Discussion paper

Are national water and sanitation objectives being achieved on the ground?

A review of service delivery, planning monitoring & evaluation in Tororo and Wakiso districts

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Table of contents

Acronyms....3
1. Introduction....4
1.1 The Water and Sanitation Sector in Uganda....4
1.2 Study Objectives....4
1.3 Contents and Methodology....5
2. Overview of Sector Reforms....5
2.1 Policy and Legal Framework....5
2.2 The Rural WSS Investment and Operational Plans....6
2.3 Sector Financing....6
2.4 Improved Coordination through a Sector Wide Approach....7
2.5 Emerging Concerns....6
3. Are Local Governments Contributing toward the Achievement of National WSS Sector Goals? The case of Tororo and Wakiso Districts....8
3.1 Reported Safe water coverage....8
3.2 Data Problems....8
3.3 Analysing the Equity of service delivery within Districts....9
3.4 Sustainability of water facilities....13
3.5 Equity and Sustainability of Sanitation Interventions....18
3.6 Conclusions on Equity and Sustainability....19
4. From Inequitable, Inefficient Decisions to Targeted Planning and Budgeting for Water and Sanitation Interventions in Districts and Subcounties....20
4.1 District planning systems and guidelines....20
4.2 Reducing Political Capture through Introduction of Planning Tools for Equity 21
4.3 From top down to bottom up technology choices....23
4.4 Reducing Community Participation Fatigue....23
4.5 Little of no allocation for Operation and Maintenance....24
4.6 Low Sanitation Priority....24
5. Towards coordinated and focused monitoring and evaluation at the district level 26
5.1 M & E Guidelines and Processes in Local Governments....26
5.2 Starting to Measuring and Monitor the Relative Equity of WSS services....27
5.3 Measuring and Monitoring Sustainability....27
5.4 Measuring and Monitoring Sanitation Performance....28
5.5 Systems Staffing and capacity issues in Monitoring and Evaluation....28
5.6 Improved accountability and managerial decisions....29

Discussion paper

6. Aligning Local Incentives with Central Objectives through Local Government Performance Assessment 29
6.1 District Performance Assessment in Uganda 29
6.2 The national performance measurement framework 30
6.3 Balanced Scorecards in the Rural WSS 30
7. Conclusion 32
Annex 1: Wakiso District Equity Data 33
Annex 2: Tororo Equity Data 42
Annex 3: Sustainability Snapshot 48
Annex 4: Summary of Focus Group Discussions and Meetings at district, subcounty and village level in Wakiso and Tororo 49
Annex 5: Bibliography 52

Acronyms

CBO	Community Based Organisation
DWD	Directorate of Water Development
DWO	District Water Office
EDI	Equity in Distribution Indicator
GIS	Global Information System
HIPC	Highly Indebted Poor Country
LGBFP	Local Government Budget Framework Paper
LGDP	Local Government Development Programme
M&E	Monitoring and Evaluation
MOU	Memorandum of Understanding
MDG	Millennium Development Goal
MoFPED	Ministry of Finance, Planning and Economic Development
NGO	Non-Governmental Organisation
NWP	National Water Policy
O&M	Operation and Maintenance
ODI	Overseas Development Institute
PAF	Poverty Action Fund
PEAP	Poverty Eradication Action Plan
PDC	Parish Development Committees
PRSP	Poverty Reduction Strategy Paper
RUWASA	Rural Water and Sanitation Programme
RWS	Rural Water and Sanitation
s/c	subcounty
SSS	Sustainability Snapshot
UNICEF	United Nations Children's Fund
UWASNET	Uganda Water and Sanitation Network
WES	Water and Environmental Sanitation Programme
WPD	Water Point Density
WSC	Water and Sewerage Corporation
WSDCG	Water and Sanitation Development Conditional Grant
WSP	Water and Sanitation Programme
WSS	Water Supply and Sanitation
WUA	Water User Authority
WUG	Water User Group

1 Introduction

Poverty reduction strategy papers (PRSPs) have been drawn up by most countries in the sub-Saharan Africa region. The spotlight now rests on the successful implementation of the water supply and sanitation (WSS) elements included in the PRSPs, this is crucial for the national level strategies to achieve and improve the WSS Millennium Development Goals (MDGs).

This report on Uganda is part of a research programme supported by the UK Department for International Development. It aims to review progress of PRSP implementation, through the experience of the water and sanitation sector, and look at whether promises made in PRSPs are being delivered. Research has been carried out on different aspects of WSS financing and implementation in Zambia, Malawi and Uganda. It investigates how strategies in PRSPs for improved WSS are being converted into expenditure on WSS-related outputs. It also makes policy recommendations for enhancing the poverty-reducing impact of current WSS intervention. The research programme has been carried out jointly by Water Aid and the Overseas Development Institute (ODI) in close collaboration with the Water and Sanitation Programme, Africa.

1.1 The Water and Sanitation Sector in Uganda

In Uganda, Water and Sanitation is now a major governmental priority. The government has ambitious objectives to ensure that the entire population has access to safe water and sanitation by 2015, in line with the MDGs. Since 1997 the sector has developed a set of coherent policies and strategies with relatively clear institutional responsibilities and financing mechanisms. On the strength of these reforms, and the priority given by the sector to the poor, WSS has received a substantial increase in government funding. Considerable allocations have been made to the sector from its own governmental revenue, including from the Highly Indebted Poor Country (HIPC) debt relief fund, as well as from donors. The sector was highlighted within the Poverty Eradication Action Plan (PEAP}, Uganda's PRSP, and the sector's approach is fully integrated and consistent.

Now the challenge is to ensure that the strategies and reforms actually achieve their ultimate objectives. In the rural sub-sector, there is concern emerging over the performance of local government in their new role of planning for and actually delivering services. Despite reported national increases in safe water coverage from 39% in 1996 to 51% in 2003, there are still major questions hanging over value for money, equity and the sustainability of water and sanitation services being delivered in rural areas.

1.2 Study Objectives

This paper examines whether PRSP and national sector goals are actually being achieved on the ground by Ugandan local governments in rural areas. It assesses how improvements in planning, monitoring and evaluation in those local governments could potentially improve the efficiency and effectiveness of service delivery. Despite the sector's slogan of "*some for all, not all for some*" this paper presents strong evidence from an in-depth study in two districts' local governments, Tororo and Wakiso, that water services are being delivered increasingly disproportionately, whist sanitation and sustainability remain secondary concerns. The paper then examines the underlying factors and asks why WSS planning and monitoring and evaluation (M&E) systems contribute to this breakdown between policy objectives, planning and implementation.

It is crucial that the Government of Uganda now responds to this challenge. Already, frameworks for evaluating national sector performance and improving value for money are being developed. This paper supplements these efforts by showing that relatively simple tools for measuring equity and sustainability could be used to help decision-makers plan for equitable service delivery at all levels of local government, and improve the focus of M&E systems. An annual performance assessment of districts and lower local governments could help identify specific performance gaps, and align political and administrative incentives towards achieving sector goals.

1.3 Contents and Methodology

The second chapter of this report gives an overview of the legal and institutional reforms that have taken place in the Ugandan rural water and sanitation sector, based on a review of existing literature. Chapter 3 examines the performance of Wakiso and Tororo districts in the delivery of water and sanitation services, relative to national objectives, using techniques developed in Malawi by WaterAid[1] for assessing equity and sustainability. It also reveals the increasing inequity in service delivery. Chapters 4, 5 and 6 attempt to explain the underlying reasons for this, using information gained from stakeholder interviews and focus group discussions, and provide recommendations on how the situation can be improved.

1. Overview of sector reforms

Uganda is rightly considered a leader in the reform of the water and sanitation sector in Africa. Coherent legal, policy and financing frameworks have evolved which have included the development of strong coordination through a sector wide approach, decentralized service delivery models and the sector's full integration in the PRSP[2].

1.1 Policy and legal framework

The policy and legal framework for the water and sanitation sector was set out in the Water Statute 1995. It established the principles of community managed water and sanitation services, through the formation of water and sanitation committees and associations, as a means of ensuring the sustainability of facilities. However further reforms in the water and sanitation sector were necessitated by Uganda's decentralization policy which emerged in the mid 1990s. A new water policy was finalized in 1999, consistent with the decentralization policy, and it elaborated on the principles of the 'demand responsive' approach.

In the rural water and sanitation sub-sector, local governments were made responsible for the delivery of water and sanitation services, whilst the Directorate of Water Development (DWD) within the Ministry of Water, Lands and Environment was made responsible for the development of policies and guidelines. The construction of water and sanitation facilities was extended to the private sector, with local governments responsible for tendering and contracting firms to construct facilities.

Box 2.1: Legislating for user committees

The Water Statute 1995 provides for the formation of water and sanitation committees (WSC), water user groups (WUG), and water user associations (WUA) as community level organisations or institutions. They are to ensure proper management, and operation and maintenance (O&M) of the facilities as well as the sustainability of the facilities by the users. These committees are composed of elected representatives from the community, of which 50% is female.

The entire community is required to participate in discussions involving the siting of water sources and the choice of technology, taking into consideration gender concerns. The user communities are also responsible for preparing an O&M plan of the completed facility for at least 8 years, facilitated by district (DWO) and subcounty officials.

[1] WaterAid 2003

[2] In a major "benchmarking" review of progress towards incorporation of WSS in PRSPs in twelve African countries, carried out by WSP-Africa, Uganda showed the best performance in "poverty diagnostics, sector reform, monitoring and evaluation and sector financing".

The demand responsive approach involved WSS intervention being determined by community demand and supported by the local government, who influences and regulates this demand.

1.2 The rural WSS investment and operational plans

A rural water and sanitation reform process was initiated in 1999, to activate the principles of the new Water Policy. This culminated in the finalization of the rural water and sanitation sector investment plan, which set out the investment required to meet sector goals by 2015. The objective of the rural water and sanitation sector, as stated in this plan, is as follows:

> "*Sustainable safe water supply and sanitation facilities, based on management responsibility and ownership by users, within easy reach of the rural population by the year 2005 with an 80% - 90% effective use and functionality of facilities. Then eventually to...100% of the rural population by the year 2015."*

A five-year rural water and sanitation operational plan was completed in 2002. This plan details the operational models that guide implementation for the rural water and sanitation sub-sector and it outlines the amount of investment needed between 2002 and 2007. These are not only water and sanitation infrastructure requirements but also institutional requirements for delivery at the local government level, and programme support at central government level.

The investment plan and operational plan therefore sets out local governments' responsibilities for delivering a rural water supply (RWS) package that includes construction and installation of facilities required for continued use and sustainable operation (DWD 2002). All the associated software aspects are included, such as mobilization, community-based planning, household sanitation, gender awareness and capacity building at user level. The demand responsive approach is also elaborated upon: Water user committees should be established around every new water source, to raise capital contributions of between US$25 and US$90 depending on the choice of facilities, and they manage, operate and maintain their water systems. The establishment of a community based management system (CBMS) is of key importance. The plan also includes the formation of regional technical support units, as part of the DWD, to support district water offices in the delivery of services.

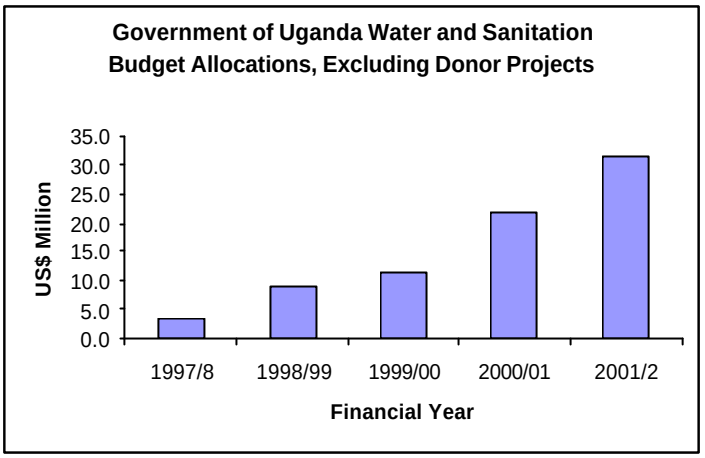
1.3 Sector financing

Meanwhile, as poverty reduction rose on the agenda, the water and sanitation sector began to emerge as a government priority, starting with the preparation of the 1997 Poverty Eradication Action Plan (PEAP). This recognition led to the sector receiving a significant boost in funding from the Highly Indebted Poor Country (HIPC) debt relief initiative in 1998 and being included in the Poverty Action Fund (PAF), the budgetary mechanism through which debt relief funds and other earmarked donor budget support are channeled. The national Uganda Participatory Poverty Assessment (PPA) was carried out in the late 1990s, as a precursor to revising the PEAP, and safe water emerged as one of the key priorities of the poor. This reinforced the prioritising of WSS in the 2000 PEAP, which also served as Uganda's PRSP. Subsequently, the Government of Uganda allocated over US$11 million extra to the sector from a second round of debt relief awarded through the enhanced HIPC initiative, more than double the government's own budget allocations, excluding donor projects. These funds were exclusively allocated to rural water and sanitation, and were channeled directly to local governments via earmarked conditional grants.

This, combined with further budgetary increases in subsequent financial years, meant that between 1997 and 2002 government budget allocations to the water and sanitation sector rose from just over US$3 million to US$31 million, or from 0.5% to 2.8% of the Ugandan government's budget. Much of this was allocated to rural water and sanitation. Government funding is now by far the largest contribution to the rural sub-sector, and this has encouraged many donors to consider moving towards budget support.

However it is important to note the low level of users financing the rural water and sanitation sector, beyond capital contributions to infrastructure, which, as we shall show is declining.

The government or NGOs almost universally funds WSS infrastructure and this is increasingly becoming an issue now that the substantial increases in government allocations to the WSS sector are unlikely to continue. Since 2003 the Ministry of Finance has been unwilling to increase overall government expenditure (inclusive of aid flows) due to concerns over the size of the budget deficit, and the perceived adverse effects of high aid contributions on private sector growth. This ultimately means that government budget allocations for the sector are unlikely to be sufficient to achieve the MDGs, unless greater user financing can be found, or efficiency is substantially increased.



1.4 Improved coordination through a sector wide approach

The combination of a coherent reform process, the development of sector investment plans and the evolution of sector financing provided the key ingredients for improved coordination in the sector. This provided the foundations for the development of a sector-wide approach by the government and development partners from donor agencies and NGOs.

Annual joint progress reviews are now held to examine and discuss the performance of the sector against the established operational and investment plans and strategies. At these reviews various government and donor actions are discussed and agreed. Donors collectively, rather than individually, identify and agree on issues that they wish to raise before government. The umbrella organisation Uganda Water and Sanitation Network (UWASNET) has been formed to coordinate NGO activities, share experiences and liaise with the government and donors. Despite this positive contribution, collaboration and networking between NGOs, CBOs and the central and local governments is still weak.

Within this process, the Directorate of Water Development retains the lead role in coordination.

1.5 Emerging concerns

Although, rightly, the reforms in the Ugandan WSS are often held up as a good example of sector wide planning and policy reform there are many major concerns about the performance of the sector. Value for money in the sector is still regarded as poor, and within the entire sector there is a propensity to use more expensive technologies than necessary. [3]. Sector budget allocations are biased towards the more expensive urban sector. Sanitation remains problematic, with the responsibility of sanitation fragmented amongst different government departments at national and district levels, leading to weak institutional arrangements and lack of clear policies to support household sanitation. Sustainability of facilities is also reported to be a concern, with a collapse in community contributions, and operation and maintenance of facilities following the move away from project support.

One concern, which remains low on the sector's agenda, is the equity of service provision and the question of new waterpoints being constructed where they are needed. Ultimately it is this, combined with the need to sustain existing facilities that will determine whether the water sector goals are being achieved.

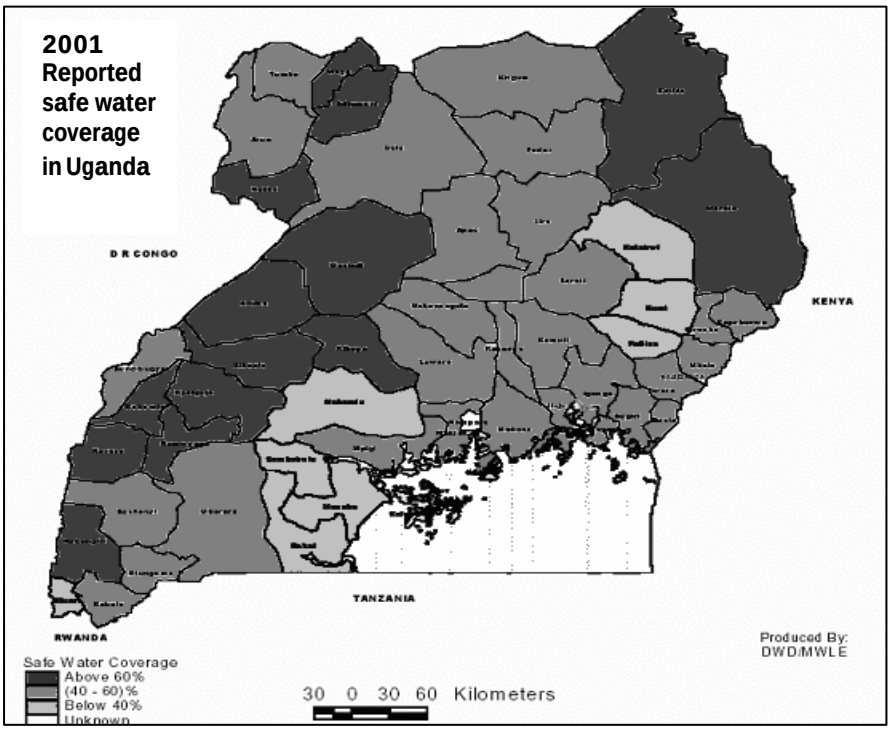
[3] Value for money study (2002)

2. Is local government contributing toward the achievement of national WSS sector goals? The case of Tororo and Wakiso districts

In this section we examine the extent to which equitable and sustainable rural water and sanitation services are being provided in Uganda. The rural water and sanitation operational plan refers to the goal of equitable and sustainable service provision at the outset, however very few strategies are elaborated upon to ensure equity is catered for. There is acknowledgement of the need to balance the equitable principle of *"some for all, not all for some"* with the demand responsive approach and there is mention of a "social mission" which states that poor communities should be supported where they are unable to afford the cash contribution. Here we use techniques developed by WaterAid in Malawi to examine in-depth the equitability and sustainability of service provision in two districts, to gauge whether these vital objectives are being achieved.

