoted with strict protocols in place.</li> <li>Operators will be required to dump sludge at designated FS treatment facilities in consultation / with permission from District Environmental Officers.</li> <li>All operators supported by USHA must possess appropriate PPE.</li> </ul>	USHA identified and trained FSMEs that are directly working with the project to increase access to safely managed emptying services. FSMEs signed commitment letters and are regularly monitored for compliance.	Continue to monitor the GPS trackers to ensure disposal at the right sites as USHA winds down support to the FSMEs
Rehabilitation of small-scale decentralized fecal sludge treatment facilities	<ul style="list-style-type: none"> <li>Environmental screening completed before proceeding with rehabilitation. Environmental Impact Assessment (EIA) may be required depending on scale of intervention.</li> </ul>	The efforts towards correcting the defects at the Kitgum Municipal council Fecal Sludge Treatment plant were put to a stop due to limited funding and time on the project to fully execute the activities.	Feasibility study and design of the modifications to be conducted prior to implementation

Project/Activity/ Sub-Activity	Mitigation Measure(s)	Summary Field Monitoring /Issues / Resolution (i.e. monitoring dates, observations, issues identified and resolved)	Outstanding Issues, Proposed Resolutions
	<ul style="list-style-type: none"> <li>• Training on proper O&amp;M of FSM facility depending on the design of the treatment system.</li> <li>• Monitor the results of quarterly effluent testing done by the plant operators for compliance with national discharge standards.</li> </ul>	<p>USHA this year started working with the National Water and Sewerage Corporation in Jinja to modify the inlet to the Wastewater Treatment Plant to allow for hygienic disposal of gulper sludge into the plant and reduction of the sediment load prior to joining the wastewater treatment ponds.</p>	
<b>Activity Category 3: Construction and rehabilitation of water systems</b>			
<p>Borehole or piped water scheme construction, rehabilitation, or extension</p>	<ul style="list-style-type: none"> <li>• Environmental screening completed before proceeding with piped water scheme construction/ rehabilitation/ extension. EIA may be required depending on scale of intervention.</li> <li>• All water supply activities will be conducted in a manner consistent with the good design and implementation practices described in Chapter 16: Water Supply and Sanitation. USAID Standard Conditions for Small-Scale Water and Wastewater Activities will be followed.</li> <li>• Qualified contracting companies with drilling permits and licensed hydrologists will be used.</li> <li>• Environmental screening forms completed before and after construction at each site.</li> <li>• Designs will be verified and approved in collaboration with engineers from the regional UAs or the Technical Support Units, and Mission Engineer.</li> <li>• Conduct full water quality analysis before commissioning a water source. Also advise management authority (UAs) to routinely assess the water quality.</li> <li>• For each water point, USHA will ensure that strong management structures are put in place.</li> <li>• USHA to institute an oversight QA/QC at all sites to ensure contractors follow the terms of contracts including standard contract language.</li> </ul>	<ul style="list-style-type: none"> <li>• USHA developed a WQAP currently under review. This WQAP will guide all water quality tracking and related issues.</li> <li>• For drilling and pump testing only qualified and licensed drilling firms and individuals have been sub-contracted. The sub-contractors were selected from MWE's prequalified list.</li> <li>• For proper coordination and harmonization of interventions, USHA is also working closely with UAs responsible for managing and operating these water sources.</li> <li>• Rotary/USHA contracted only drilling firms that are vetted and shortlisted by the MWE.</li> <li>• A hydrogeologist is attached to each drilling contractor to assist with site sitting and monitoring works during drilling.</li> <li>• A RI field engineer visits drilling sites multiple times during borehole drilling and installation</li> <li>• Water samples are taken and analyzed before handpumps are installed and boreholes are commissioned.</li> <li>• Organization an training of community water management committees at each borehole. This includes representatives from the school and wider community.</li> </ul>	<p>Waiting for the approval of the WQAP for implementation.</p>

# ANNEX I: TYPICAL HEALTH AND SAFETY PLAN DRAWN PRIOR TO THE START OF CONSTRUCTION AT ALL SITES

Table A-1. Site-specific health and safety plan for Lamwo district (phase 3)

