



Republic of Uganda

MINISTRY OF WATER, LANDS AND ENVIRONMENT
DIRECTORATE OF WATER DEVELOPMENT

REPORT BY THE SECTOR PERFORMANCE THEMATIC TEAM

**Joint GoU/Donor Technical Review of the Water and
Sanitation Sector,
March 24th -25th, 2004
Lake View Regency Hotel, Mbarara**

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REPORT BY THE SECTOR PERFORMANCE THEMATIC TEAM TO JTR, MARCH 04

1. Introduction

In November 2003, the Sector Performance Thematic Team (SPTT) was established by the Water and Sanitation sector working Group to accomplish the Joint Sector Review undertakings 6 and 7:

6. Carry out comprehensive performance monitoring of the sector – based on recommended framework.
7. Carry out value for money (VFM) and tracking studies as required for the centre and Local Government levels.

The SPTT held three formal meetings on 15/12/2003, 13/01/2004 and 11/3/2004. Two working Sub-groups were set up, that carried out consultations and in-depth work on aspects of the undertakings. The process set towards the achievement of the undertakings based on the matrix set up by JSR in September, 2003 as on March 2004 are as follows:-

2. Performance monitoring

2.1 Review and Adopt the Performance Measurement Framework (PMF)

The WSWG considered and adopted the Draft PMF in principle in November 2003. The SPTT reviewed the draft in detail in meetings, and workshops during which the consultant presented the draft PMF and guided discussion on indicators and the way forward. Based on the discussions the PMF has been review and adopted. *[Attached is the adopted PMF]*

2.2 ToR and Other Modalities for Implementation of the PMF

A draft ToR has been prepared for undertaking a performance audit in May-July 2004. A detailed action plan was prepared for implementing the PMF (Annex 3).

2.3 Refine Performance Indicators and Definitions of Themes

The SPTT workshop was a good opportunity to review the performance indicators. The SPTT selected 8 'golden' indicators, 7 other Indicators and 5 indicators for each sub-sectors for measuring progress in the water sector, which were reviewed and adopted by the WSWG (Annex 1). Some of the Golden Indicators were circulated to Local Governments during the negotiations with the Local Governments and presented at the Local Government Budget Framework Workshop in December 2003.

These indicators will be clearly defined so that there is consistent measurement of key data. Agreement is also needed on how to 'drill-down' the indicators – how they can be analysed into various components or broken down in various ways.

2.4 Conduct Workshops to Agree on Sector Performance Indicators

The draft PMF was presented to all District Water Officers at a workshop in Mbale in October 2003. A central level workshop was held on 30/01/2004, during which the consultant presented the draft PMF and guided discussion on indicators and the way forward. The workshop discussed and adopted the Golden Indicators for the sector.

2.5 Identify Mechanisms for Collecting and Analysing Data and Implement Capacity Building Strategy

Initial discussions have been held to define modalities for collection information at different levels and the activity is due to be completed in June 2004. The water sector MIS is to be reviewed and updated to

improve on capturing data for measurement of performance. The process of procuring a consultant to undertake the review has started, and the review is expected to be completed by June 2004.

3. VFM Audits/Tracking Studies

3.1 Follow up on Previous VFM Audits and Tracking Studies

The VFM Audits were carried out in all districts in 2001/2002 and Tracking Studies in 10 selected districts and 6 towns in 2002/2003; the findings and recommendations impacted at all levels. Actions taken include:

- DWD wrote to the IGG, Auditor General, Ministries (Local Government and Finance), and Districts to implement recommendations under their mandates.
- DWD has developed guidelines for contract procurement and management, and software implementation; finalised the O&M Framework. Tailor made training was conducted to address identified deficiencies in procurement, contract management and computer applications; and is ongoing in financial management. Districts have been equipped with computers to assist in planning and financial management. Detailed DWD actions are shown in Annex 2.
- 27 districts have responded indicating the actions being taken. TSUs reported that some districts took corrective action. These were compiled in a report in December 2003. Actions taken include sacking personnel, blacklisting contractors, and reduced misuse of vehicles. Reports from Districts now show improved quality of district work plans and reports, and contract management
- During the LGBF workshops in Dec, 2003, Districts were informed that funds would be withheld from them if they do not implement the VFM recommendations by June 2004.
- The Auditor General audited some districts and took remedial action.
- A Private Sector study was completed in September 2003 that identified lack of capacity as one major shortfalls of private sector and prepared a capacity building initiatives.
- It is targeted that the FDS and IFMS will address most of the observed weaknesses in Local Governments identified in the tracking study.

