Rural Water Supply Network

RWSN-IFAD Rural Water Supply Series

Volume 5

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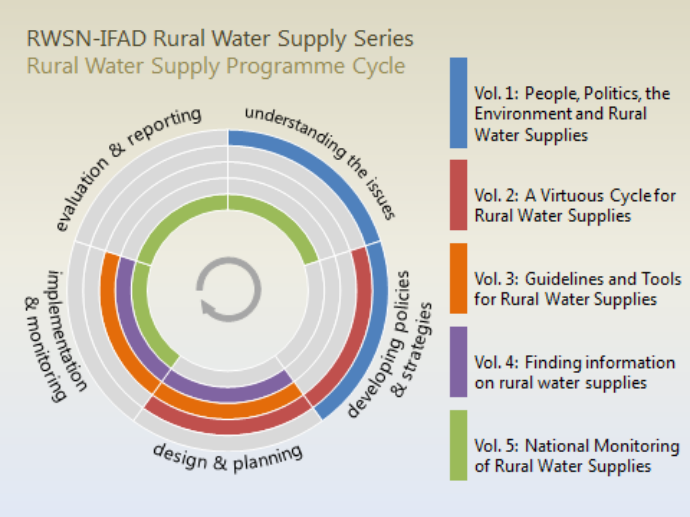
National Monitoring of Rural Water Supplies

How the Government of Uganda did it and lessons for other countries

RWSN-IFAD Rural Water Supply Series

The Rural Water Supply Network (RWSN) and the International Fund for Agricultural Development (IFAD) have prepared a series of five publications which bring together the key aspects of rural water supply programming. Each volume is a stand-alone document, but as a set, they cover the programme cycle from understanding the issues right through to implementation and reporting (see figure below).



Volume 1: *People, Politics, the Environment and Rural Water Supplies* (RWSN 2012a) reflects on rural development, politics, environmental sustainability and how these relate to rural water supply services.

Volume 2: *A Virtuous Cycle for Rural Water Supplies* (RWSN 2012b) presents a variety of support and implementation aspects, from sector coordination to mapping and more, that can contribute towards sustainable rural water service delivery.

Volume 3: *Guidelines and tools for Rural Water Supplies* (RWSN 2012c) provides a structured annotated directory of over 40 useful guidelines and toolkits on rural water supplies.

Volume 4: *Finding information on rural water supplies* (RWSN 2012d) is an overview of current information sources with respect to access to water supply sources, the national context, the natural environment and finance.

Finally, Volume 5; *National Monitoring of Rural Water Supplies* (RWSN 2012e) documents experiences of national performance measurement for rural water supplies in Uganda and provides guidance for those interested in establishing such a process.

Summary

With 650 million rural people still lacking access to an improved drinking water supply, there is much to be done. Deciding where to invest, how to develop services and which policies and strategies actually work is critical. It requires data, analysis and the joint reflection of different stakeholders.

Imagine a transparent process that brings together all the work that is taking place in the country. Imagine a mechanism that can show promising approaches and identify gaps. Imagine a report that consolidates the status, investment, progress and challenges on rural water supplies for an entire country. This is what the Government of Uganda has achieved over a ten-year period.

We explain how Uganda managed to achieve this. The country witnessed the gradual withdrawal of various donor-funded projects in favour of a single national rural water supply and sanitation programme. It uses a Sector Wider Approach with high levels of coordination.

Sector performance measurement in Uganda was established starting with an initial framework in 2003. There were a number of specific success factors as well as challenges. Eleven indicators are used seven of which are for rural water supplies. In the case of rural water supplies, the performance measurement system is fully integrated with standard reporting by district local governments.

Each year, an annual Sector Performance Report is prepared. It captures data on practically all sector investments, geographic inequity, per-capita costs and community management as well as gender issues for the entire country. The report is quite analytical, and is used for decision-making, policy formulation and planning. There are many examples of data presentation and use based on their experiences in Uganda.

Having been involved in the process from the start in 2003, the authors of this publication set out five principles and ten golden rules for Sector Performance Measurement.

Abbreviations

GoU	Government of Uganda
JPF	Joint Partnership Fund
JWSSPS	Joint Water and Sanitation Sector Programme Support
MIS	Management Information System
MTEF	Medium Term Expenditure Framework
OBT	Output Based Planning Tool
PEAP	Poverty Eradication Action Plan
SIM	Sector Investment model
SIP	Sector Investment Plan
SPR	Sector Performance Report
UGX	Uganda Shillings
UWASNET	Uganda Water and Sanitation NGO Network

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1 Introduction

Every year in October, approximately 200 professionals, including senior government officials, representatives of sector development partners, the private sector and civil society as well as political leaders, gather in Uganda's capital, Kampala, to discuss efforts to improve water supplies, sanitation and hygiene practices. This event, known as the Annual Joint Sector Review, has taken place since 2001.

In Uganda, a comprehensive overview of rural water supply developments and challenges is available. Sector performance measurement is fully linked to the planning and budgeting process.

What is striking about the event is not just the fact that practically all of the key decision-makers are present, but that discussions are based on sound data and analysis (Figures 1, 3, 4, 5, 7, 12, 14, and 18).

Everyone attending the event, from the Political Leadership, Permanent Secretary, and the Director of Water Development of the Ministry of Water and Environment to the District Water Officers, has an overview of the water and sanitation initiatives taking place in the country. There is a high level of transparency and commitment to improving policies and implementation. Over three days, the stakeholders agree on the key actions that will be worked on over the next twelve months.

This Rural Water Supply Network (RWSN) publication is for water supply professionals in National Government ministries and support agencies. It targets those that are in transition from discrete projects to national programmes or where national programmes are in their infancy. It is written for those who would like a comprehensive picture of water supply progress in a particular country but are struggling to make such progress happen.

This publication should be useful as organisations try to establish, manage and improve their own performance measurement systems for rural water supply. As a RWSN publication, it focuses on performance measurement for rural water supply only. It is based on the broader experiences in water and sanitation in Uganda, but specific and/or more detailed experiences of urban water supply monitoring as well as sanitation are beyond its scope.

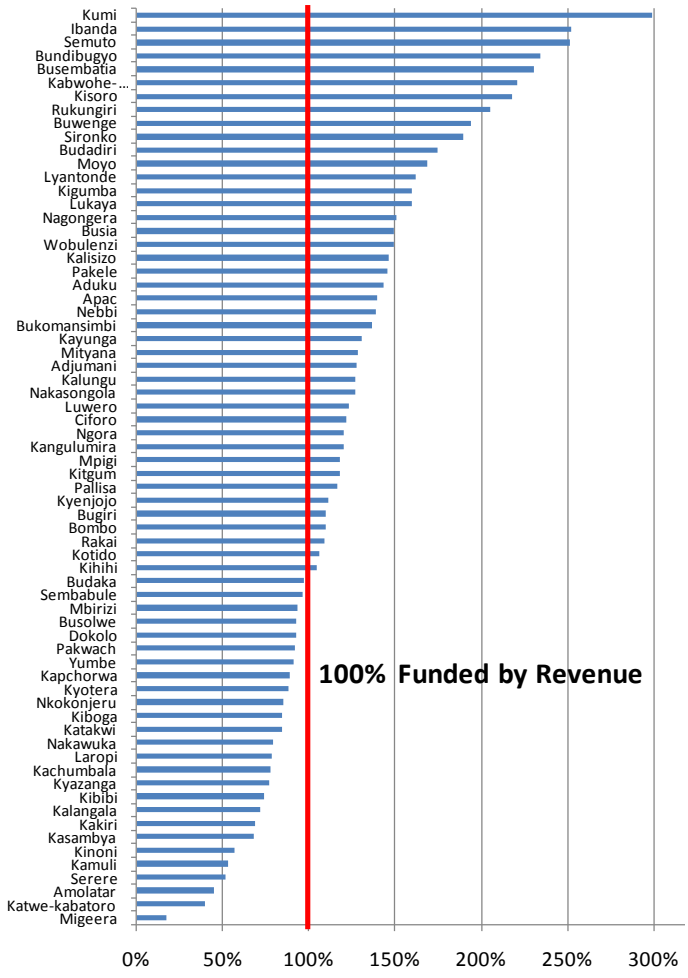
We have tried to avoid too much jargon, but where it could not be avoided, the word or phrase is given in *italics*, with the corresponding definition in the glossary.

As we go to press, the authors are acutely aware of the need for Governments, as well as development partners and non-government organisations to better understand rural water supply services. Information on the cost and functionality is essential for planning, budgeting and implementation.

Unfortunately, in most countries, such information is not readily available and has not been consolidated. Sector Performance Measurement can enable stakeholders to assess how well water and sanitation services delivery is progressing (Box 1 and 2). A Sector Performance Report or National Sector Report is a core component of such a process. It needs to be reliable and high quality.

There is a big difference between a programme report and a national sector report. While the former focuses on the investments and outputs of a specific programme, a national report reflects on the status, progress, and challenges of the whole country.

Figure 1 Percentage of Operating Costs Funded by Revenue for Ugandan Water Authorities in 2008/9 (MWE 2009a)



Box 1 What is sector performance measurement? (adapted from MWLE, 2004)

Project reports often focus on the separate review of inputs (such as finance) and outputs (such as infrastructure). Performance measurements assess the relationship between the two and examines whether the desired outcomes (e.g. use of improved water supplies) and impacts (e.g. health improvements) were achieved. The table below lists three aspects that are should be considered in a Performance Measurement system.

Performance Aspect	Definition	Example
Economy	Obtaining inputs of the right quality at the right price	Procurement of quality spare parts for water pumps at a realistic price
Efficiency	Converting inputs into quality outputs with as few resources as possible	Construction of as many functional boreholes as possible with a given level of investment
Effectiveness	Achieving desired objectives	Adoption of improved hygienic practices

Box 2 Why is sector performance useful?

Ideally, performance measurement draws on data and analysis. It integrates various tools, such as value for money reviews, technical audits, financial tracking studies and evaluations.

Good performance measurement has a number of benefits:

- It brings together otherwise disparate **information** in one place.
- It is easy to reflect on progress over time.
- Good and poor **practices** can be identified relatively easily.
- The **causes** of good or poor performance can be determined.
- **Institutional roles** can be further developed.
- There is a framework for **capacity development** strategies.
- Information for assessing the effectiveness of water and sanitation **policy** and undertaking policy reviews is readily available.
- The Government has a **credible system** for allocating resources within the sector.
- A **coherent** case can be made for better resource allocation to the sector.
- Further **research** needs can be determined.

2 Rural water supply in Uganda

Sector Reform

This publication draws on the invaluable experiences from the Uganda Water and Sanitation Sector (Box 3). Water and sanitation sector performance monitoring spans a period of ten years. However before discussing sector performance, we set out the context and background for rural water supply in Uganda, which includes the sector reform process, the national programme, the institutional framework and stakeholder coordination.

Box 3 Uganda Water and Sanitation Sector Defined

Between 2000 and 2006, the Ministry of Water, Lands and Environment (MWLE) was responsible for the water and sanitation sector in Uganda. In July 2006, as part of the *sector reforms*, a new Ministry was created – the Ministry of Water and Environment with three Directorates (the Directorate of Water Development, the Directorate of Water Resources Management, and the Directorate of Environmental Affairs). 'Lands' was merged with other departments to become the Ministry of Lands, Housing and Urban Development.

At this time, the former "Water and Sanitation Sector" and "Environment Sector" were merged to form the "Water & Environment Sector" as it is today. As of now, water and sanitation is a sub-sector under the Water & Environment Sector. However, to ease reading, the authors simply refer to the "Water & Sanitation Sector".

From the end of Uganda's civil conflict in the late 1980s up to the late 1990s, communities were sensitized and rural water supply infrastructure built as part of several donor-funded projects. With the development of Uganda's Poverty Eradication Action Plan (PEAP) in 2001, there was a gradual shift away from projects towards a more consolidated approach. The late 1990s saw a number of important policies, laws and regulations developed and passed, for example, the National Water Policy (1999), the Local Governments Act (1997), and the Water Statute (1995).

