

**THE REPUBLIC OF UGANDA**



**VALUE FOR MONEY AUDIT REPORT ON PROVISION OF  
WATER AND MAINTENANCE OF WATER FACILITIES IN  
DISTRICT LOCAL GOVERNMENTS BY THE DIRECTORATE OF WATER  
DEVELOPMENT, MINISTRY OF WATER AND ENVIRONMENT**



**MARCH 2009**

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## ***ABBREVIATIONS AND ACRONOMYS***

ADB	-	African Development Bank.
CAO	-	Chief Administrative Officer.
CBMS	-	Community Based Maintenance System
DANIDA	-	Danish International Development Agency.
DDP	-	District Development Plan.
DLG	-	District Local Government.
DWD	-	Directorate of Water Development.
DIM	-	District Implementation Manual.
DWSCG	-	District Water and Sanitation Conditional Grant.
DWO	-	District Water Officer.
HPM	-	Hand Pump Mechanic.
LGDP	-	Local Government Development Fund.
MOFPED	-	Ministry of Finance, Planning and Economic Development.
MWE	-	Ministry of Water and Environment.
N F	-	Non-Functional
NGO	-	Non-Government Organization.
O&M	-	Operation and Maintenance.
PAF	-	Poverty Alleviation Fund.
PEAP	-	Poverty Eradication Action plan.
PS	-	Permanent Secretary.
RWSS	-	Rural water Supply and Sanitation.
TSU	-	Technical Support Unit.
WUC	-	Water user Committee.

## ***EXECUTIVE SUMMARY***

The Office of the Auditor General is required under Article 163 (3) of the Constitution of the Republic of Uganda to conduct financial and value for money audits in respect of any project involving public funds. This mandate is amplified under section 21(1) of the National Audit Act 2008 which requires the Auditor General to carry out value for money audits for purposes of establishing economy, efficiency and effectiveness in the operations of any department or ministry.

The Ministry of Water and Environment (MWE) through the Directorate Of Water Development (DWD) is mandated to develop and manage the water sources of Uganda in an integrated and sustainable manner, with a goal of reaching 65% of the rural population by the year 2005 with an 80%-90% effective use and functionality of facilities. Then eventually to 100% of the urban and rural population by the year 2010 and 2015 respectively.

The Office of the Auditor-General instituted a Value for Money Audit to assess the operations of the MWE/DWD in the provision of water and Maintenance of water facilities in rural areas and provide possible recommendation that will address the challenges that are facing the Rural Water Supply and Sanitation Programme (RWSS).

The Audit was carried out in Accordance with INTOSAI Auditing Standards and Guidelines. Those standards require that the auditor should plan the audit in a manner, which ensure that an audit of high quality is carried out in an economic, efficient and effective way and in a timely manner. This report covers three years from July 2004 to June 2007. The audit focused on the provision of water and maintenance of water facilities by the MWE/DWD, through District Local Governments. The areas covered include Arua and Nebbi in the West Nile region, Gulu and Lira in the Northern Region; Masaka and Luwero in the central region; and Mbarara and Hoima in the western region.

In collecting data, we conducted interviews, reviewed documents and carried out physical inspection/observation of the water facilities.

## **Audit Findings:**

The audit revealed the following deficiencies in the effort of providing water and maintenance of water facilities in rural areas, through the MWE/DWD.

- Delays in Release of funds.
- Non-Functional Water Points.
- Inactive Water User Committees.
- Ineffective Monitoring and Supervision of Construction Work.

### ***Disbursement of funds.***

We noted that release of the District water and sanitation conditional grants to districts is delayed by an average of 6 weeks. This is attributed to delay in submission of work plans and quarterly progress reports by DLGs. which affects the timely implementation of activities in the Annual work plans. The majority of districts complete on average 68% of planned construction of water facilities at the end of the year.

### ***Functionality of Water Points***

The National framework for operation and maintenance of Rural water supplies, states that districts are responsible for ensuring long-term sustainability of water facilities constructed. The National percentage target for functionality is between 80% to 90%.

Audit findings reveal that 65 out of 144 water facilities inspected, are non-functional, indicating a functionality percentage of 55%, which has been attributed to many factors like unavailability of pump spares, poor quality of construction and ineffective supervision and monitoring of water facilities.

### ***Water User Committees***

A set of individuals or Households is required by the Water Statute to form a water user group, collectively plan and manage a water point source in their area. However, available data indicates that rural communities have problems managing water points in their area, and water facilities are not repaired after a breakdown. The challenge is attributed to, inadequate follow up visits and sensitization of rural communities by District Local Governments.

### ***Monitoring and supervision of Construction Work***

We noted that technical supervision and monitoring of facilities under construction is not carried out effectively, mainly due to low staffing levels at district water departments. This was further evidenced by absence of monitoring and evaluation reports relating to technical supervision and monitoring at the districts visited. We also noted poor workmanship on 40% of the water facilities visited.

### ***Conclusions***

Due to delayed disbursement of funds, construction of water facilities is not carried out on schedule and work plan, consequently limiting the water facilities in use.

Non- functional water facilities, implies water facilities that have been constructed are not utilized by the communities, hence scarcity of water in rural areas.

Inactive Water User Committees, and inadequate follow up and sensitization has hampered efforts of managing water facilities including carrying out minor repairs.

