

Water Governance



In 2013, the Good Governance Working Group (GGWG) with support from GIZ and Water Integrity Network (WIN) conducted a study on Assessing Governance and Integrity in the Water Supply and Sanitation (WSS) Sub-Sector which recommended the development of a water integrity indicator. Similarly, although various activities have been undertaken by the GGWG, since its formation in the Ministry of Water and

Monitoring Water Governance in Uganda

Environment in 2006, the efforts and achievement of the group and the sub-sector could not be measured consistently and periodically due to lack of a dedicated indicator. The Joint Sector Review of October 2014 therefore prioritized the need for a governance indicator(s) through the undertaking “Develop appropriate indicator(s) for monitoring of good governance in the water and sanitation sub-sector by the end of FY2014/15”. In October 2015, the Joint Sector Review further emphasized the need for a sector performance monitoring review to incorporate good governance through the undertaking “Review Sector Performance monitoring framework – to incorporate water quality monitoring, good governance, human right to water, climate change, Sustainable Development Goals (SDGs), and the National Development Plan (NDP II)”.

With support from GIZ and WIN, the GGWG embarked on a study that aimed to suggest ways of measuring sector govern-

ance by use of indices, which are precise, easy to compile and aligned with the performance indicators that reflect the governance processes.

A total of 16 proposed indicators were prioritized that could be used to capture 6 key processes of water governance, i.e. community participation, water management and management oversight, consumer protection, sector reporting and coordination, financial management, and procurement. Focus was put on monitoring the processes rather than the outputs of the sector with a belief that an improvement in the processes the sector undergoes to produce these outputs would definitely result into performance improvements in the outputs. The proposed governance indicators are listed on page 16 and shall be used for annual update of the Governance Action Plan and governance sector undertakings.

Inside this issue

Title	Page
Monitoring governance	1
Foreword	2
Progress of the GGAP	2
Word from the Chairperson	3
Urban Water Grant survey	3
Improving water supply sustainability	4
Community forum in Nebbi	5
QUAM certificates	5
Governance Corner during the JSR 2016	6
Application of Water Governance course	7
Piloting SDG 6 in Uganda	8
Orientation of councillors governance	9
Integrity Management Toolbox (Online)	10
DANIDA's Anti-Corruption Policy	11
CSOs participation in planning & Budgeting	12
Human Rights to Water and Sanitation	13
UPMIS	14
Good Governance in ENR	15
List of proposed governance indicator	16



Prioritization and discussion of indicators by the Technical Task Team

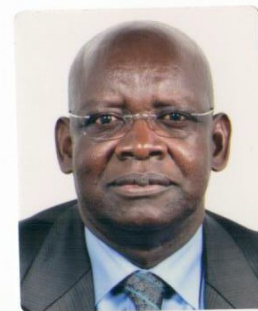
Foreword

The Ministry of Water and Environment (MWE) and the water and environment sector in general is increasingly prioritizing governance activities through its Good Governance Working Group. This year, the sector has prioritized the development of a good governance indicator to be used in measuring and monitoring of processes the sector undergoes in service delivery. The Ministry has further prioritized awareness on governance in the sector to increase the general appreciation and understanding of governance to all sector actors, and have a common understanding of the governance principles and their applicability in the sector. This has all aimed at increasing the efficiency and effectiveness of water service provision through increased appreciation and implementation of good governance practices.

In particular, MWE conducted an online training on the Application of Water Governance, while Civil Society Organizations organized and conducted WASH dialogues with communities that captured and discussed governance issues in the respective localities.

Lastly, this year's Joint Sector Review prioritizes integrity practices through its theme "*ensuring integrity in the water and environment resources driving towards Sustainable Development Goals*". I therefore urge all stakeholders to always put governance at the forefront of every activity in order to maximize the scarce resources in achieving the Sustainable Development Goals 2030.

I hope you find the issues raised in this newsletter interesting to stimulate further thinking and debate about this critical issue.



For God and My Country

David O.O. Obong

PERMANENT SECRETARY
Ministry of Water and Environment

Progress on the Good Governance Action Plan (GGAP)

Objective	No. of actions	Complete/continuous	Actions on track	Actions not implemented	Average performance
Governance Oversight Strengthened	19	12	2	5	74%
Improvement in procurement processes, Project Implementation and contract management within the sector	2	2	0	0	100%
Bridging the implementation gap through access to information and empowerment of water users	5	5	0	0	100%
Total	26	19	2	5	81%

The implementation of the updated GGAP 2014-2017 continued progressively with an improvement in last year's performance by 4% from 77% last year to 81% this year. Only 19% of the total actions are still not taking place.