Under the Local Governments Act (1997), the provision of water and sanitation services became a responsibility of the Local Governments (Box 4). A *fiscal decentralization* strategy was implemented in the early 2000s which led to the transfer of all rural water supply and sanitation funding and implementation responsibilities from central to the local governments. This, coupled with sector reform studies, paved the way for the adoption of a *Sector Wide Approach (SWAP)* for rural water supply and sanitation. There was a gradual phase-out of the various donor funded projects in favour of a single national rural water supply and sanitation programme.

Uganda has adopted a Sector Wide Approach for rural water supply and sanitation. There has been a gradual phase-out of various donor-funded projects in favour of a single national programme.

Annual *joint sector reviews* were introduced into the water and sanitation sector in 2001 to provide a common review of *sector* performance. The year 2003 saw significant advances in the development of a sector investment plan and the development of a performance monitoring system which became operational in 2004. Since then, the *Sector Wide Approach* has gradually expanded to include urban water supply and sanitation, water for production and water resources management.

Box 4 Local Government Levels in Uganda
(Source: Local Governments Act 1997)

The present system of local governments in Uganda is based on the district, with lower local governments and administrative units.

Local Governments in a District rural area:
- District Council (111)
- Sub-county Councils (1,136)

Local Governments in a city:
- City Council
- City Division Councils

Local Governments in a municipality:
- Municipal Council
- Municipal Division Councils

The Local Governments in a town are Town Councils

- All local governments are corporate bodies with perpetual succession and may therefore own property, sue or be sued in their corporate name.
- A city is equivalent to a District Council and exercises all relevant functions and powers conferred upon a District Council.
- A Division is equivalent to a sub-county and exercises all relevant functions and powers conferred upon a sub-county.

From 2007, the major sector *development partners*[1] joined hands through the Joint Water and Sanitation Sector Programme Support (JWSSPS). It provides support to the Govern-

ment for rural water supply and sanitation, urban water supply, water resources management and capacity development. A significant part of the JWSSPS funds are channelled through a *basket fund* known as the Joint Partnership Fund (JPF), and through *sector budget support*.

Support to the sector can be channelled through multiple routes[2] but still be compliant with a *Sector Wide Approach* as long as all support is coordinated and aligned with the overall policies, plans and strategies. The key elements of the *Sector Wide Approach* in Uganda are indicated in Table 1. However, establishing this has not been without challenges, some of which are set out in Box 14.

National Programme for Rural Water Supply

Uganda's population is presently estimated at 34 million, of whom approximately 85% live in rural areas. The country has made considerable progress in improving access to rural water supply and sanitation over the last 10 years (Figure 18). Government data (MWE, 2011) indicates that 65% of the rural population have access to improved water supply, and that 70% of the rural population or households have access to improved sanitation.

However, in the last 3-4 years, high population growth and the insufficient funding to the sector (Figure 4) have significantly impacted on coverage expansion. Access to improved water supplies in rural areas stagnated at around 64-65% in the period 2009-11. Further efficiency gains remain a challenge. Therefore, unless funding is considerably increased, the country will not meet the national target of 77% access by 2015.

The national Rural Water Supply and Sanitation programme is funded by the government using its own revenue and *budget support* from the sector *development partners*. Allocation of support for new rural water supply infrastructure within a given district is guided largely by a Water Supply Atlas (MWE 2010) which has mapped all the existing rural water supply facilities in the country. The database for the atlas is updated regularly and can be accessed via the Internet (Box 13).

The national Rural Water Supply and Sanitation programme is funded by the government using its own revenue and budget support from the sector development partners.

In order to allocate funds more equitably between districts, the Ministry of Water and Environment has developed an allocation formula which takes into account the district population, access to safe rural water supply and the per-capita cost of potential technology options for the area. All funding for Rural Water Supply and Sanitation (from government and *development partners*) is channelled directly from the Ministry of Finance, Planning & Economic Development to the district local governments. It uses the normal government budget system and takes the form of a conditional grant which is released quarterly, based on annual work plans. Work plans are prepared by the respective district local governments, with guidance from the Ministry of Water and Environment.

Table 1 Key elements of the Sector Wide Approach in Uganda

Dimension	Key elements
Policy & Legislation	■ Water Policy (1999), Local Governments Act (1997) and National Water Statute (1995) ■ Progressive sector reforms including: - **decentralization** of the provision of water and sanitation services from the central government to the local governments. - general shift from discrete donor-funded projects to a **single national programme** for rural water supply and sanitation funded through budget support and subsequently as transfers from the centre (ministry of finance) to district local governments.
Planning	■ Joint Sector Programme (5-year Joint Water & Sanitation Sector Support Programme 2007 - 2013). ■ Use of Output Based Planning Tool (OBT) by all District Local Governments, Ministries, Departments and Agencies in the preparation of annual work plans and quarterly progress reports.
Finance	■ Long-term partnerships with key external funding organizations. DANIDA, who have supported water supplies in Uganda, since 1991, are a particular case in point. ■ A Sector Investment Plan (SIP) with a Sector Investment model (SIM). The SIM is essentially a computer programme which enables the sector ministry to generate different target scenarios versus available funding allocations. ■ Water & Sanitation budget included in the government budget/multi-year *Medium Term Expenditure Framework* (MTEF). ■ Joint Financing Arrangement (*basket fund*) through a Joint Partnership Fund (JPF). ■ *Budget Support* for Rural Water & Sanitation, eventually channelled as conditional grants to the district local governments.
Leadership	■ The Ministry of Water & Environment is the lead agency for the sector and Chair of the *Sector Working Group*.
Coordination	■ Water & Environment *Sector Working Group* with a sub-groups/thematic teams which engage all important stakeholders. ■ Donor Coordination and *harmonization* through the *development partners'* Group, and partnership principles (code of conduct) agreed with government. ■ Annual *Joint Sector Reviews* (JSRs).
Monitoring & Reporting	■ A Sector Performance Measurement Framework with 11 golden indicators[3], and annually agreed strategic actions/undertakings. ■ Annual Sector Performance Report (SPR). ■ Value for Money Studies as necessary. ■ A Good Governance Action Plan to improve transparency and accountability in the sector.

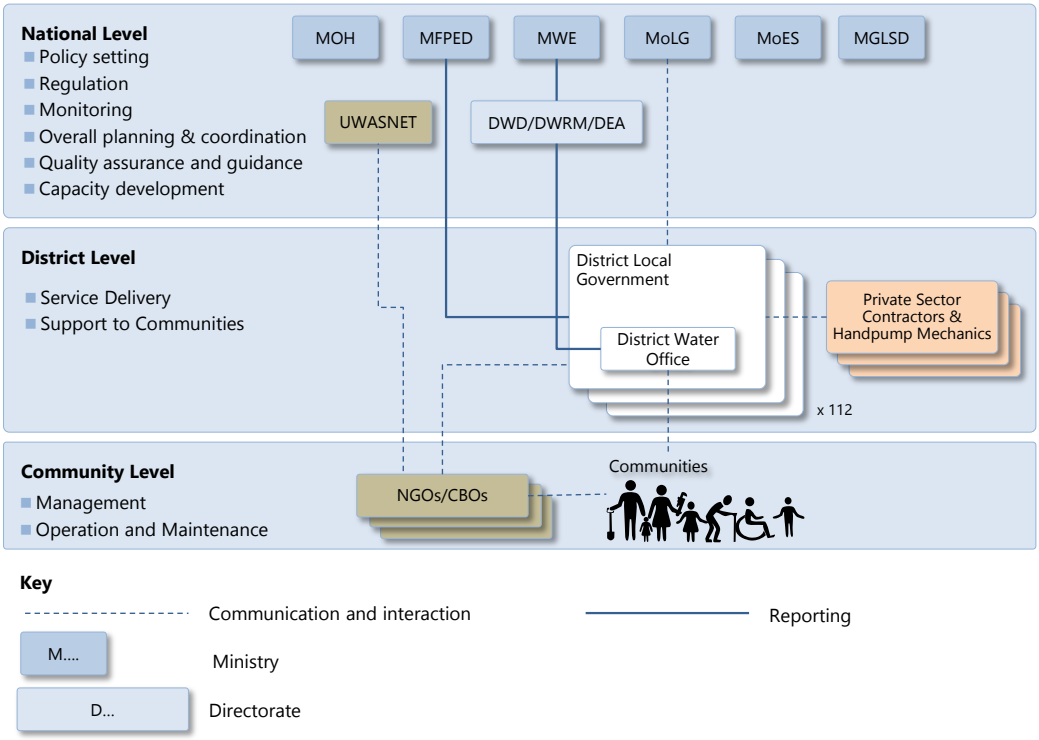


Figure 2 **Institutional Framework for Rural Water Supply and Sanitation in Uganda** (see Box 5 for abbreviations)

As described in Box 4, the Local Governments (Districts and Sub-counties) are empowered by the Local Governments Act to provide water services. Implementation of rural water supply and sanitation activities at local government level follows government procedures for decentralized planning, procurement, reporting, financial management and audits.

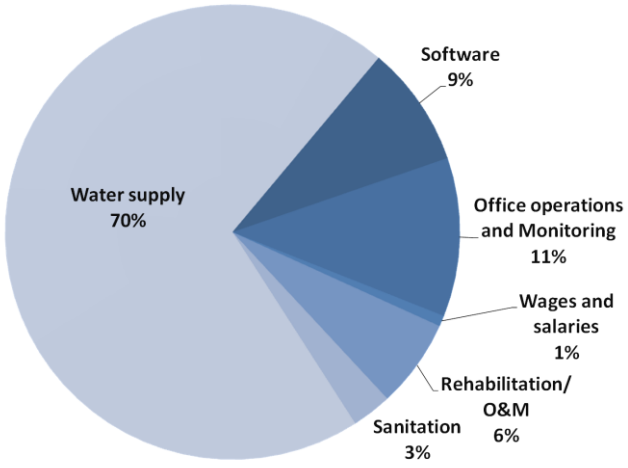
In addition to the funds which local governments receive from central government in the form of conditional grants, the local governments can mobilize additional resources from local revenue and other donors. Non-governmental Organisations (NGOs) and Community-based Organisations (CBOs) also provide water and sanitation services within the districts. A strategic framework has been developed for cooperation between districts and NGOs, and it enables districts to outsource the implementation of *software* activities by the NGOs.

A District Implementation Manual (MWE 2007a) provides a comprehensive overview with guidelines for the National Rural Water & Sanitation Programme. It outlines the critical requirements for *software activities* which have to be met by the community before they can benefit from support for an improved water source. These include a signed memorandum of understanding which specifies the roles and responsibilities of the signatories, meaningful involvement of women, hygiene promotion and sanitation, community contributions to the capital cost, settlement of land and ownership and/or conflicts, and an operation and maintenance plan. The District Implementation Manual also outlines the steps to be followed in the implementation of *software activities* from sensitization, through construction and post-construction follow-up.

The main water supply technologies that are constructed are protected springs, shallow wells (hand-dug or motor-drilled) and deep boreholes fitted with a hand pump, piped water supplies (gravity-fed, borehole-pumped or surface water), domestic roof water harvesting, *valley dams* and *valley tanks* as defined in the District Implementation Manual (MWE 2007a).

Eight regionally-based Technical Support Units are staffed with private consultants contracted by the Ministry of Water and Environment to carry out capacity development activities for District Water Office staff. Although intended as a temporary measure, the continued fragmentation by the creation of new districts has now rendered the work of the Technical Support Units more or less permanent.

Figure 3 **Breakdown of Expenditure of the Conditional Grant in 2009 (MWE 2009a)**



Institutional Framework

Box 5 explains the institutional framework and roles for rural water supply and sanitation in Uganda. Figure 2 shows the linkage between national government and local government and communities. The main interfaces are between the Ministry of Water and Environment and the District Water Office.

Box 5 Institutional framework and roles for Rural Water Supply and Sanitation in Uganda

The **Ministry of Water and Environment (MWE)** has overall responsibility for setting national policies and standards, managing and regulating the water resources and determining the sector priorities. It also monitors and evaluates sector activities and development programmes to keep track of their performance, efficiency and effectiveness. The MWE comprises: the Directorate of Water Development (DWD), the Directorate of Water Resources Management (DWRM), and the Directorate of Environmental Affairs (DEA). The MWE is also responsible for sanitation/sewerage in urban centres.

The **Ministry of Health (MoH**) is the lead agency for hygiene and sanitation promotion. It provides overall policy and technical oversight for planning, implementation and supervision of household hygiene and sanitation promotion in the country.

