

GIZ /APWO/MINISTRY OF WATER AND ENVIRONMENT



WAVEPLUS TRAINING PROGRAME REPORT OF THE WATER INTEGRITY TRAINING FOR PRIVATE WATER OPERATORS AND STAFF OF THE MINISTRY OF WATER AND ENVIRONMENT IN UGANDA

Held at Ridah Hotel, Seeta;
26TH TO 30TH NOVEMBER, 2012

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1.1 Introduction

The training course on Water Integrity (WI) was conducted as a follow up of similar training conducted in Germany in May 2012 and attended by participants from the WAVE plus regional countries as well as those from the Middle East and North Africa (MENA) region. The training course was conducted using the Water Integrity Network (WIN) training manual, but later adopted to suit the local environment in Uganda.

In order to ensure domestication of the WI training programme, relevant stakeholders involved in the area of Good Governance in the sector (such as WSP and the Good Governance Sub Sector Working Group) were consulted during the preparation of the time table, including the local institutions involved in Transparency, Accountability and Integrity in the Country, such as the office of the Inspector General of Government (IGG) and the Public Procurement and Disposal of Assets Authority (PPDA).

The participants were drawn from the staff of the Private Water Companies and the Ministry of Water and Environment. Although 30 participants were invited, a total of 25 turned up for the training. This could be attributed to the lack of awareness about Good Governance thus making sector stakeholders taking the subject area lightly.

The facilitators and training were drawn from the membership of the WAVEpool as well as external trainers from the IGG and PPDA. The facilitators meeting was held at the same venue on Sunday, November 25th 2012 to harmonize the program, training methodologies and to enable them get to know each other, considering that some of them were coming from other institutions outside the water sector.

1.2 DAY ONE PROGRAMME

| Sunday, November 25, 2012 | Day | 0 | Arrival at Venue | Facilitators |
|---------------------------------|------------------|----------------|--|--------------|
| | | 18:00 | Arrival at Venue | |
| Monday, November 26, 2012 | Day | 1 | Understanding Corruption in the context of Water Governance | Facilitators |
| Minutes | Lead Facilitator | Joseph & Moses | | |
| 30 | 8:30 | 9:00 | Registration | Secretariat |
| 70 | 9:00 | 10:10 | Introduction: Opening formalities, Ice breaking, Course Objectives | Moses |
| 20 | 10:10 | 10:30 | Introduction to Action Planning | Moses |
| 30 | 10:30 | 11:00 | <i>Break and Group Photo</i> | |
| 30 | 11:00 | 11:30 | Wave concepts and emphases | Joseph |
| 30 | 11:30 | 12:00 | Overview of the water sector in Uganda | Denis |
| 90 | 12:00 | 13:30 | Introduction to Water Governance and corruption concepts; Institutional frameworks for water resources and services | Mutono Sam |
| 60 | 13:30 | 14:30 | Lunch | |
| 60 | 14:30 | 15:30 | Corruption in Uganda; why and how? | Julia |
| 30 | 15:30 | 16:00 | Afternoon Break | |
| 30 | 16:00 | 16:30 | Group presentations | Julia |
| 30 | 16:30 | 17:00 | Wrap up and Evaluation | |
| | | | | |

1.3 SESSION: INTRODUCTION (OPENING FORMALITIES AND COURSE OBJECTIVES) By Moses and Joseph

The first session of the training started at 9:15am with the opening formalities facilitated by Moses and Joseph with support from Sarah. The opening formalities included self-introductions and a few ice breakers to set the learning environment for the participants. This was followed by sharing of expectations by participants with the use of cards. The synthesis of the feedback on cards is presented below:

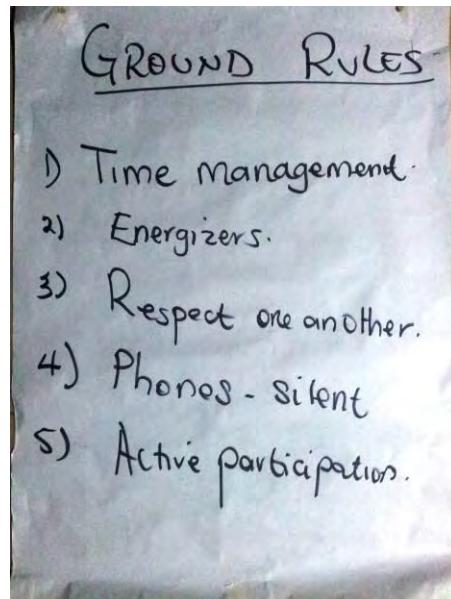
- Understanding concepts of Water Integrity
- Knowledge inputs of Water Integrity
- Acquire knowledge and skills of implementing Water Integrity
- Know more on how we can overcome corruption in water sector
- To know Water Integrity concepts
- Know the basis of Accountability, Transparency and Integrity in the water sector