1.6 Reported safe water coverage

Officially safe water and sanitation coverage has increased from 39.4% in 1996 to 51% in 2003. These coverage figures are based on assumed coverage. This is measured by multiplying the number of point sources by the recommended number of people that should be served by each type of source and then comparing the product to the actual population in the country or district. It is assumed that one borehole serves 300 people and a spring 200 people. There is a wide variation in coverage throughout the country from 25%, in the least served district, to 75% in the best served as illustrated in the map below.



1.7 Data problems

Another important problem to note is that there are significant inconsistencies between the data held by the district office and by central government. In both the districts studied, the local administration reported to have about twice as many safe water points than the central government management information system, as the table below shows. This means that safe water coverage is likely to be underestimated nationally, however it is that data which is used to calculate allocation of funds to districts.

A further problem is that the official figures for safe water coverage are based on the number of waterpoints, regardless of whether they are functioning or not. This was recognized and between 1998 and 2000 resources were allocated and spent specifically on repair of water sources and institutional latrines (ROU 2002). Accordingly, the number of new waterpoints constructed each year dropped by 8% between 1997/98 to 1999/00. This meant that whilst waterpoints were being rehabilitated, official levels of rural water coverage did not increase much, despite the increases in funding, but actual levels are likely to have improved.

Table3.1: Inconsistent Data in Local Governments and DWD

Type of technology	Wakiso		Tororo	
	DWD Data	LG Data	DWD Data	LG Data
Deep Borehole	121	254	324	601
Shallow well	229	394	-	21
Motorized Drilled Well	-	23	-	-
Protected Spring	270	457	20	98
GFS taps	28	8	-	-
Community Tank	15	-	-	-
Other	2	-	-	-
Total	**665**	**1136**	**344**	**720**

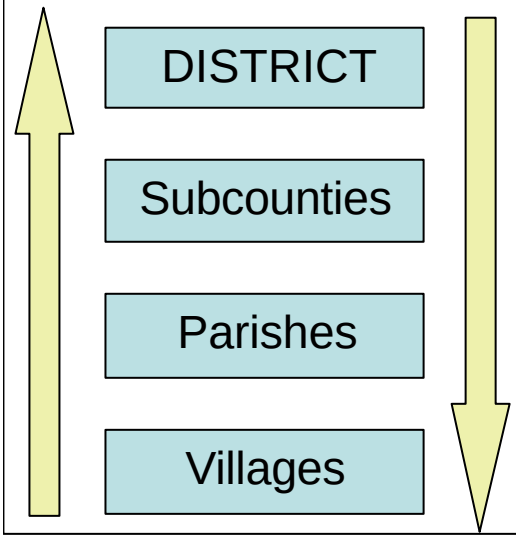
1.8 Analysing the equity of service delivery within districts

In the two districts examined there has been progress in improving coverage levels in recent years. In 2003 Tororo had an assumed coverage of 47%, with Wakiso fairing better at 61%.

Currently safe water coverage data is only calculated at the district level. But there are important levels of local government in Uganda where this is not done – at subcounty, parish and village levels –. Districts do have inventories of the safe water points in subcounty and parish, however. This means no comparisons are made of the equity of service provision.

In Malawi, Sugden (2003) developed a simple alternative technique that can be applied to compare the equity of service provision at different levels. It simply involves the calculation of the number of water points for every thousand people in each geographical area (whether district subcounty or parish). This is called the Improved Community Water Point Density, referred to as Water Point Density henceforth (WPD). The National Water Policy (NWP) states that each water point should serve no more than 300 people. This equates to a target WPD of 3.3 per 1000 people.

Box 3.1: Rural local government hierarchy



Box 3.2: Calculating WPD per 1000 population

$$WPD = \frac{\text{Number water points} * 1000}{\text{Population}}$$

Chart 3.1 Water Point Density in Subcounties in Tororo District

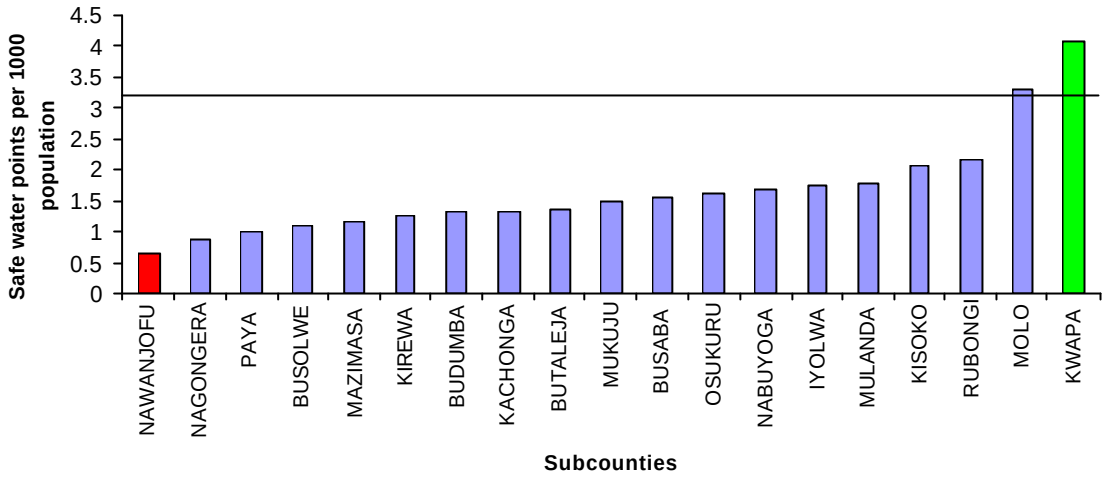


Chart 3.2: ICWP Density in Subcounties in Wakiso District

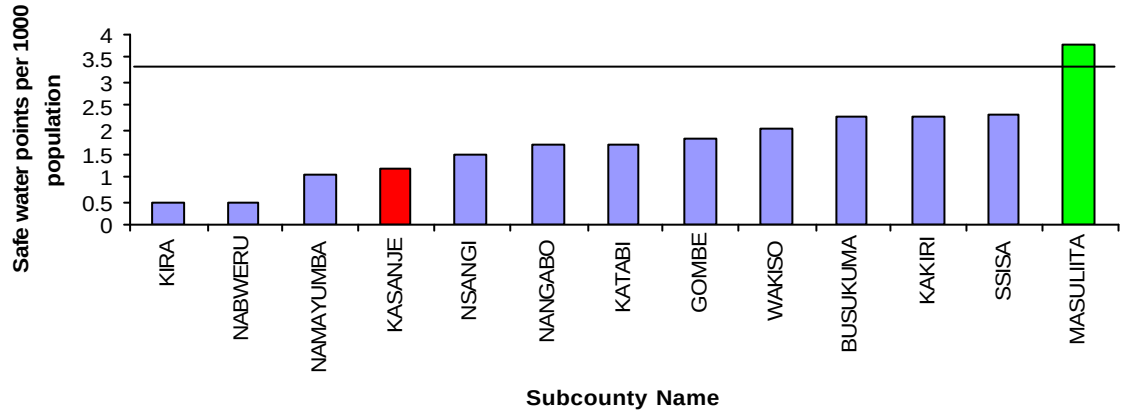


Chart 3.3: WPD by Parish in Kasanje, a poorly served subcounty in Wakiso

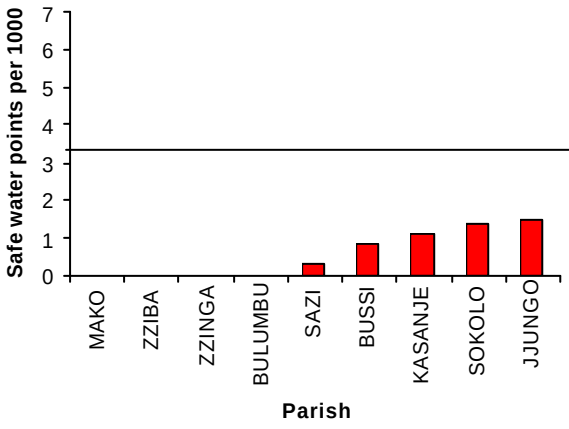
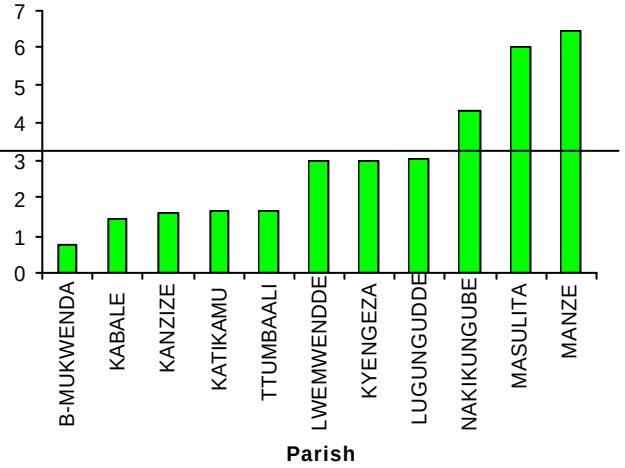


Chart 3.4: WPD by Parish in Masulita, a well Served Subcounty in Wakiso



By using calculations of WPD in Tororo and Wakiso districts, we are able to demonstrate that the encouraging coverage figures are masking inequitable service delivery, and weak operation and maintenance systems within the districts themselves. Using the total number of waterpoints in the district and data from the district, which it was felt was more up to date, the WPD in each district was calculated. This stands at 1.40 per 1000 people in Wakiso and 1.57 for Tororo; both have less than half the national requirement set out in the NWP. It is important to note that this figure excludes subcounties in Wakiso, which are on the outskirts of Kampala and benefit from piped water systems. In Wakiso therefore, if you are situated outside the urban areas, water and sanitation services are very low.

The WPD was then calculated for all subcounties in each district. Charts 3.1 and 3.2 show there are significant variations in WPD across the subcounties in each district[4]. In Wakiso the values varied between 0.47 in Kira subcounty and 3.59 per 1000 people in Masulita subcounty, whilst in Tororo the variation was between 0.67 in Nawanjofu subcounty and 4.09 in Kwapa subcounty. In each case there is only one subcounty in each district which meets the recommended service levels set out in the 1999 NWP.

For each district one well served and one poorly served subcounty was chosen and the WPD calculated for the parishes in those subcounties. An even greater variation in WPD is seen between the parishes than between the subcounties. In Kasanje subcounty, a poorly served subcounty in Wakiso District that had a WPD of 0.69, there were four parishes which did not even have one improved waterpoint between them, whilst the best served parish had an WPD of almost 1.5 water points per thousand people. Even in Masulita subcounty, a relatively well served subcounty with a WPD of 3.79, the WPD varied from between 0.77 in the worst served parish to 6.5 water points per 1000 people in the best served parish. Similar variations can be seen in the well served and poorly served subcounties selected in Tororo districts[5].

The greater the variability the more inequitable service provision is, however an indicator to capture this inequity is needed. Using and adapting another simple technique developed by Sugden (2003), a comparison can be made and a proxy indicator for the relative equity of service provision at those different levels is calculated. Therefore for each of the districts, the average deviation from the mean subcounty WPD was calculated for all subcounties. This average deviation is expressed as a percentage of the mean subcounty WPD. These calculations are shown in box 2. In both Tororo and Wakiso the average deviations were 33% and 36% of the mean subcounty WPD respectively.

Box 3.2: An indicator for equity?

$$\text{Relative WPD Deviation (\%)} = \frac{(100 \times \text{Average Deviation from Mean WPD})}{\text{Mean WPD}}$$

Table 3.2: Increasing Inequity the Deeper you Dig

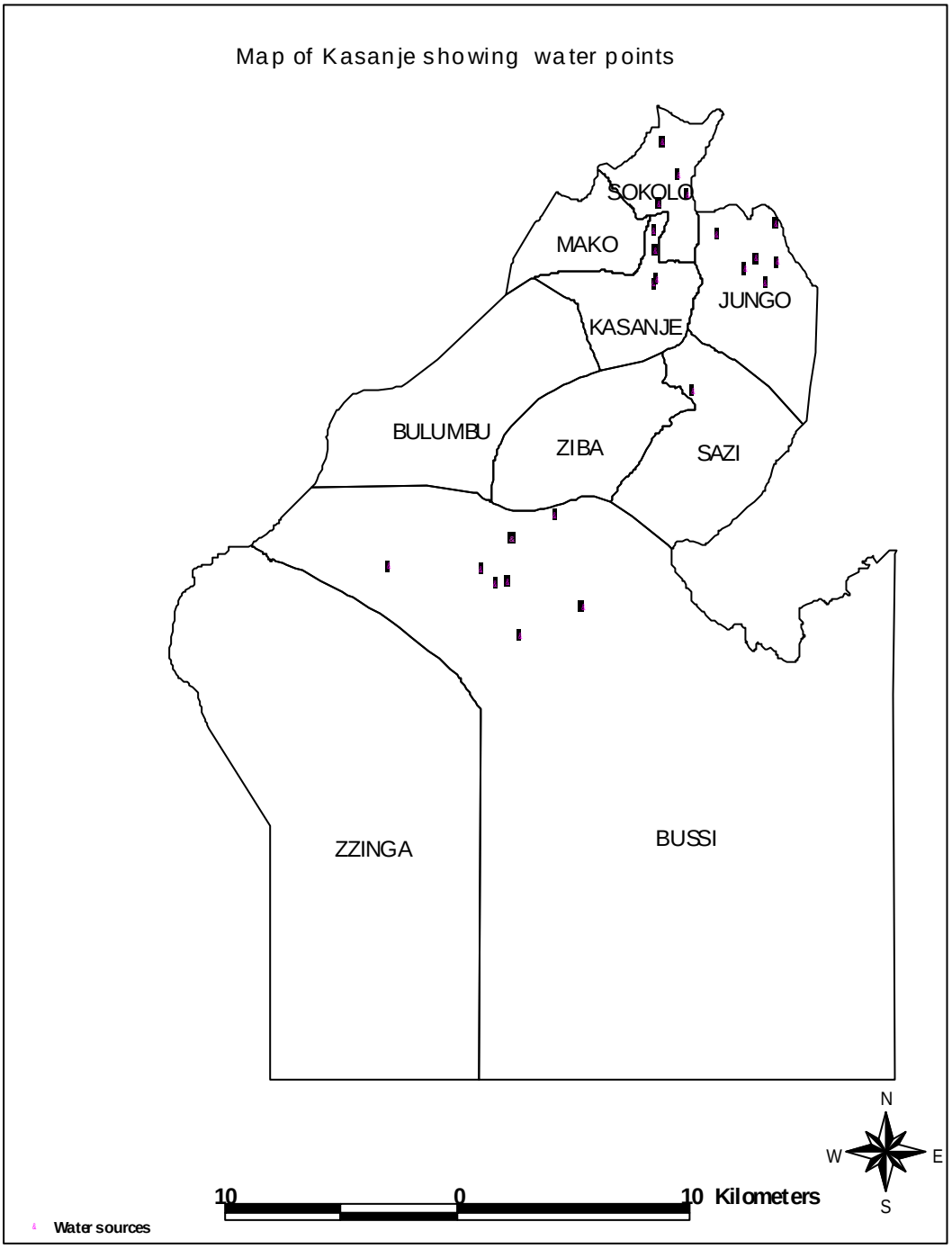
	Mean WP Density	Average Deviation from mean	Relative deviation from Mean WPD
Subcounties in Wakiso District	1.73	0.63	36%
Parishes in Kasanje s/c	*0.57*	*0.57*	*100%*
Parishes in Masuliita s/c	*3.79*	*1.88*	*47%*
Subcounties in Tororo District	1.66	0.55	33%
Parishes Kwapa s/c	*1.61*	*1.36*	*73%*
Parishes in Nawanjofu s/c	*0.60*	*0.61*	*101%*

The exercise was then repeated for parishes in the subcounty. Here greater variation in distribution of water points between parishes in the subcounty was found. Average parish variations ranged from 47% to 101% of the mean parish WPD. This means that the relative inequity in distribution of waterpoints is universally greater between parishes than between subcounties.

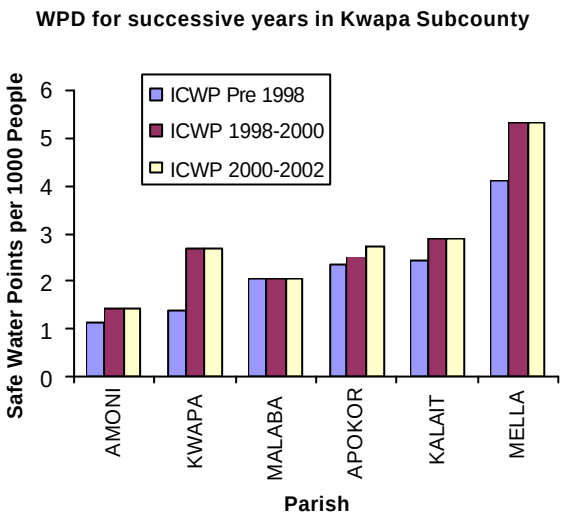
Global Information System (GIS) mapping of the physical location of individual waterpoints reveals another dimension of equity - the geographical distribution within parishes. GIS maps of the subcounties were obtained and examined. In many cases facilities are often concentrated in certain areas and not distributed fairly throughout the district. The map

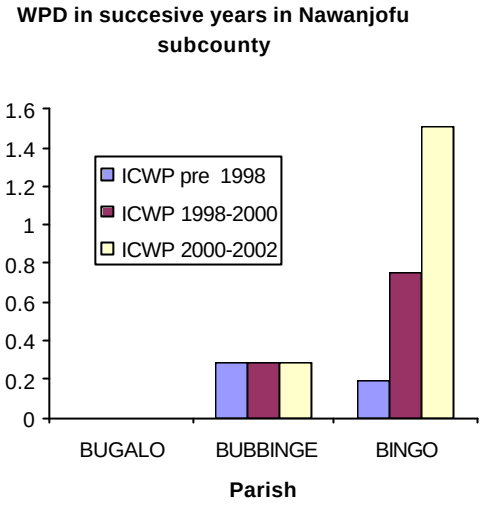
[4] In both districts urban subcounties with access to piped water schemes were excluded.
[5] See Annex 2 and charts 3.5 & 3.6

of Kasanje subcounty below illustrates this point well. Even within relatively well served parishes such as Jungo; the distribution of waterpoints is not fair, with many concentrated in one part of the parish.