The **Ministry of Education & Sports (MoES**) is responsible for planning, implementation and management of school sanitation and hygiene education.

The **Ministry of Local Government (MoLG**) is responsible for implementation of the Fiscal Decentralisation policy and for overall capacity development, as well as for the supervision of local governments in the implementation of government policies.

The **Ministry of Finance, Planning & Economic Development (MFPED**) is responsible for overall resource mobilization and allocation to the different sectors and overall coordination of development partner support.

The **Ministry of Gender, Labour & Social Development (MGLSD**) is responsible for mainstreaming of gender in the sector plans, and for community development and mobilization activities. It develops guidelines and procedures to be used by the sector and the local governments for community mobilization and capacity building in community development activities.

At District level, the **District Water Office (DWO)** is responsible for planning and implementation management of the use of District Water Supply and Sanitation Conditional Grants (DWSCG) for the provision of water supply and public sanitation facilities including:

- Planning (developing a district wide water and sanitation plan)
- Implementation (procurement, contract management and supervision;
- Management of the funds for provision of water services;
- Reporting to the District Council as well as to the Ministry of Finance and Ministry of Water and Environment.

Approximately 200 **NGOs/CBOs** in Uganda mobilize resources for provision of complementary rural water services, such as construction of facilities, community mobilization, providing operational and maintenance services, training of communities and local governments, hygiene promotion as well as policy advocacy and lobbying.

The supply of goods, design and construction of the water facilities is done by the **Private Sector** under contracts with the respective local governments. Private companies supply spare parts for hand pumps, and private hand pump mechanics and scheme attendants provide maintenance services to the communities.

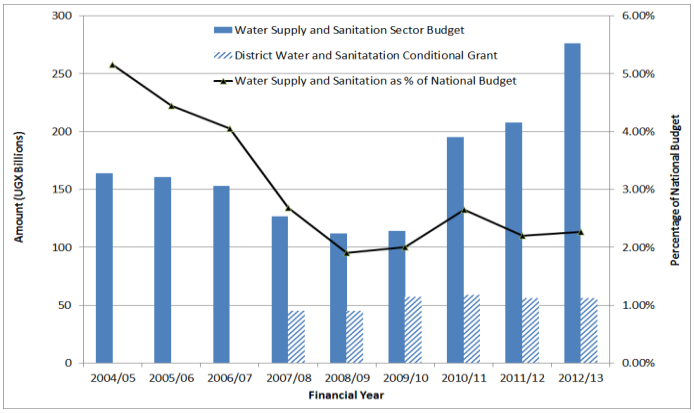
Communities demand the provision of rural water supply services, make contributions to the capital cost and are responsible for all the routine operation and maintenance of the facilities through a Water and Sanitation User Committee for each water point.

As of April 2011, only 48% of the district local governments had the right number of suitably qualified staff within the District Water Offices. In the others, the District Water Officer may be doubling up as the District Engineer, say for roads, or an assistant is also acting another role. This situation has led to inadequate implementation capacity in some of the local governments for delivery of rural water supply and sanitation services.

The shortage is mainly attributed to an absence of district service commissions, which are responsible for staff recruitment in some of the newly created districts. Also the large number of districts (111) has led to small budget allocations for rural water supply and sanitation, averaging at UGX 300-500 million (US$ 120,000-200,000) per financial year. The high workload coupled with low finance is not attractive for graduate engineers.

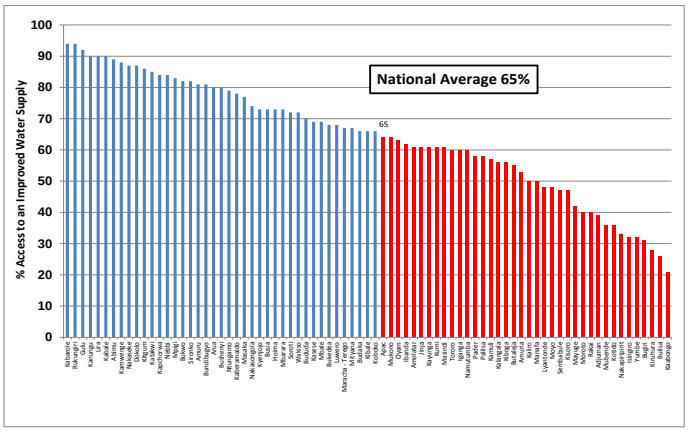
Figure 4 Water and Sanitation Sector Budget Trends

(Source: Sector Performance Reports and Medium-Term Expenditure Framework)



Note: In FY 2004/5, UGX 100 billion was equivalent to US$ 59 million; in December 2011, UGX 100 billion was equivalent to US$ 40 million.

Figure 5 Graph used to illustrate the disparity in access to safe water between districts in the 2010 Sector Performance Report, with red bars illustrating districts below the national average of 65% at that time



Stakeholder Coordination

As part of the sector reform process and embarking on the *Sector Wide Approach*, a number of coordination structures have been established at national and district local government levels (Box 6). These provide guidance in policy formulation and are central in managing the *Sector Wide Approach*.

Box 6 Water and Sanitation Sector Coordination Structures

The **Water and Environment Sector Working Group (WESWG)** provides overall coordination and technical and policy guidance for sector development, and approves work plans and budgets for water and environment. It comprises representatives of the Sector *development partners*, the Ministries of Finance, Health, Education, Local Government, and NGOs (represented by UWASNET, described below). The Water and Environment *Sector Working Group* has two sub-groups, namely the Water & Sanitation Sub-sector Working Group (WSSWG), and the Environment and Natural Resources Sub-sector Working Group (ENRWG). All new support programmes are vetted by the Water and Environment Sector Working Group before they are approved for funding and implementation. This ensures *alignment* with sector policies, plans and strategies The Sector Working Group is chaired by the Permanent Secretary, Ministry of Water & Environment.

A **Development Partners Working Group** for the sector allows the *development partners* funding and providing technical support for water supply and sanitation efforts in Uganda to *align* and *harmonize* their support. It also provides a discussion forum and enables *development partners* to agree on a common position and dialogue with the sector ministry. The *development partners* support rural water supply and sanitation investments mainly through *budget support*. They also support capacity development of district local governments through a Joint Partnership Fund (also known as a *basket fund*) at the Ministry of Water and Environment.

The **Joint Sector Review (JSR)** is an annual forum for sector performance assessment. It uses the annual Sector Performance Report. It provides guidance on key sector-strategic issues and resource allocation with particular emphasis on accountability and transparency. The other objective is to enhance involvement of different central government ministries, local governments, civil society, *development partners* and service providers in the sector management processes. It also informs them about major sector challenges and government priorities and discusses good practices. The *Joint Sector Review* consultations usually result in "agreed minutes" with about 7-10 agreed key actions (known in Uganda as *undertakings*), including who is responsible and recommended timeframes for their implementation. The Ministry of Water & Environment leads and coordinates all preparations for the *Joint Sector Review*.

A Joint Technical Review (JTR) is held half-way during the financial year (usually in March/April) to follow up on the progress of implementation of the agreed key actions from the *Joint Sector Review*.

A **District Water and Sanitation Coordination Committee** has been established in each district local government. Its membership consists of administrative, technical and political leaders, and any d*evelopment partners* and NGOs/CBOs who are supporting (rural) water sanitation activities at district level. Each committee oversees the planning and implementation of rural water supply and sanitation programmes in the district. It ensures coordination and collaboration with other sectors (Health, Education, Community Development, and Environment) and all actors. It also ensures that activities by the NGOs/CBOs are captured and reported in district quarterly reports. Collaboration between district local governments, such as for procurement or packaging of contracts, is extremely rare.

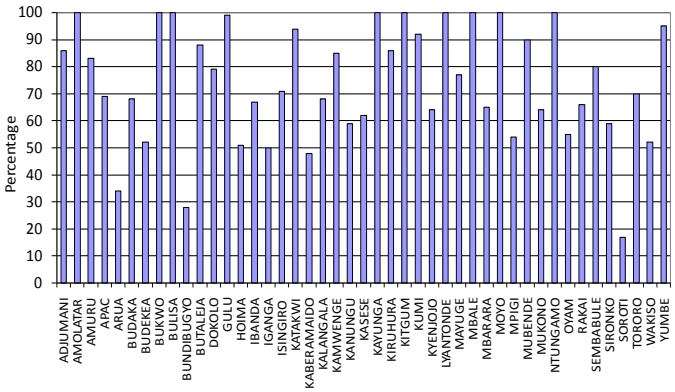
Presently, there are approximately 200 **NGOs/CBOs** who are working in the water and sanitation in Uganda. They are coordinated at national level through the **Uganda Water and Sanitation NGO Network (UWASNET)**, an umbrella organization with a full-time secretariat. UWASNET coordinates and consolidates the NGOs/CBOs financial inputs, outputs and good practices into the sector performance report.

Although not a coordination structure, the **Technical Support Units (TSUs)** play a key role in enabling good practices and other experiences to be shared between district local governments. Inter-District meetings, where key water and sanitation stakeholders from all of the districts within a particular region come together, are held every six to 18 months.

Figure 6 A handpump for rural water supply in Uganda

The *Sector Wide Approach* has significantly improved coordination in most areas and has created a more organized sector in Uganda. The *Joint Sector Review* is well functioning and participatory, and it allows all actors to discuss and agree on key policy issues and actions. There is general agreement that the Water and Environment Sector Working Group and its sub-sector groups have significantly improved coordination. Furthermore, the *Sector Wide Approach* has enhanced the ability of the Ministry of Water and Environment to engage in dialogue with the *development partners* and the government.

Figure 7 Graph used to indicate the percentage of Water and Sanitation Committees with Women in a key position for select Districts (MWE, 2009a)



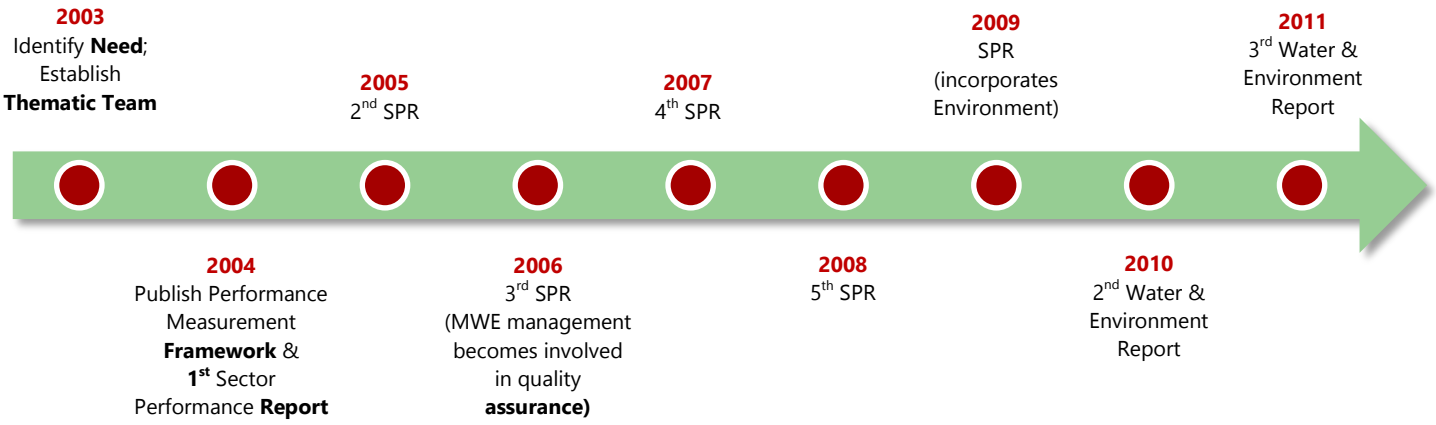
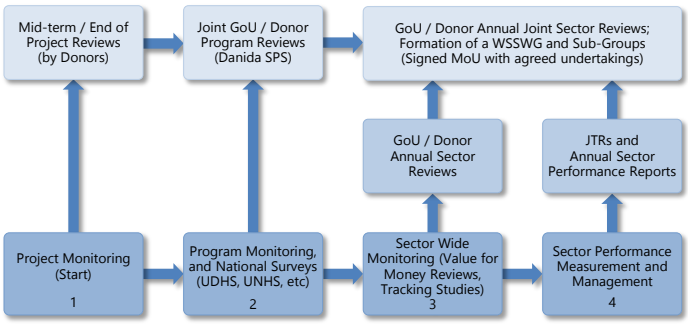


Figure 8 Key Milestones of Sector Performance Measurement in Uganda

3. Establishing Uganda's Sector Performance Measurement Framework

Establishing Sector Performance Measurement in Uganda was not just an event. It has been a dynamic process that is still evolving. It has faced challenges, and has gone through a series of milestones (Figure 8). It is now a comprehensive process that combines various government monitoring aspects with a review process that is linked to the reviews of the *development partners* (Figure 9).

