

A woman with a grey headwrap, wearing a blue and white striped tank top and a colorful patterned wrap, is kneeling on the ground. She is holding a yellow plastic jerrycan under a public water tap. Water is flowing from the tap into the jerrycan. The background shows a wooden fence and green foliage. The image is framed by a teal vertical bar on the left and a yellow and red diagonal bar on the right.

IRC

A baseline of the strength of the WASH system in Uganda

November 2018

Contents

Acronyms and abbreviations	4
Acknowledgements	4
Executive summary	5
1 Introduction	7
1.1 Structure of the document	7
2 Concepts	8
2.1 Theory of change and theory of action	8
2.2 Results framework	8
2.3 Monitoring WASH sector change	9
2.3.1 Monitoring the alignment of actors with systems approaches: measuring behaviour change	9
2.3.2 Monitoring the strength of national and district WASH systems	9
2.3.3 WASH services monitoring: our highest outcome level that measures the quality of services delivered ...	9
2.4 Political economy and country characteristics	10
2.5 WASH sub-sectors	11
2.6 Service Delivery Models	11
3 Assessment of the strength of the WASH system	11
3.1 Data collection and analysis	11
3.2 Country and WASH Sector context	11
3.2.1 Demography	11
3.2.2 Economy	12
3.2.3 Poverty	12
3.2.4 Geography	12
3.2.5 Politics	12
3.2.6 Administrative set-up and decentralisation	12
3.2.7 National development frameworks	13
3.3 Institutional set-up of WASH sector	13
3.3.1 Institutional frameworks at national level	13
3.3.2 Legislative, policy and strategy frameworks	13
3.3.3 Institutional arrangements and frameworks	14
3.3.4 Institutional frameworks at district level	14
3.3.5 Service delivery models for WASH	15
3.4 Service and performance level indicators	18
3.4.1 Service and performance levels - National	18
3.4.2 Service and performance levels - Kabarole district	18
3.5 Assessment of the strength of the building blocks	19
3.5.1 Legislation	19
3.5.2 Planning	19

3.5.3 Institutional.....	19
3.5.4 Financing.....	20
3.5.5 Infrastructure development and management	21
3.5.6 Regulation	21
3.5.7 Monitoring.....	21
3.5.8 Water resource management.....	22
3.5.9 Learning and adaptations.....	22
3.5.10 Overall strength of the WASH system building blocks.....	23
4 Scoring of behaviour change WASH actors.....	25
4.1 Political leadership	25
4.2 Partnerships.....	25
4.3 Overall assessment of behaviour of actors in WASH	26
5 Conclusion and recommendations	27
6 References.....	28
Annex 1: List of persons interviewed at district level.....	29
Annex 2: National Pathway of change	30
Annex 3: Theory of change.....	31
Revised Theory of Change National - Uganda Context.....	31
Revised Theory of Change District	32
Annex 4: National results framework - Uganda	33

Acronyms and abbreviations

CSO	Civil Society Organisations
DEA	Directorate of Environmental Affairs
GDP	Gross Domestic Product
MDG	Millennium Development Goals
MWE	Ministry of Water and Environment
NWSC	National Water and Sewerage Corporation
O&M	Operations and maintenance
RWSS	Rural Water Supply and Sanitation
SDG	Sustainable Development Goals
SDM	Service Delivery Models
TSU	Technical Support Unit
WASH	Water Sanitation and Hygiene
WRM	Water Resource Management
WSC	Water and Sanitation Committees

Acknowledgements

Production of the Uganda Baseline report was made possible by:

1. The Kabarole District Water Office, Technical Support Unit 6 (TSU6), the District Health Office and the District Inspector of Schools who provided the relevant district documents and participated in the surveys as informants.
2. The Kabarole Hand Pump Mechanics through their Hand Pump Mechanics Association (KAHASA) participated in data collection.
3. The IRC Team including Peter Magara, Angela Huston and Florence Anobe who compiled the report and Jane Nabunnya Mulumba who reviewed the report.

Executive summary

The baseline study analysed the 2017 status of WASH systems in Uganda with focus on the national level and Kabarole district. The baseline also formed a basis for strategic planning and reference for monitoring WASH system strengthening.

Overall, this baseline assessment utilised both qualitative and quantitative data collection approaches, including a review of district, national and international WASH sector literature, and discussions with key sector stakeholders at district and national levels.

The institutional framework for water supply and sanitation in Uganda is well defined. The Ministry of Water and Environment is responsible for determining priorities, setting policies and standards for water development as well as managing and regulating water resources. Over 110 local governments are responsible for the implementation of rural water supply and sanitation programmes at the district level. The National Water and Sewerage Corporation is a parastatal entity that provides water and sewerage services in 23 large urban centres. Local governments play a significant role in overseeing piped water supplies while the private sector is increasingly taking up construction, operation, and maintenance roles in the sector. Other smaller towns (defined as rural areas in Uganda) that have piped water supplies are appointed as water authorities. There are 64 of these small rural towns of which, eight use private operators and 56 are run by individual operators.

Service delivery models

The National Water and Sewerage Corporation (NWSC) supplies 8 million people and serves 218 towns reaching 2 million in Kampala (Uganda Water and Environment Sector Performance Report 2017). The national utility serves 26% of Uganda's population, with about 80% living in large towns. As of 2016/2017, the utility also served 8,859 pro-poor subsidized public-stand posts/kiosks.

Six (6) Regional Umbrella Authorities were first gazetted in July 2017 to improve the performance of 434 piped water schemes supplying small towns and rural areas and serving 2.5 million people. The Authorities assumed direct operation and management of the gazetted schemes including overseeing and contracting private operators. The model aims at achieving sustainability by introducing professional management practices, emphasising preventive maintenance, and raising revenue collection to sustainable levels. Water Boards are small piped networks that comprise public and also serve some schools. It is a management entity with representatives from the community. Approximately 7 people per board. In June 2017, 72% of small towns and rural growth centres had actively functioning Water Supply and Sanitation Boards (WASH Sector Progress Report, 2017).

Water and Sanitation Committees, comprised of community volunteers, are put in place after construction of a facility. 88% of these committees were found to be functional in June 2017. However, survey data from the District Water Office in Kabarole showed 33% committee functionality in 2017, versus 70% recorded for Kabarole in the national water and sanitation database.

Self-supply is a recognised model that enables rural households and small groups to invest in upgrading of traditionally dug wells and scoop holes, and install rainwater harvesting technologies, to provide convenient water supplies, which they manage and maintain themselves. Implementation of the self-supply model in Uganda follows a no-subsidy approach, and instead offers technical training in some districts and financing by some financial institutions. Self-supply is considered an option for difficult to reach geographies, but national strategy remains set on universal access to piped water by 2040 (WASH Sector Progress Report, 2017).

Political economy

The Republic of Uganda has a presidential system of government with one parliamentary body (unicameral) which acts as the main legislative mechanism. The country is formally based on a democratic system of governance since the National Resistance Movement took over power in 1986. Relative peace has prevailed, and the country has experienced consistent macro-economic stability. However, the over 30-year National Resistance Movement rule has caused a lot of tension in the country and in the opposition. There is a national drive for economic development based on the Uganda Vision 2040, the Second National Development Plan (NDPII) and annual sector plans and strategies.

Building blocks analysis

Legislation is a strong function of the national level. The policy and institutions for hygiene are present at the national level but there is limited budget allocation for hygiene provision. Existing legislation for WASH services covers district level functions and issues. Kabarole district lacks specific ordinances around water—part of the reason for its relatively low score.

Overall, the institutional arrangements for rural water supply in Kabarole are well developed including the definition of roles for both the service authority and service provider (score 4/5).

The planning building block assesses the framework, capacity, and completeness of both planning and budgeting for the key aspects of service delivery. These elements are moderately scored with challenges in joint sector planning with health and education line ministries at national and district levels.

Financing for the water and environment sector in Uganda has shown a declining trend over the years. The proportion of the budget allocation to the sector declined from 5.6% to 3% over the period 2008 - 2014 (MWE 2014) while the allocation in absolute terms increased from UGX 193 billion (USD 64 million) to UGX 440 billion (USD 125 million).

Asset management is not commonly practiced in the WASH sector in Uganda. Uganda has what is a relatively well-developed and long experience in national monitoring when compared to other countries in the region, with a national monitoring framework in place that includes annual Joint Sector and Technical reviews and real time updates of the national water atlas.

Learning and adaptation scored moderate at the national and district levels with limited government funding, however largely supported by WASH implementation partners.

In conclusion, there is need to strengthen capacities of community water management models, common in rural areas, as these serve 80% of Uganda's population. This will enhance WASH service access for all. Approaches could include incentives for these committees and improved budget allocation for operation and maintenance of water points and improvements in regulation and implementation of water resource management guidelines.

1 Introduction

This document provides the results of the assessment of the strength of the WASH system in Uganda and forms the basic guide for IRC’s Uganda country programme.

IRC’s strategy is guided by a long-term theory of change (figure 1), that provides guidance to the programmes what to do and why in order to achieve our goals on three levels of intervention: district, national and global. The term ‘district’ is used here as reference for the Local Government (LG) level where usually the function of the service authority is placed.

A key lesson learned that guides the theory of change is that a presence at national level must be matched with a presence at district level. If it is not, it is difficult to ensure that high-level interventions in policy and learning are leading to real improvements in services. It also makes it difficult to fully test the effectiveness of interventions along the entire service delivery chain.

Therefore, in implementing the new strategy, IRC has expanded its decentralisation strategy from the national to the district level: we will adopt partner districts within focus countries and commit to partnering with those districts until they achieve universal access to WASH services.

We will work in long-term partnerships in districts, led by local government and involving other district partners and help them to achieve and maintain their vision of universal access. We will take the lessons learned from these districts and bring them to the national level - helping to create the environment needed to enable replication and sustainability.

We will use district level progress as a proof of concept (that universal access can be achieved) to promote a move towards universal access at the national level and encourage replication and adoption in other districts. We will then take what we have learned from the districts in our focus countries into the global development forum.

Figure 1 shows how IRC seeks to act as a change hub to strengthen WASH systems to improve service levels and achieve impact. Initially, IRC championed service delivery as a competing narrative to the infrastructure-based paradigm of the Millennium Development Goals. Today, IRC emphasises the need for strong WASH systems to deliver lasting WASH services and meet the Sustainable Development Goals¹ (Huston et al, 2018).

The purpose of the baseline of IRC’s country programmes is to provide a solid ground for collective sector action. The baseline is the result of a thorough analysis of the WASH system by IRC and key partners in both the partner districts and at the national level. It guides the strategic planning and actions and is the reference for monitoring WASH system strengthening.

1.1 Structure of the document

After the introduction, section 2 provides a summary of the conceptual and methodological frameworks for monitoring IRC’s theory of change. Section 3 provides the assessment of the strength of the WASH system. This starts with a description of the WASH sector, the institutional set-up and the service levels for water, sanitation, hygiene and extra-household settings. The second part of this section provides an assessment of strength of the nine building blocks of the WASH system. Section 4 describes the scoring related to the behaviour of the actors in the WASH sector. Section 5 provides the main overall conclusions based on the different assessments.



Figure 1: Change logic of IRC’s Theory of Change 2017-2030

¹ For IRC’s more detailed theory of change, please see IRC Strategy Framework 2017-2030. Available at: https://www.ircwash.org/sites/default/files/084-201706strategy_doc_v1.0defprint.pdf

2 Concepts

This section presents the main concepts used in the study and describes how these are used within the scope of the baseline study.

2.1 Theory of change and theory of action

The 14-year (2017-2030) strategy and theory of change that maps out IRC’s intended contribution to achieving the Sustainable Development Goals (SDGs) has at its heart a commitment to supporting partner districts in our focus countries to achieve universal access with (at least) basic water, sanitation and hygiene services. Success at district level will be used to provide the necessary proof of concept for adoption and replication of lessons learned at national and global level.

IRC’s theory of change is based on the understanding that providing universal and sustainable access to WASH services requires strong national and local WASH systems. It is equally based on the understanding that building strong WASH systems requires collective action by all those involved in the systems. IRC’s priority actions are, therefore, designed to support partnerships for collective action for WASH systems strengthening, whilst also contributing directly to systems strengthening where IRC has specific technical competencies (IRC, 2017).