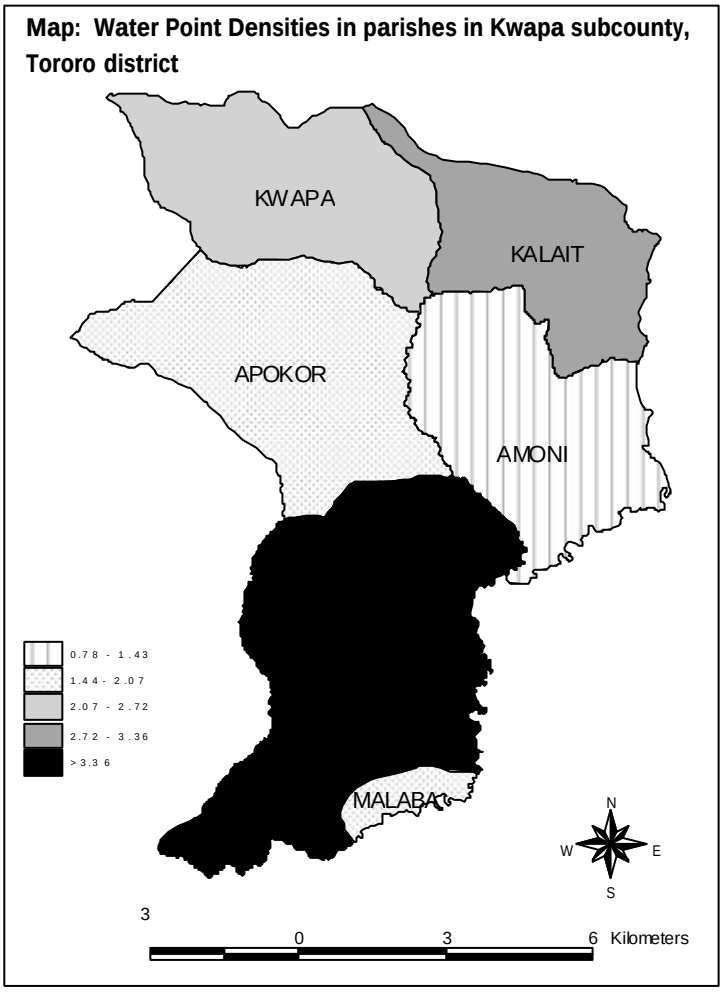
There was also evidence that the same parishes continued to benefit from new water sources year after year as the charts for Kwapa and Nawanjufo subcounties show below[6].





All this data points to increasing inequity the deeper one delves into the distribution of waterpoints. This indicates that district subcounty planning processes may be open to political manipulation, with powerful politicians being able to ensure certain areas benefit from new water facilities more than others. This is most stark within subcounties where powerful politicians are evidently able to ensure that the same parishes benefit from new waterpoints year after year, and similarly the same villages in those parishes.

Therefore, despite the reported national increases in coverage, as earlier pointed out, equity in distribution is not being achieved. Furthermore, the disproportionate distribution between subcounties and parishes has increased over the years. The slogan "some for all, not all for some" does not appear to have been embraced.



1.8 Sustainability of water facilities

Another prime concern in the water sector is the sustainability of a safe water supply and the sanitation facilities. Users are responsible for the ownership, management, effective use and functionality of facilities. At the national level, performance on sustainability is gauged by looking at the number and proportion of

[6] Evidence is also presented in Annex 1 for Wakiso.

functioning and non-functioning of facilities. Similarly in most districts functionality is monitored, alongside the physical condition of individual water source. The Wakiso district water office claimed that all their 1116 waterpoints were functioning; however field visits in both subcounties revealed several non-functioning water sources. In Tororo 25 of the 720 water points, 3.5%, were reported as not functioning, however it was felt that this was an over-optimistic figure.

Functionality is only one dimension of sustainability. Keeping a water point operational for a long period of time is a complex mix of managerial, social, financial, institutional and technical issues. Each of these elements is dynamic and they are inter-dependent. That is what makes sustainability a broader concept rather than just one of functionality. The preparedness of water user committees to manage and maintain water points, and the payment of contributions towards investment costs, are two elements which are key to sustainability.

Another technique, developed by WaterAid in Malawi (Sugden 2003), called the Sustainability Snapshot (SSS) is tested here. The SSS is a simple benchmarking tool, which is used to examine the performance of communities in terms of sustainability, and then at subcounties and district administrations.[7] By looking at the combination of these factors together, it aims to estimate the likelihood of a water supply system remaining functional in the future. Here we used it on existing water points, but it can also be used to assess the degree of preparedness in a community prior to receiving a new waterpoint. It is called a snapshot as it measures the sustainability of a water point at a moment in time, acknowledging that sustainability is a dynamic process.

Focus group discussions were held at the village, subcounty and district levels to ascertain the level of confidence held by different sets of stakeholders in the community based maintenance framework.

Box 3.4 the rating system in the sustainability Snapshot

Financial

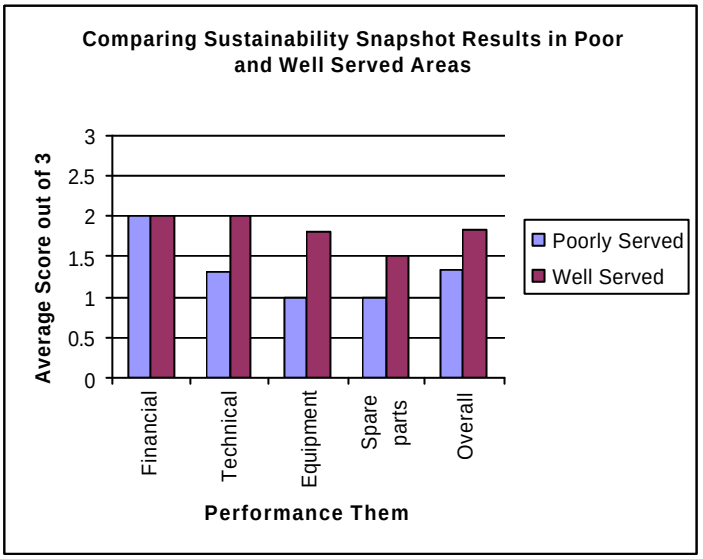
1. No funds available for maintenance when needed.
2. Fund available but not sufficient for the most expensive maintenance process.
3. Fund available and sufficient for the most expensive maintenance process.

Technical skills

1. Technical skills not available for maintenance when needed.
2. Some technical skills available for maintenance, but not for all.
3. Technical skills for all maintenance processes available.

Equipment and spare parts

1. Not available when needed?
2. Available but not for all repairs.
3. Available for all repairs.



[7] The study piloted the SSS tool that was developed by Water Aid Malawi.

Stakeholders at each level were asked to rate their performance in four thematic areas: finance, technical skills, spare parts and equipment. Then they were asked to choose the most applicable statement from a set of three listed under each thematic area (shown in box 3.4). A mark of 1-3 was awarded depending on which statement was selected.

Table 3.3: Sustainability scenarios of the well served subcounties

Category	Wakiso District (Masulita s/c)		Tororo District (Kwapa s/c)		Average
	Kiziba (SW)	Nakigung. (SW)	Kabossa II (BWP)	Morukebu (BWP)	
Financial	2	2	2	2	**2 (66%)**
Technical	2	2	2	2	**2 (66%)**
Equipment	1	2	2	2	**1.8 (58%)**
Spare parts	1	2	1	2	**1.5 (50%)**
Total (out of 12)	**6 (50%)**	**8(67%)**	**7 (58%)**	**8 (67%)**	**7.3 (60%)**

Note: SW: shallow well, BWP: borehole with pump

Table 3.4: Sustainability scenarios in the poorly served subcounties

Category	Wakiso District (Kira s/c)		Tororo (Nawanjofu s/c)		Average
	Mulawa (SW)	Kijabijo B (SW)	Nawanjofu (BWP)	Suni (BWP)	
Financial	2	2	2	2	**2 (67%)**
Technical	2	1	1	1	**1.3 (42%)**
Equipment	1	1	1	1	**1 (33%)**
Spare parts	1	1	1	1	**1 (33%)**
Total (out of 12)	**6(50%)**	**5 (42%)**	**5 (42%)**	**5 (42%)**	**5.3 (44%)**

Note: SW: shallow well, BWP: borehole with pump

The discussion on waterpoint sustainability took place at one well served and one poorly served village in each of the subcounties studied. These were selected using the results from the Equity in Distribution Indicator (EDI) of water facilities. The results are shown in tables 3.3 and 3.4. Overall the better served communities appeared better able to operate and maintain their facilities, scoring an average of 60%, relative to 44% in poorly served areas. On the whole the poorly served areas appeared less likely to be able to handle even minor repairs to boreholes. The well served areas were better able to sustain the water sources but would not be able to manage the most expensive repairs.

- **Financing:** It is clear from the results that both the well served and poorly served communities demonstrated an ability and willingness to contribute funds towards O&M for minor repairs. The amount collected ranged from 200 to 500 Uganda shillings[8] and the frequency of collection varied from a monthly to half yearly contribution. This finding is contrary to O&M studies[9] that have always portrayed communities as unwilling to participate. The sample used here was very small though, and may not have been representative. However discussions at all levels did reveal inadequate funds as a major problem affecting sustainability of the waterpoints. All the informants agreed that the financial contributions are insufficient to cater for the most expensive maintenance process, hence the average score of 2 in both well and poorly served communities**.**

  Collection of funds for O&M in some areas was seen as problematic due to various factors, some of which were location–specific. There were also problems in accounting for funds. Among the problematic district crossing factors were low incomes and the willingness to pay the required

[8] Between US$0.1 to $0.25
[9] DWD 2001

contribution. In all the sites, communities complained that some residents were not willing to pay and constantly argued that local taxation should cater for all the repairs.

However, according to the leaders, this percentage is low, as most community members dodge paying tax. *"Some people are not willing to pay O&M funds while others are unable to pay."* Denying access to water was a common tool used to put pressure on those able but refusing to pay. However this was not always rigorously enforced. The elderly and the disabled were exempted from paying and those who were unwilling to pay continued to use unsafe water from the existing unprotected water sources. Some WUCs/WSCs had passed bylaws for O&M, however they could not be implemented due to lack of cooperation from the local councillors.

- **Technical skills:** In the area of access to technical skills for the minor repairs, the well served communities had access to some skills, however this was not the case with the poorly served communities, who almost universally had no available skills. Thus, even with funding obtainable for minor repairs, the communities would be unable to make those repairs. In Masulita-Wakiso district there is a problem with shallow wells being located far away from households.[10] This leads to stealing of spare parts. Some of the equipment does not have spare parts and others (like the terra pump) have and if one part was damaged or stolen then a whole set had to be bought at great expense. In some areas of Masulita communities would prefer to have a protected spring because it would be cheaper to maintain.

  In the past, skills training for handpump mechanics has been offered in the communities by donor funded projects. (RUWASA and WES). With this training, mechanics were able to carry out simple repairs. Originally very few people were trained and subsequently the situation has worsened due to the migration and deaths of these mechanics. One community member noted, *"WES trained people but some of those trainees were not local residents, so they left with the tools."* This implies that for future sustainability, handpump mechanics should be selected from local residents. The findings appear to be consistent with a DWD study on O&M of rural water facilities, where the absence of handpump mechanics was found in over 52% of sites (MWLE-DWD, 2001).

- **Equipment and spare parts:** Three out of the four well served villages had equipment (toolboxes) suitable for minor repairs and could access spare parts for their handpumps. However none of the poorly served communities had access to spare parts. In general spare parts were considered a big problem in both districts, as they could only be located far away and at a considerable cost. Most of the communities highlighted the lack of equipment, such as toolboxes, as a major obstacle to handling repairs.

The SSS proved to be both an information gathering and a diagnostic tool that not only gathered information on the three thematic areas but also led to further discussions around the impact of community behaviour, institutions and policies on sustainability.

It was clear that institutional support for the communities was lacking throughout. Discussions revealed a need for support of WUCs/WSCs in the area of major repairs. The SSS tool also revealed the need for subcounties to help villages develop bylaws for O&M. It emphasized the need to promote skills training as a long-term strategy for improving community-run O&M and identified other long term goals for raising income, such as encouraging people to take advantage of profitable produce markets, the rehabilitation of bad roads and general support of income-generating activities.

Box 3.5: Politicians and capital contributions don't mix

While commenting on the influence of politicians on capital contributions, a district official from Wakiso quoted what politicians usually tell the community

"*You just wait for the service. Do not even bother paying. The government has provided everything.*"

Discussions with the different groups revealed the need to change the current strategies used for achieving sustainability. One key issue is the financing of major repairs, which the communities regard as beyond

[10] This form of technology is determined by the high water table often found in swampy areas and lowlands.

their ability to pay. At the moment local roles are unclear. The role of the subcounties and district in financing and effecting major repairs need to be clarified, and funds allocated for this purpose.

Districts and subcounties also need to be more proactive in supporting technical skills training in their communities for minor repair work, and ensuring spare parts are accessible, even in remote communities.

Another significant observation was that while the capital contribution policy was established in the projects, it was not being practiced in the lower local governments visited. This was mainly due to project leaders failing to emphasize it, political interference and limited funds for community mobilization. In some cases, some communities participated in construction by providing food, accommodation and local materials for the contractors. These appeared to be informal arrangements.

1.9 Equity and sustainability of sanitation intervention

Nationally there is general lack of consistent coverage data on sanitation, so it is difficult to tell whether the performance of the sector on sanitation has improved or not. Available records show that latrine coverage in rural areas stood at 58% in 1998, which had resulted from intensive sanitation campaigns (MoFPED, undated). However, sustaining good sanitation behaviour is proving very difficult. A study on sustainability of sanitation revealed that there has been a tendency for sanitation practices to decline progressively after a project intervention (Mpalanyi and Nahidu 2003).

In this research no structured assessment of the sustainability of sanitation interventions was carried out, however, it was apparent from community focus group discussions that this area has been given little attention. Unlike water facilities, the condition of sanitation facilities was not good, and hand-washing facilities were non existent. Communities had limited information and a lack of technical support for sanitation. It appeared that little sanitation activity had been carried out since the completion of the two major donor funded water and sanitation projects[11] that were implemented prior to the sector-wide approach. Latrine coverage in some communities had remained the same but their condition had deteriorated, reflecting a lack of community ownership of facilities. In Wakiso, termites destroy the structures while in Tororo; the soil is loose which makes temporary latrines collapse during the rainy season.

Hygiene promotion activities, in particular, are a victim of institutional fragmentation. Under donor projects women's groups were supported in the production of sanitary platforms. Subcounty community development assistants and health assistants were assisted under these arrangements. Although many subcounty community and health extension workers are still on the ground they lack the help they once had to carry out their hygiene promotion activities. Projects forced the different stakeholders to coordinate.

Now household hygiene promotion is the responsibility of the health sector. It is funded through the primary healthcare conditional grant and the health centre administrative structure, rather than the subcounty structure. In theory health workers in health centres should be working with subcounty officials towards hygiene promotion but this collaboration often does not happen, and hygiene promotion is given a lower priority by health workers than the curative aspects of primary healthcare. Williamson (2003) observed from an examination of healthcare in Bushenyi and Iganga districts:

> *"Community relations are likely to be undermined if patients regularly find no one to treat them at the health centres, even if staff are in the field carrying out preventative activities. However, few members of the public are likely to complain if they have not been taught good sanitation practices or been mobilised for immunisation. Outputs relating to preventative health services are therefore given less of a priority by health workers, which is affecting results... Without dividing the institutional roles for preventative and curative services, preventative services will always suffer due to community demands."*[12]

This ultimately means that the sustainability of good hygiene practices is undermined.

[11] RUWASA in Tororo and WES in Wakiso
[12] Williamson 2003

1.10 Conclusions on equity and sustainability

Despite the small sample in this study, it is possible to draw some important conclusions from this analysis of Tororo and Wakiso. It appears that the distribution of existing facilities is inequitable, and that the new facilities being constructed appear to be worsening not improving the situation. The levels of inequity increase towards the lower levels of local government. Similarly, poorly served areas appear to be less prepared to repair water points once they break down.

It was also apparent, from social mapping of the communities in the SSS, that the socio-economic status of the well served subcounties was better than the poorly served ones. They appeared to have higher levels of education, have influential people in the community, in that NGOs were operating in their areas have better road networks, have an ability to pay which was greater than the poorly served areas and they were nearer to administrative centres, [13]. The poorly served areas were characterized by a comparatively poor road network, low levels of education, political marginalisation, weak leadership and lack of influential community members. The means that the socio-economic status of a subcounty is probably a major factor in both the ability of it to attract new water and sanitation facilities, and to operate and maintain the facilities that are already there.

If this is true elsewhere then ultimately the well-intentioned and conceived strategies set out in the PRSP and RWSS plan are not being achieved, even with large increases in sector funding.
On the basis of the evidence analysed here, the situation could be summarized as follows "*most for some, and a little for all*". In many ways, these findings should not be surprising to policy makers, as there is plenty of anecdotal evidence to this effect.

In Chapter 2 we outlined the significant progress that has been made in developing detailed policies and plans in the rural water and sanitation sector, and the institutional arrangements for supporting local governments in implementing sector programmes. Therefore many of the basic systems and processes are in place for effective service. The financing and institutional arrangements have significant potential. Decision-making processes in local government are maturing. Nationally the WSS is realizing many of the major problems that exist in equitable service provision. However these evolving processes lack a precise focus on sector objectives and the prevailing incentive structures allow significant political manipulation at the district level.