Figure 9 Joined-up project, programme and *development partner* Performance Measurement



Key Milestones

The need for sector performance measurement was identified at the Water and Sanitation Joint Technical Review (defined in Box 6) in March 2003. Nationally, there was the desire for more efficient investments and effective outcomes from the resources allocated to social sectors in Uganda, including water and sanitation. Sector Performance Measurement was also a response to the general move away from project funding to the *Sector Wide Approach* (see section 2.1).

In November 2003, the *Sector Working Group* appointed a Thematic Team to spearhead and follow up the development of a sector performance measurement framework. The team comprised representatives from the Ministry of Water, Lands and Environment, *development partners* and civil society organizations who had personal interest in the new subject of performance measurement. It was this group of individuals that championed the establishment and institutionalization of the performance measurement process in the early years (2003-2005).

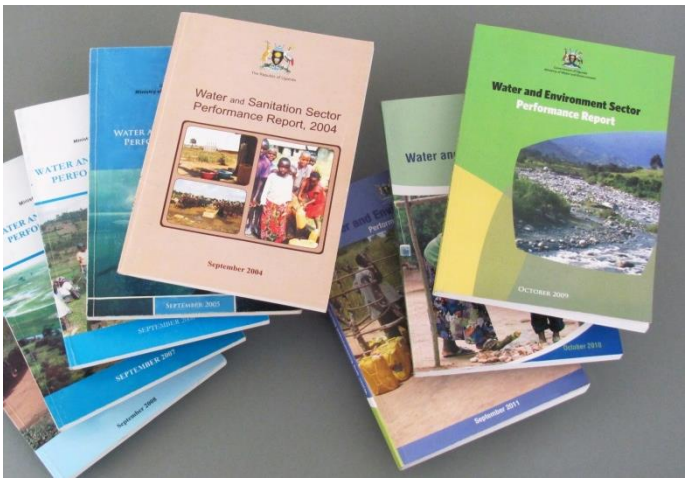
From June to December 2003, a consultant team from WELL[4] was engaged with support from the *development partners* to develop a sector performance measurement framework. The consultant reviewed key documentation, conducted a series of meetings with stakeholders, held consultative workshops and built on good international practice. The key outputs from the consultancy were two documents:

- Water and Sanitation in Uganda - Measuring Performance for Improved Service Delivery (MWLE 2003)
- Performance Measurement Framework, Uganda Water and Sanitation Sector (MWLE 2004a)

The Framework recommended eight "golden" indicators (Table 4), and provided basic definitions, data sources and institutional responsibilities. The measurement framework was presented to the *Sector Working Group* for approval before adoption.

The framework document (MWLE 2004a) set the scene for all future annual Water and Sanitation *Sector Performance Reports*. The *Sector Performance Report* is the basis for all discussions at the annual *Joint Sector Review*, and is an integral part of the water and sanitation sector reporting framework. The first performance report was produced in 2003 (corresponding to Financial Year 2002/03) by the then Ministry of Water, Lands and Environment, with consultancy support from WELL. Reports have been prepared each year subsequently. The 2009 report incorporated Environment and Natural Resources too.

Figure 10 Annual Sector Performance Reports (2004 to 2011)



Success Factors

The performance measurement process for Uganda's water and sanitation sector is now well established. It has been a dynamic and flexible process which has taken 10 years. It is still being refined and adjusted as necessary. There are five factors which have enabled the process to be a success (Table 2).

Table 2 Five Success Factors for Uganda Water and Sanitation Performance Measurement

1. **Development Partner'** support to the sector which initially availed the necessary resources and international expertise (in the form of a consultant) to support the development of the Sector Performance Measurement Framework. Later on, the government started allocating its own resources to complement these funds.
2. Availability and continuity of committed, and suitably qualified **staff** in the Ministry of Water and Environment, who easily grasped the concept and championed the whole process before it was fully institutionalized.
3. The Sector Wide Approach with overall **government leadership** made it easier to reach agreement amongst the stakeholders on the Sector Performance Measurement Framework and establish it.
4. **Annual targets** for the indicators were set based on resources allocated to the sector.
5. Increasing levels of **transparency and accountability**. Any problems or issues identified are put in the annual Sector Performance Report and are discussed openly with all sector stakeholders at the *Joint Sector Review*. Strategic actions are agreed to address them.

Box 7 Case Study of factors affecting functionality in a sample of seven sub-counties (MWE 2009, prepared by SNV/Netwas)

There is little or no support to Water and Sanitation Committees by sub-county extension staff. They are not active because they do not know their roles as a result of not being trained. Under the Conditional Grant, up to 12% can be spent on *software* activities. The survey found evidence to be lacking that planned activities were implemented or that *software* budgets served the necessary purpose.

The long tenure of the WSC affects its performance. Most members have lost morale and are inactive, leaving management of the water point to the member who stays very close to it. Much as women are largely treasurers, to a large extent it does not translate into effective work because no money has been collected.

Performance is also affected by a lack of adequate interface, such as meetings between the committee and the water users. This has caused tension between the two parties, and the community does not effectively participate in matters concerning its water points. Few meetings are held unless the water point breaks down.

Very few water users pay O&M fees, especially in the vicinity of the water point. Payment is not routine but occurs when the water point breaks down. Few sources have a receipt book, and funds are not kept in the bank for fear of high bank charges. Cases of mismanagement of user fees are reported to be discouraging the communities from contributing.

Challenges

The remarkable progress made has not been without some challenges six of which are worthy of particular mention (Table 3).

Table 3 Six Challenges faced by Uganda Water and Sanitation Performance Measurement

a. **Institutionalization** of Sector Performance Measurement Framework: Involvement of Ministry top management staff in quality assurance process was lacking at the beginning. Some felt that the whole concept was being imposed by the *development partners* as a precondition for funding. They therefore felt that this was something they could do away with, given a chance. Their involvement, especially in the quality assurance process was only achieved after the initial three to four years.
b. **Transparency**: Initially, there was a tendency for managers and implementers to withhold information and data. For example, after development of a formula for allocation of district conditional grants, some district local governments would not report all the existing water sources in their districts[5].
c. **Different definitions**: In the initial years, there was a big discrepancy in the access figures generated by household surveys conducted by the Uganda Bureau of Statistics and the Ministry of Water and Environment data which is estimated based on type of source/user population ratio[6]. This was subsequently addressed by reaching agreement between the Ministry of Water and Environment and the Uganda Bureau of Statistics on the basic definition of what constitutes an improved water source.
d. **Complexity of indicators**: Two of the indicators were not so easy to understand, let alone calculate, i.e. ■ **Functionality**: when is a source deemed not functional? Should the definition of functionality stipulate some minimum days/hours of service in a year? Should it also take into account quality and quantity with respect to the yield? In Uganda's case, a "snap-shot" survey approach is used. However, case studies such as those in Box 7 build understanding. ■ **Equity** is measured using the mean sub-country deviation from the district average number of users per water point. This proved to be a little complicated. Many sector stakeholders still do not understand what this actually means. If you want to learn more, see Box 8. Although the golden indicator does not refer to the equity between districts, this is discussed extensively in the sector performance report.
e. **Cooperation** between different ministries was limited initially. Obtaining data from the Ministry of Health (household sanitation and hygiene), and the Ministry of Education (primary school sanitation and hygiene) was difficult during the earlier years 2003-2005, until the establishment of the Sanitation Sub-sector Working Group.
f. **Inconsistent and unreliable data**: Some of the data obtained was not accurate and had not been verified. It was therefore decided later on to incorporate mechanisms for data validation, especially through value for money studies, technical audits, sample surveys in the field, and through joint field monitoring visits.

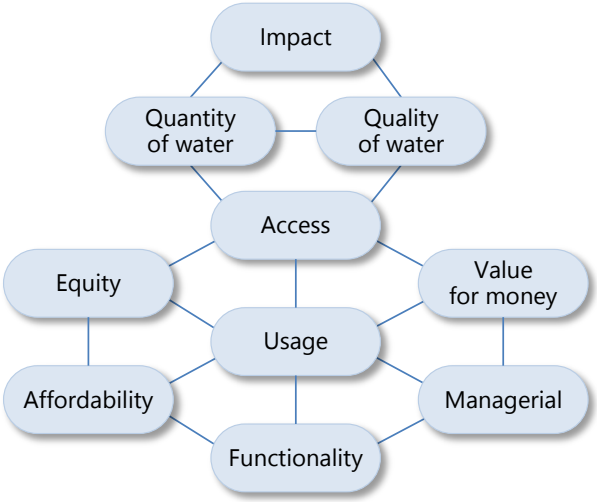
4 Indicators and Links to National Reporting Systems

A central aspect of the Sector Performance Measurement process is the "golden indicators". These were not just selected randomly, but carefully chosen to reflect performance themes. Substantial work was undertaken to link these indicators with existing national reporting systems. As new national reporting systems were developed, particularly for district local governments, considerable attention and care was put into making sure that the golden indicators were fully incorporated and well understood.

Performance Themes

Key performance themes for the water and sanitation sector were identified by asking: '*What are the key things that we need to know about each sector objective*?' Possible themes were discussed during the stakeholder consultative workshop in 2003, and ten themes were agreed as the most important ones (Figure 11).

Figure 11 Performance Themes (MWLE 2003)



The themes are defined as follows:

- **Impact** (of overall importance) assesses the 'big picture' or desired outcome of water and sanitation initiatives, e.g. the effect on improving the health of the population and productivity.
- **Quantity and quality** measure the extent to which there is enough water of the right quality to meet the service delivery standard(s).
- **Access and usage** are inter-related themes that assess whether water and sanitation facilities are located in places where they can be reached and are used.
- **Equity and affordability** consider whether facilities are fairly distributed and whether they are within the means (income) of the population.
- **Functionality and management** are 'operational issues' which are necessary to ensure the operation of water and sanitation infrastructure and the reliability of services
- **Value for money** assesses whether the inputs are being converted into outputs with as few resources as possible

The "golden indicators" were developed through a very participative process, involving the workshop in August 2003 as well as several stakeholder meetings. For those of us who remember participating, at times it felt as though we were moving around in circles. However, participants finally came up with a potential indicator for each theme, and after a prioritization exercise, agreed on the eight "golden indicators" in Table 4. Three more indicators were added later, bringing the total number up to eleven.

Table 4 Eight Golden Indicators (as defined in MWLE 2004 and subsequently amended)

Theme	Indicator	
Access	% of people within 1.5 km (rural) and 0.2km (urban) of an improved water source (in 2010, walking distance for rural areas was changed to 1km)	Defined in 2003
Functionality	% of improved water sources that are functional at time of spot-check	
Value for Money	Average cost per beneficiary of new water and sanitation schemes	
Access/Use (sanitation)	% of people with access to improved sanitation (household and schools)	
Quality	% of water samples taken at the point of water collection, waste discharge point that comply with national standards	
Quantity	% increase in cumulative storage capacity availability of water for production [later changed to cumulative water for production storage capacity (m3)]	
Equity	Mean Parish deviation from the District average in persons per improved water point (for national purposes, mean sub-county difference from the national average in persons per water point is reported)	
Access/use (hygiene)	% of people with access and using hand-washing facilities	
Management	% of water points with actively functioning Water and Sanitation Committees (rural/water for production) or boards (urban)	Defined after 2003
Gender	% of Water User Committees/Water Boards with women holding a key position	
Water Resources Management Compliance	% of water abstraction and discharge permit holders complying with permit conditions (current data refers to permit validity only)	

Box 8 Equity Indicator Explained (MWE 2009a)

Equity is concerned with providing equal opportunities for a service and minimising differences between people. The golden indicator for equity is defined as **the mean sub-county deviation from the district average number of persons per improved water point**. The indicator helps to determine deviation between the number of persons per improved water point in the district and that of the sub counties. A lower numerical value indicates a more even distribution between sub-counties with in a district**.**

To determine the indicator:

- Step 1 – calculate how many rural people there are per improved water source in an entire District (i.e. District rural population divided by number of improved water sources).
- Step 2 - calculate how many rural people there are per improved water source in each sub-county (i.e. sub-county rural population divided by number of improved water sources in the sub-county)
- Step 3 – calculate the difference between the District value of people per improved water point and the sub-county value of people per improved water point
- Step 4 – calculate the absolute value of the difference obtained in step 3.
- Step 5 – add up the absolute values and divide by the number of sub-counties.