Due to poor quality construction, water facilities have broken down leading to limited water supply in rural areas.

Over all findings indicate that there is inadequate provision of water and poor maintenance of water facilities in rural areas.

### ***Recommendations***

To sustain and improve upon the achievements of the Rural water supply and sanitation programme:

- It is recommended that the Directorate of Water Development through the Districts Administration institute measures to ensure that DWO' s make timely submission of quarterly progress reports.
- District local governments should ensure that vacancies in the water departments are all filled as required by the water sector guidelines and staffing structures set by the

District Service Commissions. This is to ensure effective implementation of activities in the district water departments.

- DWD through Technical Support Units should increase efforts in carrying out monitoring of programme activities in districts, while DLGs should ensure frequent supervision and monitoring of water facilities during and after construction. Standard supervision and monitoring forms should be developed for use by the districts. The forms should include a provision for third party confirmations like LC 1 and sub county offices.
- The Directorate of water Development through District Local Governments should strengthen the community based maintenance systems in place. Rural communities should be continuously mobilized and sensitized on their responsibilities regarding O&M, frequent follow up visits and advice should be made to the water user committees.
- DWD through the district local governments should emphasize the need for communities to make an initial capital contribution towards construction of a facility; this in turn motivates the community to own water facilities and makes it easy for them to contribute towards maintenance of the facility.
- The MWE/DWD should formulate a new initiative towards the supply Chain System addressing the weaknesses of phase one of the supply chain. Reliable suppliers/agents should set up outlets through out the country and in the relatively peaceful districts in the northern regions of the country. District Local Governments should utilize the suppliers in providing spares for rehabilitation of existing facilities so as to increase demand and keep them in business.

## **CHAPTER ONE**

### ***INTRODUCTION***

#### ***1.0 Background to the Audit***

This Performance audit on the Provision of Water and Maintenance of water facilities in rural areas by District Local Governments, has been conducted in accordance with Article 163 (3) of the Republic of Uganda, and section 21(1) of the National Audit Act 2008. The audit focused on the management of the Rural Water Supply and Sanitation programme in providing and maintaining water facilities in rural communities and to ascertain whether the programme has been effective in providing safe water to the rural communities.

#### ***1.1 Reasons for the Audit***

Since the implementation of the Rural water supply sanitation programme in 1991, the government of Uganda, has spent a substantial amount of money in this area. For example, during the three (3) financial years from 2004/05 to 2006/07, an amount of 96 billion, was spent by the Ugandan government with support from Development partners, towards the provision of water and sanitation facilities in rural areas.

Despite these efforts, only 57% access to rural water supply was achieved in the year 2005 against the PEAP target of 65%, and 63% instead of 67% in the year 2007.

Improved access to water supply has two potential benefits; improved health and saving in time wasted collecting water. However there is increased concern that valuable time is still being spent by the rural community in walking long distances to collect water, instead of carrying out other productive activities such as farming.

It was also noted that the number of people served by one water source is more than 500 against the required target of 300 people.

This audit was conducted to identify the major challenges to the programme and to make recommendations to address the bottlenecks.<sup>1</sup>

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<sup>1</sup> The Rural Water Supply and Sanitation operation Plan

## **1.2 Description of the Audit Area**

The Programme was first implemented in 1991, by the Ministry of Water and Environment through the Directorate of Water Development. Funding for the programme is in form Conditional grants from the Government of Uganda with support from Development partners.

The Rural Water and Sanitation programme is one of the services in the PEAP, under taken by the Government of Uganda. It is aimed at reducing poverty levels and increasing the standard of living of people living in rural areas. The target set by the PEAP was to provide sustainable safe water supply and sanitation facilities to 65% of the rural population by the year 2005 with an 80%-90% effective use and functionality of facilities. This was expected to eventually rise to 100% of the rural population by the 2015.

At the districts level, the grant is primarily used for hard and software activities. Hardware activities include, drilling and rehabilitation of deep boreholes, construction of shallow wells, spring protection, piped water schemes, Gravity flow schemes and Valley tanks. On the other hand Software activities include supervision and monitoring, training of water user committees and hand pump mechanics, community mobilization, water quality analysis among others.

## **1.3 Statutory Mandate**

The Directorate Water Development operates under the Ministry of Water and Environment; its mandate is derived from the Constitution of Uganda 1995 (as amended), the Local Government Act 2000 and the Water Act 1995. The mandate requires the MWE to manage and develop the water resources of Uganda in an integrated and sustainable manner, in order to provide water of adequate quantity and quality for all social and economic needs for the present and future generations. <sup>2</sup>

## **1.4 Vision Statement**

The Vision of the Ministry of Water and Environment is "Sound management and sustainable utilization of water, land and environment resources including weather and climate for the betterment of the population of Uganda".

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<sup>2</sup> The Local Government Act 1997  
The water Act 1995  
The RWSS operation Plan –OP5

### **1.5 Mission Statement**

The Mission is "To promote and ensure that rational and sustainable utilization, development, effective management and safe guard of water and environment resources including weather and climate for social welfare and economic development."