A dangerous, wrong conclusion to draw from this analysis would be to say that the shortcomings in equity and sustainability result from a failure in decentralization, and that the centre should take a more active role in local planning and implementation, and take actions towards recentralization. The decentralization of planning and implementation of WSS activities to local governments is an important positive step, and these problems are naturally surfacing now, as the reform processes matures. The importance of the analysis in this chapter is that tools can be developed for quantifying equity and sustainability, and these tools can form the basis of action by local governments. In particular, such analysis can help address some of the fundamental weaknesses in planning, monitoring and evaluation of performance in the water sector at subcounty, district and national levels. They can also help central government measure the performance of local governments with respect to national objectives, and reward good performance. It is to these areas that we now turn.

[13] A Participatory Rural Appraisal tool to Identify social characteristics of an area

2. From inequitable, inefficient decisions to targeted planning and budgeting for water and sanitation intervention in districts and subcounties

Although equity and sustainability is a key national objective, local planning and budgetary decisions made by districts and subcounties do not appear reflect these national goals in Wakiso and Tororo. This means that there is a breakdown between policy, planning, budgeting and implementation. But where?

In this and the following chapters we attempt to shed light on where and why this is the case by examining the strengths and weaknesses of the planning and budgeting and implementation systems. It is argued that the breakdown stems from a combination of factors: a poorly coordinated planning process, inadequate performance assessments and inadequate tools that can be used for planning. All these failings ultimately mean that there is little incentive for technocrats and politicians to adhere to national sector policy priorities and improve service delivery performance.

2.1 District planning systems and guidelines

There are well-established systems for planning and budgeting in Ugandan local government offices and these are supported by specific guidelines prepared by the Water and Sanitation Sector. The district wide planning and budgeting process is supposed to be participatory from the bottom up, although the quality of this participation varies.

The guidelines for planning and operation of district water supply and sanitation development grants were first prepared in 2000, and are updated annually. These guide districts on planning for, implementing, reporting on and monitoring all activities funded under the grant, which started in the financial year 2000/2001(DWD- WSDCG, 2002).

According to the guidelines, districts are charged with coordinating the overall planning and implementation of WSS interventions, and are specifically responsible for planning and implementing large projects and high cost technology options, such as borehole drilling and piped water systems, for rural growth centres. The subcounty is responsible for allocating 50% of grant funds to low cost technology options and referring community applications for large projects to the districts. The district reviews subcounty plans and incorporates them into the district plan, which in turn should incorporate the national priorities (PEAP).

The district and/or the subcounty (depending on the technology) make the final decision on the allocation of waterpoints and the community is only involved in the siting of waterpoints. Through the use of annual village planning forums, the communities are given an opportunity to express their demand for waterpoints.

Box 4.1: The planning and budgeting process

The planning and budget cycle begins in October of each financial year. In a series of regional budget workshops convened by the Ministry of Finance, the planning and budgeting process is outlined and grant ceilings are presented to local governments.

The process progresses to the districts that are then expected to produce a draft Budget Framework Paper by December, outlining the local government's medium term budget strategy. It is from the final LGBFP that the districts and subcounties proceed to prepare water sector work plans (MWLE- DWD 2002). Whereas the planning cycle guidelines suggest consultative meetings with the community should commence in early February, the actual consultations start much later.

At district level, the planning process starts with a subcounty consultative meeting involving the subcounty executive committee, parish development committee (PDC) members and the subcounty administration. Funding levels for respective sectors for the fiscal year are communicated and PDCs are given planning formats. PDCs then conduct village meetings with the general community where WSS priority activities are set. In a separate meeting the PDC committee integrates all the village plans into one parish development plan using a priority-ranking method. In the same manner, the subcounty executive committee, guided by the extended staff, uses the parish plans for developing subcounty plans. These plans are then submitted to the district for incorporation into a district plan.

Other stakeholders in the sector like NGOs and CBOs were also facilitated with planning formats in Wakiso District.

Most information gathered in this forum concerns the existence of protected and unprotected waterpoints and the functionality of the protected water points in the locality. This data guides the allocation of the waterpoints by the subcounty and the district depending on the nature of the funding.

If the planning procedures are followed to the letter, the district guidelines could, and probably should, result in equitable distribution of waterpoints. They emphasize a bottom-up approach engaging lower local governments and communities in planning decisions. They also recommend the use of the population as a criterion, along with the prioritization of areas with low coverage and unserved communities, and incorporation of hygiene education and community mobilisation (MWLE-DWD, 2000) when deciding on facilities to be constructed alongside other intervention. They also cater for choices to be made on different water technology options.

However the guidelines for planning are obviously not being followed in their entirety in Tororo and Wakiso. Although many elements of the process stipulated in the guidelines take place, the criteria for making decisions are not followed. Why might this be the case? The answer is a mix of technical and political issues, which means that ultimately there are few incentives for districts to implement the guidelines rigorously.

2.2 Reducing political capture through the introduction of planning tools for equity

Politicians exercise huge influence in the allocation of water sources in both districts, which has compromised equity in distribution. Powerful politicians are continuing to extend services in their parishes, which are already served with WSS facilities, and concentrate water facilities in certain locations.

The district of Wakiso emphasized the criteria of fair geographical distribution for spreading resources evenly across subcounties in the district, regardless of existing coverage figures, to fulfill political demands (ie give equal shares to politicians). In allocation therefore, the population of different local governments was not considered an equity concern, although that information is collected at the grassroots level. Conversely, in the annual reports, the number of people being served by new waterpoints is emphasized. The above practice satisfies political demands, but has caused persistent inequities in distribution of WSS facilities. Using coverage figures as a proxy for equity is deceptive insofar as it does not guard against inequity in the location of waterpoints within subcounties. Hence some parishes, over a long period of time, can cumulatively receive water facilities more than others, without this information being picked up by the district or indeed central government. While a percentage of the coverage might be high, inequities within the geographical area might also be high.

In a decentralized political set-up, politicians should be involved in decision-making, within the bounds of the national policy. However at present there is no consequence if politicians actively veer away from national policy priorities, ensuring that their voters benefit from new facilities. This is exacerbated by apparently weak internalization of the guidelines by the technocrats. The key sector planning criteria of geographical coverage is not very useful below the district level for ensuring equity, and can be subject to various interpretations. The tools available for technocrats to present planning options to politicians in councils at the district and subcounties are inadequate. This makes the allocation of waterpoints highly susceptible to 'political capture' with politicians able to influence the location of points in parishes and villages.

Explicit tools for promoting equity in the planning process need to be introduced at the district and lower levels. As we have shown, the Water Point Density is very easy to calculate and use to ensure more equitable distribution of facilities between subcounties in a district, and parishes within a subcounty. Similarly GIS mapping can be used to ensure equitable location of waterpoints. Here we describe how this can be used practically in district and subcounty decision-making.

Box 4.3: Make politicians responsible

"*We elected them. They know our problems so they should plan for us*"
Nawanjofu community member, Tororo District

More targeted distribution of resources between subcounties:

The District Water Office should use the WPD as its main basis for calculating indicative planning figures to subcounties for waterpoints, or use the conventional safe water coverage figures. In addition the planning department at the district should collect basic socio- economic information on the villages and this could also be used as a secondary factor to guide planning and allocation at district level. It could also be used to monitor the equity of choices at lower levels. Such data can be used to ensure that poor communities are not losing out.

In its guidelines the DWD could recommend a formula for allocating such resources between subcounties, based on the WPD, economic data, and other information such as the availability of piped water systems.

Making choices at the subcounty level and below

Typically a subcounty will only be allocated enough funds to cater for a handful of new waterpoints each financial year. WPD should be the major criteria determining the parish waterpoints to be constructed. If a list of the WPDs in each of the parishes was presented to the subcounty council, like the table of Kasanje below, it would be very difficult for a politician from a well served parish, such as Jungo, to argue for more waterpoints, when three parishes have no improved waterpoints.

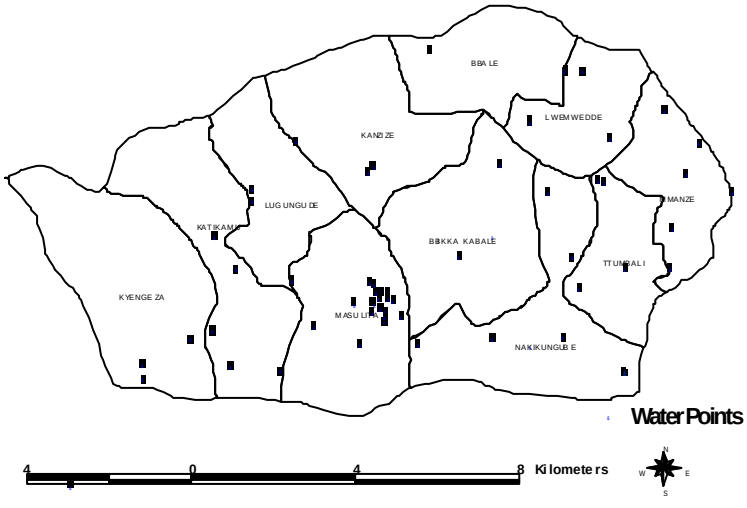
This should be backed up by the presentation of GIS maps illustrating the location of existing waterpoints in the parishes to subcounty planning committees and councils. This again would help ensure that waterpoints are located in villages where they are needed, and prevent existing well served areas from benefiting more.

Table 4.1: Water Point Density in Kasanje Subcounty

Parish	Population	Total number water points	Water Point Density per 1000 people
MAKO	2,153	0	0
ZZIBA	2,209	0	0
ZZINGA	1,613	0	0
BULUMBU	3,873	0	0
SAZI	3,393	1	0.29
BUSSI	7,327	6	0.82
KASANJE	4,581	5	1.09
SOKOLO	2,871	4	1.39
JJUNGO	4,007	6	1.5
KASANJE	**32,027**	**22**	**0.57**

For example the map of Masulita subcounty below shows a large concentration of waterpoints in the best served parish, Masulita parish in and around Masulita village, but there are very few waterpoints in the north or south of the parish. All the waterpoints in Kyengeza and Kanziza parishes are concentrated in the south of their parishes. Faced with such politicians would find it very difficult to argue for extra waterpoints in already well served areas.

Map of Masulita Showing Water points



2.3 From top down to bottom up technology choices

At lower levels there are also problems surrounding the selection of technology and planning. Often local governments do not have a choice over the assortment of technology that has been determined by the district. For example a subcounty may be offered two boreholes by a district during the planning process, however the subcounty may wish to chose to construct a larger number of shallow wells at the same cost. The offer of boreholes is a "take it or leave it" one. The district may have a natural bias towards more costly technology options, as they involve greater sums of money and more control. This means that efficiency of service delivery is undermined.

Facilitating better technology choices

It is possible to replace a top down choice of technology with a more participatory bottom up approach, which still results in an appropriate mix of equipment. The district administration should discuss with individual subcounties the technology options on offer, and applicable in their areas. In some subcounties more expensive options, like boreholes, may be the only option, whilst in others a combination may be suitable. Once these discussions have taken place the district should provide indicative planning figures to the subcounty. Then it should be up to the subcounty to choose the appropriate technology taking into account the advice of the district. The district should then review the plans from a technical perspective – and advise the subcounty concerned if it feels the local government has chosen inappropriately. The compiled work plans of the subcounty would then dictate the mix of technology to be procured by the district on behalf of the subcounties.

2.4 Reducing community participation fatigue

Another key observation is the dwindling participation of communities in the planning process. The guidelines require communities to participate in planning every year, even when it is obvious that the chances of an individual community getting a waterpoint in any one annual budget are remote.

When communities are involved they use relatively sound criteria such as population, walking distance, centrality of the proposed water point and existence of alternative sources.

Box 4.1: Community unwillingness to plan

"*Many people do not want to attend village-planning meetings because each time we are asked to forward our needs but in the end, they are not considered. The next time they come again asking the same things but we are not told why the previous year we were not given a waterpoint*"

Man in the FGD in Morukebu village, Tororo

The attitude for some community members is that leaders should plan on their behalf. In some instances village priorities are not at all included in the plan because of weak village leadership. It was evident that where community representatives forwarded people's keenness to be incorporated in the development plans, they stood a better chance of being served. One official from Kiira subcounty stressed: "We do not take services where they are not needed." Another official from Masulita said: "If leaders do not forward peoples needs that means they are not served." However overall there is limited community awareness of their role in planning.

There is often little or no feedback from planning meetings, and no information about performance of the previous plans. This all contributes to the community's apathy in participating in planning meetings.

Reducing Community Fatigue

Community consultations for new waterpoints need not be an annual event. It is straightforward to ascertain the communities that need waterpoints and those that are

Box 4.5: Problems with NGO activities

Politicians were observed as influencing the distribution of waterpoints mostly with NGO activities. For example, in Wakiso District, most of the NGO activities are concentrated in Masulita subcounty, while in Tororo the influential politicians were noted to attract resources to their constituencies.

Some NGOs, especially the church-based ones, tend to operate independently from the district. Their criteria for distribution of water and sanitation are not known and they don't use district data as a basis for distribution. This indicates the limited coordination among the NGOs and the district.

served. A target should stand that that subcounty officials should consult each community once every three years; these meetings should be cross-sectoral and facilitated by community development officers. The timing of consultations should take into account busy times in the year. However each time a community is consulted, feedback needs to be given on whether they should expect a waterpoint in the next three years, and on which villages will benefit. In other years it is the responsibility of village politicians to convene meetings and present the needs of communities to parish and subcounty meetings.

2.5 Little or no allocation for operation and maintenance

While information necessary for planning for O&M is routinely collected and clearly shows the magnitude of the problem, there are no resources allocated for O&M activities. Similarly there is little or no budget for routine software activities to support and monitor Water User Communities to ensure that they are prepared to maintain boreholes. Major repairs are not given priority. In both districts, the repair of boreholes is mentioned in the three-year development plan as one of the strategies for increasing access to safe water, but O&M is neither itemized in the activity schedule nor is it budgeted for. All the financial allocations are intended for the construction of new sources. As already noted, resources for borehole rehabilitation under the conditional grants have been extended to DWD since 1999/2000[14]. However evidence of rehabilitation at the district level is minimal. The O&M plan as proposed by DWD guidelines was not yet in place at the districts. Due to the lack of this plan, the problems, as identified in a study on O&M[15], are still prevalent. There are a limited attempt to apply the policy guidelines on O&M. The division of roles between community, subcounty and district for operation and maintenance remains unclear, and no funds are allocated to O&M.

Planning for Operation and Maintenance

Emphasis needs to be shifted from new facilities [as is currently the case] onto the need for district and subcounty plan for operation and maintenance, involving major repairs and rehabilitation of waterpoints. The policy support proposed in the RWSS operation plan (2002) needs to be translated into an action plan. The districts and subcounties need to be guided on implementing O&M programmes.

Currently the district water conditional grant is by name a capital development grant, however there are both recurrent and development activities being financed from the grant. For example, local governments' responsibility for the major repairs of waterpoints is a routine activity and they must be allowed to make explicit recurrent budget allocations for this. Similarly, communities must be continuously sensitized to their role vis a vis the local government and the maintenance of waterpoints. This again is a routine function that should be carried out continuously, and funded through the recurrent budget. This would call for a division of the grant into a recurrent and development component, which could be specified by central government, ensuring that there is no undue bias towards new investments.

Some innovative thinking is needed to ensure the availability of technical skills and spare parts to communities. The training of community handpump mechanics needs to be reemphasized as a routine duty of local government. Targets for having one trained handpump mechanic per parish could be put in place, and information on the location of handpump mechanics could be made available to communities. To lay a foundation for coordination: At subcounty level all the existing waterpoints should sign a MOU with their respective subcounties.

2.6 Low sanitation priority

Sanitation is given a similarly low priority in the planning process. In the former water and sanitation projects in the two districts, allocations to household hygiene and sanitation involved subsidised sanitary platforms, and home and village improvement campaigns. These approaches have since ceased and the general observation from the budget estimates and discussions with the district officials, is that hygiene and sanitation is under-funded. Although about 20% of the WSS funds is meant to be aimed at hygiene

[14] As described in MWLE-DWD 2000
[15] Cited in DWD-OP5, 2002

and sanitation activities, it is only spent on latrine construction in public places like markets, schools and health centres. Hygiene promotion is more the remit of the health and education sectors, and this has lead to inadequate prioritising compared with other services. Ultimately the software aspects of sanitation involve few tangible results, and hence it is rarely a politically attractive option when allocating funds.

Routine funding for subcounty hygiene and sanitation promotion

Although the institutional sanitation infrastructure appears well catered for the routine promotion of hygiene and sanitation tends to fall through the planning process without leaving much trace. Theoretically it can, and should, be taken care of in the primary healthcare budget through the health service system.

Community mobilisation could boost the function of subcounty staff, like health assistants or community development officers, as happened in former projects. These extra community workers would have fewer competing activities to do within the subcounty, and routine hygiene promotion would be more likely to succeed. Funds could be allocated and channeled directly to subcounties, as opposed to through the health centre-structure.

3. Towards coordinated and focused monitoring and evaluation at the district level

Ultimately the monitoring and evaluation (M&E) mechanisms ensure that services are being provided and sustained as planned. These are essential for guaranteeing that aspects of equity and sustainability are actually considered and measured. Additionally, managers can make more informed decisions regarding budgeting and the improvement of service delivery during each financial year.

3.1 M&E guidelines and processes in local governments

Efforts have been made to build and strengthen M&E mechanisms in the water and sanitation sector at national and district levels, however they still do not effectively pick up issues related to sustainability, equity, and the follow up is weak. The district water and sanitation grant planning and operational guidelines suggest procedures for districts to follow and generate or analyze information regarding planning and progress reporting. Within the districts a multi-sectoral approach to monitoring and evaluation is present. It aims to promote information sharing and reinforcement of the checks and balances across sectors. There are cross-sectoral district guidelines, which set out the procedures for using Poverty Action Fund (PAF) conditional grants specifically allocated for monitoring and accountability at the district level. These guidelines detail the formats, roles and responsibilities of different stakeholders.