Most of the activities that are not yet taking place are beyond the ministry's mandate. For example all ministry departments do not have a concrete measure of implementing incentives and sanctions. The available sanction to ministry staff is through staff appraisals and reprimand by writing to the staff but the contracts

would not be cancelled. In the Rural department, where a district is not meeting performance standards, the Chief Administrative Officer (CAO) can only be informed in writing, copied to the political leadership, but effective sanctions cannot be implemented. The regulation department and the urban water and sanitation department are equally challenged by the institutional arrangement. To differ from the previous process where surveys were conducted to update the GGAP, the GGWG shall use the indicator to develop and inform the GGAP

**81% of the
GGAP has
been
achieved**

Word from the chairperson — GGWG

2015/2016 has been a year of success. The GGWG has achieved a sizable number of outputs including the governance indicator, governance training, awareness creation, study on urban water grant, and negotiations on District Water and Sanitation Development Conditional Grant allocation formula with Ministry of Finance Planning and Economic Development, among others. There is more emphasis put on the development and implementation of the final governance indicator and awareness creation through training, publica-

tions, WASH dialogues.

The implementation of the Good Governance Action Plan has been equally successful with contribution from all members of the GGWG. CSOs have contributed greatly to creation of awareness, while Ministry departments and government agencies have concentrated on strengthening the governance oversight.

On a sad note, the GGWG, and the Ministry in particular lost one of our very active members Dr. Paul Nyeko Ogiramoi who

passed away on 15th July, 2016. We will dearly miss him. May his soul Rest in Eternal Peace.

I wish you a good and joyful reading of this year's Water Governance Newsletter.



Eng. Gilbert Kimanzi,
Asst. Commissioner,
Water for Production
Ministry of Water and Environment



Meeting the objectives of the Urban Water Grant

Realizing that the performance of the towns seemed not to have improved commensurate to the investment, the GGWG embarked on a study to establish the efficiency and effectiveness of the urban water and sanitation grant. The study aimed at determining the effectiveness and efficiency of the urban water conditional grant taking into account the allocation criteria; the channeling process, utilization of the grant, its adequacy, auditing compliance and reporting. The findings revealed that;

1. The grant achieved its objective of keeping the water tariff low, but has not yet been effective in closing the gap to breakeven points of the utilities.
2. Grant releases from the Government of Uganda Consolidated Fund (GUCF) were traceable on respective Districts or Town Councils' General Collections Accounts (GCA) in real-time, therefore the mechanism was found to be both

efficient and effective. Delays in remittance of funds from the General Collections Accounts to beneficiary grant accounts on average ranged between 3 to 7 days from the date of receipt funds from GUCF into General Collections Accounts.

3. Inadequacies in accounting and financial management skill especially Scheme operators. Inadequate financial reporting fostered by the cash accounting method used by Water Authorities was evidenced, e.g. aged receivables were excluded from quarterly reports thus the financial status of Water Authorities was not well represented, Umbrella Organizations do not maintain separate books of accounts for the urban conditional grant, but rather mix up all finances received.
4. Lack of reporting skill in Water Authorities. Accuracy and completeness

in reports was lacking in some scheme and Umbrella Organizations did not provide grant reports to WURD.

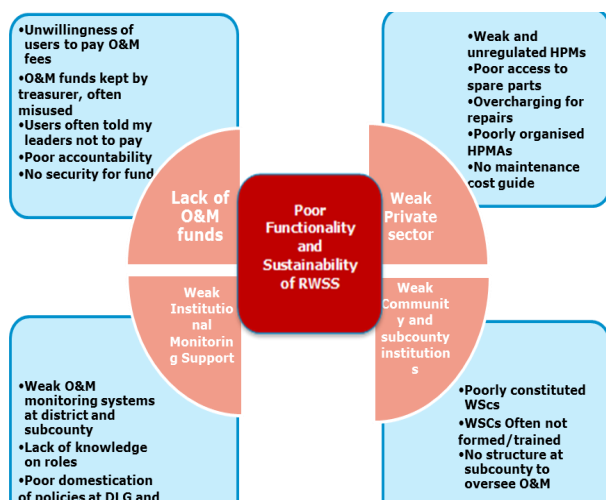
5. WSSB fall short of provision of Management oversight and sometimes non existent
6. Duplication of Conditional Grants funding for some schemes from both Umbrella Organizations support and direct Connection Subsidy Allocation (CSa) grant
7. No specific audit commissioned for the urban grant in both Water Authorities and regional Umbrella Organizations

The study report and the recommendations will be discussed in the Good Governance Working Group and an action plan thereafter will be developed to map the implementation of the study results.

Improved Water Supply Sustainability (IWAS) in Uganda — SNV Model for improved O&M of Rural Water Services

While big strides have been registered in rural water supply with regards to access to safe water and functionality of water sources, which currently stands at 88%, the sustainability of the water points still remains a challenge due to weak operation and maintenance practices (O&M). The diagram below shows that poor functionality and the sustainability challenge of water sources is due to lack of O&M funds, weak institutional monitoring support, weak private sector and weak community and sub-county institutions.

To improve on the level of sustainability in rural areas, SNV is promoting a sustainability model that



introduces professionalism in management and addresses the four institutional challenges;

Strong and organised Private sector

Here the HPMA's are being strengthened so that they are able to (i) effectively market locally based solutions, (ii) supervise and regulate their members (iii) enter into preventive performance based maintenance contracts with Sub county Water Supply and Sanitation Boards (SWSSBs) (iv) develop a maintenance guide on costs to eliminate tendencies of overcharging, (v) design incentives for collection of O&M funds, (vi) make ease access to spare parts, (vii) Establish organized Hand Pump Mechanics Associations.