The table below uses data from Yumbe District as an example.

			Step 1 & 2	Step 3	Step 4
Sub-county	**Population June 09 (Uganda Bureau of Statistics)**	**Total number of Improved Water Points**	**Average number of Persons per water point**	**District Average minus S/C Average**	**Absolute value of Difference between S/C and District Averages**
APO	41,800	41	**1020**	-319	319
DRAJANI	53,100	108	**492**	209	209
KEI	39,900	49	**814**	-114	114
KURU	65,000	65	**1000**	-300	300
MIDIGO	69,000	86	**802**	-102	102
ODRAVU	63,300	76	**833**	-133	133
ROMOGI	65,000	142	**458**	243	243
District (Rural)	**397,100**	**567**	**700**		
Total					**1419**
Mean sub-county deviation from District Average = Sum of sub-county/No of Sub-counties					**203**

The Equity indicator examines disparities within a District. However, the fact that there is an indicator for equity stimulates reflection and discussion of the issue. Analysis is undertaken of District access to examine inequity at this level. Taking definitive action to redress this issue has been a major aspect of rural water supplies planning over the years.

Linking indicators to national reporting

The main source of data on reporting for rural water supply and sanitation is from the district local governments. They are responsible for delivery of water and sanitation services in rural areas. Each local government submits quarterly progress and annual reports to the Ministry of Water & Environment (with a copy to the Ministry of Finance, Planning and Economic Development) using a standard report format which captures all the necessary data for calculation of the relevant golden indicators. The report format includes information on the location of the new sources constructed as well as expenditure. The information received is analyzed and entered into a Management Information System (MIS) database at the Ministry of Water & Environment. Release of conditional grants to the district governments is on a quarterly basis after receipt by the Ministry of a satisfactory progress report.

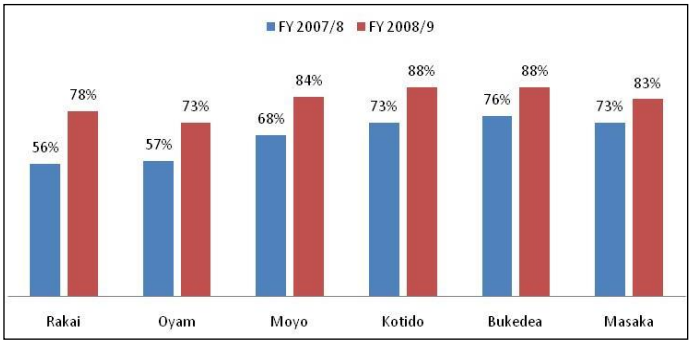
At the end of the financial year (June/July), the Ministry of Water and Environment uses the information from the MIS database to compile the annual Sector Performance Report. Summary information from the Sector Performance Report feeds into the Government Annual Performance Report, which is compiled by the Office of the Prime Minister and includes information for all service delivery sectors.

Annual targets for each golden indicator are set by the Ministry of Water & Environment in consultation with the Ministry of Finance, Planning and Economic Development, and all the sector development partners. The targets set in the work plans are based on projected resource allocation to water and sanitation under the government budget (also known as the Medium Term Expenditure Framework). These targets are approved by the Sector Working Group.

The golden indicators are important, but it should be emphasized that they simply assist sector managers and planners with their analysis. The golden indictors provide a structure and focus for reflecting on issues or challenges which enhance or inhibit achievement of the targets and objectives. Therefore, the indicators are just a means (not the end) to create awareness and influence decision-making. The decisions can be on policy making, implementation or strategic actions.

The golden indicators provide a focus for further analysis on issues and challenges. They are a means to an end rather than an end in itself.

Figure 12 Using data to incentivise performance - the six districts with the most significant improvements in functionality (MWE, 2009a)



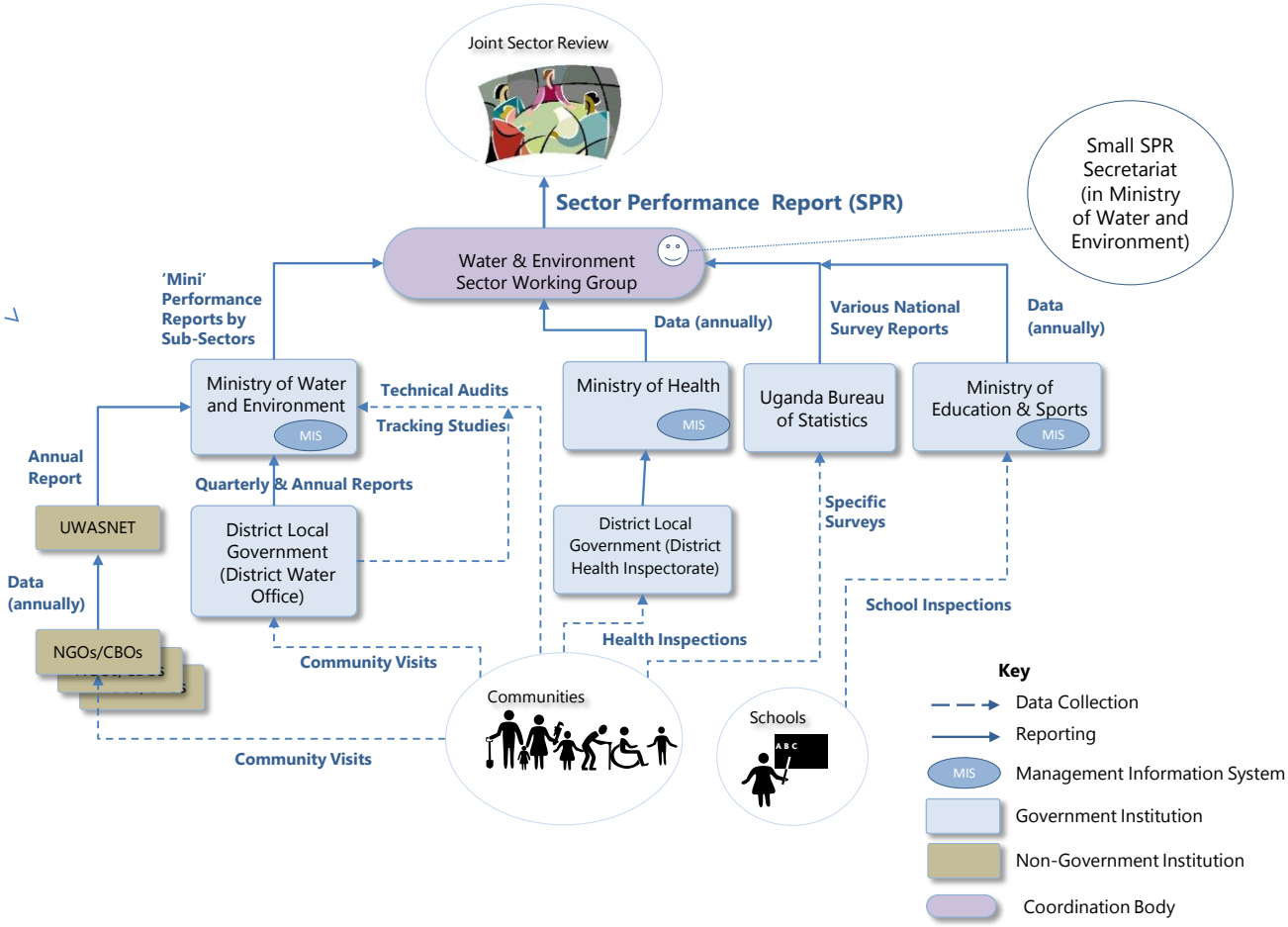


Figure 13 Data sources and flow for performance measurement in Uganda for water and sanitation

5 Preparing the annual sector performance measurement report

The annual *Sector Performance Measurement Report* is the main output from the monitoring process. Over 100 stakeholders participate in its preparation. Some of these provide the district local government reports, while others check and compile data, undertake analysis and draw conclusions. There is also a secretariat that quality-assures the various submissions and draws them into one consolidated report.

Data Sources

Figure 13 sets out the data sources and flow of information for rural water supply and sanitation in Uganda. The main data sources are the district local governments (there were 36 districts in 2003, but the number has now increased to 111). The NGOs/CBOs also provide data through UWASNET. The Ministry of Health provides data on household sanitation and hygiene[7], the Ministry of Education & Sports provides data on primary school sanitation and hygiene[8], while the Ministry of Water and Environment provides some data (on water and sanitation) for rural growth centres[9]. Geo-referencing of data has been introduced since the completion of the Water Atlas in 2010 (Box 13).

Each sub-sector is responsible for data analysis and compilation of a mini report (Figure 13), which is submitted to a small secretariat for overall analysis and compilation of the report. The Water Sector Liaison Division (of the Ministry of Water and Environment) acts as the secretariat (represented by ☺ in Figure 13). The secretariat is usually supported by a consultant in the report compilation process (Box 10).

The Sanitation sub-sector Working Group, defined in Box 6, collates and analyses all the data on sanitation and hygiene from the different sources above. Financial tracking studies and technical audits, conducted when deemed necessary by the Ministry of Water & Environment, also provide input into the *Sector Performance Report*.

Data Analysis

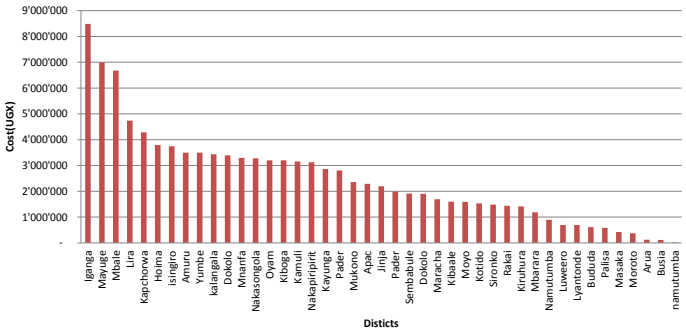
The Uganda Bureau of Statistics regularly conducts a number of household and user surveys[10] which provide data on water and sanitation. This data is used to triangulate and validate the data obtained from the district local governments and central ministries. All data is analysed, with the information presented in ways that readily convey the desired message. This facilitates decision-making. Whenever possible, the data is presented in tabular and graphical formats. Typical analyses are set out in Box 9.

Box 9 Typical data analyses and presentation

Typical analysis of rural water supply data is as follows:

- Compare access to improved rural water supplies between districts
- Examine the functionality of different water supply technologies
- Determine why water point functionality in a particular district are very high, or low
- Determine trends with respect to the inclusion of women in decision-making positions
- Comparisons of actual performance against plans or targets
- Analysis of value for money trends, such as number of people served versus funding, i.e. per capita investment (figure below)

Figure 14 Comparison of borehole rehabilitation costs between district local governments in 2009

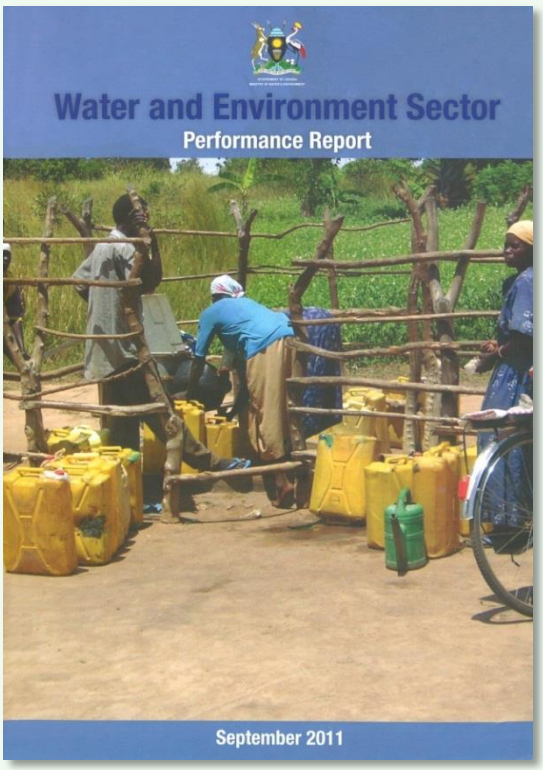


The overall report structure has evolved over the years. Currently, the chapters are structured around the different sub-sectors rural water & sanitation; urban water & sanitation; water for production, water resources management and environment & natural resources (refer to Box 10).