A rural water and sanitation handbook for community management has been produced with the support of UNICEF and others, for extension workers. This handbook gives guidelines for mobilization and monitoring of sustainability. However, because of poor facilitation, the handbook has not been used. Most extension workers do not have a copy or the tools recommended in the handbook.

Whilst there is some flow of information between political, administrative and interdepartmental structures in evidence, emphasis is put on vertical accountability to central government. Information is not used effectively for managerial decisions. There is little proactive feedback from districts to the end users and civil society. There is also limited coordination and information sharing between the DWO, extension workers and other stakeholders (civil society). The relationship between the private sector and the benefiting communities is not clearly defined, thus limiting communities' ability to monitor construction activities in particular. Consequently, the quality of information gathered is poor, and its use for decision-making is weak.

District water offices have all been provided with computers to facilitate data storage and analysis. There have been limited attempts to equip stakeholders with basic M&E skills and tools, which greatly affects their level of involvement and contribution in M&E. It was observed that there was enough staff in the district to carry out M&E, however they were lacking in specific skills and adequate, predictable funding. Only PAF funds were allocated to monitoring and evaluation and available without augmentation from other sources. This was attributed to the low revenue base in the districts and sub counties. It was also felt that the use of the minimal PAF monitoring funds is generally ineffective. In many instances, monitoring is only done once PAF funds arrive but their timing is often irregular. Otherwise nothing takes place.

Improvements need to be made at district and subcounty level on the reporting and management information systems. The Development and modification of monitoring instruments would improve the process of collecting, recording, analysing, storing and production of information for planning, reviews and reports. More practical, structured tools need to be developed for measuring relative equity, sustainability, sanitation and other issues such as value for money. Ultimately in-year monitoring and evaluation activities need to serve a management purpose and result in improvements in service provision. Mechanisms for critical reflections of WSS performance by all stakeholders including managers and civil society need to be created, alongside downward reporting systems to end users.

3.2 Starting to measure and monitor the relative equity of WSS services

Firstly, the district should carry out annual equity analyses of parishes, as outlined in chapter 2. This could involve:

- The calculation of WPD in all subcounties and parishes in a district.
- The calculation of the relative variation in WPD across subcounties in the district, and across parishes in each subcounty.

These measures provide an important input into planning for districts and subcounties, by allocating more resources to those areas with lower WPDs. Local government should aim to reduce the relative variance in Water Point Density year on year. However it is important to qualify the calculations. Some areas may have piped water systems, and therefore an artificially low WPD.

Box 5.1 Possible tools for monitoring and measuring equity, sustainability and sanitation performance

- Relative variance in WPD by subcounty and district
- Functionality, finance, skills and spare parts through the SSS.
- Latrine coverage and use, hand washing, and safe water chain through the sanitation snapshot

Secondly, the regular updating of GIS information when a new waterpoint is built, whether by government or NGOs, is of paramount importance. This updating should be one of local government's routine functions and constant checks must be made on the consistency of GIS mapped waterpoints and data on the number of waterpoints.

3.3 Measuring and monitoring sustainability

In some districts there is regular monitoring of the condition of infrastructure and water quality. Such M&E information is important and very useful, however it is limited to technical aspects, the realm of engineers. Regular information on the sustainability of water services and sanitation is often not captured, even though it could be gained from WPD and the SSS. In this regard there is a gap in support from central government.

Again a systematic way of measuring sustainability of water facilities, beyond functionality, needs to be introduced. Also the compliance with capital contributions needs to be enforced.
The SSS was used as the starting point for focus group discussions and could be developed and tested as a simple tool for periodically evaluating the functionality and sustainability of individual waterpoints. The SSS could be based on functionality, affordability, managerial issues, or include other factors. It can be used as an entry point to in depth discussions or, at a more superficial level, as a mechanism for getting quick information from a member of the Water User Committee at a waterpoint, when carrying out an assessment of the physical condition of a water source.

This could be a routine function of subcounty workers, who would have a target of assessing the functionality and sustainability of all the safe water points in one financial year. Although the data on individual water points may not always be reliable, the aggregated data would provide valuable information on the problem of sustainability in different parishes and subcounties. The district could verify the subcounty information and carry out more in depth discussions at a few waterpoints. Such a system would need to be piloted and tested.

Capital contributions also need to be more rigorously implemented and monitored. This could become a minimum condition preceding activities in subcounties, and those subcounties should be required to produce evidence to the district that contributions have been collected and banked, before investments are carried out in their areas, as was the case under donor funded projects.

3.4 Measuring and monitoring sanitation performance

Many household sanitation indicators have been developed. These include the number of latrines constructed, the number of people using the latrines, the number of hand-washing facilities, the number of clean compounds, well maintained kitchens, drying racks in place and used, and the number of bath shelters... However, there were no means for regularly collecting this information and several factors are hard to gauge, such as, "the number of people using latrines."

Districts and subcounties need ways to gauge household sanitation performance regularly and easily, just as with sustainability. This should combine the collection of information about the existence of facilities, and hygiene and sanitation behaviour. However as household sanitation is a household responsibility, it has been proved to be very difficult to collect comprehensive data.

Sampling would be the only way to collect quality data on a regular basis. One option could be to develop a tool for sanitation along the lines of the SSS, which could gain an impression of the hygiene and sanitation practices of different communities. Such a sanitation snapshot could use themes such as the existence of physical facilities, understanding of hygiene and of hygiene practices taking place. This may involve the physical inspection of household sanitation facilities of a community member, followed by discussions on themes such as use of latrines, hand washing and maintenance of the safe water chain.

Different approaches could be used to collecting data. The snapshot could be used when applying the SSS of a waterpoint. A random community member plus a member of the water user committee could be interviewed. This would give an impression of sanitation and hygiene practices around improved water points. Another approach could be to interview elected village politicians and random members of their community. Interviewing village politicians or members of the WUC would give an impression of whether or not community leaders understand the importance of sanitation in relation to the general public. This could help with the targeting of mobilization activities. Such a system would need to be developed and tested thoroughly in a few areas before being implemented.

Box 5.2: Possible indicators in a Sanitation Snapshot

Sanitation Facilities

1. No latrine in existence for the household
2. Latrine available, but dirty and poorly maintained
3. Clean, well maintained latrine.

Use of Latrine

1. Family members rarely use the latrine
2. Family Members sometimes use the latrine
3. Family Members always use the latrine

Hand washing

1. Family members rarely wash hands after relieving themselves
2. Family members sometimes wash hands, not always with soap
3. Family members regularly wash their hands with soap and water

Maintenance of safe water chain

1. Family members rarely clean containers for collecting and storing water
2. Containers sometimes cleaned, but not always
3. Containers always cleaned before collecting water, usually with soap

Measuring sanitation performance is only one side of the coin. Districts are also not allocating sufficient funds to software activities, or sanitation. A system for measuring sanitation performance is only valuable if it goes hand in hand with planning and allocating adequate funds towards activities which result in improvement of sanitation practices. Emphasis should be placed on strengthening links between the district water office and the existing software departments in health and community services, for example, thorough joint implementation and coordination of activities.

3.5 Systems staffing and capacity issues in monitoring and evaluation

The ideas for performance measures set out here appear relatively simple. All of the primary data can and should be collected by subcounty community development workers and/or health assistants. Extra workers could be relatively easily trained to collect such information and there is adequate staffing provision in the district water office to process and analyse it.

A major problem often cited is facilitation. The functioning of proper performance information systems costs money, and is a routine activity that should be run continually throughout the financial year. Subcounty extra workers require adequate funding to collect performance information from communities on sustainability and sanitation issues, on top of their routine mobilization activities, and currently this is not occurring on the ground. The use of community extension workers in this way needs the agreement of the sectors' departments at both district and national levels.

3.6 Improved accountability and managerial decisions

These systems are only ultimately going to be useful if they result in better decisions being made by managers and politicians, and if accountability to the end user is improved. Local governments need to be encouraged to publish their performance at subcounty level and below, giving regular feedback to beneficiaries. Civil society organisations and NGOs can be involved in monitoring. Sectoral and cross-sectoral managerial decision making forums need to be made more functional. Even with slightly different institutional arrangements water and sanitation services require coordination within a district. Also other sector players like NGOs need to be engaged in planning and M&E systems.

4. Aligning local incentives with central objectives through local government performance assessment

All the above proposals in sections four and five are largely technical, which if employed should facilitate better decision-making and enable different levels of local government to make decisions which are in line with the achievement of sector goals. However they do not directly address the political incentives that motivate powerful politicians to ensure their voters are served. This can never be totally overcome but the incentives for districts to adhere to the national policies and guidelines can be strengthened.

4.1 District performance assessment in Uganda

In order to align incentives with national policies, routine monitoring and evaluation could be supplemented by structured performance assessment or benchmarking of each districts' implementation of national water and sanitation priorities, including measures for equity and sustainability. Performance benchmarking systems are common in developed countries, such as the US and the UK, as a means for encouraging local governments to adhere to sector policies and guidelines. Under the UK's comprehensive performance assessment process council performance league tables are created, and councils are obliged to publish their own performance record to the public. If councils perform poorly with respect to national goals and targets, then this is public knowledge.

Box 6.1: The political cost of failing to perform in Mubende district

Several subcounties failed to reach the minimum standards in the internal assessment of their administrative capacity, conducted by Mubende District Administration. This means that these subcounties were not able to access a local development grant from the Local Government Development Programme in the following year.

This was widely publicised within the district, and the public did not like it. In the 2001 local government elections, all those leaders of subcounty councils who presided over failing subcounties were voted out of office. Is that incentive enough to perform?

Such practices are not new in Uganda. There is an annual performance assessment of local governments under the Local Government Development Programme, where central government assesses and scores district adherence to decentralization laws, policies and guidelines. Under this system, districts assess subcounty performance and these assessments are verified centrally. Districts and subcounties are required to fulfill various minimum conditions in order to access a discretionary local development grant.

If a local government performs well they get an additional allocation. Box 6.1 shows that failure to perform on administrative grounds bore a high cost in Mubende district.

The Ministry of Health in Uganda has also started a system of measuring and ranking district performance in primary healthcare, and publishes a district league table in the Annual Health Sector Performance Report. This combines indicators such as the timeliness of internal reporting from health centres and output information such as immunization rates and outpatient attendance. It also includes one indicator on sanitation – household latrine coverage, however the source for this data is unclear. Although there are no financial rewards or penalties, the league table is made public, and this has provided an incentive for district directorates of health services and politicians to improve performance.

4.2 The national performance measurement framework

The WSS is in the process of developing an overall framework for national sector performance measurement, and a first sector performance report[16] using the new framework was prepared for the Water Sector Review in October 2003. Ten different themes for performance measurement have been identified, and it is proposed that a national performance report covers one or two of these themes each year. These are healthy progressions, and such performance measurement is key to ascertaining whether there is a strong link between policy, planning and implementation.

Currently, district assessment within the sector is based on a review of performance relating to previous sector plans and on reports that focus only on new infrastructure- and leave out other key elements of performance. District performance is only compared in terms of coverage. In the 2003 sector performance report there appears to be few specific proposals for a structured system which periodically assesses the performance of districts relative to the policy objectives. Three to five golden indicators have been proposed which could be used to assess district level performance. These indicators may be able to provide some important information on the achievement of sector goals, but would not be specific enough to provide concrete incentives for local technocrats and politicians to start ensuring that services are delivered in a more equitable and sustained manner.

4.3 Balanced scorecards in the rural WSS

The WSS should develop a more comprehensive annual performance assessment system that incorporates measures of equity and sustainability, but also other aspects such as value for money. Performance may not need to be measured against all ten themes in the performance assessment framework, but a clear picture does need to emerge which can then be combined with detailed records of WSS expenditure and would supplement information provided by the headline "golden indicators". .

One assessment method, which could be particularly relevant to the WSS sector, is called the balanced scorecard technique[17]. This technique is based on corporate methods that evolved in the 80s and 90s. It identifies objectives and measures four aspects of performance and then scores the performance accordingly, as shown in the table below. We have elaborated upon a few ideas for the Ugandan WSS:

Table 6.1: Developing a district balanced scorecard in the water and sanitation sector

Performance area	Goal	Possible performance measures in WSS
Achievement of mission Finding the extent to which objectives and goals are being realized	*Sustainable safe water supply and sanitation facilities, based on management responsibility and user ownership, within easy reach of the rural population by the year 2005 and with an 80%-90%*	• District water coverage • District Water Point Density • Average and relative variation in WPD • Functionality of existing water points • Household Latrine Coverage • Institutional Latrine Coverage

[16] MWLE 2003, "Measuring performance for improved service delivery"
[17] Estis, A, 1998

	effective facility use and functionality rate. Eventually increasing to 100% of the rural population by the year 2015.	
Efficiency The value for money of services being provided	*Water and sanitation services delivered efficiently to the population, using appropriate low cost technologies where possible*	• Unit costs of constructing different facilities • Average per capita investment cost • The technology mix (proportion of low cost technologies) • Collection of capital contributions
Customer Perspective How well are customers being served?	*The population is actively engaged in decision-making over WSS facilities, managing and using high quality sustainable water and sanitation facilities*	• Community engagement in the planning process • Results from the sustainability snapshot • Results from the sanitation snapshot • Water quality & quantity
Service improvement How has and what is the likelihood that services will improve?	*Local governments are making improvements in the delivery of efficient, equitable and sustainable water and sanitation services*	• Improvements in safe water coverage over the last two years • Improvements in equity over the last two years • Improvements in unit costs over the last two years • Quality of workplans

Under each performance area there is a goal and set of performance measures. In the Ugandan context, districts' performance in each of the performance areas would be documented and scored, using the performance measures identified. The performance measures would be more comprehensive than the five golden indicators, which could be used for the area "Achievement of Mission", and would attempt to describe each goal in each performance area.

The district water office could carry out assessments of the subcounty performance using this technique. Then the DWD, using a combination of staff from regional technical support units and headquarters, could carry out an assessment of districts using a similar technique, verifying some of the subcounty assessments that will have taken place, along the lines of the LGDP assessment.

The resulting scores from districts would help identify good and bad practice in local governments. It would enable district water offices to send technical support to specific subcounties that are performing poorly. Similarly it would allow the DWD to direct its technical support.

Most importantly, it would provide an incentive to districts to adhere to national priorities. Publishing performance at the district and national levels would help build incentives for politicians to adhere to sector policies and guidelines, and use factors such as equity and sustainability in the planning process.

This could also be linked to the size of development grants a district can access. For instance a minimum condition for accessing capital grant funds could be collection of community capital contribution, and certain levels of functionality. It would encourage politicians and technocrats to ensure those factors such as equity, sustainability and sanitation are given priority by local governments in advance of new capital investments. Ultimately incentives should be geared towards encouraging local governments increasingly to make decisions that result in the efficient and effective delivery of sector goals.

5. Conclusion

Uganda has achieved much in its reform of the water and sanitation sector, and this must be recognized. National systems for planning and financing the sector have been established, alongside modalities for decentralized service delivery. Coordination has improved within the sector along with common systems for programming and reviewing sector performance through a sector wide approach. The Sector is truly a high national priority and this is exemplified in the large increases in government budget allocation and the integration priority lent to the sector in the PRSP.

However this study has highlighted major problems in the equity and sustainability of rural water and sanitation service delivery, which need to be addressed if national PRSP goals for the sector are to be achieved. It has also demonstrated that these problems could be overcome by relatively straightforward improvements to planning, monitoring and evaluation in local governments. The use of tools for assessing equity and sustainability, using WPD, GIS mapping and the "sustainability snapshot", could sharpen planning decisions and focus monitoring and evaluation. This, combined with a district performance assessment system that covers other aspects of performance such as efficiency, should help align political and administrative incentives to achieve sector and PRSP goals.

The sector, because of the coherent reforms and nationwide delivery systems is uniquely able to respond to these challenges comprehensively and rapidly. The way to do so is by strengthening local government systems, and the accountability of local governments towards the public, and not through recentralizing functions. This is the test that the Ugandan WSS must be seen to respond to, if the full value of reforms is to be realized and the Millennium Development Goals achieved.