Security of O&M funds

Village Savings and Loans Associations (VSLAs) are promoted as platforms to (i) support funds col-

lection (ii) provide accountability of the collected funds (iii) provide security to the source. Further the SWSSBs utilise the services of Commercial Banks in the area for secure financial transactions.

Strong O&M structures at sub county and communities

This involves strengthening institutional monitoring at the sub-county level through (i) establishment of a Sub-county Water Supply and Sanitation board at Sub-county level to oversee all water sources in the sub county, (ii) Water users elect parish representatives to the board through the Water and Sanitation Committee (WSCs) and the board chair and treasurer are chosen from user representatives.

Effective O&M Monitoring support at DLG

The local government political and technical leaders are also trained on their roles in O&M and guided to develop council resolutions in support for improved O&M.

The model is being rolled out in 3 districts of Lira, Dokolo, and Alebtong. The Community and WSCs are undergoing training and linking them to SWSSBs of 600 WSCs. So far 12 SWSSBs have been formed

with parish user representation and 4 HPMA's. Registration of water sources is underway with over 100 water sources registered. Over 20 sources have been repaired by SWSSBs and discussions for entering into preventive performance based maintenance contracts are underway.

DLG and LLG leaders have been trained on O&M coaching to make council resolutions and establish working O&M systems including O&M indicators and they are also engaged in the discussion on establishment of spare parts depots.

The HPMA's have also been trained and coached on how to develop and implement business plans, regulate members and make an O&M costing guide. The user committees will collect and remit funds to SWSSBs and protect the water source. The VSLA will on the other hand provide security for funds at source and increase interest from the water users and accountability from the committee. O&M system indicators are being developed to guide in the development of the performance measurement and assessment.



Awelo BH in Telela Village, Lira District Conducting VSLA

When the people's voice counts:

A Case of Nebbi (Uganda)

by Peter Sekuma – NETWAS

The WASH dialogues facilitated by NETWAS have seen governance taking course. In a community dialogue in Nebbi, the people demanded to have back the borehole that had been transferred to another area during implementation. They were able to do so because they had been involved in planning and they had identified the critical areas that most needed the borehole. Their involvement at planning empowered them to follow up on the borehole that they had identified.

Good intentions without the involvement of all parties is not good governance. Still in Nebbi, the community had planned to locate the borehole in the health centre. However, the chairperson of Nebbi, with good intentions diverted the borehole that had been planned for the health centre and seconded it to another village that seemed to be more in need than the health centre since the health centre had some boreholes already. The chairperson diverted the plans of the community and the other decision makers without consulting or informing them. The community in response demanded for a relocation of the borehole back to the health centre which they had earlier on decided.

Promoting Good Governance through the Quality Assurance Mechanisms among CSOs in the water and sanitation Sub-sector

By Rehema Aanyu, Liaison and Networking Officer–
UWASNET | Email: raanyu@uwasnet.org

Seven UWASNET members were recently awarded the Quality Assurance Mechanism (QUAM) award during the 7th National QUAM Awarding ceremony held by the National QUAM Secretariat in Kampala. This brings the total number of QUAMed UWASNET members to twenty two (22). UWASNET members who have received their QUAM Certification this year include;

1. Action for Rural Women Empowerment
2. ACORD
3. Voluntary Action for Development (VAD)
4. Busoga Trust
5. Link To Progress
6. UWASNET Secretariat
7. Rural Initiative for Community Empowerment- West Nile (RICE – WN)

QUAM is a self -assessment initiative developed by non-governmental organizations under the National NGO Forum to enhance the credibility and effectiveness of non-governmental organizations in the country. Organizations that apply for QUAM certification are evaluated against a total of 59 Good Governance principles including ethics, institutional capacities, adherence to the institutional governance systems and strategies, effective management structures and processes, relationship with other stakeholders etc.

UWASNET is one of the national promoters of the Quality Assurance Mechanism (QUAM), through QUAM awareness workshops, dissemination of information on QUAM, and facilitating members' QUAM

certification

A team from the National QUAM Secretariat vets the organization against these 59 principles and together with UWASNET support the organization to build its capacity in strengthening its governance systems and strategies. Organizations that meet the standard are thereafter awarded with a certificate of meeting the QUAM Standards.

As part of the training, member organizations receive QUAM information materials and are supported to conduct institutional self-assessments to ensure that they meet the QUAM standards before submitting their applications to the National QUAM Secretariat.

UWASNET encourages and supports her members to apply for QUAM because as a process, QUAM is aimed at enhancing the credibility, legitimacy, accountability, protection and improve performance of NGOs and CBOs in the country.

“One of the ambitions of NGOs is to defend the rights of our fellow citizens. To do so, one must adhere to the highest ethical standards and best possible practices. With the QUAM, we aim to ensure that the credibility of NGOs is widely recognized in the eyes of the public, Government, and other stakeholders,” says Bonnie Kiconco, the National QUAM Coordinator.

QUAM is also aimed at enhancing the protection and autonomy of NGOs and contribute to better cohesion amongst them as well.