Within each chapter, there is a focus on the relevant golden indicators. This allows the reader to focus on the component of interest and leads him or her through each sub-sector in its entirety. The report includes achievements versus plans for both physical outputs and indicator targets. It sets out challenges and issues which require strategic action to improve performance. The report also includes a narrative (qualitative) review of performance to complement the indicator analysis.

The report undergoes quality assurance involving reviews by the top managers of each directorate in the Ministry of Water and Environment. A one-day internal retreat to discuss the draft is also held before it is finalized. An extremely important aspect of the report production process is that there is **no involvement** of the *development partners*. They obtain the final report and are not involved in drafting it or analysing the original data. However, they make an official response at the *Joint Sector Review*, which feeds into the discussions. Ideas raised are looked at in the preparation of subsequent sector performance reports.

Box 10 Current Report Structure (main chapters only[11])



Foreword (by the Hon. Minister for Water & Environment)

Executive Summary

1. Introduction
2. Sector Institutional Framework
3. Financial Performance
4. Status of Implementation of Undertakings
5. Environment and Natural Resources Management
6. Water Resources Management
7. Water for Production[12]
8. Urban Water Supply
9. Urban Sanitation & Hygiene
10. Rural Water Supply
11. Rural Sanitation & Hygiene
12. Contributions by Civil Society Organizations to water and sanitation
13. Contributions by Civil Society Organizations in Environment & Natural Resources
14. Cross-cutting issues (HIV-AIDS, Gender)
15. Activities to improve Good Governance in the water and sanitation sub-sector

References

Annexes

Prior to the Sector Performance Report, there was a tendency for different departments to write about how much had been achieved, with little self-criticism, or explanation of particularly good practices. In the early years (2003 to 2005), the Sector Performance Report was perhaps too negative.

A challenge with the report preparation over the years has been to strike a balance between setting out the problems and elaboration of successes. However, arguably, there has been a cultural shift within the Ministry of Water and Environment over the years, with much more willingness to express the challenges on paper and openly seek out solutions.

One major challenge is that the size of the report has become too big over the years (growing from 100 to 300 pages between 2003 and 2011). This length compromises its usability. The report now includes more detailed information on activities than necessary. This is partly attributed to the incorporation of environment in 2009, as well as the participatory approach to drafting the report. There is a tendency for individual staff to feel that since their respective top managers have quality assured their input, the Sector Performance Report secretariat should not reduce it or edit it. There is need for a delicate balance by the secretariat; otherwise the staff contributing to the report may become demoralized, making it difficult to get their dedication and inputs in subsequent years.

Box 11 Human Resources and Skills Development, and Cost

The preparation of the sector performance report is part and parcel of the ongoing work of the various directorates, within the Ministry of Water and Environment, the Ministry of Health and the Uganda Water and Sanitation NGO Network (UWASNET). Thus, there are no additional financial costs. However, data compilation, analysis and quality assurance takes considerable dedication and time. If you visit the Ministry of Water and Environment in August and September, you will find most of the staff very busy with the report preparation and quality assurance.

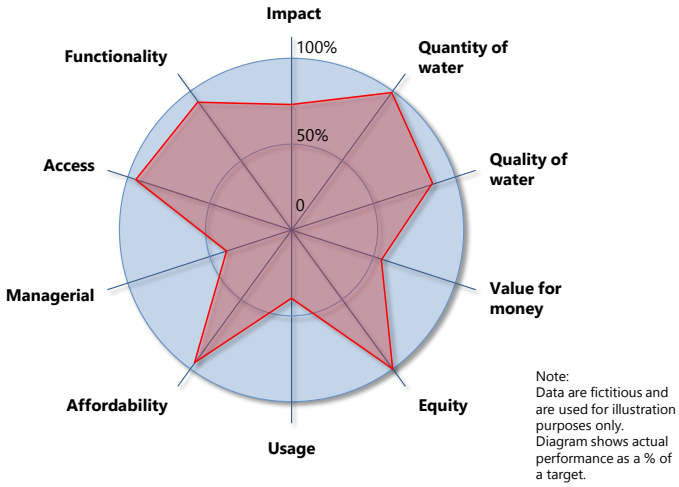
The Sector Performance Report Secretariat usually hires a consultant for about six weeks to support the process of compilation and quality assurance. In the early years, the secretariat put a lot of effort into building up the analytical skills as well as the writing skills of Ministry staff. This was not undertaken through training courses, but was simply done as part of the submission and quality assurance process. In the early years, people were simply not accustomed to undertaking this kind of data compilation, analysis and writing. There was no precedent to learn from. For some staff, there was a tendency to guess the reason for problems rather than actually find out what it was, as in the early years.

For others interesting in establishing such a system, it is important to consider the costs. In Uganda's case, there were initial costs for the consultant to develop the Sector Performance Measurement Framework in 2003 and 2004. Subsequently, there is the annual cost of consultancy support in the report compilation. However, the whole monitoring exercise is actually integrated within the respective government structures, workplans and budgets. The costs of time to analyse data and prepare reports cannot be isolated. This is part of the ongoing work of Ministry staff.

There is no such a thing as a monitoring unit purely responsible for data collection, analysis and reporting. Those preparing the report are the same people that are responsible for programme management and support. We argue that such a degree of institutionalization is essential for long-term sustainability

In Uganda, the numerical data for all eleven golden indicators listed in Table 4 is simply presented as a table with numerical values. However, as other countries consider presenting a summary of the results, they could use a spider diagram as in Figure 15. The perimeter of the circle shows the target for each indicator, whereas the star shape plots actual performance as a proportion of the target. When a point is at the centre of the diagram, performance is poor, whereas if the point is further out, performance is better. In Figure 9, '*equity*' is performing well, but 'usage' and 'managerial' are performing lower than expected. This kind of analysis can help to focus efforts and to target resources on priority areas. However, there is need for a common understanding of the nuances behind the data.

Figure 15 Example of performance measurement by theme (note data used is fictitious and for illustrative purposes only)[13]



Transparency

The Sector Performance Report is uploaded on the Ministry website (http://www.mwe.go.ug). A simple, summarized version of the report is also put in the national newspapers for information to the public.

One striking feature of the Sector Performance Report is the level of transparency. However, this comes with political challenges. For example, it was realized that despite investments in infrastructure, the percentage of people that access improved water supplies in rural areas did not actually increase for several years. This needed careful explanation. However, it did enable some discussion about the challenges of keeping up with population growth. Likewise, the realisation that unit costs were increasing (Table 5) led to a more detailed cost analysis.

The reports give a lot of detailed information in the annexes to back up the summary data (which is presented in tabular or graphical format) for readers who are interested in going deeper into the analyses. Both good practices and poor practices are included.

Table 5 Trends in the cost per new Person Served (UGX) in rural areas over an 8-year period (extract from MWE 2010)

Item	2002/03	2003/04	2004/05	2005/06	2006/07	2007/08	2008/09	2009/10
Number of people served	895,498	742,942	743,817	607,738	646,826	539,400	567,736	670,910
Cost per new person served (based on total conditional grant expenditure)	24,646	32,519	36,240	41,241	56,616	65,960	72,423	66,036
Cost per new person served (based on hardware expenditure only	17,998	23,632	24,014	25,394	32,161	34,770	42,270	47,564

6 Using the Sector Performance Report

Reflection at the annual Joint Sector Review

The final report is presented and discussed in the annual *Joint Sector Review*, where 7 to 10 strategic actions (known in Uganda as *undertakings*) are agreed. These actions address major issues affecting performance and result in changes to policies, strategies or implementation approaches. They can also influence resource allocation. Box 12 gives three examples of strategic actions that were set and fulfilled.

Box 12 Examples of Strategic Actions (Stated Undertakings) from the Joint Sector Review Process

Example 1: A revitalized Community Based Maintenance System (CBMS) leading to an improved functionality rate of water points in 50% of the districts by at least 3 percentage points by improving the management at community level and at the district level through:

- Reviewing and updating the Operation & Maintenance Framework, & finalize the up-date of the MIS with respect to functionality (2009/10).
- Implementing the revised Operation and Maintenance Framework (2010/11).

Example 2: Strengthen the community based maintenance O&M support structures through formation of hand pump mechanics/scheme attendants associations in 80% of the districts in FY 2011/12, and operationalize them in at least 30% of districts by FY 2012/13, to improve functionality of rural water sources (JSR 2011).

Example 3: Finalise the guidelines for the conditional grant on sanitation and continue with enforcement of sanitation ordnances and bye-laws (2009/10), and allocate and disburse funds for the sanitation grant to the Local Governments (2010/11).

Decision-making process

The primary reason for measuring sector performance is to improve it. In Uganda, over the last ten years, data analysis and reflection has affected decision-making, resulting in changes in policies as well as implementation approaches. One striking example is funding allocations for rural water supply and sanitation to district local governments.

Over the years, as stakeholders analysed the equity and access indicators, it became increasingly apparent that some districts had very low coverage compared to others (Figure 5). An imbalance was also evident at lower local government levels (i.e. the sub-county). With the publication of the annual Sector Performance Report, these imbalances were clearly shown in the public domain. Politically, they were no longer acceptable and an allocation formula was introduced to enable the Districts with low coverage to catch up with the others.

Planning

Between 1998 and 2009, the overall planning document for the Government of Uganda, which guided national policies and sector plans, was the Poverty Eradication Action Plan (PEAP). This has now been replaced by the 5-year National Development Plan covering the period 2011-2015 with the overall theme "*Growth, Employment and Prosperity for All*". The National Development Plan ideally guides budget allocations to the different sectors under the Medium Term Expenditure Framework and the national budget. Allocations to the water and sanitation sector have typically been in the range of 5.2% (in Financial Year 2004/05) to 2.2% (in Financial Year 2011/12) of the national budget (Figure 4).

The government budget process commences in December, with a budget call circular from the Ministry of Finance, Planning and Economic Development to all the Government Ministries, Departments, Agencies and Local Governments. The budget call circular is accompanied by a draft Medium Term Expenditure Framework showing the block budget allocations (includes expected amounts from the *development partners* and government) to the different *sectors* (known as *sector ceilings*) for the following financial year, with projections for the next three to four years. The budget allocation to the line ministries includes the amount to be allocated to the district local governments for delivery of water and sanitation services (conditional grant).[14]

The ministry prepares a sector budget framework paper which ideally shows the intra-sector allocations based on the sector priorities, recommendations from the joint sector review and using a sector investment model which was developed specifically for this purpose. The budget framework paper is approved by the sector working group before it is submitted to the Ministry of Finance.

As a parallel process to the preparation of the sector budget framework paper, the Ministry of Water & Environment allocates the conditional grant to all the districts using the grant allocation formula. Each district then prepares its annual work plan based on a demand-responsive approach from the sub-counties, and guided by the Water Atlas (Box 13). The district work plan is approved by the district council before it is formally submitted to the Ministry of Water and Environment and to the Ministry of Finance, Planning and Economic Development.

Box 13 Extract from Uganda Water Supply Atlas (MWE 2010)

The Ugandan Water Supply Atlas *"has been prepared to provide stakeholders with good knowledge and information on matters concerning the safe water supply coverage, functionality and distribution. The Water Supply Atlas files are presented as a national report and one report per district. The national report is divided into Introduction, Explanatory notes and National summary report. The baseline survey was carried out in 2009/2010 and published in February 2011"*. The map below shows water source distribution in Amuria District.