### **1.6 Goal**

The goal is "Sustainable safe water supply and sanitation facilities, based on management responsibility and ownership by the users, within easy reach of 65% of the rural population by the 2005 with an 80%-90% effective use and functionality of facilities. Then eventually to 100% of the urban population by 2010 and 100% of the rural population by the 2015."

### **1.7 Objectives**

The Directorate of Water Development implements the Ministry's policy objectives which are:

- To provide sustainable safe water supply and sanitation facilities including their hygiene use in all rural areas.
- To provide and have effective use of water for production facilities.
- To have integrated and sustainable water resources management.
- To effectively plan, coordinate and manage the water and sanitation sector

### **1.8 Activities**

The main activities of the Directorate of Water Development are;

- Allocation of funds to various districts according to the work plans submitted, and in consultation with local government finance commission.
- Capacity building in local governments through training of staff in various districts.<sup>3</sup>
- Providing technical support to the local governments through the Technical support units established in various regions.

### **1.9 Organizational structure**

The ministry is headed by the Minister of Water and Environment, assisted by the Minister of state (water), The Permanent Secretary is the Accounting Officer who is assisted by the Under Secretary (Finance & Administration).The Director water Development heads the DWD which has three departments namely: Water for Production, Rural water supply & Sanitation and Urban Water supply each headed by a commissioner. *See Annex 1.*

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<sup>3</sup> Ministerial Policy statement 2006/07

### **1.10 Financing**

The Rural water supply and sanitation programme is financed under the Poverty Alleviation Fund (PAF). The programme is a comprehensive strategy for poverty eradication through implementation of water projects in the rural areas. Funding for this programme is in form of conditional grants released to districts on quarterly basis by the MOFPED. In order to achieve the objective of poverty alleviation Government has injected over 96 billion towards this activity in the last 3 years. (See Table 1 below).

**Table 1. District Water and Sanitation Conditional Grant**

<b>Financial Year</b>	<b>Amount (shillings)</b>
2004/2005	27,956,307,000
2005/2006	27,646,383,000
2006/2007	40,659,970,917
Total	96,262,660,917

**Source:** OAG analysis from MoFPED data on release of funds.

### **1.11 Audit scope**

This Audit report focuses on provision of water and maintenance of water facilities, by the RWSS programme under Directorate of Water Development in the Ministry of water and Environment.

The period audited covered 1<sup>st</sup> July 2004 to 30<sup>th</sup> June 2007.

Ten (10) out of Eighty two (82) Districts in Uganda were sampled for the Audit. The districts include; Arua and Nebbi in the West Nile region, Gulu and Lira in the Northern Region; Masaka and Luwero in the central region; and Mbarara and Hoima in the western region.

### **1.12 Audit methodology**

The audit was conducted in accordance with International Organization of Supreme Audit Institutions standards. Those standards require that performance audit should be planned, conducted and reported on in a manner, which ensures that an audit of high quality is carried out in an economic, efficient and effective way and in a timely manner.

The following were the data collection methods used.

### ***1.12.1 Interviews***

Six (6) interviews were conducted at the Directorate of Water Development, three (3) interviews at the Ministry of Finance, Planning and Economic Development, (10)ten interviews conducted with the Chief Administrative Officers, ten (10) interviews with the District Water Officers, and one hundred and forty four interviews (144) with the beneficiary communities in the districts. This was done with the aim of obtaining information on how the programme is implemented and to ascertain the challenges faced.

### ***1.12.2 Document Review***

Documents were reviewed with the aim of obtaining an understanding of the legal and regulatory framework, the objectives and activities of the programme and to establish performance of the RWSS Programme. The documents reviewed include;

- Ministerial policy statements, 2004/05,2005/06 and 2006/07
- The National frame work for operations and maintenance of rural water supplies.
- The water Statute 1995
- The Water and Sanitation Sector Guidelines.
- The RWSS Strategic Investment Plan
- The Rural Water supply and Sanitation operation Plan.
- District Implementation Manual -2007
- District Annual work plans and Quarterly progress reports,
- Cash release forms.
- Local Government Act 1997
- Water and sanitation sector Performance Reports, 2005, 2006 and 2007.
- The constitution of the Republic of Uganda.
- Financial Audit Reports for the financial year 2004/05, 2005/06 and 2006/07.

### ***1.12.3 Physical Inspection***

During the audit, a total number of one hundred and forty four (144) water points were inspected in the various districts. Including Fifty (51) Bore holes, Fifty six (56) shallow wells, Five (5) Gravity flow schemes, Four (4) valley tanks, Eight (8) rain water harvesting schemes and Twenty (20) protected springs were inspected with an objective of establishing whether the facilities were in existence and in good working condition and being used by the communities.

## CHAPTER TWO

### **2.0 PROCESS DESCRIPTION**

#### **2.1 Roles and Responsibilities of key stake holders**

##### **2.1.1 The Permanent Secretary – MoFPED.**

The Permanent Secretary is the chief executive and Accounting Officer of the MoFPED. The Ministry is responsible for mobilizing and allocating funds to sectors and coordinating development partner inputs. The PS Ministry of Finance, Planning and Economic Development is responsible for ensuring that funds allocated to various sectors in the government are released to the respective entities. The MoFPED reviews sector plans as a basis for allocation and release of funds, and reports on compliance with sector and national objectives.