At country level, IRC’s theory of change is basically a WASH sector theory of change (figure 2). The theories of action of the IRC programmes are presented in 5-year strategic plans and annual plans. The 5-year strategies are renewed every 2,5-3 years because a five-year time horizon is still quite long for a realistic planning perspective.



Figure 2: WASH sector theory of change and IRC’s theory of action

2.2 Results framework

The results framework maps out the outcomes (changes) that we think are most critical for the sector to deliver WASH services, and IRC’s contributions to those outcomes. The sector outcomes are formulated generically and are designed to measure the development of the WASH system at district and national level. The IRC programmes formulate and plan, as part of their strategies and annual plans, context specific outcomes and outputs that contribute to these generic WASH system outcomes. Given the understanding that sector strengthening requires collective action by multiple WASH actors, and IRC’s desire to play a role in supporting the partnerships that will deliver this collective action, much of IRC’s impact will be in the form of contribution to shared outcomes. By consequence, direct attribution of outcome level change to IRC activities is difficult, and often counter-productive, to obtain.

At a high-level, the main logic that underpins IRC’s approach is set out in figure 3. IRC’s entire theory of change is underpinned by the understanding that building strong WASH systems requires collective action by all the key actors within the system. As such, building and supporting strong, government-led, alignment of partners dedicated to change is at the heart of the theory of change. WASH sector stakeholders that identify, agree, support, enable each other’s change and strengthen each other’s roles, is the basis for strong national WASH systems that ensure sustainable services to all. In the three outcome levels monitored by IRC’s results framework, we assume (as a given) that WASH service for everyone positively affects health, livelihood and development (= impact) in many ways and is therefore, in itself, not a focus of IRC’s results framework.

IRC’s theory of change (see diagram Annex 1) identifies five principal WASH outcomes for our partner districts, five outcomes for the national WASH sector in our focus countries and three for the global level.



Figure 3: Outcome levels of IRC's results framework

2.3 Monitoring WASH sector change

2.3.1 Monitoring the alignment of actors with systems approaches: measuring behaviour change

Crucial for achieving the outcomes of the theory of change is that the actors are able and willing to perform the required activities in all building blocks of the WASH system. For both the district and the national level, IRC's theory of change identifies four key behaviour change outcomes achieved by adoption of WASH systems approaches, which together contribute to the fifth outcome of building strong systems needed to deliver services (see next section). The four behaviour change outcomes are: strong political and financial commitment; strong partnerships for change; strong service delivery models; and, strong capacity of the key actors.

IRC contributes to each of these outcomes associated groups of related activities. A crucial set of activities and one where IRC believes it has a unique set of skills is to be a hub for sector change – that is, an organisation that supports others in change focussed partnerships.

The four outcomes are measured using Qualitative Information System (QIS) ladders and are scored separately for each WASH sub-sector at the national level; for the (partner) district level, the scoring is done for the WASH sector as a whole, because at this level it is mostly the same group of actors that are collaboratively responsible for the different WASH sub-sectors.

2.3.2 Monitoring the strength of national and district WASH systems: the measurement of the WASH system building blocks, which IRC has defined as the foundational elements of a functional WASH system

The fifth outcome of the IRC theory of change is the overall strength of the WASH system. The building blocks are a way of breaking down the complexity of the entire WASH system into more manageable chunks that make intuitive sense to sector practitioners. Within each building block the WASH actors interact with each other and work together to become a strong building block or element of the WASH system. IRC has defined a set of building blocks based on its experience with local and national WASH systems.

For the water and sanitation WASH sub-sectors, each building block is evaluated and scored separately at the district and the national level. For the WASH sub-sectors hygiene and extra-household settings, the scoring uses not all nine but only five building blocks. For the scoring of the water and sanitation building blocks, four to six 'scoring statements' have been defined for each building block. The WASH sub-sectors "hygiene" and "extra-household settings" use only one assessment statement per building block.

2.3.3 WASH services monitoring: our highest outcome level that measures the quality of services delivered

For monitoring WASH service delivery, the IRC programme (aims to) follow the SDG 6 indicators with

the more detailed definitions and ladders of the Joint Monitoring Programme (JMP). Ideally, national and local actors through country-led monitoring do the data collection and monitoring of the quality of service delivery. But in practice, country monitoring systems don't (yet) collect data using JMP indicators, or often even their own on a regular basis. For the national level, the available national surveys are translated by the JMP. In our partner districts, the same translation methodology cannot be used because often only facility-based data exists and no or limited household-level data is available. In 2018, IRC in collaboration with the local authorities has made a start with the translation of locally available data into values for the JMP indicators. The coming year, we will also start with analysing the financial gaps in the partners districts and developing financial strategies for realising the district master plans.

2.4 Political economy and country characteristics

The WASH system (and therefore IRC's theory of change as well) is influenced by a broad set of factors and relations which are not directly part of the WASH system. In the sector this is often referred to as the enabling environment. We choose the term 'political economy' to put the focus on how the WASH system is influenced, instead of a more neutral description of the environment. The number of factors of the political economy surrounding the sector is potentially very large. We therefore focus primarily on three which we have identified as priority ones, but countries may add different ones if found (more) relevant.

1. Decentralisation. This refers to the extent to which the responsibility for public service delivery is vested in the local governments. In addition, it refers to the extent to which there is a fiscal decentralisation, i.e. the capacity of local authorities to raise their own revenue or dependence on transfers from national level.
2. Public financial management. This refers to the relative size of the tax base of the country, and the way in which this tax revenue is prioritised for different sectors, including WASH. It also refers to the extent to which a country obtains finance for investments, for example by the issuing of bonds.
3. Aid dependence. This relates to the relative size of aid as percentage of GDP, whether this comes in the form of grants or loans, and the sectors to which this aid is directed.

The above factors depend on a number of key characteristics of the country. For this study, we focus on:

1. Demographics. This refers to the relative size of the urban population in a country and the main trends in growth of the population of this segment.
2. Economy. The analysis of the economy focuses on the per capita GDP, changes therein and expectations for the future.
3. Poverty. The analysis of this is focused on the degree of poverty, particularly in urban areas, and trends therein.
4. Geography. The main geographical factor of interest to this study is the availability of water resources and the degree of water scarcity



Figure 4: Building blocks of WASH system

Both the political economy factors and country characteristics are analysed in a qualitative manner based on secondary data. There is no scoring attached to these analyses.

2.5 WASH sub-sectors

The acronym WASH, adopted in the early 2000s to replace the more prosaic WatSan, unites the three linked aspects of health- and water-related social services. This conveys the message that achieving health benefits depends on three mutually reinforcing aspects: clean water, safe sanitation, and changed hygiene behaviours. In reality, however, the WASH system involves actors working in separate silos. Particularly in rural areas, drinking water and sanitation have often followed quite different development paths, to the extent that they are hardly linked at all. This is most visible in service delivery models that take a communal approach for water but a household approach for sanitation (Huston et al, 2018).

In IRC's theory of change and assessment of strength of the WASH system, we have in most cases separated WASH in four sub-sectors: water, sanitation, hygiene and extra-household settings, following the JMP WASH sub-sector categories for the SDG service ladder indicators. For the monitoring, like JMP, the extra-household settings sub-sector is split between WASH in schools and WASH in health care facilities.

2.6 Service Delivery Models

The actual delivery of services takes place through different service delivery models (SDMs), including different types of utility models, direct provision by local government or community management for water services. For sanitation, different models are household managed, private or local government (public toilets) or utility models for sewerage systems. Hygiene and extra-household services we understand conceptually as a sub-sector with one service delivery model. The performance of these service delivery models depends in first instance on several internal factors within the operations of each provider, but also depends strongly on the behaviour of all actors, including the service authority and the users of the services. In section 3.3 the most relevant SDMs for the Uganda baseline study are discussed.

The assessment of the SDMs consists of providing a narrative description of the types of service delivery models that are present in the country for the different WASH sub-sectors, and the main variants in use. It provides statistics on the use of these SDMs as well as comments on the statistics on the performance of the different service providers, for as far as these statistics are available from different secondary sources. The analysis doesn't include primary performance data collection.

3 Assessment of the strength of the WASH system

3.1 Data collection and analysis

For this baseline report, the following data was used:

- Desk study of relevant sector reports and documents. This includes the Water & Environment Sector Performance Report, 2017; Water Atlas; JMP report; World Bank report; Ministry of Health report 2017; Education sector performance report 2017 and the Uganda Health Demographic Survey 2014.
- Semi-structured interviews with key stakeholders were undertaken to provide more insights on WASH issues (Interviewees are listed in Annex).
- Review of databases, Uganda water supply database (www.wateruganda.com), World Bank data, JMP data, and Sustainable WASH System Baseline.

3.2 Country and WASH Sector context

3.2.1 Demography

Uganda has a population of 39.03 million and has one of the world's youngest populations, half of them under the age of 15 years, 84% of whom live in rural areas, but urban growth rates are currently 5.35% (World Bank data, 2015). Although only around 17% of Ugandans live in cities at present, Uganda's urban growth rate suggests a tripling of its urban population by 2025 (World Bank, 2013). The fertility rate is estimated at 5.7 children per woman (2015), with a 3.3% population growth which is forecasted to remain high in the next decades, meaning a high dependency ratio with significant consequences for national development.

This growth will add a significant pressure on an already very densely populated country with an average of 155.6 inhabitants/km².

Table 1: Uganda National Demographic data

Indicator	Value
Total population (World Bank, 2015)	39.03 million
Rural population -% of the total (JMP 2015)	83.89%
Population growth rate - %, (World Bank, 2015)	3.3%
Gross national income/capita, calculated using the Atlas method (World Bank, 2015)	USD 1,738.46
Income status 2015 (World Bank, 2015)	Low income
Net Official Development Assistance received -% of central government expense (World Bank, 2014)	48.28%
Net Official Development Assistance received - % of GNI (World Bank, 2014)	6.014%
Rural Poverty Headcount Ratio - % of rural population (World Bank, 2012)	22.4%
2016 Human Development Index score and ranking out of 188 countries (UNDP, 2015)	0.483 / 163
Ease of Doing Business Ranking (World Bank 2016)	115

3.2.2 Economy

Uganda's economy has remained relatively resilient amidst a volatile global environment. According to the 2016/17 Economic Performance Report, the total national economic output expanded by 4.6%, 0.4% lower than the expected 5.0% growth target. Services grew to 6.6% from 4.5% in 2015/16. The import bill for the period ending March 2016 was USD 4,618 million compared to USD 5,095 million a year before. Domestic revenue was USD 3,313 million (UGX 11,598 billion) equivalent to 13.2% of Gross Domestic Product (GDP) and higher than the planned target of USD 3,238 million (UGX 11,333 billion). The water and environment sector is slated to receive 3.1% of the public budget in 2017/18.

The fiscal deficit was estimated at 6.4% of GDP in Fiscal year 2015/16 and was largely financed by external borrowing both concessional and non-concessional and to a lesser extent by domestic borrowing equivalent to 1.6% of GDP. Given financing requirements for infrastructure development coupled with limited availability of concessional loans, non-concessional borrowing, the gross nominal public debt was estimated at USD 8,566 million (UGX 29,984 billion) at end of the fiscal year 2015/16, of which USD 5,382.9 million (UGX 18,665.7 billion) was external debt and USD 3,234 Million (UGX 11,319 billion) as domestic debt.

3.2.3 Poverty

Uganda surpassed the Millennium Development Goals (MDGs) target on halving poverty by 2015, but remains one of the world's poorest countries, with a per capita annual income of just over USD 700 in 2015, with almost a quarter of the population living on less than USD 1.25 a day (World Bank, 2015). Poverty reduction has mainly been driven by agriculture, urbanisation, and education. Despite progress, poverty and vulnerability remain in

the Northern and Eastern regions, which account for 84% of those living beneath the national poverty line. The poorest households have less diversified sources of income and are more reliant on agriculture; 75% of income of the bottom 40% of households comes from this source. **For every three Ugandans who get out of poverty, two fall back into poverty, demonstrating the fragile gains in the country's poverty success (World Bank 2016).**

3.2.4 Geography

Uganda is a land-locked country bordered by Kenya in the east, Tanzania and Rwanda in the south, Democratic Republic of Congo in the west and South Sudan in the north. It covers a total area of 241,038 km², (land: 197,100 km² and water: 43,938 km²). Uganda has a tropical climate, with temperatures ranging from 21–25°C. Uganda's water resources are quite abundant with a mean annual rainfall of around 1,200 mm, the River Nile with a flow exceeding 25 km³ per year.