Amuria District is located in the northern part of the Eastern Region of Uganda and forms part of the Teso sub-region. Amuria comprises two counties, nine sub-counties and one sub-county. The district population is 344,200, of which 58 % has access to safe water. The access rates vary from 42 % in Acowa Sub-County to 95 % in Kapelebyong Sub-County. The functionality rate in urban and rural areas is 82 % and 86 % respectively.

Each year, the Ministry of Water and Environment provides guidelines to all the district local governments on how to use the conditional grant. The guidelines spell out how the grant is to be used, and include a maximum percentage which can be allocated to the different expenditure categories (e.g. hardware, software, rehabilitation, salaries and unit costs of technologies). Following approval of the work plans, the funds are released directly to individual districts in quarterly instalments.

Sector performance measurement is now fully linked to the planning and budget process. Available resources are usually targeted to key priorities. Indicators are linked to the planned outputs, which are in turn linked to the resources allocated to the sector.

The *development partners* that support the national Rural Water Supply programme (section 2.1) through budget support have agreed on a Joint Assessment Framework to assess the sector's performance before release of funds. Annual targets are set for 3-4 of the golden indicators in consultation with government. These targets are based on the projected resource allocation to the sector in the government budget.

After the *Joint Sector Review*, the *development partners* together with the government carry out an assessment which involves an appraisal of the achievement of the set targets, taking into account any variations in budget releases compared to the projected budget. This level of achievement is used by the development partners as a basis for triggering releases of the next round of *budget support*. With this way of working, in rural water supplies in Uganda, "*money has no colour*" as all of the *development partners* work together. However, as shown in Box 14, in some cases, individual *development partners* were quick to sign up to the SWAP arrangements without first internalizing and understanding the implications.

Box 14 Challenges of working with the different donors under a Sector Wide Approach

Uganda's experience shows that even when the individual sector *development partners* agree to work together and sign joint financing arrangements, there can still be problems, as follows:

- There are complaints from some of the partners that they are not happy with the quarterly reporting format used by the government as it leaves out a lot of detailed information. These *development partners* still feel that they should be part and parcel of the implementation process. It takes a lot of argument to help them to realize that the rules of engagement in a Sector Wide Approach mean that the government is now in charge of the whole development process. Thus, going into extensive details by the *development partners* is viewed by the government officials as micro-management.
- Another situation was when a *development partner* provided budget support through the consolidated fund at the treasury. This particular funding was grouped together with support from other donors as well as government finance. All of the funding was consolidated and channelled into the conditional grant for water and sanitation to the districts. In other words, the money was pooled together. However, the particular *development partners* wanted specific accountability for their finance. They wanted this in the form of particular contracts implemented by the district local governments. In this case, the problem was solved by the ministry collecting contracts from any districts to add up to the amount of money received from this particular *development partner*. However, it diverted time away from other key activities.

Figure 16 Children fetch water from a tap stand in Uganda

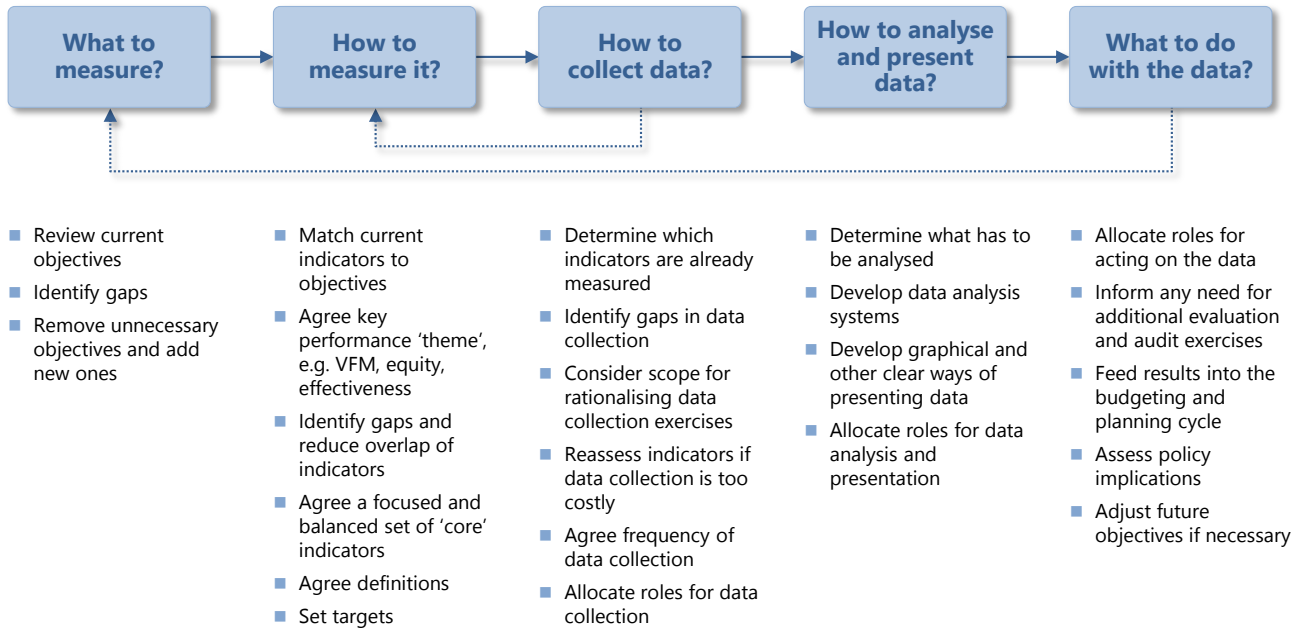


Figure 17 Five steps in performance measurement (MWLE, 2004)

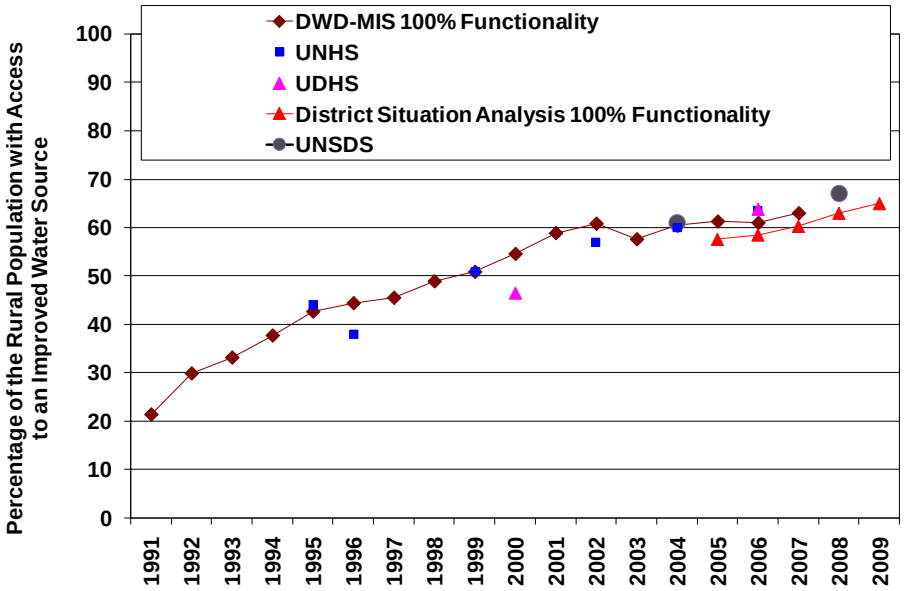
7 Advice for those who want to measure performance

Based on Uganda's experience, the steps in the establishment of sector performance measurement can be broken down into five components, as shown in Figure 17. The following principles should be taken into account during the process of establishing a sector performance system:

- ***Inclusive:*** Performance measurement should include the whole chain of inputs, outputs, intermediate outcomes and final outcomes for the entire sector, at national and decentralized levels
- ***Integration****:* The performance measurement should be integrated within the country's planning, budgeting, review and reporting process
- ***Incremental:*** An incremental dynamic approach should be followed which improves data collection, analysis and reporting gradually to match the country's sector institutional framework and emerging key sector issues or challenges.
- ***Process approach:*** a word of caution that performance measurement is a process not an event. It should start simple but should have the flexibility to expand and develop with time as local capacity is built and its usefulness is appreciated by all the sector institutions and stakeholders. Ten golden rules for establishing sector performance measurement

With the above principles in mind, the ten golden rules for establishing a country-wide performance measurement system are:

1. **Performance measurement should cover the whole service delivery chain:** i.e. from inputs, outputs, intermediate outcomes and final outcomes for the entire sector, both at national and decentralised levels.
2. **Integrate within existing national processes:** Performance measurement should be integrated within the sector or national planning, budgeting, review and reporting process. This leads to institutionalisation and ownership of the whole process. Experience has shown that the cost of performance monitoring drops when it is diffused within the regular budgets, which is better for long-term sustainability.
3. **Keep it simple:** Use simplicity and common sense. Better to do a few things well within an agreed sector framework, than do all imperfectly! More can be added later. Performance measurement is a dynamic and flexible process, not an event.
4. **Indicators matter, but are a means to an end:** Agree on basic definitions for the indicator but note that an effective monitoring system is more than just a list of indicators (the indicators are just a means, not the end).
5. **Use qualitative information too:** to supplement the quantitative (key indicator) data analyses.
6. **Compare data sets:** User survey information from the national statistics office can be used to compare, triangulate and validate information on outputs provided by the sector or line ministries and district local governments. Much can be learned from this process.
7. **Define institutional responsibilities :** Map out, assign and agree institutional responsibilities, with an overall coordination group or leader.
8. **Assign individual responsibilities** for who collects what data, who analyses and reports, by when and to whom. This needs to be made operational from the start.
9. **Assess and gradually build capacity:** Institutional and individual capacity needs should be assessed and built up gradually, and as necessary, depending on the level of complexity of the monitoring framework.
10. **Disseminate widely:** Consider various ways of disseminating information from the monitoring process to the government, development partners, civil society, the public and any other sector stakeholders.



Key:

DWD-MIS	Directorate of Water Development Management Information System
UNHS	Uganda National Household Survey
UDHS	Uganda Demographic and Household Survey
UNSDS	Uganda National Service Delivery Survey

Figure 18 Trends in Access to Improved Rural Water Supply in Uganda, 1991 – 2009 (MWE 2009a)

8 Different monitoring mechanisms

Different Ways of Measuring

There may be discrepancies in the access figures for drinking water and sanitation facilities presented by the different government agencies, and even those in global statistics.

At national level, line ministries usually provide data on access to drinking water based on their own monitoring mechanisms. They usually track progress based on their recorded infrastructure outputs. In contrast, National Statistics Offices largely rely on surveys and census data. Household questionnaires measure the type of drinking water facilities actually used. Global monitoring, in particularly the Joint Monitoring Programme (JMP) of WHO and UNICEF, draw on data from these household surveys (for more details see RWSN 2012d). The difference in the definitions and ways of measuring are important. Understanding what they are, and taking the trouble to harmonize definitions, is key to making better use of the data, for example:

- A service which was previously built may no longer be operational, or may simply be abandoned, e.g. due to poor water quality regarding e.g. taste, hardness, turbidity. Unless a line ministry receives updated data, it will assume that this source is still operational, and it will be included in the statistics. In contrast, a survey based on household questionnaires will consider specifically what people are using.
- The National Statistics Offices and the line ministries may use different basic definitions, for example for access.
- There may be differences between definitions used at national and global level.

Uganda's Experience

In Uganda's case, the data published by the Ministry of Water and Environment on rural water access and that published by the Uganda Bureau of Statistics on use are very close (Figure 18). There has been considerable work between the two bodies to ensure that the same definitions of an improved water supply are used.

In Uganda, considerable work has been undertaken between the statistics bureau and ministry to ensure that the same definitions of an improved water supply are used.

Comparing the data is a very useful exercise as the various methods provide different ways of examining rural water supplies. For example, some of the Uganda Bureau of Statistics surveys consider seasonal variations and walking distances. These insights have supported policy changes. A case in point is the recognition of the importance of rainwater harvesting technologies in rural areas. Uganda Bureau of Statistics data shows the extent of rainwater harvested by households the rainy season. This information has supported arguments favouring promotion of this technology.

The Role of National vs. Global Monitoring

Uganda, with over 25 years of stability, fairly consistent staffing within the Ministry of Water and Environment, steady *Development Partner* Support and its *Sector Wide Approach*, has not had to rely on the global monitoring data provided by the JMP. However, the authors of this publication are acutely aware that there are many other countries, particularly those which are emerging from conflict, where this is not the case.