As a key stakeholder, UWASNET also promotes the ten golden indicators on which sector performance is measured.



some of the QUAMed UWASNET members showing off their QUAM Award certificates

Governance Corner during 2015 JSR

The GGWG organized a governance corner during the last Joint Sector Review (JSR) that showcased the activities of the group and materials that promoted governance in the sector. The corner was visited by a good number of participants of the JSR. Promotional materials on governance were given out at the corner including message boards, key holders, openers, banners, newsletters and magazines that were all branded with governance phrases.

The people who visited the corner were asked about their view on Water governance. According to Pax Sakari, 'Governance is the unlocking key that everybody should look at critically. If you have the people, if you have the resources, if you have the policies, but the implementation of those policies, the utilization of these resources is what determines the success'.



According to Pario Bernard, Senior Engineer - Facility Support "there is still an uphill task especially in our region for this completed schemes. A number of time the tariff that is set in these regions somehow complicates. Because I've seen systems that were charging Ugx 5,000 per cubic meter even when VAT and service fees are not included. And then when you go into the details when it comes to the operational issues, the



meter reading, accounting for the finances, Non Revenue Water, you will find a very big miss-match. I would still say that we need a lot of advocacy, training, building up the capacity. But above all, I would think this gabbler's thing so that with small schemes should be a professional thing. We should set a minimum standards. For example some should have an engineering training if is an individual and if is a firm, we should enforce to have trained persons in key positions as a minimum. But of course, whereas in most times where these one are provided, the enforcement I think is still a challenge. Leave alone the fact when it comes to Local Government, there is rarely or no capacity to help".



Councillors of Apac Municipality during a training on Good Governance in Water and Sanitation on 14th September 2016



«Application of Water Governance»

Interactive e-Learning Course – August 8th until September 2nd, 2016

*This e-Learning course is presented to you by **The Ministry of Water and Environment (MWE)** through its **Good Governance Working Group** and with support from **The Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH***

The Ministry of Water and Environment (MWE) through its Good Governance Working Group and with support from Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH presented a few members the opportunity to participate in an interactive e-Learning course on the Applicability of Governance Principles. This course was a pilot study and it targeted mainly senior and middle managers from all sector players including the Local Governments, the de-concentrated units of the Ministry and from the Center, Civil society organizations and NGOs, the Private Sector and members from Development Agencies in the Water Sector. The course ran for 4 weeks starting on the 8th of August until 2nd September, 2016.

The course consisted of three modules with three lessons each.

Module 1 «Governance as an Enabling Environment»

- Lesson 1: Introduction to Governance
- Lesson 2: Governance Principles
- Lesson 3: Clarity of Roles

Module 2 «Applicability of Good Governance»

- Lesson 1: Transparency
- Lesson 2: Accountability
- Lesson 3: Participation

Module 3 «Measurement of Good Governance»

- Lesson 1: Sustainable Development Goals
- Lesson 2: Governance Indicator Systems
- Lesson 3: ICT & Water Governance

As this course had to be absolved in addition to the participants' daily work, the required reading and discussion time was 1 hour per day/6 hours per course week, to allow the participants to have enough time for their own work.

This course put more emphasis to the exchange among the participants using a dedicated and closed Facebook group, an online discussion forum and two interactive webinars with an input lecture and discussions over the web (VoIP: Voice over IP). The course ended with an Action Plan and two written multiple choice tests.

A team of experienced e-tutors with a profound pro-

fessional background in the water-sector were available to guide participants through the course and to ensure the organization of the course. Participants were encouraged to get in touch with their personal tutor if they had any question. According to the participants, this course taught them a lot. According to Wamalwa Mutoro a public servant, "In the course I have held strong inclination towards accountability in water governance. In view of coping with current and future challenges in the sector, it requires robust public policies, targeting measurable objectives in pre-determined time-schedules at the appropriate scale, relying on a clear assignment of duties across responsible authorities and subject to regular monitoring and evaluation....."

Participants were truly grateful and encouraged other members to join should the course be opened to other participants.

By Namara Samantha



Piloting Sustainable Development Goal 6 in Uganda- By Dr. Callist Tindimugaya

The UN-Water, the United Nations inter-agency coordination mechanism for all fresh water related matters including sanitation has played a crucial role in the work towards the 2030 Agenda for Sustainable Development and its dedicated goal on water and sanitation (SDG 6).

A set of core indicators for tracking global progress towards SDG 6 was developed and the UN-Water family is supporting Member States in global monitoring through;

- WHO/UNICEF Joint Monitoring Programme for water supply and Sanitation (JMP) for aspects related to drinking water, sanitation and hygiene.
- UN-Water Global Analysis and Assessment of Sanitation and Drinking water (GLAAS) for aspects related to the means of implementing SDG 6
- Integrated Monitoring of Water and Sanitation related to SDG targets (the Integrated monitoring Initiative, (GEMI) for aspects related to the state and management of water-wastewater, and ecosystem-resources, building on existing global initiatives such as FAO Aquastat and UNEP's GEMS/Water.

The first phase of the Integrated Monitoring Initiative (2015-2018) focuses on the development of the monitoring methodologies and the establishment of a global baseline. During this year 2016, the methodologies are being pilot tested in six (6) countries in the world including Uganda and Senegal in Africa and will be revised as necessary based on lessons learned.