3.2.5 Politics

The Republic of Uganda has a presidential system of government with one parliamentary body (unicameral), which acts as the main legislative mechanism. Although the country is formally based on a democratic system of governance, it has been led by the same party and president (Museveni), who came to power in 1987. The first multiparty general elections were held in 2006, and won by the National Resistance Movement, with the Forum for Democratic Change as the major challengers. The National Resistance Movement, of which President Museveni is the leader, still remains the leading political party, enjoying the benefit of over 30 years in power.

3.2.6 Administrative set-up and decentralisation

Uganda has one of the longest experiences with decentralisation in Africa and started pursuing major decentralisation reforms from the late 1980s onwards when a highly centralised state gradually turned into a decentralised one following the transfer of powers, functions and services from central government to local governments. The Local Government Act (1997) specifies decentralised functions and services for central government, District Councils, Urban Councils and those to be devolved by the District Council to Lower Government Councils. Uganda comprises of 111 districts which are the main units of decentralisation, which are further divided into counties (146), sub-counties, parishes and villages;

The Uganda Bureau of Statistics defines urban areas as cities, municipalities and towns with a population over 2,000 persons; all other areas can be considered as being rural. Uganda has an urban population of 9.43 million living in the capital city, 41 municipalities, and 256 small towns (MWE 2017).

3.2.7 National development frameworks

In 2007, Government approved the Vision 2040, a Comprehensive National Development Planning Framework, which provides for the development of a 30-year vision to be implemented through: three 10-year plans; six 5-year National Development Plans; Sector Investment Plans; Local Government Development Plans, Annual Work Plans and Budgets. The National Vision Statement is “A Transformed Ugandan Society from a Peasant to a Modern and Prosperous Country within 30 years”. Vision 2040 builds on recent progress, but with a focus on strengthening the fundamentals of the economy to harness the abundant opportunities including; oil and gas, tourism, minerals, ICT business, abundant labour force, geographical location and trade, water resources, industrialisation and agriculture among others that are to date considerably under-exploited.

The goal of National Development Plan II (2015/16 – 2019/2020) is to put the country on the path towards middle income status by 2020 through strengthening the country’s competitiveness for sustainable wealth creation, employment and inclusive growth, with a focus on; agriculture, tourism, minerals, oil and gas, infrastructure development and human capital development. With ambitious public sector reforms introduced the past two decades, the last three years have seen an improvement in government effectiveness. At the same time, voice and accountability, which improved between 2003 and 2008, have declined (World Bank). The policy and legal frameworks continue to improve, notably through the Public Financial Management Act (2015), albeit implementation gaps in key areas of procurement and anti-corruption remain (World Bank). The country strategies, guidelines and programmes are generally sound, but there are weaknesses in applying sanctions and public service effectiveness constrain implementation and service delivery.

3.3 Institutional set-up of WASH sector

The institutional framework for water supply and sanitation in Uganda is well-defined. The Ministry of Water and Environment is responsible for determining priorities, setting policies and standards for water development as well as managing and regulating water resources. Over 100 local governments are responsible for the implementation of rural water supply and sanitation programmes at the district level. The National Water and Sewerage Corporation (NWSC) is a parastatal that provides water and sewerage services in 23 large urban centres. Compared to its peer group, Uganda’s average scores for indicators related to the institutional framework are above average for water supply but below average for the sanitation sub-sectors².

² An AMCOW country status overview – Water supply and sanitation in Uganda (p.13): <https://www.wsp.org/sites/wsp/files/publications/CSO-uganda.pdf>

Local governments play a significant role in overseeing piped water supplies while the private sector is increasingly taking up construction, operation, and maintenance roles in the sector.

Other smaller towns (defined as rural areas in Uganda) that have piped water supplies are appointed as water authorities. There are 64 of these small rural towns. Of these, only eight use private operators with the remainder run by individual operators.

Private hand pump mechanics and scheme attendants provide maintenance services to water users in rural and peri-urban areas, and private retailers sell spare parts for hand pumps and piped water supplies. An urban regulation unit has been established, which should ultimately become an autonomous regulatory authority. In the rural context, there is no separate regulation unit. Ministry of Water and Environment vets the budgets and workplans and also provides technical support to district local governments rather than explicitly undertaking a regulatory role.

3.3.1 Institutional frameworks at national level

The Ministry of Water and Environment is responsible for ensuring availability and access to safe and clean water and hygienic sanitation facilities in rural and urban areas, as well as delivering viable sewerage/sanitation systems for domestic, industrial and commercial use. The sector is composed of various state and non-state actors. The sector working group fosters joint resource mobilisation, planning and budgeting, harmonisation coupled with playing an advisory role.

3.3.2 Legislative, policy and strategy frameworks

Within the overall framework of the Constitution of Uganda (1995), the policy framework for the management and development of water resources in Uganda is governed by a set of policies and laws the most notable of which include; the Uganda Water Action Plan (1995), the National Water Policy (1999), the National Environmental Management Policy (1994), the Water Statute (1995); the National Water and Sewerage Corporation Statute (1995), the Local Government Act (1997) and more recently the Climate Change Policy (2015).

The National Water Policy promotes an integrated approach to the management of water resources in ways that are sustainable and most beneficial to the country. The approach is based on the continuing recognition of the use of water for domestic and production activities. The other policy documents which complement the above policies are: National Environment Management Policy (1994); the Wetlands Policy (1995), the upcoming Land Use Policy; National Health Policy and Health Sector Strategic Plan (1999); National Environmental Health Policy (2005); the School Health Policy (2006); and the National Gender Policy (1997).

3.3.3 Institutional arrangements and frameworks

The Water and Environment sector consists of two sub-sectors: Water and Sanitation sub-sector and the Environment and Natural Resources sub-sector. The Water and Sanitation sub-sector comprises water resources management, rural water supply and sanitation, urban water supply and sanitation, and water for production.

The Ministry has three Directorates that include:

1. **The Directorate of Water Development** comprised of four departments of Rural Water Supply and Sanitation, Urban Water Supply and Sanitation, Water for Production, and Water and Environment Sector Liaison. The Department of Water Development is responsible for providing overall technical oversight for the planning, implementation and supervision of the delivery of urban and rural water and sanitation services across the country.
2. **The Directorate of Water Resources Management** comprised of four departments of Water Resources Monitoring and Assessments, Water Resources Regulation, Water Quality Management and Trans-boundary Water Resources Management. Department of Water Resource Management is responsible for managing, monitoring and regulation of water resources through issuing water use, abstraction and wastewater discharge permits.
3. **The Directorate of Environmental Affairs** comprised of four departments of Environmental Support Services, Forestry Sector Support Department, Wetlands Management and the Department of Meteorology. This directorate works in collaboration with the National Environmental Management Authority and the National Forestry Authority, and is responsible for environmental policy, regulation, coordination, inspection, supervision and monitoring of the environment and natural resources as well as the restoration of degraded ecosystems and mitigating and adapting to climate change.

A number of deconcentrated support structures related to the Ministry of Water and Environment, at different stages of institutional establishment, exist including ten regional Technical Support Units (TSUs) which play a critical role in providing technical support to district water and sanitation teams; Water Supply Development Facilities that manage investments in water supply in small towns; Umbrella Organisations that are regional associations of Water Supply and Sanitation Boards.

There are four semi-autonomous agencies active in the sector, namely:

1. **The National Water and Sewerage Corporation** (NWSC) is a parastatal that operates and provides water and sewerage services for large urban

centres across the country including Kampala. The utility's activities are aimed at expanding service coverage, improving efficiency in service delivery and increasing labour productivity. Key among its objectives is to plough back generated surpluses for infrastructure improvements and new investments.

2. **The National Environment Management Authority** is responsible for the regulatory functions and activities that focus on compliance and enforcement of the existing legal and institutional frameworks on environmental management in Uganda. It oversees the implementation of all environment conservation programmes.
3. **The National Forestry Authority** is responsible for sustainable management of Central Forest Reserves, supply of seed and seedlings, and provision of technical support to stakeholders in the forestry sub-sector on contract. The National Forestry Authority is a semi-autonomous business entity.
4. **The Uganda National Meteorological Authority** is mandated under the Meteorological Act (2012) to promote, monitor weather and climate as well as provide weather predictions and advisories to Government and other stakeholders for use in sustainable development of the country.

3.3.4 Institutional frameworks at district level

At the district level, Local Governments (Districts, Sub Counties, Municipalities and Town Councils) are empowered by the Local Governments Act (2000) to provide water services and manage the Environment and Natural Resource base. Local Governments, in consultation with MWE, appoint and manage private operators for urban piped water schemes that are outside the jurisdiction of National Water and Sewerage Corporation. Given the decentralised and participatory policymaking model, local governments and water users play a much stronger role in the WASH policymaking process.

The key local government WASH institutions or structures include the District Water Office that manages water and sanitation development and oversees the operation and maintenance of existing water supplies; District Water and Sanitation Coordination Committees comprised of administrative and political leaders, technocrats and NGO/CBO representatives at district level. The District Water and Sanitation Coordination Committee co-ordinates planning and implementation of water and sanitation activities.

Central Government funding for WASH in the districts is mainly through the District Water and Sanitation Development Conditional Grant used for development, i.e. hardware (80%), rehabilitation (15%), investment servicing (5%) and non-wage recurrent costs which is 4% of the total Grant and includes; software activities up to 50%, supervision, monitoring and District Water Office operations up to 14%, coordination 26% and flexibility 10%. With no strict adherence to the guidelines.

Jurisdictional devolution:

In 1997, the Local Government Act provided for the devolution of powers, responsibilities, functions and funds from the central government agency responsible for Rural Water Supply and Sanitation (RWSS), the Directorate of Water Development to local level, or district, government in order to increase local democratic control and participation in decision-making. The Directorate retains overall responsibility for sector planning and supervision of RWSS in the country.

Functional deconcentration:

By 2000, it became clear that district governments did not have sufficient capacity to implement effective water and sanitation sub-sector programmes, and the central government stepped in to create regional technical support units (TSUs) to provide the required technical and management backup for groups of districts. The TSUs are not regional government structures, but a deconcentration of the Directorate of Water Development capacity to lower levels.

Figure 5: Uganda's hybrid approach to decentralisation (Kimanzi, WEDC 2003, pgs 251 – 252.)

3.3.5 Service delivery models for WASH

Urban water supply

As of 2016 there were 274 gazetted urban areas in Uganda (Joint Sector Review Progress Report 2016). Access to drinking water in urban areas currently stands at 71%. Responsibility for water and sanitation services in 112 of these areas falls under the National Water and Sewerage Corporation (NWSC). The remaining 162 areas, which are not covered by NWSC, are managed by the Urban Water Supply & Sewerage Department through the various Water Authorities and/or private operators. However, 60 of the 162 (~37%) of towns currently under Ministry of Water and Environment (MWE) do not have piped water supply schemes. Inadequacies in the regulatory framework have become more apparent as the NWSC assumes management of additional towns. In an effort to address urban water supply challenges, the “Improved Scheme Operator Model” is being piloted in two areas. Additionally, the government of Uganda is developing a “Revolving Facility” fund to finance the repair and renewal of systems, extension of schemes, metering and source protection measures.

NWSC is regulated through a dedicated Act, the NWSC Act adopted in 1995, and through a performance contract signed directly with the Ministry of Water and Environment. This contract allows aligning NWSC's corporate goals with overall sector goals set by MWE. For small towns outside NWSC service areas, MWE develops performance contracts with a designated Water Service Authority. The performance contracts set out the service standards required. Actual performance

is monitored through quarterly reports and field verification visits with performance and management contracts used to ensure the commitment of the MWE small towns to improving utility performance and service quality.