##### **2.1.2 The Permanent Secretary – MWE.**

The Ministry of Water and Environment has the responsibility of setting national policies, standards and priorities for water development and management. The Permanent secretary is the Accounting Officer of the ministry and is responsible for monitoring, coordinating and evaluating the performance of sector programmes, to ensure efficiency and effectiveness in service delivery.

The Directorate of water Development reviews Annual work plans budgets and quarterly reports submitted by all districts, to ensure that the progress reports that have been submitted comply to sector objectives.

##### **2.1.3 The Commissioner (Rural Water Division)**

The Commissioner Rural Water, under the Directorate of Water Development, Heads the Rural Water and Sanitation Section. He is responsible for technical planning, supervision and implementation of rural water and sanitation services in the country. He also coordinates the regulation in provision of water supply and sanitation including the capacity development and other support services to Local Governments. Technical Support Units have been instituted in each region in the country to help build capacity of the water offices, by Training staff in the water department and supervising activities that are implemented by districts.

#### **2.1.4     *The Chief Administrative Officer***

The Chief Administrative Officer, who is the Accounting Officer in the district, is responsible for the overall management and approval of the Rural water and sanitation Programme. His duty is to ensure that activities in the District water department are implemented according to the work plan.

District water and sanitation committees, established at district levels are active in the needs assessment and planning stages, where the population and distribution of water points in the area are assessed, so as to identify the number of water facilities needed. This information is incorporated in the District Annual budget and water sector work plans and approved by the CAO, CFO, and DWO. The work plans are then submitted to the MOFPED and DWD. The districts have another responsibility of awarding contracts for construction of water facilities.

#### **2.1.5     *The District Water Officer***

Each District local Government has a District Water Officer who is responsible for implementing all activities in the department. The main activities are planning and follow up of procurements, drafting of contracts, supervision of contractors, consultants and producing annual work plans and quarterly progress reports.

- The office is responsible for following up capacity building, as well as ensuring operation and maintenance of water and sanitation facilities by Water Users. This is achieved by training and forming Water User Committee for each new water source.
- He is responsible for technical supervision and ensuring compliance by the consultant/contractor with the provisions of the contract.
- Reviews the Contractor's monthly status reports and Critical Quarterly Analysis and reports to the CAO any schedule delays or progress problems.
- Provides oversight as required of contractor's compliance with schedule and technical performance.

#### **2.1.6     *Water User Committees***

The Local communities are made responsible for management and maintenance of water facilities through the community based maintenance system. This is achieved by forming WUCs, of nine members, who participate in planning and carrying out preventive maintenance

and repairs. The communities are required to make cash contributions to facilitate minor repairs to be carried out by a Hand Pump Mechanic. When a facility breaks down the water User Committee has a responsibility of reporting the matter to the nearest sub county head quarters where a Hand Pump Mechanic is based.

## **2.2        *Systems description***

### **2.2.1      *Planning process***

The MWE, has an overall responsibility of setting national policies, standards and priorities for water development and Management. Plans for the sector are outlined in the Rural Water and Supply and Sanitation Sector Investment Plan (SIP-15) which outlines the key strategies that can be used in provision and management of water and sanitation services to the rural communities. The SIP-15 details the implementation strategy of the rural water and sanitation activities, while The Rural Water and Sanitation Operation Plan (OP5) sets out guidelines to operationalise the 15-year sector investment plan (SIP-15) for the sector. The first OP5 covered the period July 2002 to June 2007, while the second runs from July 2007 to June 2012. Both plans contain guidelines on the implementation of the RWSS Programme.

The DWD disseminates the information to all District local governments. Each district then sets District Development Plans which include the District water sector strategies and objectives. The DDP also considers contributions by Development partners, NGOs, Local Government Development Programme (LGDP) and other sector players.<sup>4</sup>

This information is incorporated in the District Annual budget and water sector work plans which is approved by the CAO, CFO, and DWO. The work plans are then submitted to the MOFPED and DWD for review and funding.

### **2.2.2      *Release of funds Process.***

The DWD receives work plans and quarterly progress reports from various districts, the documents are reviewed to ensure compliance with sector objectives. It is on this basis that funds are allocated to various districts. DWD then submits a recommendation of allocation of funds to Budget section MoFPED. After allocation and approval by MoFPED, a cash release is sent to Bank of Uganda and to the respective districts, BOU Debits the various District accounts with allocated amounts.

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<sup>4</sup> The RWSS investment plan –SIP-15  
The RWSS operation Plan –OP5

### **2.2.3 Procurement process.**

Procurement at Districts begins by identification of procurement needs, invitation of Bids are carried out, after which the Prequalification process takes place. The Award of contracts is done after evaluation of bids by the District Local Governments. The PPDA Act stipulates that District local Government should enter into contract agreements with contractors, only when funds are available in the District Accounts. A list of registered and certified contractors who drill boreholes is also provided by DWD. Major activities carried out are Borehole siting, drilling and installation, construction of shallow wells, piped water systems, Gravity Flow Schemes, Valley Tanks and protected springs.

### **2.2.4 Supervision and Monitoring Process.**

Monitoring and Supervision is carried out by the both the Directorate of Water Development and District Local Governments. DWD carries out mid-term monitoring and evaluation of TSUs. The Technical Support Units situated in each region in the country, assist in building capacity of District water offices, through training staff in the water departments and supervising activities being implemented by the districts.