- To be able to define Integrity, Transparency and Accountability
- To know more about Water Integrity
- Know factors leading to loss of integrity in water sector
- How to promote Transparency and Accountability
- Identification of specific threats to the water sector posed by Corruption
- Mapping out a common platform for fighting corruption in the water sector
- To be more efficient and effective
- To be more Accountable in the water sector
- Learn how to succeed in business without being corruption
- We expect a better understanding between the actors in the sector
- I expect Integrity in Transparency and Accountability and promotion in the water sector
- Sharing ways of handling the operational challenges in areas
- Learn good Accountability system
- Expect to meet new friends
- Methods to have system save more money
- Comfortable accommodation, delicious meals and transport refund
- I expect to be more knowledgeable with monitoring and evaluation concepts in the water operation and management

In the levelling of the expectations raised, Joseph emphatically clarified referring to the invitation letters that it is against the GIZ principles to offer allowances in addition to the capacity building (training) which is free of charge to participants. He then highlighted their entitlements which were the training and training materials, accommodation, meals and transport refund.

1.4 Norms and Values

The participants generated norms /guiding principles for the whole week as indicated below;



1.5 WORKSHOP OBJECTIVES By Joseph

Making reference to the expectations generated, Joseph presented the objectives of the workshop as follows;

1. Strengthen the capability of professional and institutions of the water sector in integrity
2. Develop the capacities of the various stakeholders in Integrity principles

The participants were informed that the training was going to mainly focus on the following key questions:

- What is water integrity?
- Why is it important?
- How can it be promoted?

In answering the above questions, the three guiding principles of Transparency, Accountability and Participation would be followed.

1.6 SPEECH FROM CHAIRPERSON APWO

The Chairperson from APWO was then invited to make some remarks and the key highlights of his speech were:

- Welcomed the participants to the training
- Appreciated GIZ and the Ministry of Water and Environment for their support in the planning and implementation of the training
- This training is based on the real needs of the sector
- The training should be able to identify problems and how to overcome them
- Urged participants to continue reading the hand outs even after the training. They should not stop at reading but also implement what they have learnt for the betterment of the water sector.
- He declared the workshop officially opened.

1.7 SESSION: INTRODUCTION TO ACTION PLANNING By Moses

Moses facilitated this session by emphasising the importance of action planning as part of the WAVE training approach. He informed the participants that all persons would be required to produce an action plan (jointly or individually) at the climax of the course. He then introduced an Action Planning tool (Form) to help participants capture potential items for the final plan. The form is designed to capture the key learning points per topic covered. A sample is presented below.

| Action Planner | |
|----------------|--------------------|
| Topic | Ideas to implement |
| Date [day1] | |
| 1 | |
| 2 | |
| 3 | |
| 4 | |

1.8 SESSION: WAVE CONCEPTS AND EMPHASES By Joseph

Joseph then presented the Wave plus program 2011-2013 and updated the participants about the recent developments in the implementation of the WAVEnplus programme, as well as brief on the just concluded strategic planning meeting that took place in Dar Es Salaam from 20 - 23 November 2012 . In response to a fear by one of the participants about brain drain of the staff trained into other companies or even sectors, Joseph explained that this capacity enhancement is for the water sector and at the same time form the whole country hence the knowledge acquired can benefit Ugandans. He noted that there was clear evidence of improvement in the quality of manpower recruited by private water companies and this could partially be attributed to WAVE training interventions. He concluded by stating that if integrity is not realized, low water quality could be supplied and it is the community that will be affected.

1.9 SESSION: OVERVIEW OF THE WATER SECTOR IN UGANDA By Denis

He started this presentation by stating that the water sector stakeholders need prayers due to the magnitude of the integrity challenge.

- Uganda's water sector structure was displayed for identification of all key stakeholders
- He asked participants whether they have abstraction permits and it was only Wakiso Kangulumira and Nagongera that confirmed having valid permits
- The discussions highlighted a challenge of institutions such as the Umbrella Organisations being incapacitated to deal with graft and other integrity related issues due to weak laws.
- The relationship between Umbrella Organisations and Private Water Operators was also discussed. The umbrella Organisations provide O&M support to the water board, and the board in turn are able to supervise the Private Water Operators.
- He asked whether the operators are using the pro-poor approach and it was noted that the poor pay higher. An example was given where at water kiosks in Kakiri poor people pay 100per jerrycan which is higher cost per unit compared to those with pipe connections.