Based on Uganda's long-standing interest in water and sanitation monitoring, UN Water selected Uganda as a suitable pilot country for the testing of the methodologies of the Integrated Monitoring initiative. The piloting has been carried out between June and September this year.

The start-up workshop was held in June 2016 by Ministry and Environment in Uganda collaborated with UN Water and Global Water Partnership and final workshop was held on 22 and 23 September 2016 with the aim of discussing the results of the piloting and capture lessons learnt in preparation of the global roll-out in 2017. The workshop was attended by about 60 participants drawn from all key water related government agencies, UN agencies, regional organizations, local governments, civil society, private sector, academic institutions, religious institutions, and the media.

Target 6.3 "By 2030, improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials, halving the proportion of untreated wastewater and substantially increasing recycling and safe reuse globally"

Indicators listed by IAEG-SDGs

- i. Percentage of wastewater safely treated
- ii. Percentage of water bodies with good water quality

UN Water selected Uganda as a suitable pilot country for the testing of the methodologies of the Integrated Monitoring initiative.

Target 6.4 "By 2030, substantially increase water-use efficiency across all sectors and ensure sustainable withdrawals and supply of freshwater to address water scarcity and substantially reduce the number of people suffering from water scarcity"

Indicators listed by IAEG-SDGs

- i. Percentage change in water use efficiency over time
- ii. Level of water stress: freshwater withdrawal in percentage of available freshwater resources

Target 6.5 "By 2030, implement integrated water resources management at all levels,

including through transboundary cooperation as appropriate"

Indicator listed by IAEG-SDGs

- i. Degree of integrated water resources management (IWRM) implementation (0-100)
- ii. Proportion of transboundary basin area with an operational arrangement for water cooperation

Target 6.6 "By 2020, protect and restore water-related ecosystems, including mountains, forests, wetlands, rivers, aquifers and lakes"

Indicator listed by IAEG-SDGs

- i. Change in the extent of water-related ecosystems over time

Target 6.a "By 2030, expand international cooperation and capacity-building support to developing countries in water- and sanitation-related activities and programmes, including water harvesting, desalination, water efficiency, wastewater treatment, recycling and reuse technologies"

Indicator listed by IAEG-SDGs

- i. Amount of water- and sanitation-related official development assistance that is part of a government coordinated spending plan

Target 6.b "Support and strengthen the participation of local communities in improving water and sanitation management"

Indicator listed by IAEG-SDGs

- i. Proportion of local administrative units with established and operational policies and procedures for participation of local communities in water and sanitation management.

Water is life,

for people and for the planet.

It is essential to the wellbeing of humankind

and

a basic requirement for the healthy

functioning of all the world's ecosystems.

Orientation training to councillors

GIZ has conducted training to the councillors of Kamdini, Loro, Apac, Aduku, Oyam and Ibuje town councils on water and sanitation governance. The overall aim of this orientation program was to support the laid-back region which is negatively contributing to the performance of the sector through supporting the newly elected political leaders in understanding the roles they play in the water and sanitation service provision.

The course achieved the following objectives;

- Informed councillors on the principles of good governance and how they can implement them in the water and sanitation setting.
- Provided an orientation and introduction to the councillors about the water and sanitation subsector
- Informed the councillors on their roles in water service and sanitation provision and how their contribution can build or break the systems .
- Aailed councillors with information on the different improved sanitation options that they can promote in their respective areas.
- Showed the linkage between communities, Operators (NWSC and Private Operator) the town councils and ministry
- Made aware to the councillors the roles expected of them as councillors in relation to water and sanitation
- Informed the councillors on their role in preventative maintenance of Water and Sanitation facilities

The councillors appreciated the training as picked from the evaluation forms ‘...this training has come in timely at the time when we are starting our tenure...’ ‘... I have learnt useful information on my roles as a councillor and how I can promote water and sanitation services in my area...’.

The training was concluded with the development of an Action Plan on how the councillors will put in practice lessons learnt that aim at improving sanitation in the respective towns.



Councillors from Ibuje and Aduku Town Councils who were trained in good governance in water and sanitation

Integrity Management Toolbox for Water Sector Organizations

Learn online about integrity risks and tangible tools to address them

By Lotte Feuerstein— Water Integrity Network

An increasing number of water sector organizations and businesses around the globe are putting in place systems to better manage integrity and compliance risks. Such risks can damage an organization's **reputation** and in the worst cases seriously affect their **bottom line**. This why water organizations in countries including Kenya, Zambia, Bangladesh, Indonesia and Albania are using the [Integrity Management \(IM\) Toolbox](#) to prevent and manage risks like irregular procurement processes, illegal connections, collusion of officials with informal water cartels, and falsification of invoices and accounts.

The IM Toolbox was developed by the Water Integrity Network (WIN), cewas and GIZ for water utilities in Kenya and has since been adapted for various other contexts. It supports water sector organizations like **utilities, small and medium-sized enterprises** and **public institutions** in undergoing an integrity **change process**. This process starts with assessing their performance, describing their business model, identifying the most relevant integrity risks, using practical tools for better managing of risks, to finally monitoring performance improvements.