The Supervision and Monitoring by DLGs, is carried out by the district water department. During and after water facilities are constructed, quarterly supervision is done to ensure sustainability of facilities while supervision during construction is done to ensure quality of construction work.

Supervision during construction differs for various technologies. During construction of Deep Bore holes, the DLGs hire consultants who report to the Water Officer. For other technologies like shallow wells, Pipe Water Schemes and Protected Springs, the District Water Officer directly Supervises and monitors construction of water facilities.

Technical Supervision of construction work is done per stage of work, while post construction supervision is done on quarterly basis. Supervision and Monitoring of water facilities is done to ensure long term sustainability, and to address shortcomings immediately.

### **2.2.5 Maintenance Process**

The Local communities manage the water facilities through the Community Based Maintenance System. This is an arrangement where the communities benefiting from the water source take full responsibility for operation and maintenance of the water facility. The communities are trained in cost recovery collection system by contracting the private sector

for spares and specialized services , where a major repair is required the Local Governments bear the costs. And when a facility breaks down the Water User Committee reports to the sub county head quarters where a Hand Pump Mechanic is based. The mechanic assesses the defect as to whether it is minor or major, if it is found to be minor the WUC hires the HPM and uses the cash contributions made by the community to pay for his services.

## CHAPTER THREE

### **3.0 FINDINGS OF THE AUDIT.**

Since its inception in 1991, the Rural Water Supply and Sanitation Programme has made significant achievements in providing rural communities with improved water sources. The rural water coverage has increased from 20% in 1991 to 61% in 2005 and to 63% in 2007. The Programme aims at attaining the national target of 100% rural water coverage by 2015. However challenges still exist that need to be addressed. Below are some of the Challenges.

### **CHALLENGES**

#### **3.1 Disbursement of conditional grants.**

The water and sanitation sector guidelines require the release of funds to the District for the quarter to be made by the 5<sup>th</sup> day of the first month of the quarter. The District water Officers are supposed to submit quarterly reports to the line Ministry by 30<sup>th</sup> of the month ending the quarter.

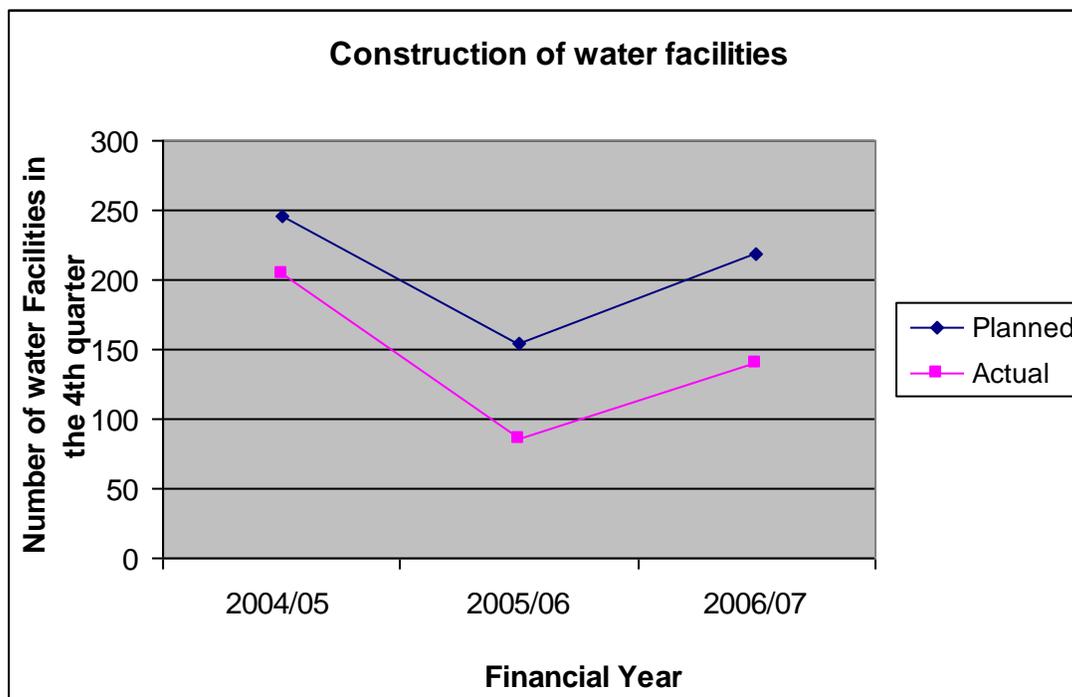
We noted that release of the Conditional grants to the districts is not done by the 5<sup>th</sup> day of the first month of the quarter, but it is done on average 6 weeks after that date.

The District water offices also submit their quarterly progress reports to the DWD and MoFPED, on average 3 weeks after the end of the quarter.

The delays by DLG's to meet deadlines of submission of quarterly reports have made it difficult for the Directorate of Water Development and the Ministry of Finance, Planning and Economic Development to make timely review of quarterly progress reports, allocation and release of conditional grants.