Rural Water Supply

Service delivery models are defined as institutional mechanisms for planning, implementing and managing water supply systems in order to provide a specific level and type of service. Uganda has three service delivery models for rural water supply. These include two models under the Community Based Management System – one for point sources, managed by Water and Sanitation Committees; one for piped schemes, managed by Water Supply and Sanitation Boards, and the self- supply model.

Community based management: The Community Based Management System was introduced in the country in 1986 under a national programme supported by UNICEF. The Community Based Management System emphasises communities' responsibility and authority over the development and Operation and Maintenance (O&M) of their facilities. The O&M Framework (2011) recognises this approach as the major option for O&M of communal water supply facilities in rural areas and Rural Growth Centres.

The model has been heavily criticised by sector professionals due to low levels of services delivered, inadequate capacity of Water and Sanitation Committees/Water Supply and Sanitation Boards to manage water supply systems, and lack of sufficient technical support from district authorities. A study conducted by IRC in eight districts in 2014 showed that 88% of households accessed a sub-standard water service that did not meet the basic norm for at least one of the four water parameters (quality, quantity, accessibility and reliability).

The community managed water supply facilities are mainly in rural areas and are point water supply facilities; deep and shallow wells fitted with hand pumps, and protected springs. Each of the systems is supposed to be managed by an elected Water and Sanitation Committee (seven members) that volunteer to manage day-to-day operations of the facilities. However, only 31% of the Water and Sanitation Committees are fully functional according to the service delivery assessment done in 2017.

The district has budget allocations for providing direct support to community-managed committees (WSCs) but the same service delivery assessment shows that the district provides technical support to less than 40% of service providers. Hence the low functionality of WSCs. 18% of the WSCs have financial records. The willingness to pay for water among users is very low, only 7.2% of the water sources reported that users consistently pay for water.

Water Supply and Sewerage Boards: The Water Supply and Sewerage Boards are mainly for the piped water supplies in small towns. A Performance Contract mandates a Water Authority to constitute a Water Supply and Sewerage Board to supervise management and operations of the schemes.

Self-supply: Regarding self-supply the Government of Uganda and its development partners have been exploring options for greater investments in water supply by users themselves (self-supply) to complement government efforts in water provision.

Challenges and critical issues facing rural water supply

There are multiple challenges facing water supply and sanitation service delivery in rural areas in Uganda as recognised by the national government and other stakeholders (Second National Development Plan (NDPII) 2015/16 – 2019/20). Challenges include rapid population growth resulting in congested and informal settlements and a continuously increasing need for new safe water sources on the one hand, compounded by lack of funding to meet recurrent costs of sustaining facilities on the other. Rural water services suffer disruption due to un-reliable O&M regimes, undermined by low willingness to pay water tariffs and poor protection of water sources.

Service delivery and asset management in water supply, fall outside the jurisdiction of NWSC, and is the responsibility of Local Governments. Normally these are appointed as Water Authorities and receive performance contracts, which require them to appoint a Water Board and contract a Private Operator (company) for day-to-day management of the water scheme. Currently, approximately 50 small towns and rural growth centres have actually sub-contracted scheme management to a private operator. Others manage their water supply directly or have contracted an individual scheme operator.

The community managed systems face challenges of limited budgets from government for follow-up support; as well as low payment of user fees. The water users are only provided with orientation about ownership, benefits of safe water, correlation of safe water to sanitation, for one or two days. However, Water Supply and Sewerage Boards also face several challenges that affect their functionality, including; lack of motivation by Water Supply and Sewerage Board members whose role is largely voluntary; inadequate information flow from private operators as well as low capacity to attract the required personnel.

To address the identified challenges, the Ministry of Water and Environment will focus on increasing access to safe water in rural areas and increasing functionality of water supply systems during the period 2015/16 – 2019/20. Key interventions are to include:

- Constructing, operating and maintaining appropriate community safe water supply systems in rural areas focusing on unserved areas;
- Targeting investments in water stressed areas abstracting from production wells as well as large gravity flow schemes where appropriate to serve the rural areas;
- Promoting and scaling up self-supply including rainwater harvesting at household, public institution and community level taking into account the impact of climate change;
- Promoting water, sanitation and hygiene humanitarian preparedness and response especially in settlements for poor communities, refugees and displaced persons;
- Improving functionality, sustainability, resilience and source protection of water supply systems in rural areas; and
- Promoting Public Private Partnership arrangements to increase accessibility of water sources.

Sanitation

For on-site sanitation, two models exist: household-managed latrines and household-managed septic tanks. Under the first model, the household is responsible for installing, maintaining and eventually replacing the latrine. Though limited data exists, latrine emptying is rare. Mostly, households dig another pit, when their latrines fill up, and use the two pits in an alternate way; or they dig a separate pit and build a completely new latrine. Septic tank emptying does happen, but again, limited data exists on the extent of this, and on the service delivery models associated with it.

Faecal sludge management in Uganda is still poorly developed. Less than 10% of the toilet facilities in towns can be emptied, making the demand for faecal sludge removal low. There are no sludge disposal/treatment facilities in most towns. As a result, the few service providers available have to levy relatively high charges as they cannot realise economies of scale. The high charges in turn lead to illicit disposal of collected faecal sludge in swamps, quarries and water bodies, with detrimental environmental and public health consequences.

Role of private sector in service delivery

Private sector entities are normally involved in design, construction, repair and maintenance of water supply facilities, stocking and distribution of spare parts, but private sectors are mainly attracted to construction and rehabilitation of water supply systems. Stocking and distribution of spare parts is not lucrative for local private sector entities. Spare parts are often sourced from the capital, with high transport costs, making repairs expensive – costs of which trickle down to water users.

•

The private sector entities at the district with regards to sanitation are mostly masons and hardware dealers, and financial institutions (HOFOKAM and Postbank). The banks provide different loan products for investment in sanitation products at household level. There is only one entrepreneur who provides cesspool emptying services.

Hand pump mechanics and scheme attendants provide repair and maintenance services for water supply facilities in rural and peri-urban areas. MWE and other stakeholders have invested in training of hand pump mechanics on operation and maintenance of rural

water supply facilities. In all rural districts in Uganda, at least one mechanic per sub-country has been trained. It is noted that the mechanics have played an important role in ensuring functionality of water supply facilities through timely repair and maintenance as a result they have been facilitated to form district-based associations, Hand Pump Mechanics Associations. The purpose of forming the associations is to coordinate, promote networking, continuous capacity development and regulation of individual mechanics. Hand Pump Mechanics Associations have been established in 111 rural districts in Uganda.

Table 2: Overview of Service Delivery Models (SDM) for water in Uganda, and Kabarole district (Uganda Water and Environment Sector Performance Report, 2017)

Water SDMs	Main variants	Description	Performance	Relative importance ³	Relative size	Performance in Kabarole district
Utility managed	Main public utility: National Water and Sewerage Corporation	Water is delivered via public taps (use at tariff) and household connections (monthly bill)	Relatively functional	Supplies to 8 million people, serving approximately 218 towns (26% of population)	1 Utility	N/A
	Regional umbrella authorities (utilities)	Mandated to improve performance of small water schemes, to oversee and contract private operators.	New in 2017, performance analysis to be done in 2018/19 (Sector Performance Report)	74 gazetted towns for direct operational responsibility (of the 462 schemes under utilities management)	6 regional umbrella authorities, with a double mandate for direct operational responsibility of 74 towns	N/A
Water Supply and Sanitation Boards	Small piped networks - taps are public or compound and serve some schools	Led by (approx. 7) representatives from the community. Taps are supposed to be metered and billed monthly, but this varies in practice.	In June 2017, 72% of small towns and rural growth centres had actively functioning Water Supply and Sanitation Boards, yet challenged by insufficient capacity	Not available	Approximately 388 schemes	9 Gravity Flow schemes with 226 public tap stands. Average tap stand functionality 52%
Community managed (WSC)	Water points	An elected committee of community volunteers are put in place after construction of a facility	88% of WSC functional in June 2017 (Water Supply Database, 2017)	Serves 19 million people (63 % of population)	63,327 community managed water sources. Each serving an estimated 300 people.	542 hand pumps, and 250 protected springs. 33% of WSCs functional. Only 7% of users consistently pay for water
Self-supply	Rainwater harvesting, private wells	Self-supply is a recognised model, with guidelines available	Limited data available	Self-supply considered suitable model for difficult to reach geographies.	Limited data available	

³ Note access to improved water is 67% in rural, 71% urban

3.4 Service and performance level indicators

3.4.1 Service and performance levels - National

Service delivery status is discussed by sub-sector in the following sections and reflect on JMP 2017 data as illustrated in figures below.

The shift to new SDGs has enormous implications for Uganda, within the new targets and definitions, safely managed access to water supply falls from 70% (2015), to 39% (2017). The Ministry of Water and Environment’s sector performance report 2017 shows that access to rural water is 70% according to the sector ‘pre-SDG definition’ (% of people with 1 km of an improved water supply system), but this number is significantly reduced according to the SDG definition (number of people with water located on premises, available when needed, and free of faecal and priority chemical contamination). Access to safe water only increased by 5% over the last 10 years (2007 – 2017). Achieving universal access to safely managed water supply is an uphill task that the rural water sub sector will not be able to achieve using existing standard implementation approaches. Similarly, while there is some access to basic sanitation, providing services to safely manage faecal waste is lagging behind.

According to the Water and Environment Sector review data for 2017, for urban areas outside Kampala, 84.6% of the urban population has access to sanitation. An estimated 39% of the urban population have access to toilets with a hand washing facility. Some of the hand washing facilities lack soap and/or water. However, the JMP 2017 data shows that Total Improved Urban sanitation is 28.5%. The variance is attributed to the metrics used for Water and Environment sector review data which focusses on access to toilets with water and soap, whereas JMP data looks at safely managed sanitation services defined as: a private improved facility where faecal waste is safely disposed on site or transported and treated offsite; plus a hand washing facility with soap and water.

3.4.2 Service and performance levels - Kabarole district

At district level in Kabarole, 81% of households have access to an improved water service. Based on the government’s strategy (2020-2030) which promotes piped water supply, the Kabarole WASH plan projects the following mix of technologies that will supply water: piped water supply (83%), protected springs (14%) and deep boreholes (3%).

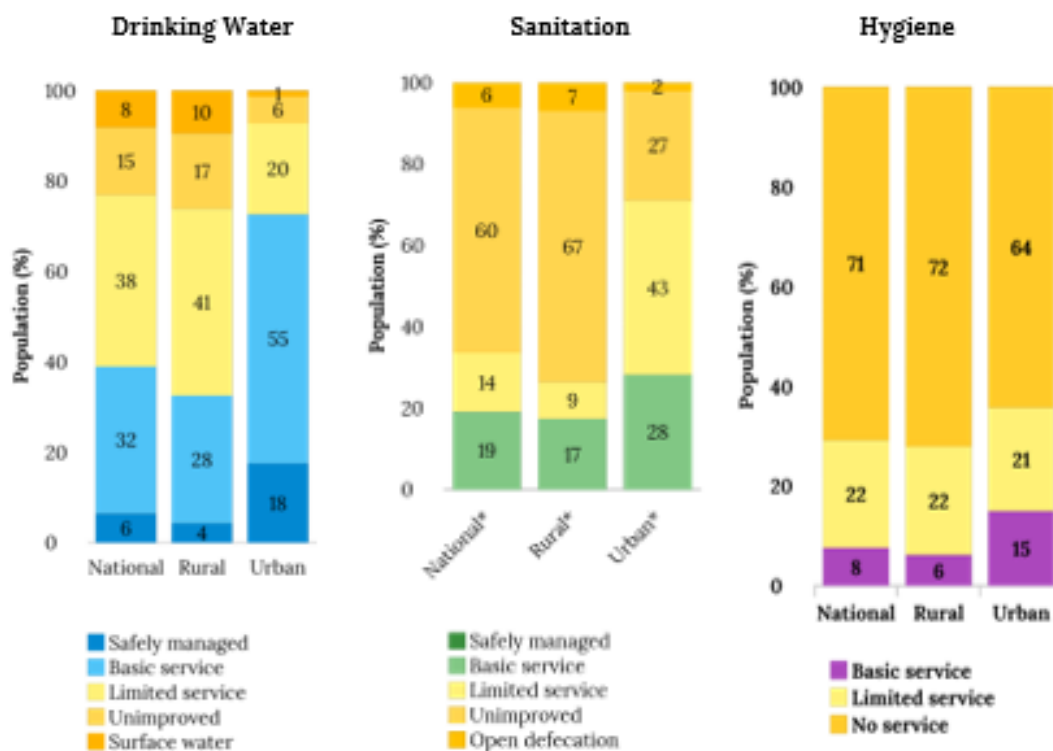


Figure 6: Water and Sanitation coverage in Uganda according to SDG definitions (JMP, 2017)

Table 3: Kabarole district WASH status (WASH Plan, 2017)

Indicator	Score description	Score
Water supply coverage	% of population with access to improved water services	81%
Functionality	% of functional rural water supply facilities	59%
Reliability	% of facilities that are functional and those were not functioning for 5 days or less	45%
Accessibility	% of households that spend less than 30-minute round trip fetching water	48%
Quality	% of water points with safe water (E. coli <10 mpn/ 100ml)	36%
User satisfaction	% of users satisfied with Quality, Management, Distance	40%

The sanitation and hygiene levels in Kabarole are generally considered good at 85%, as of June 2017 and are comparable to the national average (Sector Progress Report, 2017). Disaggregated data was not available on the sanitation status according to the JMP definition.