3.2 Improve the Modalities for VFM Audits/Tracking Studies

The focus has shifted from VFM audits to performance audit. Annual Performance Audits will therefore be undertaken based on the indicators adopted. A ToR has been prepared for the Performance Audit to be undertaken in 2004

3.3 Institutionalise VFM/Tracking Study

Under PRSC it is a requirement that Education, Health and Water & sanitation sectors should carryout annual tracking studies. It is planned to focus this year's tracking study at the centre where 10 projects have been picked, including capacity building.

3.4 Review and Combine ToR for VFM Audit and Tracking Study

A ToR has been prepared for the tracking study to be undertaken in 2004. The studies are to be completed by September 2004.

4 Action Plan

Action plan for the accomplishments of the implementation of the two undertakings is presented in the Revised Matrix in Annex 3

Annex 1: SECTOR PERFORMANCE INDICATORS

A. Golden Indicators

1. % of people within 1.5 km (rural) and 0.2 km (urban) of an improved water source.
2. % of improved water sources that are functional at time of spot check.
3. Average investment cost per beneficiary of new water and sanitation schemes.
4. % of people with access to improved sanitation (households and schools).
5. % increase in cumulative storage capacity available for water for production.
6. % of water samples taken at point of collection that comply with national standards.
7. Mean Parish deviation from district average in persons per improved water point.
8. % of people with access to hand-washing facilities.

B. Other Indicators

9. Average % of household expenditure paid for water and sanitation services.
10. % of people that use improved sanitation (households and schools).
11. % of men and women who are satisfied with water and sanitation services.
12. Average daily per capita total water consumption.
13. % change in average ground and surface water levels.
14. % of sector annual approved budgets that are actually spent on water and sanitation investment programmes.
15. % of staff positions in central and Local Government that are filled.

C. Sub-Sector Indicators

Rural water and sanitation

1. % of new water facilities built vs plan.
2. Average total time to collect the daily water for the household (from all sources).
3. Funds allocated and spent on hygiene promotion per capita.
4. Quality of data for sanitation and hygiene (at all levels).

Urban water and sanitation

1. % of unaccounted for water.
2. Staff productivity (staff per 1,000 connections).
3. Collection/billing ratio.
4. Number of water and sewage connections.
5. % of the urban population with on-site sanitation facilities (Septic Tanks, Pit latrines, Ecosan etc)
6. % effective response to customer complaints with 24 hours.

Water for production

1. (to be agreed upon)

does
access
mean
practically?

Water resources management

1. % of water permits issued within the stipulated 90 days.
2. Number of permit holders monitored to ensure compliance every quarter.
3. % of water samples analysed within 10 days of receipt.
4. % of monitoring stations operated and maintained satisfactorily.
5. % of data entered within 14 days of receipt.
6. % of water assessment studies completed on schedule.

Annex 2

UPDATE OF DWD ACTIONS TAKEN ON VFM REPORTS

WEAKNESSES	RECOMMENDATIONS BY CONSULTANTS	ACTIONS TAKEN BY DWD
<ul style="list-style-type: none"> ▪ No inter sectoral linkages in the district and no coordination with NGO/CBOs. 	<ul style="list-style-type: none"> ▪ NGOs should work hand in hand with the district to achieve good quality of work by letting the DWO staff over see the construction to ensure adherence to required specification and quality 	<ul style="list-style-type: none"> ▪ DWSC establishment has been promoted through TSU support, and accomplished
<ul style="list-style-type: none"> ▪ Conflicting and ever changing guidelines in the water and sanitation sector 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ Sector guidelines have been negotiated and agreed with local governments. ▪ The Sector/Extension Workers' Handbooks contain a number of guidelines, procedures and formats, and have been widely disseminated to all districts.
<ul style="list-style-type: none"> ▪ Inadequate gender perspective in decisions and management at district level. 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ A water sector gender strategy was developed and commissioned in September 2003. ▪ Gender training has been undertaken for districts.
<ul style="list-style-type: none"> ▪ Little community mobilisation and involvement of local communities in identification of projects. ▪ Inadequate funding for software activities. ▪ No community contributions towards capital costs. ▪ Committees had very little sense of ownership of facilities ▪ Little bottom up approach in planning. ▪ No sub-county development plans. 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ Software taskforce of DWD and TSU personnel has developed minimum software guidelines for implementation of water schemes. ▪ Detailed costs for software activities have been developed by the software working group and are due for consideration by the WSWG. ▪ Piloting of use of NGO has started in 5 districts, to test NGO involvement as well as software procedures and approaches.
<ul style="list-style-type: none"> ▪ Poor assessment of water source potentials 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ Groundwater resources mapping has been started in 4 districts, and is to be expanded to cover the whole country in the next 5 years.
<ul style="list-style-type: none"> ▪ No bank accounts opened for O&M funds ▪ Most WCs not trained 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ The O&M Framework has been finalised, and dissemination is planned for the next quarter.