The [Khulna Water Supply and Sewerage Authority](#) (KWASA), a water utility serving a city of 1.5 million people based in Bangladesh, has improved their electronic billing system and introduced e-procurement as part of their integrity change process which has helped them increase their revenue base and provide more transparency and accountability to customers in handling the bills.

Integrity and compliance management is a fundamental element of corporate governance. The approach can be used to communicate values to employees and thus creates a positive work climate and improves motivation. Additionally, it provides tools to detect and manage risks, and to prevent and sanction violations of rules. Organizations that use the IM Toolbox can:

- ◆ Reduce costs and bring “lost money” back into their operations
- ◆ Minimize reputational and legal risks
- ◆ Increase accountability to customers, stakeholders, public authorities, and partners.

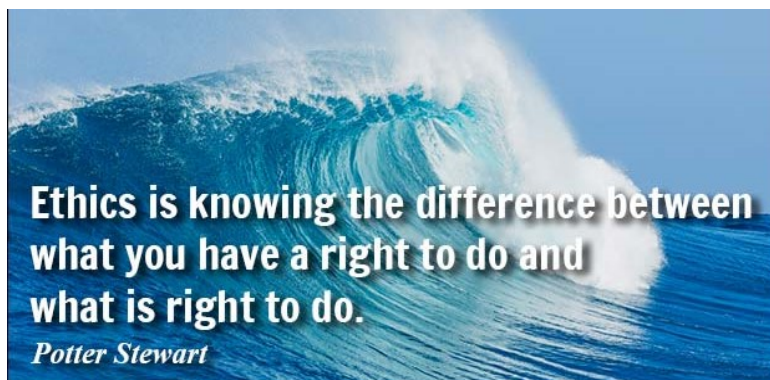
The online toolbox contains **all the necessary material** and **background documents** needed during the different



phases and steps of the integrity change process. Here you will find relevant information on the underlying approach, how to use the toolbox, as well as the actual integrity risks and tools.

The **risks and tools cover core management functions of water sector organizations** including customer relations, operations & maintenance, governance & controls, human resources, financial management and procurement and contract management.

Check out the various features of the IM Toolbox and **get in touch with us** if you would like to use it in your organization on info@win-s.org or through <http://www.waterintegritynetwork.net/imtoolbox/contact/>



DANIDA's Anti-Corruption Policy

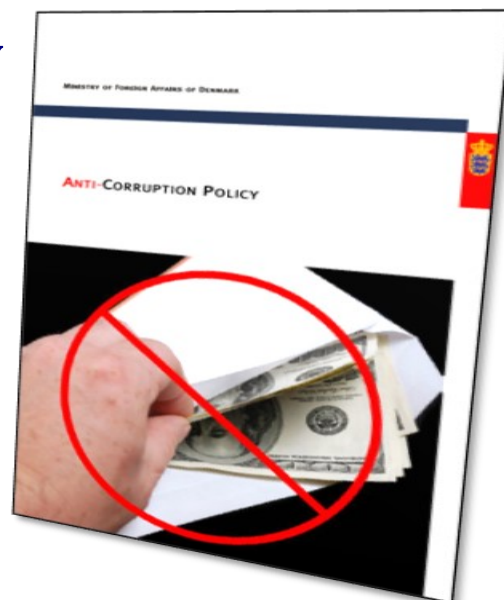
By Søren Høgsbro Larsen, First Secretary, Royal Danish Embassy in Kampala

The Ministry of Foreign Affairs of Denmark is a **globally operating organisation**, working for Denmark's interests and values in relation to the surrounding world. One responsibility of the Ministry is the Danish development cooperation, which takes place under the brand name **Danida**. Ministry staff works every day with numerous other public organisations, NGOs, ordinary citizens, commercial companies and other counterparts all over the world.

While corruption exists in all countries, Denmark is ranked the **least corrupt country in the world** by Transparency International. The Ministry, and thus Danida, actively supports the **international fight against corruption** and advises partners on how to avoid corruption. The Ministry is determined to maintain the **highest standards of integrity** and work ethics among our staff and across all areas of activity. We therefore maintain a policy of **zero tolerance** towards corruption in all its forms.

The Anti-Corruption Policy and its Code of Conduct are applicable to all staff working in the Ministry of Foreign Affairs in Copenhagen and at Danish representations abroad. The policy simply defines corruption as **the misuse of entrusted power for private gain**. Corruption is recognised as something that affects everyone whose **life, livelihood or happiness** depends on the integrity of people in a position of authority, it threatens the **stability and security** of societies, and it undermines **democratic institutions** and values. This definition corresponds to the concept of corruption in the Danish Penal Code and in international anti-corruption conventions. Corruption is best known in the form of bribery, fraud, embezzlement or extortion. However, corruption **does not exclusively involve money changing hands**; it may also include providing services to gain advantages, such as favourable treatment, special protection, extra services or quicker case processing.