This affects the timely implementation of planned activities. In the period under audit on average 68% of planned construction was complete leaving 32% uncompleted, as shown in the analysis below;

**Table 2. Incomplete construction work**



**Source:** Quarterly Progress Reports

### **3.2 Functionality of Water Facilities.**

The National framework for operation and maintenance of Rural water supplies defines a functional water source as a protected water source that is found producing water at the time of spot check. Districts are responsible for ensuring that there is long-term sustainability of water facilities constructed, implying that water facilities should be functioning for use by the communities at all times. The National percentage target for functionality is between 80% to 90%.

Our findings indicate that out of the one hundred and forty four (144) water facilities inspected, sixty five(65) water points were non-functional, the overall functionality percentage stood at 55%.

The highest number of non-functionality were found in shallow wells and Bore-Holes. Interviews with local leaders and communities reveal that after breakdowns, facilities are abandoned or remain unrepaired for an average of twelve (12) months.

Meanwhile, The Gravity flow schemes inspected were functioning well except in Mbarara and Nebbi where five taps were not functioning.

The Districts of Soroti, Gulu and Katakwi had the highest number of non-functional water facilities. Detailed in the table below;

**Table 3: Non-functional water facilities**

<b>District</b>	<b>No. of water facilities Visited</b>	<b>Number of Non-functional Water facilities</b>	<b>Functionality Percentages (%)</b>
Soroti	20	8	60
Katakwi	25	13	48
Mbarara	13	6	54
Gulu	15	8	47
Lira	15	7	54
Masaka	10	4	60
Hoima	12	5	59
Luwero	13	4	70
Nebbi	11	6	46
Arua	10	4	60
<b>Total</b>	<b>144</b>	<b>65</b>	<b>55</b>

**Source:** OAG Analysis of field inspections

Audit findings revealed that functionality of water facilities is between 50% - 60% which is below the percentage target of 80% to 90%.

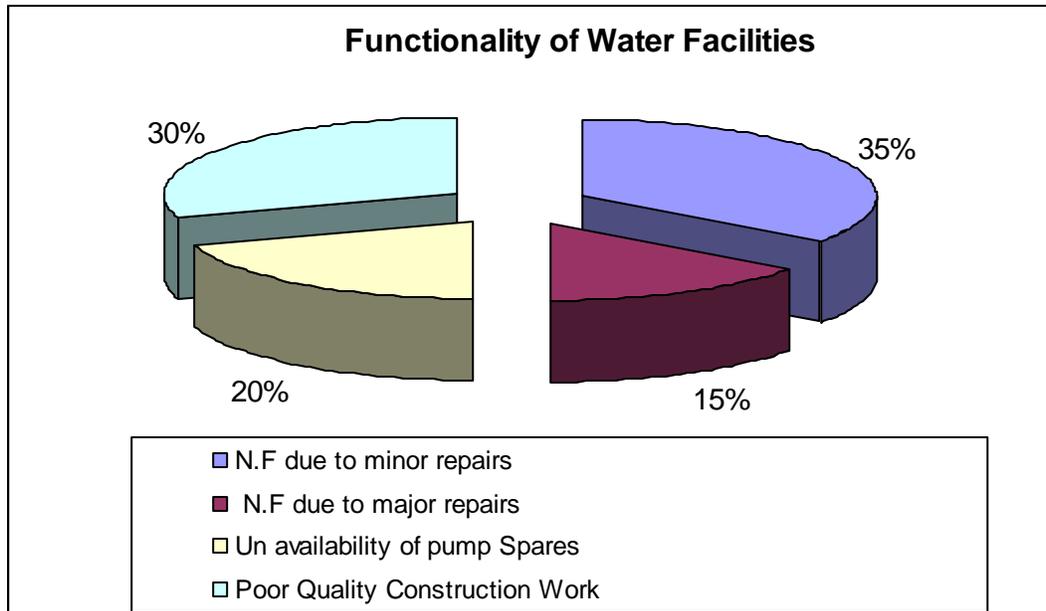
While the Water and Sanitation Performance Report 2007, indicates the following factors, as affecting functionality of rural water sources;

- Poor Siting and Quality of Construction
- Lack of Policy to regulate Shallow well contractors
- Technology choice not appropriate.
- Loopholes in Community Based Maintenance System(CBMS) Policy.

Audit findings reveal that Out of the one hundred and forty four (144) water facilities inspected, Sixty five(65) were non-functional, out of which 35% were non functional because communities could not carry out minor repairs, 15% were due to lack of major repairs by

District Authorities, 20% due to unavailability of spares while poor quality construction work constituted 30%. See graph below;

**Table 4: Factors affecting Functionality of Water Sources**



**Source:** OAG Analysis of Field Inspections

### **3.2.1 Water User Committees.**

According to the water statute 1995 Section 50 (1), - A set of individuals or Households forms a water user group and collectively plans and manages a water point source in their area. A Water User Group(WUC) comprising of nine members, is expected to collect revenue from persons using the water supply system for the maintenance of the system and the tariffs to be collected under this section are set with the approval of the director.

The water user group or committee formed is expected to meet once a month with members of the community to discuss how to plan for new water sources, mobilize community cash contributions, and report cases of water facility breakdowns to District Authorities.

Interviews conducted at the districts visited revealed that out of the 144 water points visited, 23 water facilities did not have WUCs. And yet at the time of completion and handover of the water source to the communities, WUCs constituting of nine (9) members were supposed to be formed and trained.