Annex 1: Wakiso District Equity Data

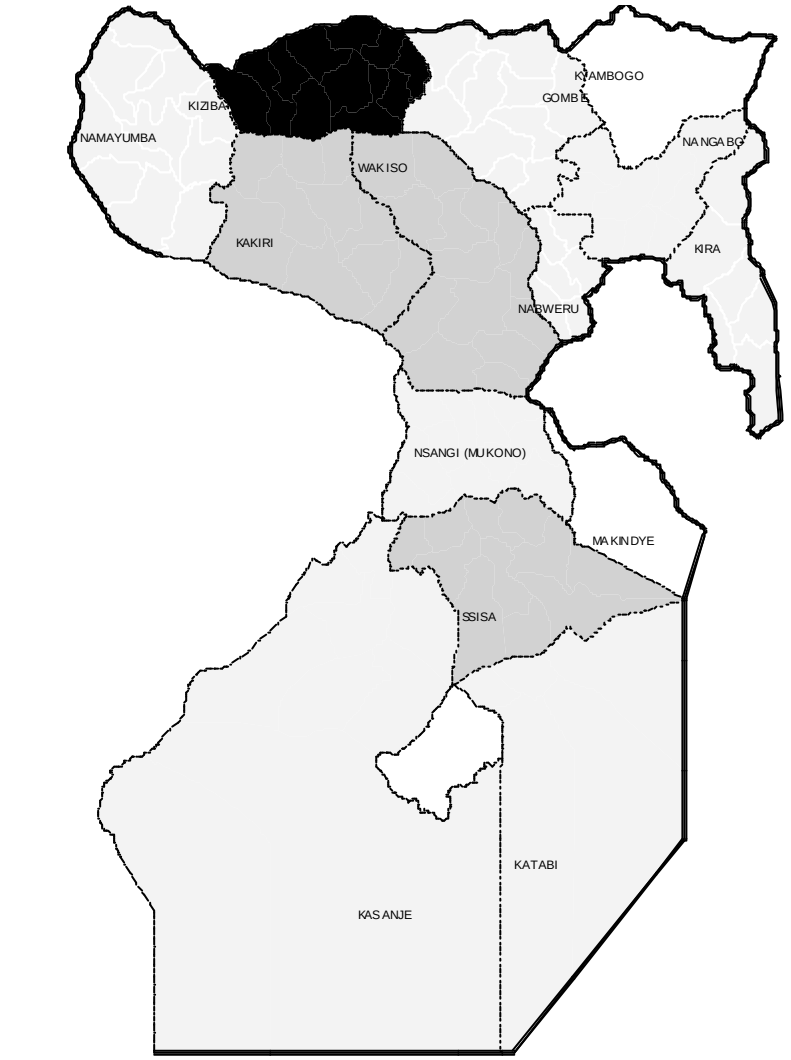
WPD density within sub-counties in Wakiso District

County/ subcounty	Population	Total sources	Improved Community Water point Density	Difference from the subcounty average	Absolute value
BUSUKUMA	26,884	61	2.27	0.73	0.73
DIVISION 1.	33,655	0	0.00	-1.54	1.54
DIVISION II	23,863	16	0.67	-0.87	0.87
GOMBE	40,294	73	1.81	0.27	0.27
KAKIRI	35,143	80	2.28	0.73	0.73
KASANJE	32,027	38	1.19	-0.36	0.36
KATABI	59,065	100	1.69	0.15	0.15
KIRA	140,019	66	**0.47**	-1.07	1.07
MASULIITA	20,296	77	**3.79**	2.25	2.25
NABWERU	106,221	51	**0.48**	-1.06	1.06
NAMAYUMBA	26,374	28	1.06	-0.48	0.48
NANGABO	58,426	98	1.68	0.13	0.13
NSANGI	72,475	105	1.45	-0.09	0.09
SSISA	48,531	111	**2.29**	0.74	0.74
WAKISO	66,649	134	2.01	0.47	0.47
Average			**1.54**		**0.73**

Source: Wakiso District Water Office

WaterAid

Map of Wakiso District showing density in distribution of water points



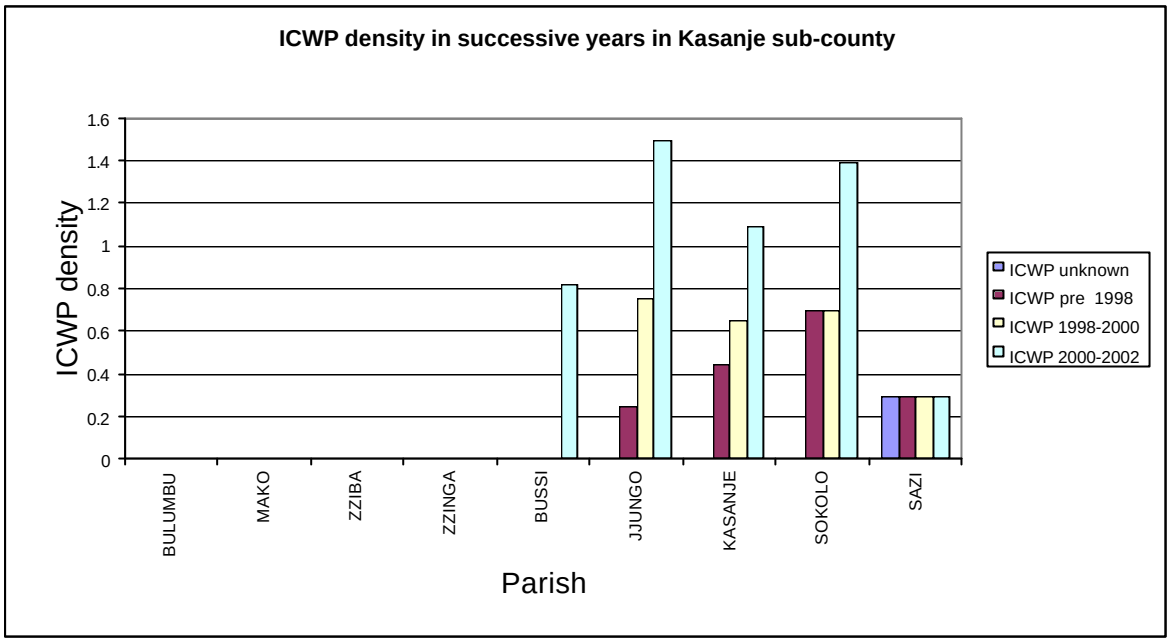
ICWP density at 1000
0.47 - 1.13
1.14- 1.70
1.80 - 2.46
2.47- 3.12
>3.13

N
W E
S

20 0 20 40 Kilometers

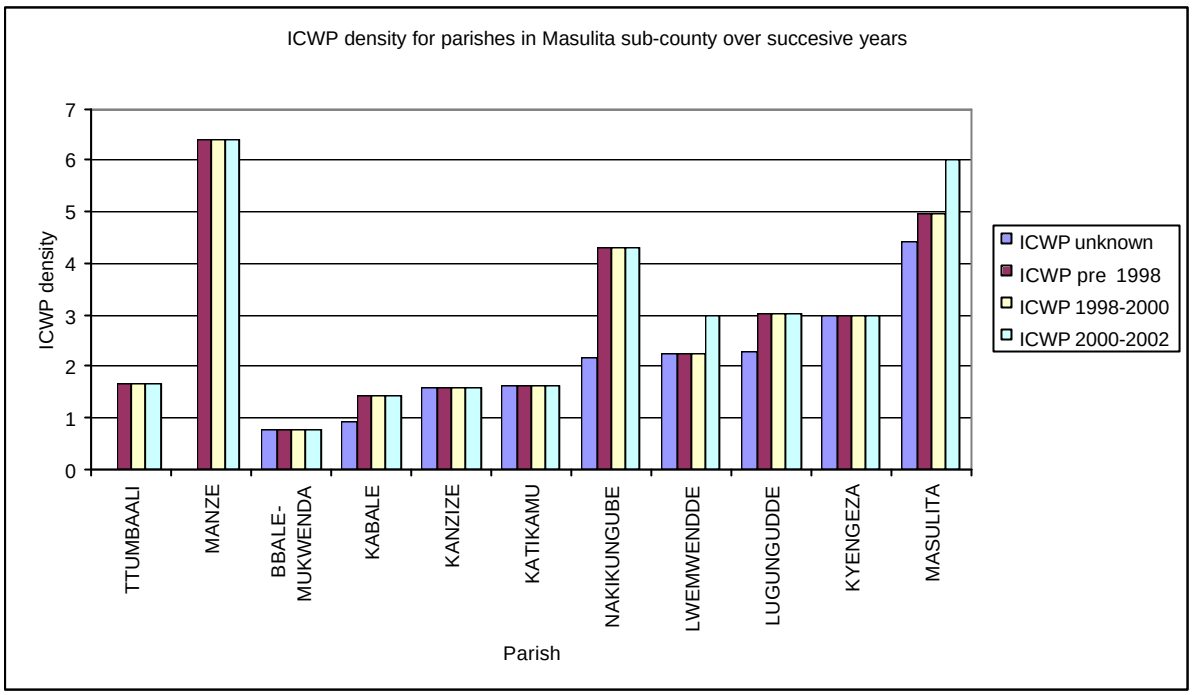
WPD density for parishes in Kasanje subcounty over successive years

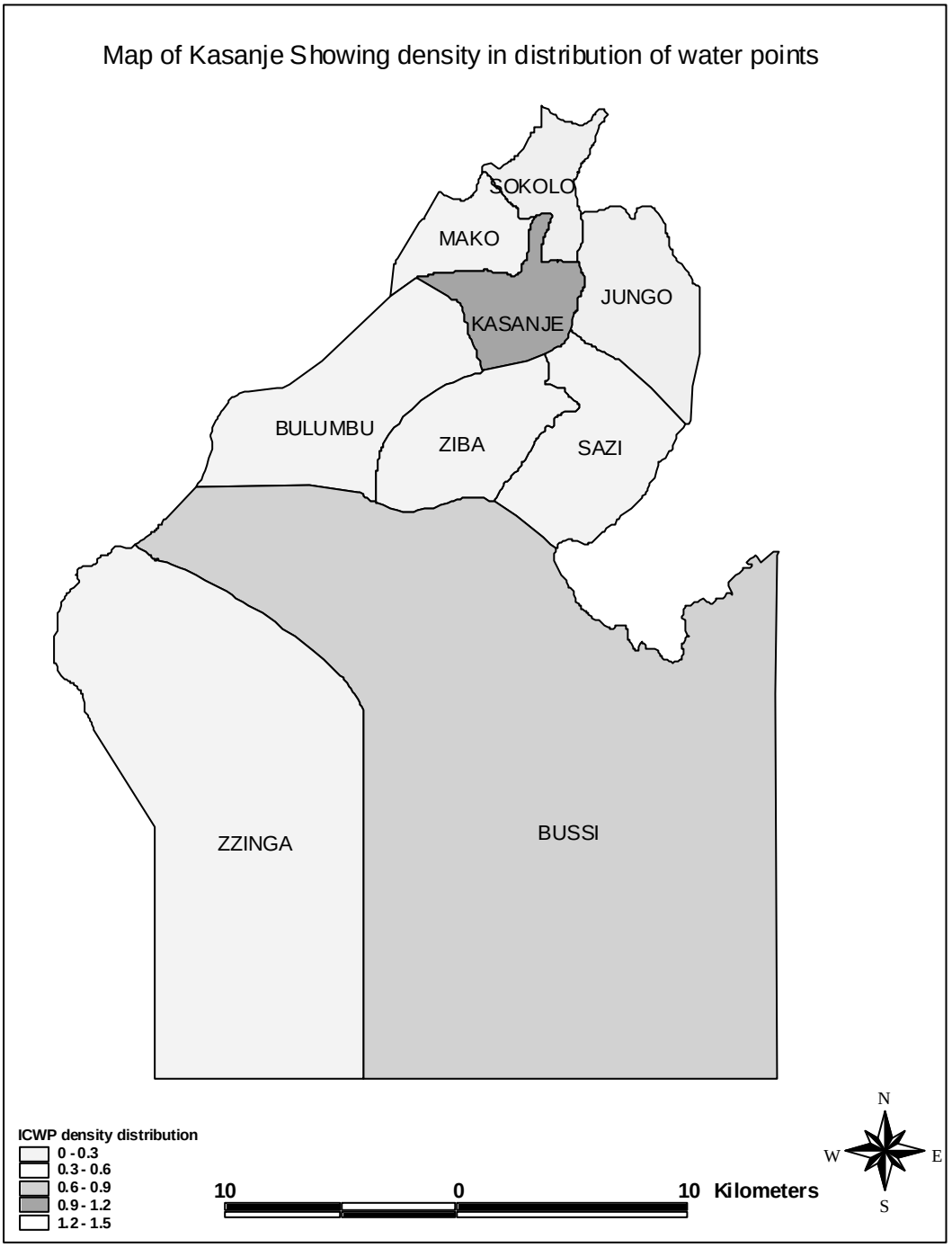
Parish	Pop	unknown	Pre 1998	1998-2000	2000-2002	WPD unknown	WPD pre 1998	WPD 1998-2000	WPD 2000-2002
BULUMBU	3,873	0	0	0	0	0.00	0.00	0.00	0.00
MAKO	2,153	0	0	0	0	0.00	0.00	0.00	0.00
ZZIBA	2,209	0	0	0	0	0.00	0.00	0.00	0.00
ZZINGA	1,613	0	0	0	0	0.00	0.00	0.00	0.00
BUSSI	7,327	0	0	0	6	0.00	0.00	0.00	0.82
JJUNGO	4,007	0	1	2	3	0.00	0.25	0.75	1.50
KASANJE	4,581	0	2	1	2	0.00	0.44	0.65	1.09
SOKOLO	2,871	0	2	0	2	0.00	0.70	0.70	1.39
SAZI	3,393	1	0	0	0	0.29	0.29	0.29	0.29
	32,027	1	5	3	13				


ICWP density in successive years in Kasanje sub-county
ICWP density
1.6
1.4
1.2
1
0.8
0.6
0.4
0.2
0
BULUMBU
MAKO
ZZIBA
ZZINGA
BUSSI
JJUNGO
KASANJE
SOKOLO
SAZI
Parish
ICWP unknown
ICWP pre 1998
ICWP 1998-2000
ICWP 2000-2002

WPD density for parishes in Masulita subcounty over successive years

Parish	Pop	unknown	pre 1998	1998-2000	2000-2002	WPD unknown	WPD pre 1998	WPD 1998-2000	WPD 2000-2002
TTUMBAALI	1,198	0	2	0	0	0.00	1.67	1.67	1.67
MANZE	1,090	0	7	0	0	0.00	6.42	6.42	6.42
BBALE-MUKWENDA	1,300	1	0	0	0	0.77	0.77	0.77	0.77
KABALE	2,119	2	1	0	0	0.94	1.42	1.42	1.42
KANZIZE	2,494	4	0	0	0	1.60	1.60	1.60	1.60
KATIKAMU	1,845	3	0	0	0	1.63	1.63	1.63	1.63
NAKIKUNGUBE	1,394	3	3	0	0	2.15	4.30	4.30	4.30
LWEMWENDDE	1,347	3	0	0	1	2.23	2.23	2.23	2.97
LUGUNGUDDE	1,324	3	1	0	0	2.27	3.02	3.02	3.02
KYENGEZA	2,359	7	0	0	0	2.97	2.97	2.97	2.97
MASULITA	3,826	17	2	0	4	4.44	4.97	4.97	6.01
	20,296	43	16	0	5				


ICWP density for parishes in Masulita sub-county over succesive years
ICWP density
0
1
2
3
4
5
6
7
TTUMBAALI
MANZE
BBALE-MUKWENDA
KABALE
KANZIZE
KATIKAMU
NAKIKUNGUBE
LWEMWENDDE
LUGUNGUDDE
KYENGEZA
MASULITA
Parish
ICWP unknown
ICWP pre 1998
ICWP 1998-2000
ICWP 2000-2002


Map of Kasanje Showing density in distribution of water points
SOKOLO
MAKO
JUNGO
KASANJE
BULUMBU
ZIBA
SAZI
ZZINGA
BUSSI
ICWP density distribution
0 - 0.3
0.3 - 0.6
0.6 - 0.9
0.9 - 1.2
1.2 - 1.5
10
0
10
Kilometers
N
W
E
S