The National Water and Sewerage Corporation operates a faecal sludge management plant in Fort Portal town, the main town in Kabarole district. The plant has a design capacity of 200 cubic metres of wastewater and sludge per day but is operating on over-capacity at 280 cubic metres per day. According to the rapid sanitation market assessment conducted by IRC Uganda in 2017, 95% of the households in Fort Portal have non-drainable latrines. Faecal sludge is only emptied by one cesspool operator who serves the town and surrounding districts.

3.5 Assessment of the strength of the building blocks

This section assesses the strength of the WASH system, as expressed by the score of the building blocks. It does so by providing:

- The score per building block for each sub-sector (water, sanitation, hygiene, and extra-household settings – split between WASH in schools and WASH in health centres).
- Differentiated between national sector level and for the associated municipalities.

In Annex 3, the scoring methodology and the underlying statements that are used to assess the building block are described.

The final section then provides a reflection on the overall strength of the WASH system.

3.5.1 Legislation

Legislation is a function of the national level. At the district level, it refers to the acceptance of national sector policy in the district and the development of norms and by-laws for its application and enforcement in the district context. Kabarole scores moderately for this building block (score 3/5). The score is influenced by the district lacking specific ordinances around water service provision. The district has the authority and perceived capacity to enact ordinances on WASH services through Council but have not explored this role. During validation of this building block scoring, it was suggested that national legislation is sufficiently detailed for district implementation and that a lack of district by-laws is not likely to be a major roadblock for service provision.

3.5.2 Planning

The planning building block assesses the framework, capacity, and completeness of both planning and budgeting for the key aspects of service delivery. These elements are moderately scored with challenges in joint sector planning with health and education departments in Kabarole (score 3/5).

Kabarole has district level WASH plans that are split between water and sanitation. The work plans are prepared annually, however, these fall under the umbrella of the District Master Plan for Universal Access to Water and Sanitation (2016 -2030) that was developed in 2016-2017. These plans cover the different costs categories that are crucial for sustainability of services; capital investment, capital maintenance and direct support.

3.5.3 Institutional

The institutional building block assesses coordination, roles, responsibilities, and capacity of key sector actors (service authority, service provider). Overall, the institutional arrangements for rural water supply in Kabarole are well-developed including the definition of roles for both the service authority and service provider (score 4/5). The service authority is in place with clearly defined roles, and responsibilities, however, the human resource capacity is not adequate to fulfil the role of direct support to service providers and community mobilisation activities: for example, three of the five staff positions of the district office are filled and two positions remain vacant due to limited budget allocations towards human resources. The district has budget allocations for providing direct support to Water User Committees (WSCs) but can only provide technical support to less than 40% of service providers.

3.5.4 Financing

Financing for the water and environment sector in Uganda has shown a declining trend over the years. The proportion of the budget allocation to the sector declined from 5.6% to 3% over the period 2008 - 2014 years, despite an increase in allocation in absolute terms. (MWE 2014) Despite the increasing volume of financing to the sector, there is concern among sector stakeholders that the financing is not in sync with population growth, estimated at 3% per annum and the national development targets for delivering safe water. There is contention over the allocation of funds between investments in new water supply facilities as opposed to covering recurrent costs of operation and maintenance and the additional costs of direct support to service providers.

Water and environment budget breakdown

The breakdown of the sector (Water and Environment) budget for the financial year 2016/17 is presented in the table below and shows that there is a push for public financing towards urban water supply and sanitation.

Table 4: Breakdown of National Water Supply and Sanitation Budget 2016/17

Subcategories	Approved Budget in billion shillings	Approved Budget in USD [rate as in 2017=3611]	Proportion of total budget
Rural Water Supply and Sanitation	92,950,000,000	25,740,792	10.88%
Urban Water Supply and Sanitation [Department in MWE]	289,100,000,000	80,060,925	33.83%
Water for Production	47,500,000,000	13,154,251	5.56%
Water Resource Management	44,000,540,000	12,185,140	5.21%
National Water & Sewerage Corporation [Government parastatal supplying piped water]	322,910,000,000	89,423,982	37.79%
Local Government Grants	57,440,000,000	15,906,951	6.72%
Kampala City Council Authority (Sanitation)	100,000,000	27,693	0.00%
Total Water Supply and Sanitation Budget	854,450,000,000	236,624,204	100%

However, the actual on budget support in nominal terms increased by 50% from the period 2012-2016. This implies that districts have more resources from public finance to spend than they had four years ago, although as noted above, budget funding is heavily supported by grants and loans from development partners through sector budget support frameworks and as such is highly exposed to any (downward) trends in development partner financing (MWE Sector Performance Report 2016)

Financing at district level: Kabarole

Overall financial structures are relatively well-developed in Kabarole (score 6/8), however, inadequacy of overall funding levels is a key constraint to reaching universal coverage. Kabarole district has a long-term district-level WASH master plan (2016-2030) which is continuously updated as more data becomes available and key stakeholders work to develop the strategy. (The Kabarole WASH Plan was developed with funding from Conrad N. Hilton Foundation).

A financial needs analysis informed the district WASH Plan, and results are listed below:

Table 5: Overall WASH Investment Requirements for Kabarole (Source: Kabarole district WASH Investment Plan for Universal Access 2016 – 2030)

Description	Total Investment Required		Proportion of total budget
	UGX	USD	
Sanitation Promotion in Communities	1,467,426,509	407,618	4.5%
Hardware Schools	7,545,220,000	2,095,894	23.2%
Hardware Health Centres	6,121,480,000	1,700,411	18.8%
Water Infrastructure Communities (Capital Expenditure)	11,969,638,723	3,324,900	36.8%
Rehabilitation (Capital Maintenance Expenditure)	2,112,289	586,747	6.5%
Software (sensitisation, mobilisation, management structures)	2,774,862,791	770,795	8.5%
Monitoring and Support Supervision	554,972,558.19	154,159	1.7%
Total	32,545,889,768	9,040,525	100%

The plan clearly articulates the projections for Capital Expenditure. It is projected that USD 9 million is needed to implement the District Master Plan for Universal Access by 2030 whereas the annual WASH budget is currently USD 110,000 per year of which USD 93,500 is allocated to capital expenditure. Neither current budget allocations for the projected needs nor the source of funding to bridge the gap are stipulated in the Plan. It is envisaged that users through self-investment, public financing and donor support will fill the gaps.

District sanitation & hygiene conditional grant

Kabarole district over the last four years has been accessing UGX 22 million (USD 6,111) through the District Sanitation and Hygiene Conditional Grant from central government, to support sanitation and hygiene improvement in two selected sub-counties, targeting 25 villages annually. The grant requires 3% to be allocated for sanitation hardware.

3.5.5 Infrastructure development and management

Kabarole water

Asset ownership is not clearly defined between service authority and provider and thus infrastructure management is not led or regularly updated by either actor. An inventory on physical state of the water and sanitation infrastructure exists at district level but does not include the current state of the assets, e.g. state of different components of the infrastructure. The Water Source Inventory has not been fully updated in the last three years. Planning for Capital Maintenance of assets is based on estimates not on the current physical state, so planning is based on an incomplete understanding of the infrastructure needs. This building block is weakly developed in Kabarole (score 1/5).

In a bid to find alternative financing for preventive maintenance and rehabilitation of hand pumps, IRC started piloting of the 'Pay as you fetch model' in 2017. Sixteen (16) hand pumps were signed up to the model. Water users pay 50 – 100 shillings (about 1.4 to 2.8 USD cents) for a 20-litre jerry can of water at the time of collection. Plans to study and document this model are being developed through the SWS USAID project.

Kabarole sanitation

In Kabarole only an estimated 5% of the urban population is covered by sewers, as the current treatment facility was planned for a small proportion of the population and there are plans to expand the facility. It is supposed to serve both sewers and trucks that bring in waste. Worse still, there is only one private pit emptying service provider with no formal services. The lack of national level policy and regulation on sanitation service provision is a great limitation to progress. For this reason, the low score refers particularly to the sanitation situation in Kabarole.

3.5.6 Regulation

The regulation function is currently fulfilled by a unit in MWE under the Urban Water Department. Key regulatory responsibilities in the district are for tariff setting and regulation, service level requirements and minimums, and customer protection. Tariff regulations have been set mainly for urban water supply, but no regulations have been set for the rural water sector. Service level requirements defined at the national level are not enforced within district level structures. At district level, CSOs are using the District Water and Sanitation Coordination Committee and sub-county dialogue meetings to hold service providers accountable.

3.5.7 Monitoring

The monitoring building block assesses the level of development of a framework for monitoring of service levels and sector performance. It also assesses the degree to which the framework is implemented, the efficacy of data flows and availability and use of data for decision making at the district level.

National level

Uganda has what is a relatively well developed and long experience in national monitoring compared to other countries in the region. With support from development partners, the government of Uganda uses the so-called 'golden indicators,' which are a standard set of metrics against which all district governments must report (Ssozi, D. and Danert, K., 2012). This set of 11 golden indicators is tracked in MWE's Water Supply Database (wateruganda.com) and used to publish results in an annual Sector Performance Report. District water officers with support from TSUs are responsible for the data collection process.

In 2017, the Ministry of Water and Environment developed a new sector performance monitoring framework that is aligned with the SDGs and incorporates new indicators on; sector financing, and accountability. The framework will be rolled out in the financial year 2017/2018.

Kabarole district

The national monitoring system is operational at district level and covers the entire district including all communities and service providers; the building block scores moderately in Kabarole (score 6/10). The district collects and updates data on performance indicators annually which is to some extent used to guide planning and provide technical assistance. However, the data has not been consistently used to improve operational performance at service provider level. The District Water Office has not yet been able to develop clear performance improvement plans for service providers and engagement with this data has been limited. There are also inconsistencies in the data at district and national level that suggest a lack of reliability of the data. There are also some discrepancies

between the findings from the service level assessment and the national data. For example, the service level assessment shows that functionality of rural water supply systems is 59% compared to 82% reflected in the national water database (wateruganda.com), suggesting a lack of robustness in the data collection or processing techniques.

3.5.8 Water resource management

National level

The main framework includes catchment-based integrated water resources management through the four Water Management Zones, i.e. supporting the preparation of Catchment Management Plans and establishment of Catchment Management Organisations to promote coordination and collaboration among the various stakeholders. Nine catchments (Rwizi, Mpanga, Aswa, Maziba, Ruhenzenda, Awoja, Katonga, Mpologoma, and Victoria Nile) now have catchment management organisations and the process of forming another four (Albert Nile, Semliki, Lokok, and Lokere) is still ongoing. The use of Water Source Protection Guidelines was promoted to secure the quality and quantity of water resources for water related infrastructure projects.