Findings also indicate that, out of one hundred and forty four(144) water sources visited, thirteen (13) had all nine (9) members, while one hundred and eight(108) water facilities visited did not have all nine (9) members constituting the water user committee, the water sources had an average of only three(3) members, making it difficult for WUCs to manage water points.

Members of water user committees and caretakers for water sources expect payment for their services from the district authorities, absence of the remuneration has hindered WUC members from performing their duties.

Interviews carried out in the communities, indicates that out of one hundred and twenty one(121) WUCs formed ninety five (95) committees do not hold meetings at all, twenty six(26) committees hold meetings once in six(6) months on average to discuss matters regarding, collection of cash contributions when a facility has broken down. However, minutes of the meetings were not available in the districts visited. Lack of sense of ownership has hindered water user communities from holding meetings.

Findings indicate that out of the one hundred and forty four (144) water sources visited, 80% of the communities did not have evidence of making cash contributions. It was noted that, community members are not committed towards making cash contribution.

Interviews carried out with members of the communities in the districts visited, shows that 75% of the water users were not involved in planning for new water sources in their area, this has led to lack of ownership of facilities by the communities.

Inadequate involvement of community members in planning for new water sources, lack of adequate sensitization and follow up by district officials has led to inactive Water user committees making it difficult for community members to report cases of facility breakdown incase of major repairs or mobilize cash contributions towards minor repairs of water facilities.

Below is a photograph of an abandoned shallow well in one of districts visited.



An abandoned non functional shallow well in Amach sub county Lira district, inspected on 22.11.2007, 2:00 pm.

**Source:** OAG Field inspection

### ***3.2.2 Supervision and Monitoring of Water Facilities.***

According to the National framework for operation and maintenance of Rural water supplies, the District water officer has a responsibility of ensuring, long-term sustainability of water facilities constructed and to monitor their performance on operation and maintenance, taking remedial actions to address shortcomings. Supervision is supposed to be on quarterly basis.

Interviews with water user communities and local leaders of areas visited, revealed that supervision and monitoring carried out by the water department staff is not done on quarterly basis.

This was confirmed by the supervision and monitoring reports in the ten (10) districts visited, which indicated that four(4) out of ten(10) District water officers carry out supervision and monitoring on average, twice a year(12) months, instead of once a quarter (3) months.

The failure to carry out quarterly supervision and monitoring is attributed to the staffing gaps in District Water Departments.

Inadequate quarterly supervision and monitoring by district water officers has made it difficult for the DLGs to get information on the status of water facilities to enable immediate corrective action, including carrying out major repairs of broken down water facilities.

### **3.2.4 Availability of Hand Pump Spares**

The Directorate of water development, initiated a supply chain system in 2004, designed to enable private sector suppliers to be awarded contracts by government to supply hand pumps. In turn these suppliers were to set up outlets through out the country, in order to avail pump spares to rural communities at affordable prices.

Thirty seven (37) hand pumps spares outlets were opened in four regions in the country, by private suppliers to avail hand pump spares to rural communities at subsidized prices.

At the time of audit, we noted that out of 37 outlets opened only four(4) outlets in the regions remained operational, as shown in the table below;

**Table 5 : Pump Spare Out Lets**

<b>Region</b>	<b>Supplier</b>	<b>Out lets Opened up in 2004</b>	<b>Operational Out Lets</b>
Eastern Uganda	Victoria Pumps Ltd	13	3
Northern Uganda	Victoria Pumps Ltd	13	0
Central Uganda	Buyaya Technical Services Ltd	4	1
Western Uganda	Multiple Industries Ltd	7	0
<b>Total</b>		<b>37</b>	<b>4</b>

**Source:** OAG Analysis of Field Inspection.

Insurgency in northern Uganda, caused outlets that had opened in the districts to close. In the central region challenges were faced in dealing with unreliable Agents and stiff competition from bigger firms.

In Western Uganda the initiative was hampered by low demand resulting from construction of GFS systems and protected springs.

Consequently, failure to provide subsidized pump spares in rural areas has led to many water facilities being left un-repaired, since pump spares on the market are very expensive, and the rural communities cannot afford to buy them.

### **3.3 *Monitoring and Supervision of Work Under Construction.***

According to the District Implementation Manual, the District water officer is responsible for technical Supervision and to ensure the contractor complies with the provisions of the contract. Technical supervision is done as per schedule of contract work. She/he should also review on a monthly basis the contractors status report and carry out critical analysis of construction work.

Inspection of water facilities revealed that out of one hundred and forty (144) water facilities visited 40% of water facilities visited were not adequately supervised during construction, Thirty seven (37) water facilities had cracked platforms, eight(8) had pedestals that were not firmly installed and Thirteen(13) water facilities had dried up after months of producing water.

Interviews with local leaders and communities, further revealed that during construction, supervision by District water staff is not done per stage of work.

Audit findings also reveal that District water Officers did not have reports regarding technical monitoring and supervision of water facilities under construction. Out of the ten (10) districts visited, only two (2) districts had reports showing critical analysis of construction work under progress.

Verification of the relevant documents revealed that reports by consultants hired to supervise and monitor construction of deep boreholes were available. The districts also had final inspection forms attached to the payment certificate of completion, which describe the water facility after construction but not during construction.