Corruption within Danida projects or among staff or Danida partners can anonymously be reported here: <http://um.dk/en/danida-en/results/anti-corruption/report-corruption-danida>



The Code of Conduct of Danida's Anti-Corruption Policy

1. *Conflict of interest:* We will avoid any conflict – real or potential – between our personal interests and the interests of the Ministry of Foreign Affairs.
2. *Bribery:* We will not give or accept bribery in any form.
3. *Extortion:* We will not for private purposes seek to influence any person or body by using our official position or by using force or threats.
4. *Fraud:* We will not use deception, trickery or breach of confidence to gain an unfair or dishonest advantage.
5. *Embezzlement:* We will not misappropriate or otherwise divert property or funds entrusted to us.
6. *Gifts:* We will not give, solicit or receive directly or indirectly any gift or other favour that may influence the exercise of our function, performance of duty or judgement. This does not include conventional hospitality or minor gifts.
7. *Nepotism and favouritism:* We will not favour friends, family or other close personal relations in recruitment, procurement, aid delivery, consular services or other situations.
8. *Reporting:* We will report any evidence or suspicion of breach of this Code of Conduct.

Full Anti-Corruption Policy: www.um.dk/en/danida-en/results/anti-corruption

Civil Society Participation in District Planning and Budgeting



Section 4.1.2 of the District Implementation Manual provides for CSOs' participation in District Planning and Budgeting. Civil society organizations (NGOs, CBOs, FBOs) involved in water and sanitation activities in the districts are required to take part in the district planning and budgeting process and to integrate their plans with those of the districts. The Local Governments Act provides the legal basis for this level of participation. Other government frameworks, such as the National NGO policy, recognize the role of NGOs in service delivery. The NGO policy specifically requires the Chief Administrative Office, as the top executive of the district and chair of

the District Technical and Planning Committee, to provide guidelines to NGOs in a district to enable them participate effectively in district planning and implementation. The role and involvement of CSOs should entail the following:

- i. Participate in the situation analysis exercises at community level.
- ii. Actively participate in the budget conference.
- iii. Provide information about their past targets, achievements and gaps to the district.
- iv. Share information about their program activity plans and budgets for the FY being planned for.

v. Discuss and agree with district key priorities during the FY being planned for.

vi. Discuss and agree on common strategies, geographical areas of operation and other elements of harmonization.

vii. As may be appropriate, sign MOUs with district local governments with respect to programs or projects jointly implemented.



HUMAN RIGHTS TO WATER AND SANITATION

The Ministry of Water and Environment together with partners, WaterAid, Stockholm International Water Institute (SIWI), NAWAD and Waterlex conducted a one year Governance research on Human Right to Water and Sanitation funded by Austria development Agency and DANIDA; This was presented in the last Joint Sector Review in October 2015 thus informing the sector undertaking 10 that stated “Review Sector Performance monitoring framework – to incorporate water quality monitoring, good governance, human right to water, climate change, Sustainable Development Goals (SDGs), and the National Development Plan (NDP II)” and elaborating governance issues that the sector should attend to if Uganda is to move towards successful realization of SDG 6 and the vision 2040 targets on Water, Hygiene and Sanitation and the related goals.

The study recommended review of the current Governance Framework to promote accountability and independent regulation to support enforcement of norms and standards that will accelerate universal access. The review is underway, with a Uganda Water And Sanitation Regulatory Authority Bill to be tabled to Parliament.

The second recommendation of the study was to revise the current national water, sanitation and hygiene standards and the sector performance measurements to align with HRWS norms and ser-



vice criteria and the SDG goals/targets. This recommendation is implemented under undertaking 10. The ToR for the assignment were designed, inception meeting held and the consultant has embarked on the process that aims at incorporating HRWS in the reporting framework.

“THE REAL MECHANISM FOR CORPORATE GOVERNANCE IS THE ACTIVE INVOLVEMENT OF THE OWNERS.”

LOUIS GERSTNER

THE UTILITY PERFORMANCE MONITORING AND INFORMATION MANAGEMENT SYSTEM (UPMIS)

The Directorate of Water Development under the Ministry of Water and Environment (MWE) is in charge of policy formulation and oversight of water supply and sanitation services in Uganda. The respective Water Utility Regulation Department (WURD) has the mandate to monitor service levels and the performance contracts with the local government. However it has witnessed many challenges with paper based monitoring like cumbersome data collection, slow compilation of data, high error rates and results which are neither visible nor accessible. Currently less than 50% of the piped schemes report regularly. Data is manually fed into a database in Excel format (Small Town Database).

The MWE is addressing the shortcomings of the current system by setting up a web-based Utility Performance Monitoring and Information Management system (UPMIS). This web application is being built by international consultants of 'Geocodis Ltd', Slovenia in partnership with 'WE consult' from Uganda. In parallel an enabling environment needs to be set-up to make the monitoring process and the respective enforcement of contract requirements and standards successful (see Factsheet 'Monitoring piped water supply for better performance')

The main objective of UPMIS is to improve monitoring of water supply and sanitation service delivery in urban areas and rural growth centres. The information will enable more effective regulation and MWE support to O&M in order to im-



prove service delivery. This will be achieved at four levels:

- ◇ Regulation, by providing more complete, reliable and timely utility performance data for effective regulation, including contract compliance monitoring, bench marking, tariffs setting and, most important, feedback to the utilities on their performance.
- ◇ Utility level by converting raw data into information that can be used internally to improve performance and to improve regular reporting ,
- ◇ Umbrella level by providing operational tools for effective operation and maintenance (O&M) support to the member utilities and thus improve their functionality.
- ◇ Sector level by demonstrating sector perfor-

mance and thus attracting the financial resources for the roll-out of regulation, for O&M support and capital maintenance investments.