The sector is not able to meet the current demand for water for domestic consumption, production and industrial use. The current demand for water is estimated at 408 million cubic metres per year and the unmet demand is 3.7 million cubic metres per year which is expected to increase to 1,651 million cubic metres per year by 2050.

The quality of drinking water supplied in rural areas has shown a declining trend over the last five years (2011/12 – 2015/16). A rapid assessment of the quality of drinking water was undertaken for rural water supplies in 45 districts between August 2015 and February 2016, indicated that only 41% of the sources sampled were found to be safe; 59% were contaminated with E. coli. Only 29% of household samples were safe; 71% were contaminated. The main factors affecting quality of water were poor sanitation and hygiene at the source and poor storage methods. Protected springs and shallow wells are more prone to contamination. As a result, MWE has extended water safety planning to point water sources and is considering a change in policy to stop investment in protected springs and shallow wells. Behavioural change campaigns have also been intensified to promote safe management at household level. Hence the high rating of this building block at the national level.

District level

District analysis shows that water source protection guidelines were developed by the Ministry of Water and Environment in 2016 but have not yet been adopted by service providers at district and sub-county levels. Evidence from the rural water service level assessment showed that only 36% of the point water supply facilities

surveyed were delivering water that met the sector standards for water quality. The Service Authority oversees development and expansion of water and sanitation supply infrastructure without taking into account water resource availability and variability, as evidenced in the expansions conducted on four gravity flow schemes; Mugusu, Buheesi, Kicwamba and Kasenda. Implementation of community managed projects remains a challenge.

3.5.9 Learning and adaptations

National level coordination

The Sector Wide Approach to Planning is the primary mechanism used in Uganda to promote joint planning, financing, coordinated funds disbursement, implementation and monitoring of development assistance at programme rather than at project level. The MWE and development partners funding water and environment programmes agree on a strategy to achieve improvement in sector performance and aid effectiveness with the intention of reducing transaction costs and efficient use of financial resources. The water and environment joint sector reviews are conducted annually to enhance involvement of different central government ministries, local governments, civil society, development partners and service providers in the sector management processes regarding performance, share lessons and challenges and search for improvements.

Other sector learning activities supported by development partners include the **Joint Water and Environment Sector Support Programme** to support the water and environment sector to achieve its targets and improve its efficiency through consistent, harmonised sector programmes. The Sector Working Groups comprising stakeholders from the government institutions within a sector, civil society organisations and development partners 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 sectoral policies.

Coordination at decentralised/district level

The coordination of WASH in the districts is through the District Water and Sanitation Coordination Committees, comprised of administrative and political leaders, technocrats and NGO/CBO representatives at district level. The District Water and Sanitation Coordination Committee is chaired by the District Chief Administrative Officer and hosted by the District Water Office. It co-ordinates planning and implementation of water and sanitation activities, reviews all district work plans and budgets for water and sanitation and advises the District Council through the Sectoral Committee.

The learning and adaptation building block assesses the capacity and sector frameworks to capture and feedback lessons learned, and to develop and improve performance of other key sector building blocks. This takes place at both national and district level, and it

is very well developed in Kabarole (score 8/8). This is in part due to backbone support provided by IRC to facilitate dynamic stakeholder interaction both in

Kabarole and at the Western Uganda regional level through the regional learning forum.

3.5.10 Overall strength of the WASH system building blocks

Table 6: National and District building block scores for water

	Institutional	Legislation	Finance	Planning	Infrastructure development	Infrastructure management	Monitoring	Regulation	Learning and adaptation	Water resources management
Water Sector - National	4.8	4.0	1.4	2.6	2.5	3.3	3.5	3.0	4.0	4.0
Water Sector - District	3.0	2.3	2.0	3.3	2.3	2.0	3.3	3.0	3.5	2.5

Institutions, policy and legislation, monitoring, water resource management, learning and adaptation are the most developed building blocks. In a validation workshop with the district water and sanitation teams, district stakeholders responded to this scoring by expressing that these building blocks had a strong foundation and are not priority areas for systems strengthening in Kabarole. This finding is consistent with the context analysis that shows that the national level frameworks are strongest for the policy and legislation, institutions, and sector learning and adaptation building blocks.

In Kabarole, infrastructure management and development, legislation and water resource management are the least developed. The functions under these building blocks have not yet been well streamlined in Kabarole. The low score for the infrastructure management building block can also be attributed to the slow progress in formalising the guidelines at national level which has an immediate impact in the district. Regulation is still a grey area in the rural water sub sector. Progress has been made in setting up the function in the urban sector with development of a dedicated unit that is expected to evolve into an autonomous entity.

Table 7: National and District building block scores – Sanitation

	Institutional	Legislation	Finance	Planning	Infrastructure development	Infrastructure management	Monitoring	Regulation	Learning and adaptation	Water Res management
Water Sector - National	3.8	4.3	1.8	2.2	2.3	3.3	3.2	2.0	2.0	2.0
Water Sector - District	3.1	1.7	1.5	3.0	2.3	1.5	2.3	1.5	2.8	2.0

Strong institutional and legislative capacities at the national level as seen in the Ministry of Water and Environment with the Directorates for Water Development, Water Resources Management and Environmental Affairs; Local Governments (Districts and Town Councils), which are legally in charge of service delivery under the Decentralisation Act. However, a review of the Joint Sector Review 2017, reflects weaknesses in financing, planning, infrastructure development, regulation and learning and adaptation in the sanitation sub-sector.

Kabarole district scores are not any better, with average performance recorded for institutional, planning and, learning and adaptation. While poor performance is registered on legislation, finance, infrastructure development and regulation of sanitation services. Some factors highlighted include; Kabarole district is still in the process of enacting by-laws and ordinances for improved service delivery: discussions with the district stakeholders show limited budget allocation for sanitation services among others.

Table 8: National and district building block scores – Hygiene

	Institutional	Legislation	Finance	Planning	Monitoring	Regulation	Learning and adaptation	Average score
Hygiene Sector - National	2	4	2	3	3	3	2	2.5
Hygiene Sector - District	1	-	1	1	0	1	2	1.8

National level hygiene legislation scored highly following the document review of the Ministry of Health report 2017, with improved inter-sectoral collaboration progress was made in the development of strategies, guidelines and legislation (notably on sanitation and food hygiene). While targeted framework for hygiene financing, institutional setup, planning and regulation were identified as weak at the national level.

The national performance has a direct effect on district performance with weaknesses identified stemming from, limited staff to support hygiene service improvements as there is one health assistant attached to three or four sub-counties, poor surveillance and data collection due to underfunding as sighted by the Assistant District Health Inspector. These findings call for a multi-spectral approach through joint planning and budgeting across WASH sector and line departments.

Table 9: National and district building block scores - Schools

	Institutional	Legislation	Financing	Planning	Monitoring	Learning and adaptation	Average
School WASH - National	4	4	2	2	3	2	2.8
School WASH - District	3	-	2	1	2	2	2

Institutional and legislative capacity were reportedly strong at the national level. According to the Sector Progress Report 2017, departments were set up to manage all WASH sub-sectors, with the local governments (districts and town councils) legally in charge of service delivery under the Decentralisation Act. While financing, planning, learning and adaptation had clear weaknesses, for instance, the financing mechanism in place is through a capital grant to largely government funded schools through the Ministry of Education and Sports as the lead agency for WASH in schools with no defined allocation to hygiene financing. Additionally, Uganda developed a school WASH strategic plan in 2006, but its implementation remains weak due to limited funding. (ESR 2016/17).

District level performance is not any better characterised by planning gaps, limited financing, monitoring, learning and adaptation. The lack of coordinated reporting for WASH in schools and community WASH, as WASH in schools is reported through the Education Management Information System while community WASH through the District WASH Office; as well the staff capacity to undertake WASH implementation.

Table 10: National and district building block scores - Health facilities

	Institutional	Legislation	Financing	Planning	Monitoring	Learning and adaptation	Average
Health facilities WASH – National	4	4	2	2	3	1	2.7
Health facilities WASH – District	3		2	2	1	1	1.8

National level further reflects good performance against institutional capacity and legislation. While financing, planning, learning and adaptation registered weak performance of WASH in health facilities. Much as the health sector received a total of UGX 1.87 trillion representing just 8.9% of the total national budget. Primary health care non-wage allocation by service delivery strata is far below what is required to carry out the core functions of management and ensure quality service delivery. Important to note is that there is no direct financing for hygiene. The health sector continues to promote environmental health and sanitation interventions at community level without targeting health facilities. While health facilities are faced with limited funding towards infrastructure improvements and community outreach services.

Kabarole district WASH in health facilities is worse than the national average, marred by slow progress towards integration of water, sanitation and health sector learning platforms at district level and implications for health facilities.

4 Scoring of behaviour change WASH actors

This section presents the scoring for each development (or intermediate outcome) of the IRC Theory of Change, except the development on the strength of the WASH system, which was presented in the previous chapter. For each development, we present the score at national level, for the various sub-sectors, followed by the scores for the associated municipalities.

In Annex 2, the scoring methodology and the indicators used to assess the developments are described.

4.1 Political leadership

Political leadership in Kabarole has a good understanding of the consequences for SDG 6 in the district. They have been involved in a series of visioning and planning meetings that contributed to revision of the District Investment Plan for Universal Access to WASH services that articulates priorities and targets for universal access. The role of the political leadership has been expanded from review and approval of budgets to active participation in shaping the strategy for achieving universal access. The political leadership is represented on the district task force for universal access that is overseeing the revision of the District WASH Investment Plan. For the first time, the political leadership made a public pronouncement on payment for water, urging water users to honour their financial obligations.

4.2 Partnerships

The district partnership reached agreement on the shared SDG 6 vision and constituted a district task force to further articulate the implications of the vision, the roadmap, guiding principles and targets. The discussion on the specific rules of the partnership is ongoing. The district partners openly shared their budgets and projected expenditures on WASH in the district. These provided insight on the current overall WASH budget and the deficit to be covered to achieve universal coverage in the district. The partnership has continued to share, jointly learn and scale innovations in implementation of WASH activities such as the 'Pay as You Fetch' model that has been adopted by two CSOs (HEWASA and JESE) and endorsed by the Local Government.

4.3 Overall assessment of behaviour of actors in WASH

Table 11: District WASH commitment and capacity

Intermediate Outcomes				
	Political leadership in district financially committed to implementing the national WASH targets	Partnership is driving actions of government, private sector, civil society and communities that share the vision and the specific roles of partners for national WASH targets and the systems strengthening mission	Actors apply tested WASH Service Delivery Models for achieving and maintaining national WASH targets	Private, public and civil society actors jointly build and invest in the capacity in the district for the WASH systems strengthening mission
District	33	61	40	35
Narrative	Limited opportunities for WASH joint planning and political commitment on financing priorities.	WASH coordination meetings bring together all district WASH stakeholders, all stakeholders have defined roles.	The district WASH forum meets quarterly, however, application of tested models is limited by funding.	There is limited public and private sector investment towards capacity building for district WASH. Often done by NGOs

Discussions with Kabarole District Water Office, Health Inspector and Inspector of Schools showed limited opportunities for joint WASH planning and low political commitment on financing priorities (33%) exacerbated by shortfalls in central government financing for the WASH sector. There is weak interaction between Water,

Health and Education departments. Coordination of WASH activities has often been undertaken with defined stakeholder roles (61%), as district level partnerships drive actions of government, private sector, CSOs and communities.