WEAKNESSES	RECOMMENDATIONS BY CONSULTANTS	ACTIONS TAKEN BY DWD
<ul style="list-style-type: none"> ▪ Deficiencies in tender documentation, some aspects are waived. ▪ Inadequate advertisement of tenders. ▪ No pre-qualification of contractors and the district never carried out any pre-tender seminars. ▪ Evaluation report not sufficient to guide the DTB in making proper decisions. 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ DWD has developed and disseminated standard tender/bid documents and some evaluation/supervision guidelines to TSUs and districts. ▪ TSUs have conducted contract management training for district personnel, and continue to provide follow-up support.
<ul style="list-style-type: none"> ▪ Capacity of local contractors is low – lack technical, business skills and financial capacity and do not comply with the contracts 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ DWD carried out a Private Sector Participation study, and actions to implement the recommendations are to start next quarter.
<ul style="list-style-type: none"> ▪ Little interaction with consultant during design. ▪ Inappropriate designs of water and sanitation facilities. ▪ Reporting was done by non technical people (LC1 Chairman and head teachers) and would only report on the existence of the physical structures constructed but would hardly comment on the quality of the work. ▪ Have no established procedures for supervision of construction activities and reporting. ▪ No records of site meetings or progress reports due to lack of staff and no facilities to generate them. ▪ No snag lists of defects ever prepared. 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ TSUs have conducted contract management training for district personnel, and are continue to provide follow-up support.
<ul style="list-style-type: none"> ▪ Poor siting of shallow wells and the dug wells poorly constructed. 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ A shallow well study was carried out, and the recommendations are being implemented. ▪ Districts in 6 TSUs have been trained in shallow well siting and construction.

WEAKNESSES	RECOMMENDATIONS BY CONSULTANTS	ACTIONS TAKEN BY DWD
<ul style="list-style-type: none"> ▪ Financial regulations like payment of retention after the defects liability period and paying withholding tax against the payment were not followed. ▪ Poor accounts, receipts inventory, record book keeping and lack of reconciliation of financial accounts with the technical statements issued by the district water office and district planner. 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ Financial management training is being carried out in 10 districts, and is to be expanded to the rest of the districts. ▪ Districts have been equipped with computers to assist in planning and financial management.
<ul style="list-style-type: none"> ▪ Inadequate transport facilities for supervision. ▪ Misuse/diversion of transport facilities. 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ The PS (MWLE) wrote to districts on misuse of vehicles, and the situation has significantly improved.
<ul style="list-style-type: none"> ▪ Inadequate staffing for adequate supervision at the DWO 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ Conditional Grant guidelines provide for recruitment of staff and procurement of equipment. ▪ DWD continues to advocate with the Ministry of Public Service for adoption of the current water and sanitation staffing structure in the districts.
<ul style="list-style-type: none"> ▪ Staff in new districts were recruited recently, including the DWO. 	<ul style="list-style-type: none"> ▪ Training of water and sanitation committees in operation and maintenance, water and sanitation management, water related diseases, basic financial management is crucial. 	<ul style="list-style-type: none"> ▪
<ul style="list-style-type: none"> ▪ Poor hygienic conditions of the surrounding environment of WATSAN facilities. 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪
<ul style="list-style-type: none"> ▪ Lack of up-to-date data on coverage, functionality and needs assessment 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪
<ul style="list-style-type: none"> ▪ No preventive maintenance is done, repairs only done when source breaks down ▪ Lack of tools for HPM 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ The O&M Framework has proposed approaches for ensuring availability of tools to HPMs. ▪ Software guidelines above address preventive maintenance as well.
<ul style="list-style-type: none"> ▪ Spare parts not available in districts. 	<ul style="list-style-type: none"> ▪ 	<ul style="list-style-type: none"> ▪ Implementation of the supply chains plan has started with procurement of suppliers of handpumps and spare parts for the different regions.