Global monitoring, such as that set out in Box 15, can provide very useful information for reflection and to assist decision-making. However, it is complementary, and can never be a substitute for national monitoring, which enables critical analysis and reflection on the nitty-gritty aspects of outputs and outcomes as well as their relation to policy, strategy, finance and human resources. For any country, the process of undertaking performance measurement is just as important as the data generated.

Table 6 The Roles of National and Global Monitoring

National monitoring	Global monitoring
■ Provide information for policy making, planning and implementation ■ Guide efficient allocation and use of resources to and within the sector ■ Assist in the *alignment* of *development partners* to national policies ■ Provide information to the relevant sector institutions to fulfil their roles for sustainable service provision ■ Improve transparency and accountability to the public and other stakeholders	■ Measure global trends and identify major challenges ■ Inform the global process on the allocation of official development assistance ■ Support awareness-raising and advocacy ■ Help to identify countries without a national monitoring framework ■ Provide a framework for support to national monitoring (e.g. through country level best practices)

Box 15 Summary of Water and Sanitation Global Monitoring Mechanisms

Global monitoring is based on country (national) data. Therefore, the availability and accuracy of country data, and its regular update is crucial for the global monitoring initiatives. There are a number of international initiatives which monitor water supply and sanitation at the regional and global levels. These include:

(i) the UNICEF/WHO Joint Monitoring Programme-JMP;

(ii) the UN-Water Global Assessment of Sanitation and Drinking Water- GLAAS; and

(iii) the Country Status Overviews (CSOs), which are carried out by the Water & Sanitation Programme on behalf of the African Ministers' Council on Water (AMCOW).

The GLAAS and CSOs monitor inputs, sector processes, and outputs for water and sanitation, while the JMP monitors outcomes, i.e. the number of people who are accessing and using improved water supply and sanitation systems

The Joint Monitoring Programme (JMP) of UNICEF/WHO provides global, regional and national statistics on populations' use of improved drinking water sources. It draws on some of the national surveys. The JMP data and analysis is used extensively in regional (multi-country) and international dialogue and advocacy.

Global monitoring is complementary but cannot be a long-term substitute for national monitoring.

With the deadline for the Millennium Development Goal Targets (2015) just around the corner as well as the adoption of the Human Right to Water by the UN General Assembly in 2010, there is considerable attention on the development of new global targets and a new set of indictors for water and sanitation[15]. As this RWSN publication goes to press, discussions on the inclusion of new indicators with respect to equity and affordability as well as others are taking place.

The authors of this report urge the organisations involved in developing the new international monitoring frameworks to provide guidance on how such information can be used for reflection and decision-making at national and local level.

Glossary

We have tried to avoid too much jargon, but where it could not be avoided, the word or phrase is given in *italics*, with the definition in the glossary below.

Alignment: The arrangement whereby *development partners'* activities and systems are harmonized with a recipient Government's priorities and systems, thereby increasing the Government's "ownership" of activities and systems and making implementation more effective (OECD, 2005/2008).

Basket Funding: Aid finance flowing from a joint *development partners'* account, kept separate from other funding but passing through the government systems. The Joint Partnership Fund (JPF) is an example in the water sector of basket funding for projects.

Consolidated Fund: The main treasury account where all Government and external funds are received. Funds are then allocated according to approved budgets to the ministries and local Governments.

Development Partner: Bilateral, multilateral and international organizations and agencies providing financial and technical support to a particular country (i.e. Uganda in this publication).

(Earmarked) Sector Budget Support: Financial support, channelled through Government Budget that is notionally earmarked to a specific sector or sub-sector. In water and sanitation in Uganda, it includes support via the consolidated fund and Poverty Action Fund (PAF) to the District Water and Sanitation Development Conditional Grant and to the Ministry of Water and Environment. The strict imposition of *sector ceilings* means that earmarking by donors only offsets the Government budget.

Fiscal decentralisation is the process of transferring financial resources to the local governments for delivery of services. It increases the autonomy of local government, widens their participation in decision-making and consolidates and streamlines the financial transfer modalities to local governments. It brings together central and local government planning and budgeting cycles. Financial transfers from the centre to the local governments are usually in the form of sector conditional grants.

Harmonisation: The process of rendering approaches, systems or policies between Development Partners and Government coherent.

General Budget Support: Financial support given directly to the Government budget, with no *earmarking* of funds. It is accompanied by dialogue with the Government around the implementation of the Poverty Eradication Action Plan (PEAP).

Joint Sector Review (JSR) – see Box 6

The **Medium Term Expenditure Framework (MTEF)** is a three-year rolling budget framework to guide public-sector resource allocation, including aid. The first year in the Medium Term Expenditure Framework forms the basis of the annual budget allocations, which are voted by parliament.

Performance monitoring: see Box 1.

Project support refers to *development partner* assistance that is not channelled via the Government systems. It can be on-budget (i.e. within the *sector ceiling*) or off-budget (i.e. outside the *sector ceiling*).

Rural and Urban population: In Uganda, the city of Kampala, all municipalities and town councils are classified as *urban* areas. All other areas are classified as *rural*. All district headquarters are classified as town councils and are thus *urban*. Uganda's population is presently estimated at 34 million, of which approximately 85% lives in the rural areas.

Sector: the organizations as well as programmes and projects that are involved in improving water supply and sanitation (or in other development objectives such as agriculture in a country).

Sector ceiling: This is the upper limit that each *sector* can spend under the government budget or *Medium Term Expenditure Framework*. The *sector ceiling* includes all on-budget *Development Partner* finance. *Development Partner* finance to a particular sector will not necessarily raise the sector ceiling. Sector budget support will, generally speaking, not increase the sector ceiling and is therefore not additional funding.

The **Sector Wide Approach (SWAP)** is a mechanism whereby the Government and Development Partners support a single sub-sector policy, development plan and expenditure programme which is under government leadership and follows common approaches. It reduces the emphasis on donor-specific projects. It promotes funding for the *sector* through *general, sector earmarked budget support* or through *basket funding*.

Sector Performance Report: Produced annually, this report is an integral part of the water and sanitation sector reporting framework. It forms the basis for all discussions at the annual *Joint Sector Review*.

Sector Working Group: Comprises stakeholders from Government of Uganda institutions within a sector, civil society organizations and Development Partners. *Sector Working Groups* meet to agree *sector budget* submissions and new projects proposed for the *sector*, as well as to review *sector* performance and to deliberate on key *sector* policies.

Software Activities refer to awareness creation, community sensitization mobilization and post-construction follow-up with respect to water supply and sanitation. These activities are undertaken to change behaviour and attitudes towards hygiene and sanitation and to ensure community management of improved water supply facilities.

Undertakings: Strategic actions to improve performance that are implemented by the sector. Usually about 6-10 *Undertakings* are agreed on at the *Joint Sector Review*. Ideally, they take 12months to complete (in time for the subsequent *Joint Sector Review*).

A valley dam is formed essentially by construction of an earth dam across a valley by joining points along the same contour line or altitude above sea level, thereby impounding the surface run-off and creating a large storage reservoir.

A valley tank is constructed by excavation of soil to create a large storage pit or chamber in the ground. After the soil excavation, the sides and base of the pit are usually lined and compacted with clay to reduce seepage of the water. When it rains, the surface run-off collects into the storage chamber (called a valley tank).

Annex Improving Sector Performance Measurement in Uganda

The performance measurement process has evolved over the years, with the quality of the *Sector Performance Report* and analysis generally getting better from one year to the next. However, the table below sets out the aspects which could benefit from further improvement. The Ministry of Water Environment will try to tackle these issues over the coming years.

Redefine the Core Purpose the Sector Performance Report	The *Sector Performance Report* has become overloaded. It tripled in length from 100 pages to 300 pages (including annexes) in 2011. There is need to take a fresh look at the report and agree on its purpose, how it is used and who it is intended for. The authors of this RWSN publication are of the opinion that the report should be mainly for the government policy-makers, top planners and managers plus the development partners in the sector. Therefore, it should concentrate on key policy and strategic issues.
Focus of the Sector Performance Report & an Agreed Table of Contents	The scope of the report is extremely wide, covering all indicators, all investments and all outputs. It includes an incredible amount of data and analysis. The authors of this RWSN publication would recommend that in May each year, the *Sector Performance Report* secretariat (Figure 13), together with each department head, reflect on the on-going work and determine if there are any particular issues which deserve more in-depth analysis. Agreement should be reached on a draft table of contents for each chapter, with a check-list of the data and analysis required.
Prioritize the Production of Sector Performance Report by Departments	All the top management need to take the *Sector Performance Report* production process very seriously. It has to be considered as one of the top priorities. Experience shows that where the directorate top management invests considerable time and effort to coordinate their teams and fully review submissions, the work is of a much higher quality.
Make Better use of the Mapping Data	Mapping of existing water facilities is a useful tool which can be used to guide district local governments in the allocation of resources within the district for new water supply and sanitation investments to improve equity. There is need to make more use of the mapping data (Box 13) within the *Sector Performance Report*.
Improve the Coverage Estimates	The household perception data on access to improved water which is collected by the Uganda Bureau of Statistics (UBOS) through national surveys is useful for triangulation with the quantitative data obtained from the service providers. The Ministry of Water and Environment estimates access based on assumptions for the average number of people using a water supply technology[6]. However, this is too simplistic and should be reviewed. It does not take into account the time taken to collect the water. Ideally, the time taken should be monitored alongside distance travelled to get a meaningful picture of water availability (access). Such data, including the actual number of users for a given source, can be collected by the Uganda Bureau of Statistics (UBOS) through the national census and existing surveys.
Demonstrate Health Benefits	The Ministry of Water and Environment would like to see the Ministry of Health provide data on the incidence (or reduction) of diarrhoeal diseases among children in the rural areas on an annual basis. This is a desired impact for the sector interventions. Currently, the performance theme "impact", as set out in section 4.1, is missing from the analysis.

Notes

1. Development Partners for Water and Sanitation in Uganda comprise Denmark, Sweden, Austria, European Union, African Development Bank, and, lately, Germany
2. Support to the sector can be channelled through multiple routes such as general budget support, sector earmarked budget support, joint partner financing arrangements, and project support as defined in the Glossary.
3. The original performance measurement framework had 8 key or golden indicators, which have now been increased to 11.
4. WELL was a consortium consisting of the Water, Engineering and Development Centre (WEDC) of Loughborough University (UK), London School of Hygiene & Tropical Medicine (UK), IRC (Netherlands) and Delta Partnership (UK).
5. The under-reporting by District Local Governments was done because they realized that the formula takes into account the existing access level. The tendency was to under declare the number of facilities in order to get more funding. This has now been overcome to a large extent by mapping all the existing facilities into a Water Supply Atlas with a database which is updated every year.
6. Coverage in Uganda is presently estimated, based on water points multiplied by a theoretical figure of number of users for each type of technology (i.e. 300 for a borehole with a handpump, 200 for protected springs, and 150 for a shallow well).
7. Data is provided from the Health Inspectors' Annual Sanitation Survey (HIASS).
8. Data is from the Education Management Information System (EMIS).
9. Data on rural water from the district local governments and other sub-sectors is entered into the Directorate of Water Development Information Management System (DWD-MIS).
10. For example the Uganda National Household Survey (NHS); The Uganda National Service Delivery Survey (NSDS); both of which are conducted every 2 years.
11. Detailed structure/table of contents can be viewed by downloading the full report (SPR 2010) from the website http://www.mwe.go.ug
12. This includes water for agriculture, which, in Uganda, is primarily livestock as there is relatively little irrigation.
13. This diagram is reproduced from the Performance Measurement Framework (MWLE 2004). This type of structure is also used by the International Fund for Agricultural Development (IFAD) in its Multi-dimensional Poverty Assessment Tool http://www.ifad.org/mpat/resources/book.pdf
14. The conditional grant for water and sanitation in FY 2011/12 is about UGX 55 billion (US$ 32 million) per year for all the 111 districts.
15. For more details see http://www.wssinfo.org/post-2015-monitoring/overview

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All MWE references are available on http://www.mwe.go.ug; all RWSN references are available on http://www.rural-water-supply.net

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