Table 12: WASH National Outcomes

Scores / Narrative	N1: Highest national executive levels are political & financial committed to implement the national strategic plans aligned with SDG 6 targets	N2: National partnership is driving actions of government, private sector, civil society and communities that share the vision and the specific roles of partners for SDG 6 and the systems strengthening mission	N4: National actors apply Service Delivery Models that are available for the range of contexts in the country and are supported by policy and implementation strategies	N5: National private, public and civil society actors jointly build and invest in the capacity in the country for the WASH systems strengthening mission
National WASH	45 The financial commitment extended to the WASH sector falls short of the current WASH priorities to enable progress towards SDG 6 targets, critical is the funding commitment for the sanitation and hygiene sub- sectors; as well as operations and maintenance of water sources.	60 Partnerships for attainment of WASH services exists, amidst a weak legal framework for operationalisation.	50 Though the policies and implementation strategies exist, the tripartite agreement for coordination among WRM, Health and Education is not implemented. Hence application of service delivery models is limited.	58 The PPP for WASH is still gaining ground, so far engagement of the private sector has been limited due to limited incentives on WASH services.
National Sanitation	33	43	25	50
National Hygiene	33	33	33	33
Extra Household Hygiene	40	43	25	50

5 Conclusion and recommendations

National level WASH efforts towards achievement of SDG 6 have made some strides in the area of institutional development, legislation and monitoring of WASH activities. However, gaps still exist in financing for WASH in relation to the unmet need for clean safe water; coordination challenges between the line ministries of Water and Environment, Health and Education; gender and social development worsen WASH service delivery gaps and limit coordinated reporting on WASH in institutions and communities. To change this trend, advocacy for implementation of the tripartite agreement signed in 2004 and targeted budget increase to the WASH sector are essential. Also, the putting in place of mechanisms for enforcement of laws and regulations at both national and district levels is important.

Important to consider are administrative levels between district and national for targeted water resource management and for learning and adaptation. The expertise of the Technical Support Unit could be tapped to enhance district and regional level planning, monitoring and targeted financing of WASH in Kabarole. With leverage from the Conrad N. Hilton Foundation, Watershed and Sustainable WASH Service projects, Technical Support Unit 6 (TSU6) could participate in the role out of safety plans, and build them into district, regional and national priorities for achievement of SDG 6.

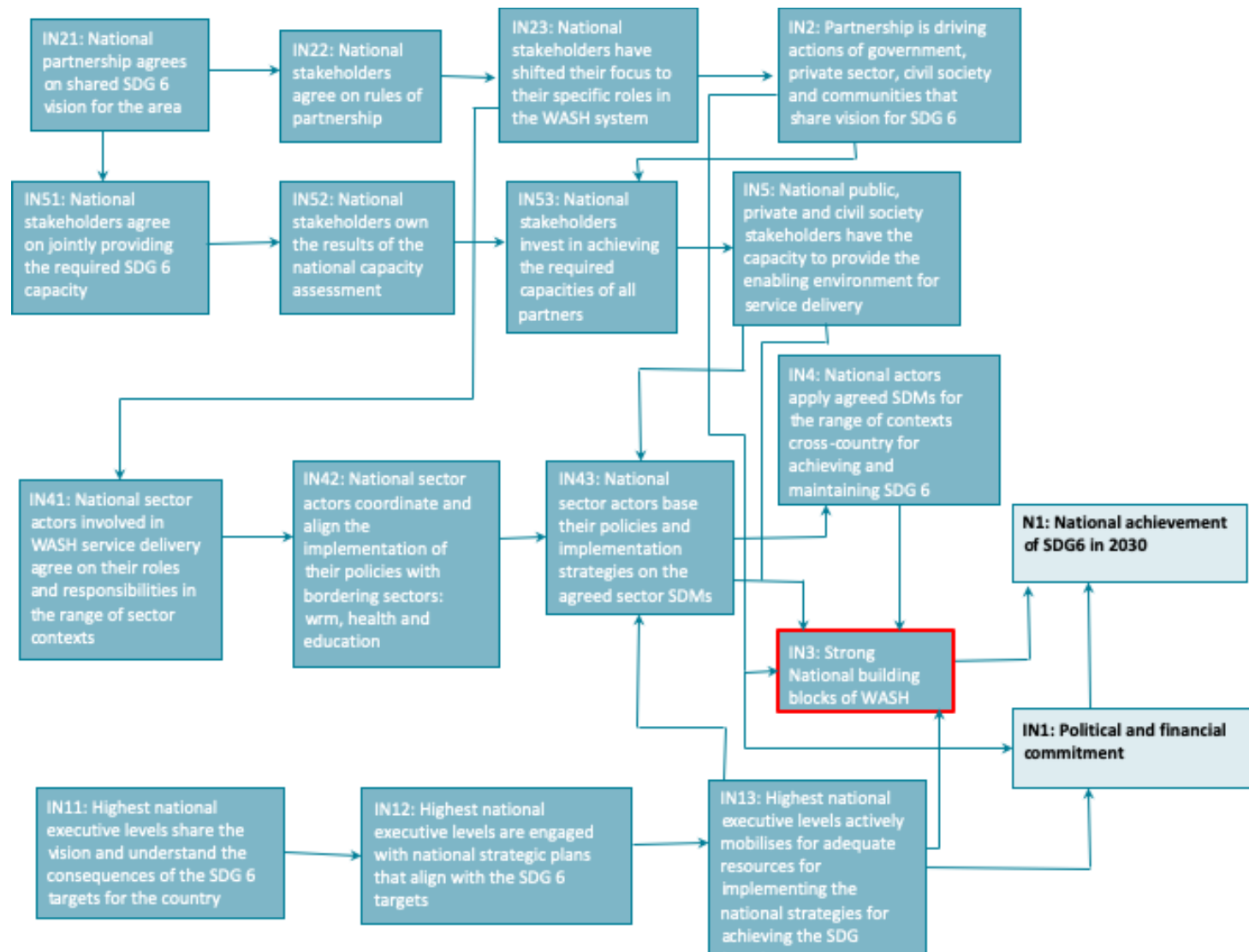
6 References

1. Uganda Water and Environment Sector Performance Report 2017. <https://www.mwe.go.ug/sites/default/files/library/SPR%202017%20Final.pdf>
2. World Bank. 2013. Improving service delivery in Uganda's secondary cities. Cities alliance in action. Washington DC; World Bank. <http://documents.worldbank.org/curated/en/2013/01/18203683/improving-service-delivery-ugandas-secondary-cities>
3. World Bank, 2018. World Bank data for Uganda: <https://data.worldbank.org/country/uganda>
4. Water Supply Database, 2017 www.wateruganda.com
5. IRC Sanitation Market Assessment Report, 2017
6. Hirn, M. (2013). 'Private Sector Participation in the Ugandan Water Sector: A Review of 10 Years of Private Management of Small Town Water Systems'; The Water and Sanitation Program, World Bank December 2013
7. IWMI; 2017 World Water and Climate Atlas; International Water Management Institute, <http://www.iwmi.cgiar.org/resources/world-water-and-climate-atlas/> Accessed, May 2017
8. Lockwood, H. (2016). 'A whole system change approach to achieving universal and sustainable access: building strong and resilient national systems', Kampala WASH Symposium - Bringing together the 21st Sustainable Sanitation Alliance (SuSanA) meetings and the 2016 WASH Sustainability Forum: background note
9. MFPED, 2016. 'Piped Water Supply in Uganda; How can it be affordable for all?'; BMAU Briefing Paper [6/16],
10. Ministry of Finance, Planning and Economic Development, April 2016
11. Ssozi, D. and Danert, K. (2012). 'National Monitoring of Rural Water Supplies - How the Government of Uganda did it and lessons for other countries'; RWSN-IFAD Rural Water Supply Series Volume 5
12. UNDP (2011). 'Output-based contracts in small-town water supply in Uganda: Challenges and opportunities'; UNDP, September 2011
13. USAID (2013). 'Water and Development Strategy, 2013 – 2018'; USAID, Washington D.C. 2013
14. Whave (2017). Whave website home page, visited 25 January 2018. Available www.whave.org
15. World Bank (2016). Uganda Poverty Assessment Report 2016: Farms, cities and good fortune: assessing poverty reduction in Uganda from 2006 to 2013; September 2016
16. Ministry of Water and Environment (2013). Uganda National Water Resources Assessment Report. Directorate of Water Resources management, Entebbe, Uganda.
17. MWE (2017). State of Water Resources Report 2014/15 for Uganda. Ministry of Water and Environment (MWE). P.O. Box 20026, Kampala, Uganda.
18. MWE (2016). Government of Uganda–Development Partners Sector Performance Report (SPR) of the Water and Environment Sectors. P.O. Box 20026, Kampala, Uganda.
19. MWE (2017). Government of Uganda–Development Partners Sector Performance Report (SPR) of the Water and Environment Sectors. P.O. Box 20026, Kampala, Uganda.
20. Magara P. 2014 Supporting Hand Pump Mechanic Associations to Improve Operation and Maintenance of rural water facilities. Kampala: IRC Uganda. Available at www.ircwash.org/sites/default/files/2014_10_ts-uganda-pb_hand_pump_mechanics_associations.pdf
21. Emery, B. (2005). No Title. New Civil Engineer. Retrieved from www.newcivilengineer.com/archive/bill-of-rights-2-28-07-2005/
22. Bey, V., Magara, P. and Abisa, J., 2014. Assessment of the performance of the service delivery model for point sources in Uganda. Kampala: IRC Uganda. Available at: www.ircwash.org/resources/assessment-performance-service-delivery-model-point-sources-uganda

Annex 1: List of persons interviewed at district level

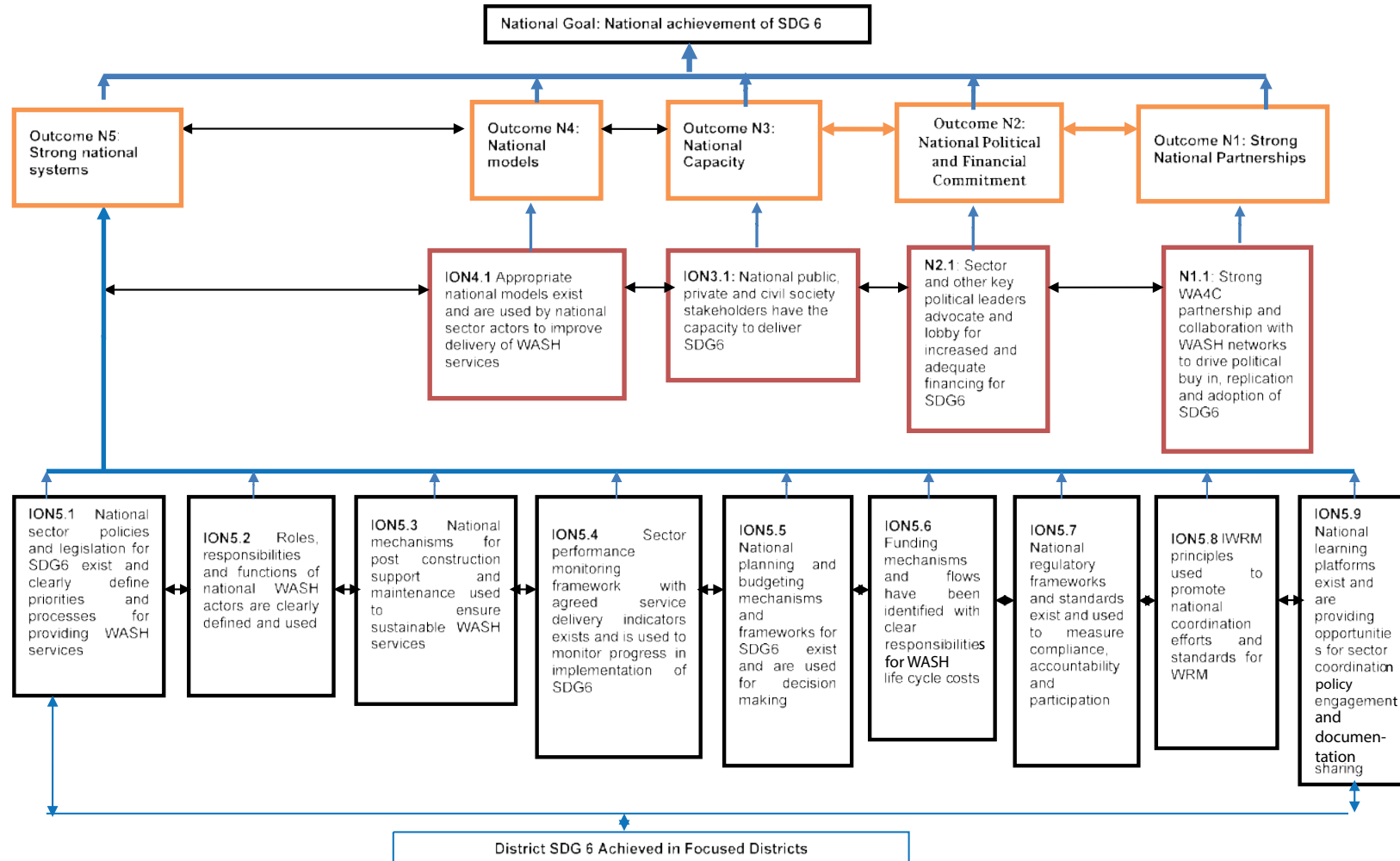
	NAME	TITLE
1	Peter Opwanya	Technical Support Unit 6 –Team leader
2	Pius Mugabe	District Water Officer – Kabarole
3	Olive Tumuhirwe	Assistant District Health Officer – Kabarole
4	Joseph Rujumba	District Inspector of Schools – Kabarole
5	Stephen Balibunga	Hand pump mechanics association
6	Stephen Alleluya	Hand pump mechanics association
7	Steve	HEWASA