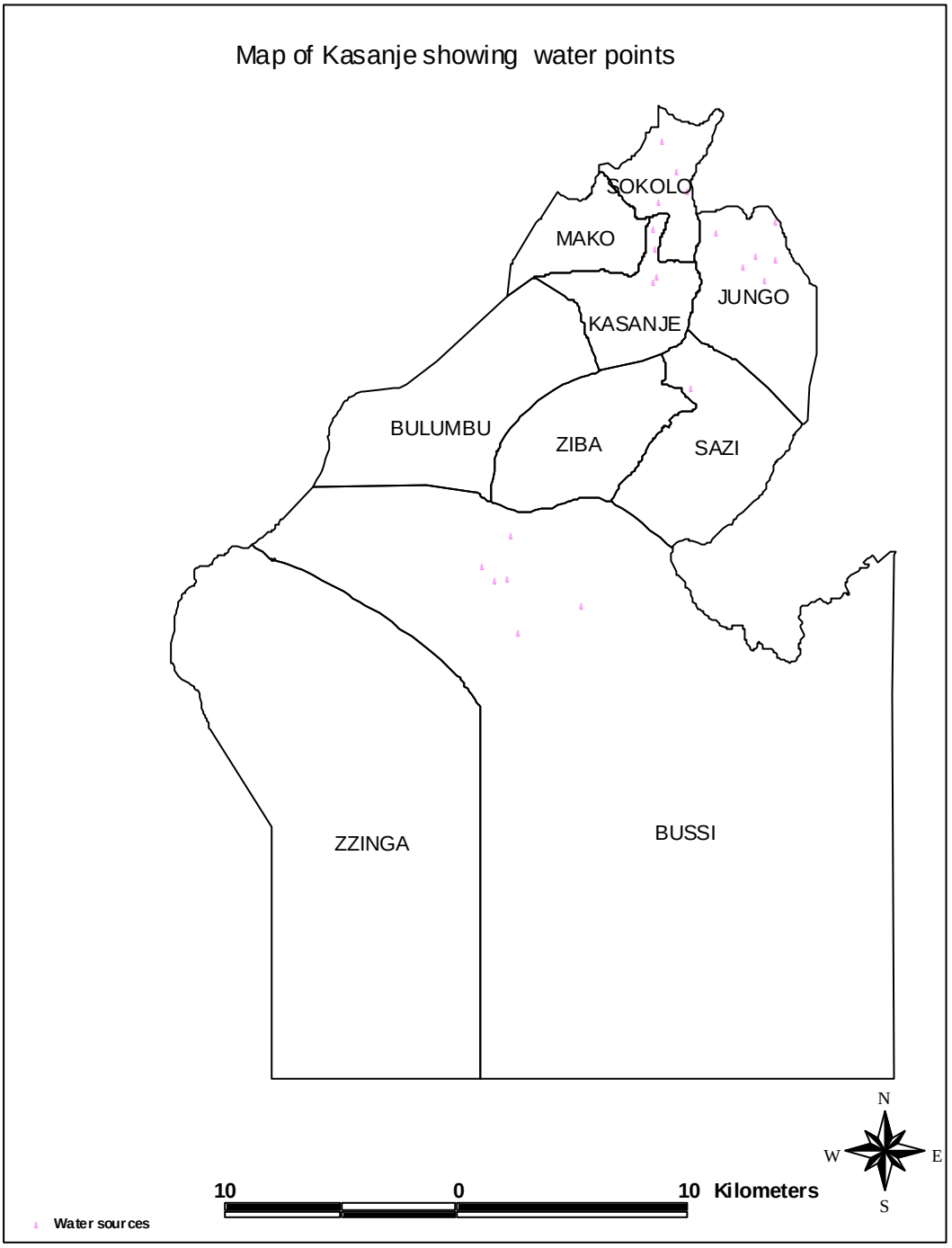
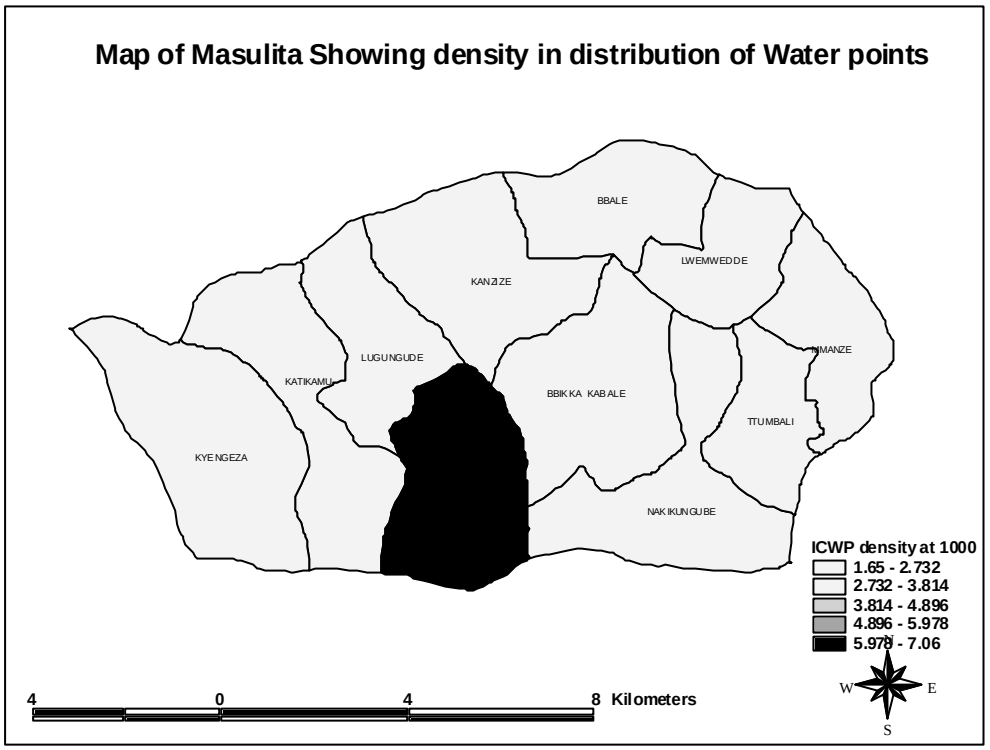
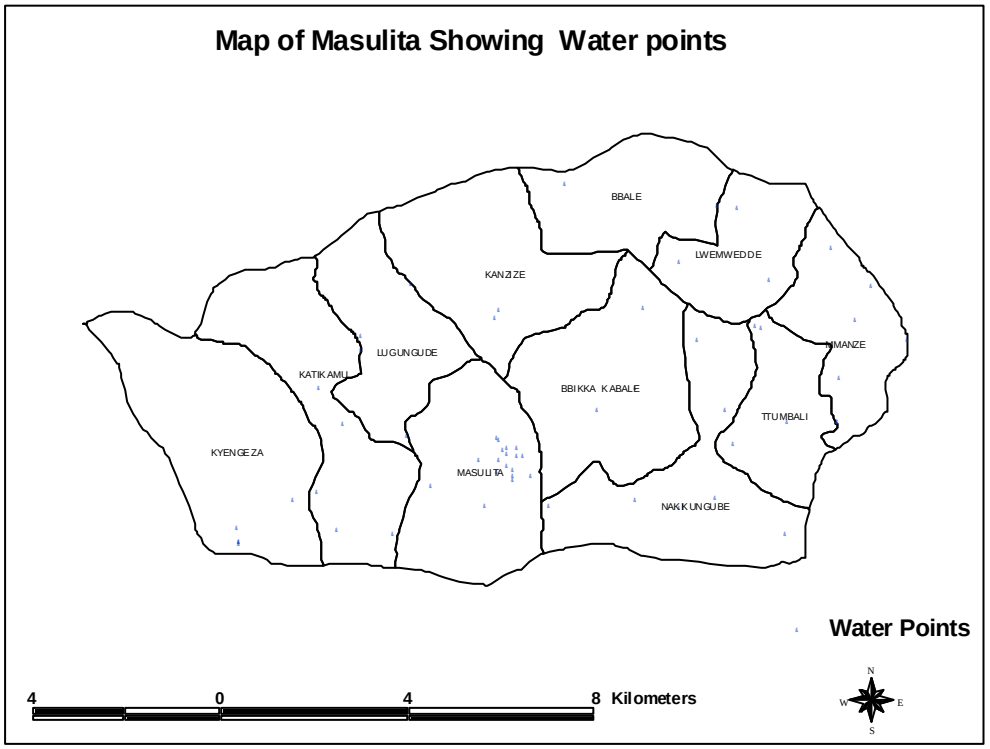


Fig 5: WPD density in successive years in Masulita subcounty, Wakiso district


Map of Masulita Showing density in distribution of Water points
BBALE
LWEMWEDDE
KANJIZE
LUGUNGUDE
KATIKAMU
BBIKKA KABALE
TTUMBALI
KYENGEZA
NAKIKUNGUBE
ICWP density at 1000
1.65 - 2.732
2.732 - 3.814
3.814 - 4.896
4.896 - 5.978
5.978 - 7.06
4 0 4 8 Kilometers
N
W
E
S

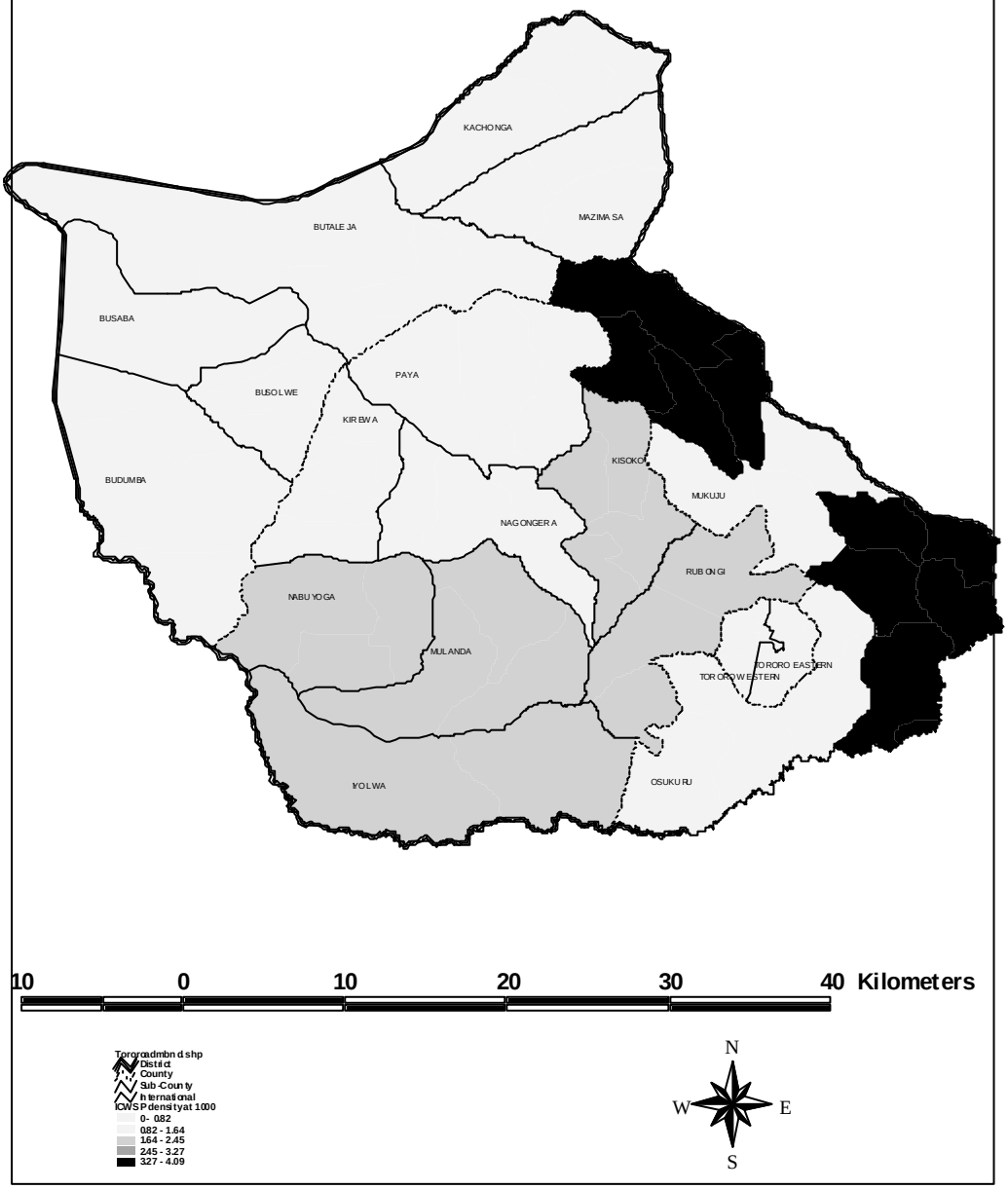

Map of Masulita Showing Water points
BBALE
LWEMWEDDE
KANJIZE
LUGUNGUDE
KATIKAMU
BBIKKA KABALE
TTUMBALI
KYENGEZA
MASULITA
NAKIKUNGUBE
Water Points
4 0 4 8 Kilometers
N
W
E
S

Annex 2: Tororo Equity Data

Current rural safe water supply data (by subcounty) as at 30th June 2003

	Sub County	Functioning (a)	Not func (b)	Total ©	Population (d)	WPD (c/d) *1000	Difference from average(d)	Absolute value of (d)
1	BUDUMBA	33	4	37	28,489	**1.30**	-0.14	0.14
2	BUSABA	25	2	27	17,399	**1.55**	0.12	0.12
3	BUSOLWE	21	1	22	20,335	**1.08**	-0.35	0.35
4	BUTALEJA	31	5	36	26,418	**1.36**	-0.07	0.07
5	IYOLWA	42	1	43	24,399	**1.76**	0.33	0.33
6	KACHONGA	35	4	39	29,682	**1.31**	-0.12	0.12
7	KIREWA	38	0	38	30,423	**1.25**	-0.19	0.19
8	KISOKO	29	1	30	14,471	**2.07**	0.64	0.64
9	**KWAPA**	**63**	**1**	**64**	**15,646**	**4.09**	**2.66**	**2.66**
10	MAZIMASA	29	2	31	26,695	**1.16**	-0.27	0.27
11	MELLA	0	0	0	26,364	**0.00**	-1.44	1.44
12	MERIKIT	0	0	0	17,626	**0.00**	-1.44	1.44
13	MOLO	42	2	44	13,266	**3.32**	1.88	1.88
14	MUKUJU	46	0	46	30,539	**1.51**	0.07	0.07
15	MULANDA	50	0	50	28,146	**1.78**	0.34	0.34
16	NABUYOGA	34	1	35	20,546	**1.70**	0.27	0.27
17	NAGONGERA	25	0	25	28,974	**0.86**	-0.57	0.57
18	**NAWANJOFU**	**7**	**1**	**8**	**11,909**	**0.67**	**-0.76**	**0.76**
19	OSUKURU	56	0	56	34,056	**1.64**	0.21	0.21
20	PAYA	31	0	31	31,236	**0.99**	-0.44	0.44
21	PETTA	0	0	0	11,718	**0.00**	-1.44	1.44
22	RUBONGI	58	0	58	26,935	**2.15**	0.72	0.72
					Average	**1.44**		**0.66**

Map of Tororo District showing density in distribution of water points.

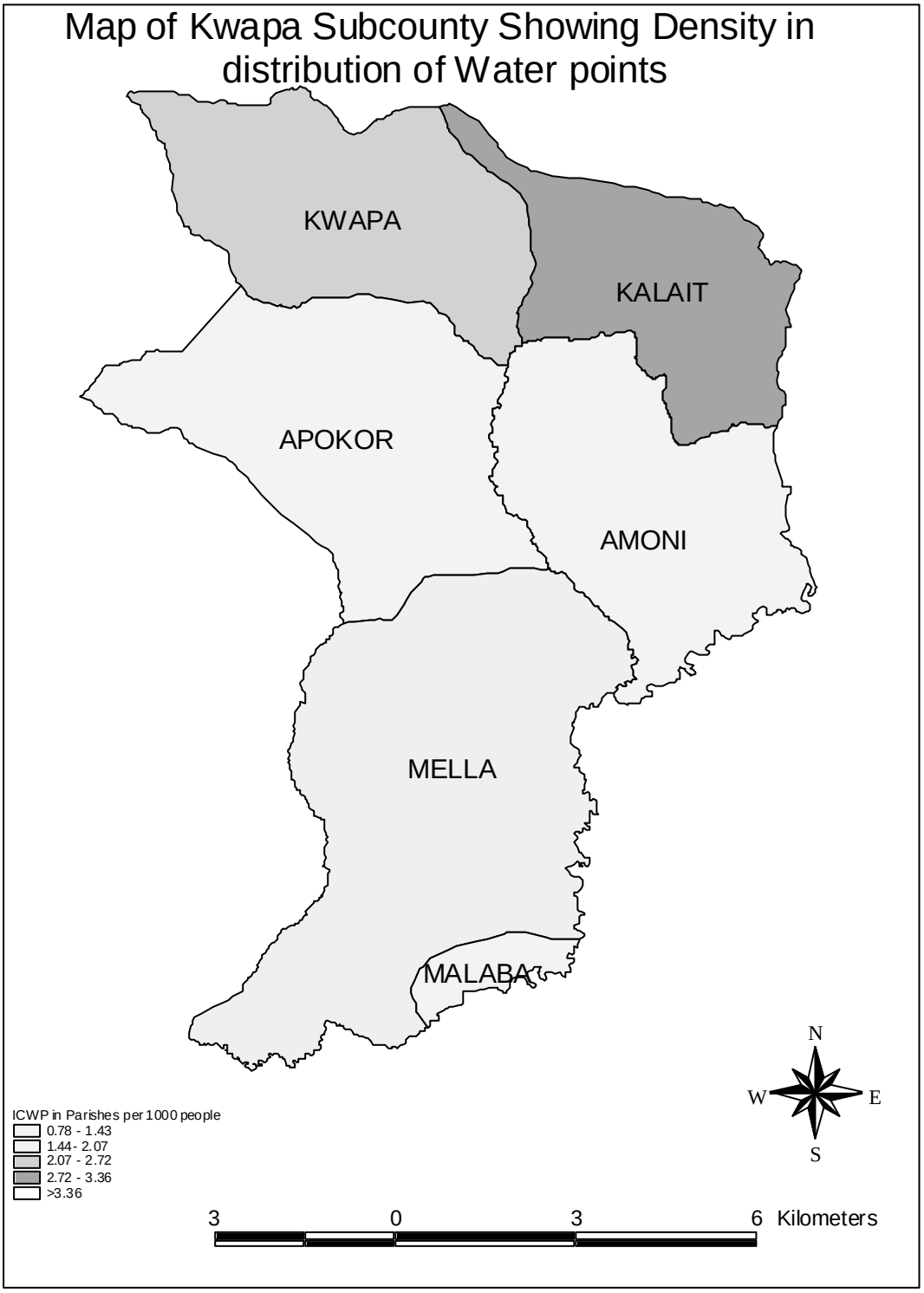


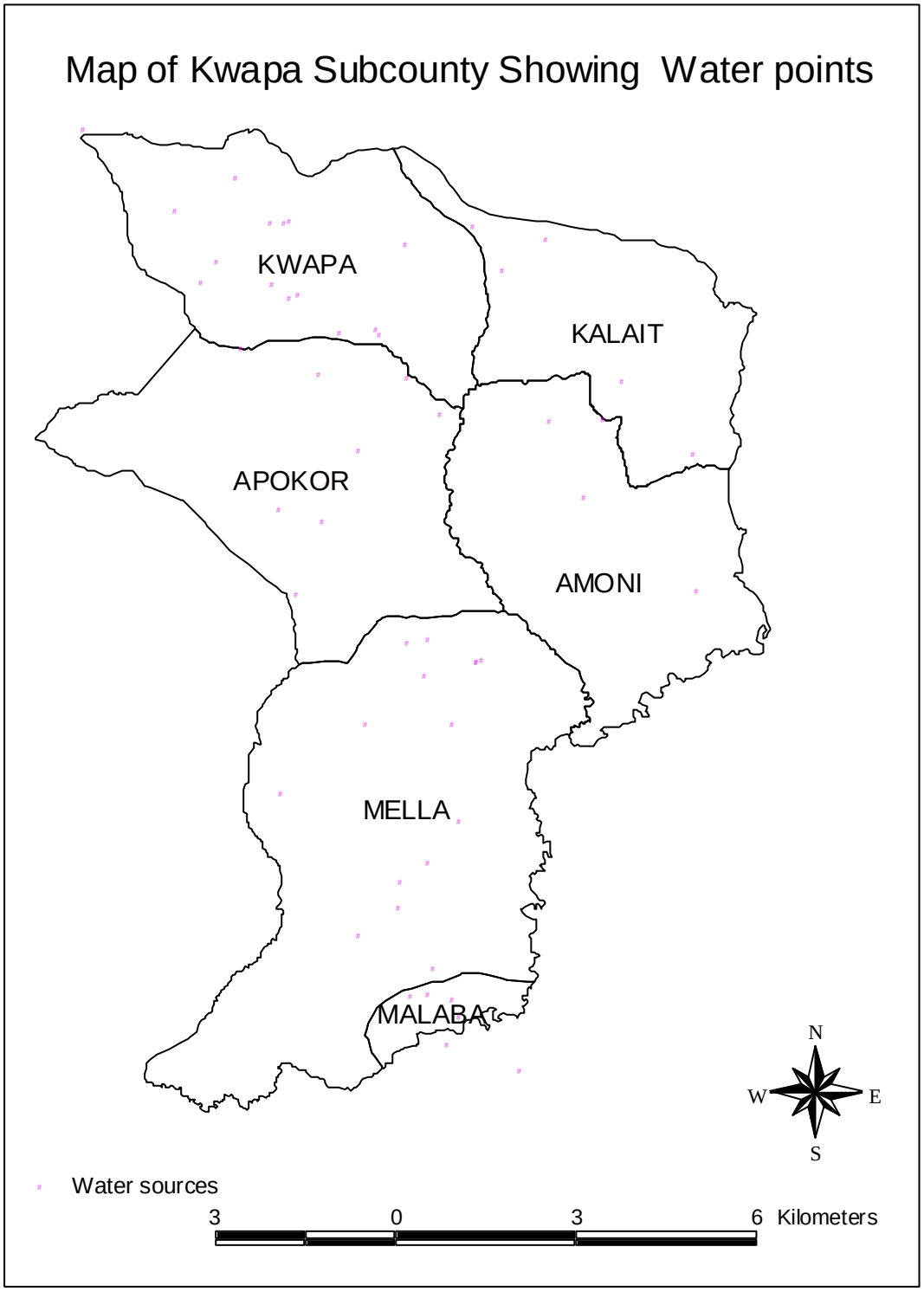
WPD density for parishes in Kwapa subcounty for successive years