WEAKNESSES	RECOMMENDATIONS BY CONSULTANTS	ACTIONS TAKEN BY DWD
<ul style="list-style-type: none"> ▪ No monitoring of functionality of sources. 		<ul style="list-style-type: none"> ▪ A national study on functionality of water sources is planned for the August 2004.
<ul style="list-style-type: none"> ▪ Lack of performance indicators. 		<ul style="list-style-type: none"> ▪
<ul style="list-style-type: none"> ▪ Inadequate information (GIS information). 		<ul style="list-style-type: none"> ▪ All districts have been trained and are being equipped for data collection, analysis and presentation (including GIS mapping).
<ul style="list-style-type: none"> ▪ Conflicting implementation policies e.g. different unit roles for similar construction activities under SFG and DWSCG. 		<ul style="list-style-type: none"> ▪ Operationalisation of FDS will help harmonise implementation approaches.
<ul style="list-style-type: none"> ▪ Low community response to sanitation and hygiene activities. 		<ul style="list-style-type: none"> ▪ The sector (led by MoH/EHD) has adopted the 'best operating practices' approach for promoting sanitation and hygiene. ▪ TSUs have been specifically mandated to support sanitation and hygiene initiatives in the districts.
<ul style="list-style-type: none"> ▪ Insecurity has affected normal district WSS development programmes. ▪ Insecurity has caused emergency WSS situations not planned for and beyond district capacity to handle. 		<ul style="list-style-type: none"> ▪ Procurement of a consultant to undertake a strategy study on emergency WSS is underway. ▪ DWD is piloting the use of piped water systems in IDP camps.
<ul style="list-style-type: none"> ▪ Districts do not have water quality monitoring equipment and consumables are not readily available. ▪ Lack of functional water quality monitoring programme at the district. 		<ul style="list-style-type: none"> ▪ A national strategy for water quality monitoring is being developed by DWD.

Annex 3

ACTION PLANS FOR JSR UNDERTAKINGS

The original position is shown in [Normal] font and adjustments by Thematic Team in [*Italics*]

6. Carry Out Comprehensive Performance Monitoring of the WSS Sector Based on Recommended Framework

Action	Responsible (Lead Organisation)	Time Frame
Review & adopt the Performance Measurement framework	MWLE (WSSWG)	Oct 03 <i>Dec 03</i>
Revise ToR and other modalities for implementation of the PMF (including roles of Poverty Monitoring Unit and NGOs) <i>Further develop and agree the ToR for the development of a 'performance audit' approach.</i>	MWLE (WSSWG) <i>SPTT*</i>	Nov 03 <i>Jan 04</i> <i>Apr 2004</i>
Refine Performance indicators and definitions of themes so far identified (should be aligned with revision of SIP)	MWLE (WSSWG)	Dec 03 <i>Jan 04</i>
▪ <i>Agree on 'golden' indicators.</i>	<i>SPTT</i>	<i>Feb 2004</i>
▪ <i>Link PMF work to the MWLE functionality review.</i>	<i>SPTT#</i>	<i>May 2004</i>
▪ <i>Review/set targets for the 'golden' indicators.</i>	<i>MWLE*</i>	<i>April 2004</i>
▪ <i>Develop approximately 5 key indicators for each sub-sector.</i>	<i>SPTT</i>	<i>April 2004</i>
Conduct Workshops to agree on sector performance indicators and definitions	MWLE (WSSWG)	Begin Jan 04 <i>Feb – Mar 04</i>
Identify mechanisms for collecting and analysing data and implement capacity building strategy	MWLE (WSSWG)	Feb – June 04
<i>Collect and analyse 'golden' indicator data</i>	<i>MWLE*</i>	<i>Apr – Jun 04</i>
<i>Link MIS Review to the PMF</i>	<i>MWLE#</i>	<i>Apr – Jun 04</i>
<i>Conduct performance audits</i>		<i>Apr – Jul 04</i>
<i>Carry out monitoring</i>	<i>MWLE (WSSWG)</i>	<i>Apr – Jun 04</i>
<i>Review performance audit findings</i>	<i>SPTT</i>	<i>Jul – Aug 04</i>

Action	Responsible (Lead Organisation)	Time Frame
Prepare Comprehensive annual Monitoring Report (including summary of VFM/tracking studies.	MWLE (WSSWG)	Jun – Aug 04
<i>Prepare the 2004 Annual Performance Report</i>		<i>Jul – Aug 04</i>
<i>Present the 2004 Annual Performance Report</i>	<i>SPTT</i>	<i>Sep 2004</i>

* will require consultancy support
consultancy already planned for

7. Carry out Improved VFM Audit and Tracking Study as Required for the Centre and District level

Action	Responsible (Lead Organisation)	Time Frame
Follow up on implementation of recommendations of previous VFM and tracking studies	DWD, MoLG and LGs	Oct 03 to April 04
Improve the modalities for VFM/tracking studies	DWD/MFPED	Oct – Dec 03 <i>Jan 04</i>
Institutionalise VFM/tracking studies	DWD/MFPED	Oct – Dec 03 <i>Mar 04</i>
Review and combine ToR for VFM audit and tracking study	DWD/MFPED/NWSC	Dec 03 <i>Mar 04</i>
Procure service providers	MWLE	Feb 04 <i>Apr 04</i>
Undertake study	DWD, MWLE	Mar to Jun 04 <i>May to Jul 04</i>
Consider the recommendation for necessary action	GoU/DPs	Aug 04 <i>Aug – Sep 04</i>

Annex 4

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