Annex 2: National Pathway of change

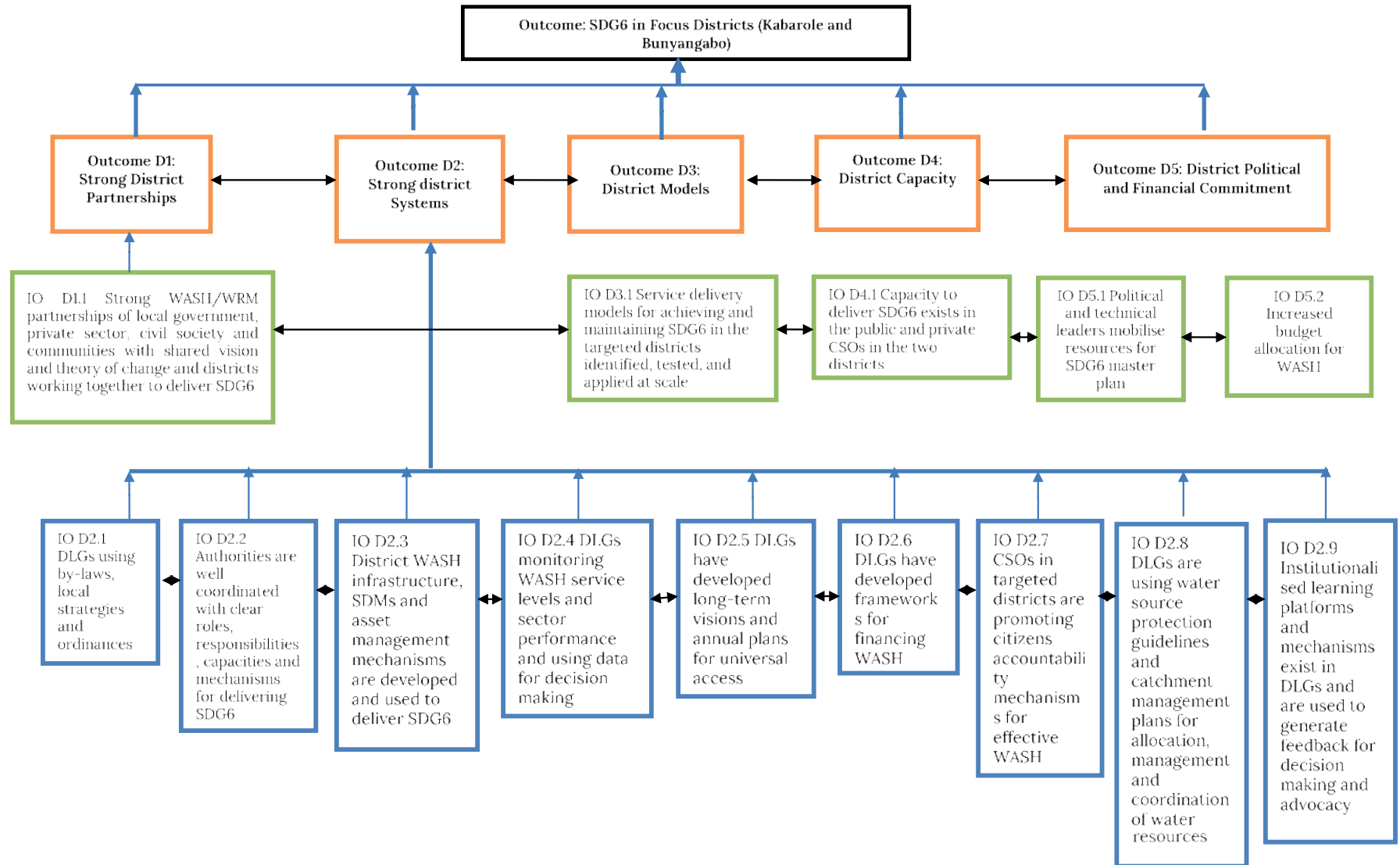


Annex 3: Theory of change

Revised Theory of Change National - Uganda Context



Revised Theory of Change District



Annex 4: National results framework - Uganda

Outcome/ Intermediate Outcome	Indicator Statement	Baseline	Target -Indicative
Outcome N5: Strong National System			
N5.1: National sector policies and legislation for SDG 6 exist and clearly define priorities and processes for providing WASH services	-Evidence of the National Water Policy and the National Water Act Review process. -National Water Policy and National Water Act reviewed and operational.	N/A 0	01
N5.2 Building institutions - Roles, responsibilities and functions of national WASH actors are clearly defined and used	Evidence of established technical capacity of the Water Resources Institute for accountability and coordination of WASH services.	10%	50%
Intermediate Outcome N5.3: Building Block –Infrastructure Development National mechanisms for post construction support and maintenance used to ensure sustainable WASH services	-Documented evidence of national level collaboration with MWE for O&M. -% funding of total development WASH budget towards O&M. -% of national water supply systems functional. -% of national water supply sources with clean water.	N/A 15% 70.5% 88.5%	20% 79% 95%
N5.4: The Sector performance monitoring framework with agreed service delivery indicators exists and is used to monitor progress in implementation of SDG 6	-National Sector Performance Monitoring framework in place. -% of SPM framework indicators used in SDG 6 performance monitoring. -Evidence of the monitoring data used in making national WASH decisions.	TBD (To be determined) 0 TBD	60%
N5.5: National planning and budgeting mechanisms and frameworks for SDG 6 exist and are used for decision making	-Evidence of national planning and budgeting meetings for achievement of SDG 6. -Documented outcomes of the planning and budget meetings.	0 0	5 Annual meetings Annual outcomes documentation
N5.6: Funding mechanisms and flows have been identified with clear responsibilities for WASH life cycle costs	-Existence of a national WASH financing and investment plan. -National WASH financing and investment plan operational -% of national budget allocated to WASH sector (disaggregated by water, sanitation, and hygiene).	N/A 3%	6%
N5.7: National regulatory frameworks and standards exist and used to measure compliance, accountability and participation	-Existence of the national WASH regulatory framework. -Evidence of operationalisation of the WASH standards through strengthening compliance, accountability and participation.	TBD	
N5.8: IWRM principles used to promote national coordination efforts and standards for WRM	-Water Resources Institute established and functional. -Operationalise IWRM principles for national standardisation and coordination of WRM.	0 N/A	1
N5.9: National learning platforms exist and are providing opportunities for sector coordination, policy engagement, documentation and sharing of WASH issues	-% of WASH learning platforms disaggregated by sector coordination, policy engagement, documentation and sharing. -Documented evidence of national WASH strategic decisions resulting from district lessons.	10% N/A	50% Annual documentation.
Outcome N4: National models			
ION 4: Appropriate national models exist and are used by national sector actors to improve delivery of WASH services	-Evidence of MWE endorsement/ acceptance of WASH service delivery models. -Evidence of WASH models replication at national level.	TBD	
Outcome N3: National Models			
ION3: National public, private and civil society stakeholders have the capacity to deliver SDG 6.	-% of CSOs participating in national WASH activities with required skills and expertise in lobby & advocacy. -% of CSOs actively engaged in national lobby and advocacy for WASH services for all. -Documented evidence of the CSO lobby and advocacy for WASH services.	6% 6% TBD	40% 40%
Outcome N2: National Political and Financial Commitment			

IO N2.1: Sector and other key political leaders advocate and lobby for increased and adequate financing for SDG 6	-% of national budget allocated to WASH service delivery -National WASH financing and expenditure plan in place.	3% TBD	6%
---	---	-----------	----

District Monitoring, Evaluation and Learning Framework - Kabarole & Buyanganbu Districts

Outcome/ Intermediate Outcome	Indicator Statement	Baseline	Targets
Outcome D1: Strong District Partnerships			
IO D1.1 Strong WASH/WRM partnerships of local government, private sector, civil society and communities with shared vision and theory of change and districts working together to deliver SDG 6	-Kabarole district master plan operational	0	1
	-Evidence of joint WASH implementation/ in partnerships aligned to the WASH master plan.	TBD	
Outcome D2: Strong district Systems			
IO D2.1 DLGs using by-laws, local strategies and ordinances for WASH services	% of by-laws / ordinances operational	0	70%
IO D2.2 Authorities are well coordinated with clear roles, responsibilities, capacities and mechanisms for delivering SDG 6	% of DLG officials with documented SOW (roles & responsibilities) disaggregated by district	40%	60%
IO D2.3 District WASH infrastructure, SDMs and asset management mechanisms are developed and used to deliver SDG 6	-% of WASH development budget allocation to O&M	15%	25%
	-% of functional water sources	84.5%	95%
	-% of communities actively contributing through the pay as you fetch model	45%	80%
	-Access to safe water	68%	78%
IO D2.4 DLGs monitoring WASH service levels and sector performance and using data for decision making	-% of communities/ sub counties with updated records on water points. Disaggregated by O&M, inventory, water payment system.	15%	45%
	-% of sub counties using available data to make decisions (documented evidence)	15%	60%
IO D2.5 DLGs have developed long-term visions and annual plans for universal	-Evidence of WASH master plan implementation	TBD	
IO D2.6 DLGs have developed frameworks for financing WASH	-WASH financing/ investment plan in place and operational	TBD	
	-% of district budget allocated to WASH sector (disaggregated by water, sanitation, and hygiene)	3%	6%
IO D2.7 CSOs in targeted districts are promoting citizens accountability mechanisms for effective WASH service delivery	Documented evidence of CSO engagement with the district political leadership on implementation of WASH master plans for both districts.	TBD	
IO D2.8 DLGs are using water source protection guidelines and catchment management plans for allocation, management and coordination of water	-District WASH asset inventory report in place and informing asset management plans. -Comprehensive WASH implementation plans in place. -% of WASH plans funded	TBD	
IO D2.9 Institutionalised learning platforms and mechanisms exist in DLGs and are used to generate feedback for decision making and advocacy	-% of learning events with evidence of adaptation from learning platforms.	15%	50%
Outcome D3: District Models			
IO D3.1 Service delivery models for achieving and maintaining SDG 6 in the targeted districts identified, tested, and applied at scale	-% of service delivery models tested, accepted and scaled-up. -Evidence of tested and accepted district models	TBD	
Outcome D4: District Capacity			
IO D4.1 Capacity to deliver SDG 6 exists in the public and private CSOs in the two districts	-% of CSOs participating in district WASH activities with required skills and expertise, disaggregated by data management, M&E, water quality testing and WASH costing. -% of DLG authorities and private WASH providers with improved knowledge in O&M, WASH documentation, WASH asset management, WASH advocacy and management of rural water services.	30% TBD	60%
Outcome D5: District Political and Financial Commitment			
IO D5.1 Political and technical leaders mobilise resources for SDG 6 master plan	-Evidence of increased funding allocated to achievement of SDG 6/ WASH master plan	0	
IO D5.2 Increased budget allocation for WASH	-% of district budget allocated to WASH service delivery	3%	15%

Visiting address

Plot 52
Ntinda II Road
Naguru
Kampala, Uganda

Postal address

P.O. Box 40398
Kampala, Uganda

Phone +256 774 767310
Phone +256 752 404001
uganda@ircwash.org
www.ircwash.org/uganda