Parish	Pop	Unknown	Pre 1998	1998-2000	2000-2002	WPD unknown	WPD pre 1998	WPD 1998-2000	WPD 2000-2002
AMONI	3,448	1	3	1	0	0.29	1.16	1.45	1.45
MALABA	3,865	4	4	0	0	1.03	2.07	2.07	2.07
APOKOR	2,941	2	5	1	0	0.68	2.38	2.72	2.72
KWAPA	6,355	2	7	8	0	0.31	1.42	2.68	2.68
KALAIT	2,427	4	2	1	0	1.65	2.47	2.88	2.88
MELLA	3,396	5	9	4	0	1.47	4.12	5.30	5.30

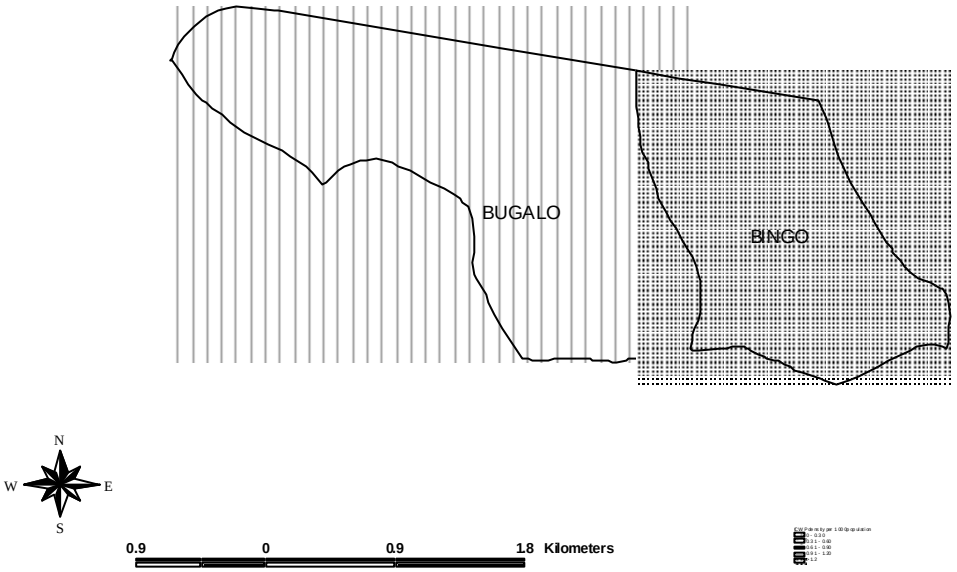
WPD density for parishes in Nawanjofu subcounty for successive years

Parish	Pop	unknown	pre 1998	1998-2000	2000-2002	WPD unknown	WPD pre 1998	WPD 1998-2000	WPD 2000-2002
BUGALO	3,159	0	0	0		0.00	0.00	0.00	0.00
BINGO	5,314	0	1	3	4	0.00	0.19	0.75	1.51
BUBBINGE	3,436	1	0	0	0	0.29	0.29	0.29	0.29
	11,909	1	1	3	4				

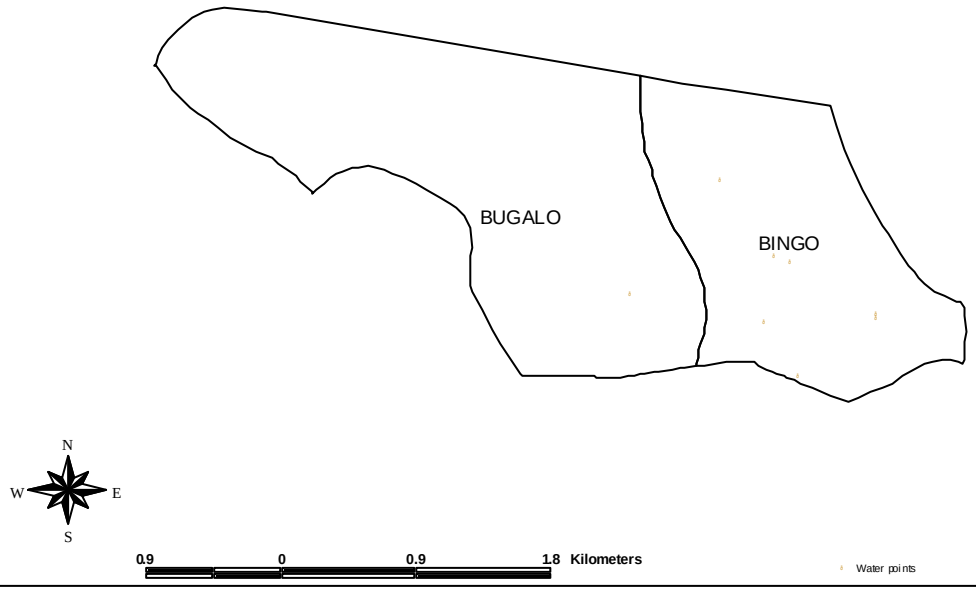

Map of Kwapa Subcounty Showing Density in distribution of Water points
KWAPA
KALAIT
APOKOR
AMONI
MELLA
MALABA
N
W
E
S
ICWP in Parishes per 1000 people
0.78 - 1.43
1.44 - 2.07
2.07 - 2.72
2.72 - 3.36
>3.36
3
0
3
6 Kilometers


Map of Kwapa Subcounty Showing Water points
KWAPA
KALAIT
APOKOR
AMONI
MELLA
MALABA
N
W
E
S
Water sources
3
0
3
6 Kilometers

Map of Nawanjofu showing Density in Distribution of Water points



Map of Nawanjofu showing Water points



Annex 3: Sustainability Snapshot

STAGE ONE

The aim of stage one is to undertake a quick evaluation of a community's ability to maintain the various types of waterpoint your programme/project is installing.

Complete this 'sustainability' grid for each type of water point with reference to the description below

Project name:			
Technology	Hand Dug Well with Pump	Spring well	Borehole with hand-pump
Financial			
Technical skills			
Spare and equipment			

Financial
Which of the following is applicable to the type of waterpoint in question?

1. No funds available for maintenance when needed
2. Funds available but not sufficient for the most expensive maintenance process
3. Funds available and sufficient for the most expensive maintenance process

Technical skills
Which of the following is applicable to the type of waterpoint in question?

1. Technical skills not available for maintenance when needed
2. Some technical skills for maintenance, but not for all.
3. Technical skills for all maintenance processes available

NB Available in this context means available to an average community member within a reasonable time

Equipment and spare parts
Which of the following is applicable to the type of waterpoint in question?

1. Not available when needed
2. Available but not for all repairs
3. Available for all repairs

STAGE TWO – COMMENTS
Given your above ranking, can you give a brief explanation of the reasons why you allocated such a score.

STAGE THREE - THE WAY FORWARD
Answer these questions -
Is it reasonable to aim for 3's in all your examples above?
What do you think you need to do differently to achieve '3's?
Is this possible?

If you have a series of '3s' or if you have moved recently from a 2 to a 3, have you documented this process?
Is this possible?

This snapshot shall be applied at village, subcounty and district levels.

Annex 4: Summary of focus group discussions and meetings at district, subcounty and village level in Wakiso and Tororo

Planning process

- Bottom-up planning for WSS is practiced. This process is guided by the existing planning formats for use right from village to district level. Some of formats were developed by DWD (PAF) while the districts developed others.
- The process starts with a subcounty consultative meeting involving subcounty executive committee, PDC members and subcounty administration. Funding levels for respective sectors are communicated and PDCs given planning formats. PDCs then conduct meeting with the community members where a list of WSS priority areas is developed. The PDC committee, in a separate meeting, integrates all the village plans into one parish development plan using the priority-ranking method. In the same manner the subcounty executive committee, guided by the extension staff, uses the parish plans for developing subcounty plans. These plans are then submitted to the district for incorporation into a district plan.
- Other stakeholders in the sector like NGOs and CBOs are also facilitated with planning formats. This was only the case in Wakiso district.
- The main problem noted in this planning process, was the low attendance of meetings by community members. As a result the communities feel excluded in the planning process. This is attributed to a lack of awareness of their role in planning, lack of information about the performance of the previous plans and expectation of allowances for attending meetings. "*Many people do not want to attend village-planning meetings because each time we are asked to forward our needs but at the end, they are not considered. The next time they come again asking the same things but we are not told why the previous year we were not given a water point."* (Man in the FGD in Morukebu village, Tororo).
- Because of the perennial low attendance of community meetings and the need to beat deadlines, often a few individuals plan for the whole village.
- There are instances when village priorities are not at all included in the plan because of weak village leadership. Sometimes decisions are made at a higher level on their behalf.
- The attitude from some community members is that leaders should plan on their behalf. "*We elected them. They know our problems so they should plan for us."* Nawanjofu community member - Tororo District.
- The season for planning (May- June) happens to be a very busy agricultural season for rural communities.

Determining priorities for location of WSS intervention

- Community involvement ceases once the need for a waterpoint is indicated during planning, and after siting waterpoints with the geologists.
- Subcounties and districts have guidelines for siting the WSS facilities.

Community involvement in determining distribution

- Communities are given an opportunity to express demand through annual planning exercises. The village information gathered is then used to guide final distribution.
- Communities are not asked to suggest factors to be considered for final allocation. The subcounty or district determines these.
- When asked if there were factors considered important in waterpoint distribution, the following were listed: availability of alternative sources whether protected or not, population, distance between the water sources and existence of institutions like schools.
- While at the subcounty and the district where actual distribution decisions are made, coverage, population, technology options and demand by community are considered in principle.
- In practice both districts tended to use geographical coverage to fulfill political demands and need to be seen to spread resources. *"We can express safe water coverage in two ways that is safe water sources per village and by the use of population. However, the use of population is disadvantageous because it does not reveal the actual distribution.*" (District official in Wakiso).

- NGOs especially religious-oriented ones tend to focus on areas where their denomination is predominant, while others focus on the poorly served areas, such as WaterAid. The location of NGO activities tended to be more easily influenced by politicians.

Financing arrangements for water supply

- Discussing the sector strategy of DRA is proposed to help bring the community in on choice of facility and the need to pay their share of capital contribution. All levels expressed awareness of the policy. But said that it only used to operate under the WES/ RUWASA programs in both districts. Currently, this is not practiced at local government and lower levels mainly due to lack of emphasis on it by the project leaders and due to political interference. While commenting on the influence of politicians on capital contributions, a district official from Wakiso quoted what politicians usually tell the community "*You just wait for the service. Do not even bother paying. The government has provided everything.*"
- O&M financing is through household contributions and in some instances 25% tax remittance to the Local Council (level) 1. The use of the Plan for Modernization of Agriculture (PMA) funds was also common in the subcounties in Tororo district.
- Other organisations were reported as not following guidelines either for mobilization or allocation of resources. One of the villages visited (Nakigungube) was supplied with 11 shallow wells but currently only one is operating. One official, while stressing the point on ownership, noted that communities always say, "*That waterpoint belongs to ILO.*" In reference to the organisation that sunk the wells.

Existence of incentives forms proper management of water supply and sanitation promotion.

- Coincidental incentives at community level were observed. In Kira - Wakiso district, one-community charges a fee for water collected by a nearby private school and for commercial washing of vehicles.
- One of the best-maintained boreholes in Kabosa II, in Tororo, gets their motivation by being a reference point in the district or being visited by senior government officials.

Household hygiene and sanitation

- Home and village improvement campaigns where the best performing households got rewarded used to be practiced but have stopped.
- Use of bylaws to promote latrine construction is not being enforced.
- Subsidies on sanplats used to be provided by WES/RUWASA but are no longer in place.
- Communities in rocky places complained that latrine construction was very difficult due to lack of tools and technical advice. One community member said, "*The area is rocky and I do not have a mattock or a pick axe to dig deep enough. I lack technical knowledge on how to break the rocks." (Kira subcounty Wakiso district.)*

Participation in M&E

- Planning framework and formats in place, district to village levels.
- Stakeholders - politicians, technical staff, civil society, PDCs, WUSs/ WSC.
- Roles and responsibilities of the main stakeholders M&E not clear to them.
- Guidance on participation and reporting, especially in the political group, is weak (no framework).
- Emphasis on quantitative data collection.
- The structure for flow of information is in place both through the LC system and the technical staff. This is generally weak.
- Receipt of information is not quite systematic at all levels and feedback is usually not planned for.
- Information-sharing forums are in place, for example, through the budget conferences and inter-sub county review meetings held quarterly in Wakiso.
- There have been limited attempts to equip the stakeholders with basic skills and tools for effective participation. This greatly affects their level of involvement and contribution in M&E. "*At times we relax not knowing we are the ones to carry out monitoring,*" (one sub-county official in Masulita- Wakiso District). Guidelines for multi-sector monitoring are not properly developed.
-

- In many instances, monitoring is hurriedly done because of the availability of the funds. *"How can you make a team to go and monitor something they are not involved in?"* (Official from Wakiso District).

Levels of Involvement of Institutions in M&E

- Vary in scope and interest.
- Politicians are mainly interested in following up issues on allocation and construction of WSS facilities. They were reported to be active in reporting O&M problems of water facilities. One official in Tororo reported: *"Once a borehole has broken, some politicians put a lot of pressure on us to repair it. In a way, we come to know about the status of these facilities."*
- Technical staff are mainly involved in hardware related activities i.e. supervision of construction activities. There is minimal interest in software activities.
- Two types of NGOs were identified. Those involved in direct implementation and those involved in advocacy. Both were reported to be using independent frameworks for monitoring and reporting. Feedback meetings by advocacy groups were conducted through subcounty meetings.
- In Wakiso, NGO planning formats are developed by the district and inter subcounty review meetings held on a quarterly basis. They are used as a force for sharing information as already noted.(This was reported at district and subcounty meetings)
- In Tororo, weak information sharing occurred between the implementing NGOs or other stakeholders.

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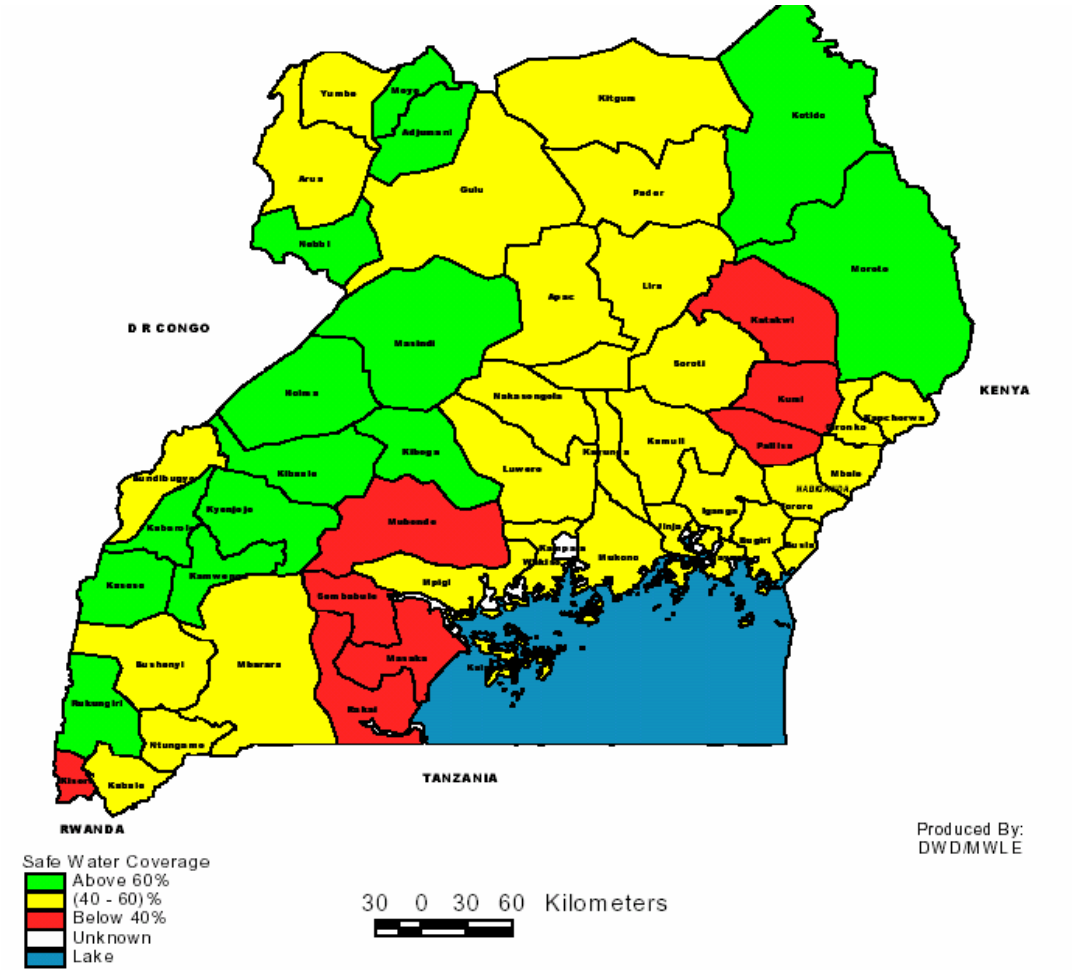

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