<b>Sub-contractor Name: NOVELTY CONSULT AND ENGINEERING LIMITED</b>	<b>Date: 06<sup>th</sup> April, 2021</b>
<b>District: LAMWO</b>	<b>Sub County: LOKUNG</b>
<b>Site Name: Ngomoromo Primary School</b>	<b>Village: Ngomoromo</b>

SN	Issue Identified	Mitigation Measure	Monitoring Indicator(s)	Monitoring and Reporting Frequency	Responsible Parties
1	Work related personnel injuries at site	Provision of PPE to all workers	All workers using PPEs at all times on site	Monthly	Novelty
		All personnel adequately trained on safety procedure of executing works	Workers adopting safe working method	Monthly	Novelty
		Provision of First Aid Kits/Boxes	Presence of well-equipped first aid kit	Monthly	Novelty
		Maintaining safe and healthy working environment	Tidy site at all times	Monthly	Novelty
2	Road accidents while transporting material	Keeping our trucks in good working condition	Records of vehicle inspection and repairs where applicable	Monthly	Novelty
		Hiring drivers with valid driving licenses and training our drivers to follow traffic laws	Number of drivers trained. Poor road usage cases recorded against drivers	Monthly	Novelty
3	Risks resulting from injuries due to excavated pits pupils and stakeholders accessing site including pupils	Hoarding of site and keeping all deep/manholes covered	State of site hoarding	Monthly	Novelty
		Clearly marking out dangerous areas within site	Number of dangerous areas marked out	Monthly	Novelty
		Providing reserve PPE for visitors accessing site	Availability of PPE at site reserved for Visitors	Monthly	Novelty
		HSE brief to visitors accessing site	Visitors' health talk at every site visit	Monthly	Novelty
4	Communicable diseases amongst workers and community around site	Provision of safe drinking water to workers	Availability of safe drinking water at site all the times	Monthly	Novelty
		Sensitization of workers and providing messages on HIV / STI around the site.	Workers' Awareness on HIV / STI	To be undertaken by USHA	USHA / Novelty
		Ensuring hygienic cooking place and	Cleanliness of cooking area and utensils	Monthly	Novelty

SN	Issue Identified	Mitigation Measure	Monitoring Indicator(s)	Monitoring and Reporting Frequency	Responsible Parties
		balanced diet to workers			
		Hygienic accommodation for workers	Cleanliness of sleeping area	Monthly	Novelty
5	Spread of COVID-19 pandemic	Limiting number of workers at site at any single point to facilitate social distancing	A maximum of 10 workers at site at any given moment, Work Rota at the site showing the workers expected at site on particular days.	Monthly	Novelty
		Provision of Handwashing facility with soap at site	Presence of handwashing facility with soap	Monthly	Novelty
		Continuous sensitization of workers on COVID-19, importance of adhering to SOPs from MOH such as hand washing, use of face masks, etc.	Workers informed about all aspects of COVID-19	Monthly	Novelty
		Not allowing workers with COVID related signs at work by monitoring temperature of workers each morning among others.	Checking all workers for COVID-19 related signs and symptoms	Monthly	Novelty
		Recording names and contacts of anyone visiting the site and only allowing essential visitors inside hoarded site area	No presence of idlers at site	Monthly	Novelty

### Health and Safety Team contact information in case of emergency

Name	Title	Mobile Number
Okot Robert Luwum	Site Supervisor / HSE Officer	+256 (0) 777 004817 and +256 (0) 755 994865
Opio Raymond	Site Supervisor / HSE Officer	+256 (0) 773 678834 and +256 (0) 774 627474

### Phone Numbers of the nearest police, medical and fire departments

Institution	Contact Person	Contact Number	Designation
Ngomoromo Health Centre II	Amaro Vicky	+256 (0) 773 478299	In-charge
Ngomoromo Police Station	S.P Komakech	+256 (0) 773 503927 and +256 (0) 393 239747	Officer in Charge (OC)



**Figure A-1. Map showing Ngomoromo Primary School and location of nearest emergency facilities and**





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