The inadequate monitoring and Supervision of water facilities under construction is attributed to the low staffing levels in the District water departments.

It was also noted that Technical support units established in various regions of the country, carry out capacity building for staff in district water departments.

These units according to the Rural Water and Sanitation Operational Plan2002-2007,are supposed to support DLGs fulfill their Water Supply and Sanitation mandate, through capacity

building of staff in the water departments and offer technical advice to the water officers where necessary. The TSUs are expected to prepare monthly monitoring reports and submit them to DWD.

However a sample of thirty(36) monthly monitoring reports prepared by the units, indicates that six(6) of the monitoring had issues pertaining to supervision of water facilities under construction, implying that support by TSUs on technical monitoring of facilities under construction is not effective.

The Water and sanitation sector guidelines, requires a fully fledged Water Department in a DLG, comprising 1 DWO with a minimum degree, plus 3 years experience. 1 Senior Engineer/Senior water Officer, 1 Hygiene education/sanitation officer, 1 Assistant DWO mobilization 1 Technical Officer (minimum Diploma in water engineering) in each county and 1 Borehole maintenance supervisor.

Out of the ten districts visited, none of them had the number of staff as required by the Water Sector Guidelines, with a staffing gap of 60% on average.

Due to the staffing gap, staff in the water departments are not effective in meeting their responsibilities. The unfilled vacancies were mainly for District water Officers and water county officers

See table below:

**Table 6: Staffing Position in Water Departments**

District	Required number of staff	Actual number of staff	Vacancies not filled	Percentage(%) of Staffing gap
Gulu	6	2	4	60
Lira	6	3	3	50
Arua	6	3	3	30
Soroti	6	2	4	60
Katakwi	6	2	4	60
Luwero	6	3	3	50
Masaka	6	3	3	50
Mbarara	6	2	4	60
Hoima	6	3	3	50
Nebbi	6	3	3	50
<b>Total</b>	<b>60</b>	<b>26</b>	<b>34</b>	<b>60</b>

**Source:** OAG Analysis of Staff List at DWO's and quarterly progress reports.

Because supervision and monitoring of construction work on water facilities is not adequate, it has resulted to poor quality construction work, leading to water scarcity in rural areas, due to facility break down.

## CHAPTER FOUR

### 4.0 CONCLUSIONS.

From the audit findings above, the following conclusions have been made to highlight observations made from the audit.

#### 4.1 *Transfer of funds.*

Late disbursement of funds, means that annual work plans can not be implemented on time, while planned construction of water facilities are delayed, consequently limiting the facilities in place and water coverage in those periods

#### 4.2 *Functionality of Water Facilities.*

Non- functional water facilities, implies that a number of water facilities constructed are not being used by the communities, resulting into inadequate water supply in rural arrears

#### 4.4 *Monitoring and Supervision*

The inadequate monitoring and supervision of facilities under construction, implies non detection of poor quality construction work of water facilities, consequently affecting the ability of a facility to function for a long period of time. Hence inadequate water supply in rural areas.

## **CHAPTER FIVE**

### **5.0 RECOMMENDATIONS**

In light of the above findings and conclusions the following recommendations have been made, to sustain and improve upon the achievements of the Rural Water Supply and Sanitation Programme.

#### **5.1 *Monitoring and Supervision***

It is recommended that the Directorate water Development strengthens monitoring and supervision of the implementation of the RWSS Programme. TSUs should increase efforts in carrying out support supervision and monitoring of DLG's, by providing technical advice on supervision of water facilities under construction.

The District should ensure that water office departments carry out frequent and effective Supervision and monitoring of water facilities during and after construction.

DWOs should produce technical evaluation reports of work in progress. Both district and sub-county officials should be involved in carrying out post construction monitoring. Standard forms or checklists with third party confirmations from WUCs, LC 1 office, or sub county chiefs office should also be developed and used during the supervision and monitoring.

#### **5.2 *Staffing***

District local governments should ensure that vacancies in the water departments are all filled as required by the water sector guidelines and staffing structures set by the District service commissions. This is to ensure effective implementation of activities in the district water departments.

#### **5.3 *Submission of Quarterly Reports***

It is recommended that the Directorate of Water Development through districts institutes measures to ensure that DWO' s make timely submission of quarterly reports so as to speed up the review of work plans and transfer of funds.

#### **5.4 *Water User Committees***

The Directorate of water Development through district local governments should strengthen the community based maintenance systems in place. Rural communities should be

continuously mobilized and sensitized on their responsibilities regarding O&M. frequent Follow up visits should be made to the water user committees that have been formed.

There is need for involvement of community members in the planning and implementation of the water project. DWD through the district local governments should emphasize the need for communities to make an initial capital contribution towards construction of a facility. This would in turn motivate the community to own the facility and makes it easy for them to contribute towards its operation and maintenance.

### **5.5 Hand Pump Spares**

The MWE/DWD should re-design the supply Chain System to address the weaknesses of phase one of the supply chain.

Reliable suppliers/agents should set up outlets through out the country and in the relatively peaceful districts in the Northern regions of the country. District Local Governments should also utilize the suppliers in providing spares for rehabilitation of existing facilities so as to increase demand and keep the Agents in business.

**Annex 1: ORGANISATIONAL CHART**