The transparency of information on the performance of public water services will be ensured by a public webpage to show most relevant piped water performance data including that of NWSC (at a later stage).

DO WHAT
IS RIGHT,
NOT WHAT
IS EASY.

GOOD GOVERNANCE IN ENVIRONMENT AND NATURAL RESOURCES SUB-SECTOR

The Ministry of Water and Environment instituted the Environment and Natural Resources Good Governance Working group (ENR-GG-WG) in 2011, comprising of representatives from the departments within the Directorate of Environment Affairs, environment agencies within the ministry, civil society and academia. The working group developed a governance action plan for the period 2013-2016, which spells out the actions and interventions of the Government of Uganda designed to

address the current governance challenges in the Environment and Natural Resources Sub sector.

Improvement of Transparency and Accountability of the ENR Sector to the Citizens

Transparency and accountability of the ENR Sector to the citizens was planned to be improved through establishment and strengthening of ENR governance structures, system, tools and procedures by establishing of 111 District Environment Committees (DEC), 4 Regional Wetlands Coordination Committees (RWCCs), 200 forest community-based systems, Tree fund, gazetting of 200 Environment Inspectors, developing and promulgating forest regulation, and conducting 4 regional public hearings on environmental governance.

By September, 2016, 3 steering committees for Climate Change, REDD+, and Sawlog Program Grant Scheme (SPGS) and 375 Environment Inspectors were gazetted; a Joint Compliance Monitoring and Enforcement System is in place for wetland enforcement and forestry regulation as well as conducting national public hearings on Chinese investment practices for improved forestry sub-sector governance⁸⁶. Plans are



underway to operationalize the 111 DEC and promulgate the forestry regulation and guidelines.

Harmonise ENR Institutional Mandates and Roles

Inter-institutional coordination and accountability and evidence-based decision-making was to be promoted by harmonizing ENR institutional mandates and roles to create a hierarchy of institutional leadership in the sector.

By September, 2016 the first drafts of National Environment Management Policy (NEMP) and Act (NEA), and the EIA Regulations have been developed and await approval by MWE's Top Policy Committee, before presentation to the Policy Committee on Environment.

Promote Effectiveness and Efficiency in ENR Management

Effectiveness and efficiency in ENR management is to be promoted by developing and mentoring ENR management staff in organisational structures, mission, GoU standing orders provisions, values, and code of conduct and supervise and appraise staff on the achievements of performance plans.

Strengthen Law Enforcement and stop ENR-Based Corruption

Law enforcement was planned to be strengthened and ENR-based corruption stopped by training and a facilitated EPPU. By September, 2016 the Environment Protection Police Unit (EPPU) was supported by the provisions of 4 pickups and 10 motorcycles to enhance fast response to site of crimes. Plans are underway in FY 2016/17 to conduct refresher training of all the 150 staff of the EPPU.



Proposed Governance Indicators

	SDG Target + Indicator	Good Governance Indicator	Report Name	Data provider
1	Indicator 6.1.1:	* % of water service providers that provide Public Stand Pipes where the tariff is less than or equal to the home connection tariff	UPMIS	WURD/ NWSC
2	Indicator 6.b.1:	* % of catchments that have Catchment Management Plans	WRPR Report	DWRM
3		* % of CSOs that plan jointly with the Districts. * % of districts that engage CSOs in the budget conference.	UWASNET/ Districts Report	UWASNET RWSD
4	Indicator 16.6.2:	* For small towns: % of written customer complaints responded to in time	UPMIS	WURD
5		* For NWSC served areas: Level of satisfaction with the time [NWSC takes] to respond to or resolve customer queries	Annual Customer satisfaction survey report	NWSC
6		% of water abstraction and discharge permits that comply with permit conditions	SPR	WRPR
7		% of districts, and Water schemes that submit complete and acceptable reports in time	UPMIS/ District reports	RWSD/ WURD
8		% of budget released against the sub-sector planned budgets in the sector investment plan	SPR	WESLD
9		% of total sector budget allocation expended to sanitation	SPR	Internal Audit
10		% of sanitation budget released for the year	SPR	Internal Audit
11		% of audit recommendations implemented (MWE, DPs & NWSC) from annual financial audits	OAG report	Internal Audit or webpage
12		Financial performance of the MWE based on the annual financial audits of MWE through the auditor response (unqualified, qualified, adverse, disclaimer)	OAG report	Internal Audit
13		% of approved budget released to the water and sanitation sub-sector	SPR	Internal Audit
14		Wasteful/nugatory expenditure [by MWE] as compared to previous year	OAG report	Internal Audit
15	SDG target 16.6	Average weighed procurement performance [of MWE]	PPDA	PDU/ MWE
16		% of total procurement volume that was procured with (In)appropriate methods of procurement as viewed by the PPDA and OAG.	PPDA/ OAG	PDU/ (MWE NWSC)



With support from