1.10 SESSION: INTRODUCTION TO WATER GOVERNANCE AND CORRUPTION CONCEPTS - INSTITUTIONAL FRAMEWORKS FOR WATER RESOURCE SERVICES By Moses

Moses started the session with an energizer where participants were put in a cycle and made to count numbers and where the number is either three or a multiple of three, the person whose turn it is to count keeps quiet and only claps. The exercise was aimed at testing the alertness of the participants.

He then used a power point presentation to deliver his session. During his presentation a picture was displayed and participants were expected to observe. The following are the responses from participants:

- Self-responsibility and control
- Person reading a budget and wondering
- The person reading is wondering there is water governance
- Slum that lack water but just using available but not clean water
- Protected spring which is miss managed
- Woman utilizing the resources –water
- Mismanagement of water facility
- Woman listening to what the man is saying
- Sewerage water used to wash clothes

He summarized the observation in the picture by wondering if the communities participate in their own development when they are already using unclean water and they are located in the slum.

An exercise was then conducted where participants were required to discuss amongst themselves on TAP(Transparency, Accountability and Participatory) relationship in their respective WSP for 15minutes. Participants were then grouped according to their respective companies and an exercise was given to test the TAP concepts.

Issues generated by the participants

| Transparency | Accountability | Promotion |
|--|---|--|
| Clearly explaining to a customer the water bills | Consistent/period delivery of bills to consumers | Customers report defects on the system and water theft |
| Bills are delivered in time | Correct consistent billing and clearly understanding system | Customers response to water bills (payments) |
| New connection costs are published | Idea with computation of tariffs | Customers reporting leakages to us |
| Customer chatter at the reception | Regular water supply to the users | Customers have offered land for extensions and new connections |
| Making timely new water connections on time | Adherence to standards of potable water supply | Water board participates in tariff formulations |
| Tariff rate is published | Timely reporting | Customers participate in NRW reduction through reporting leakages and thefts |

| | | |
|---|--|---|
| Trained on meter reading and how billing is done | Timely response to complaint | Holding customer orientation days |
| Clear understandable bills which they can bring back in case of complaints | Efficient management of the water supply system assets | Customers come to office for clarification |
| Take meter readings in time, consumers have also been taught how to read meters | Customers are given receipts after payments are made | Meter reading jointly Announcements on radio when meters are read to have access to premises |
| Accurate records for each user | Attending to customers complaints timely | Reporting the leakages |
| Conformity with established laws | Consumers are given receipts on payments made | Timely handling of consumers complaints |
| Equal treatment to all clients | Monthly and quarterly reports submitted to the water authority | No customer charter |
| Clear period between applying, purchasing and effecting the new connection | Response is given to billing and payment complaints | Good water quality |
| All stake holders know their roles | | Awareness to customers during system breakdown and some technical failure |
| Disguising breakdown situation of customers | | |

1.11 SESSION: CORRUPTION IN UGANDA WHY AND HOW?

The session was facilitated by Julia Kamara who used the power point presentation and brainstorming which allowed the participants to generate relevant examples why, when, how and the types of corruption in Uganda and in the water sector generally. Below are issues raised by participants:

- Some procurements are hard to assess the level of corruption involved because of the intensity of the issues e.g clearance by the Solicitor General
- During drafting of the Bills of Quantities (BOQs) some officers usually influence the procurement process in order for them to get percentage of a contract and this affects the operations of the private water operators.
- WSDF Experience—Due to high demand for water and the fact that the communities are ignorant about the water procedures, plumbers extort money from them claiming that the list of applications for the new connection is long .
- The ministry has a big role to play in the corruption cycle, for instance, approving the business plan takes too long.

| | |
|---|---|
| <p>Workstation 4: Site specification of examples of corruption in your water supply system</p> <ul style="list-style-type: none"> • Poor remuneration of workers viza viz the work load • Delayed payments of management fees • Misrepresentation of accountability i.e conditional grants, major repair works system functionality. • Water meter by-pass • Under billing or over billing • Un-declared connection • Falsifying of metering materials to a customer i.e abnormal BOQs • Absenteeism of staff at work station. | <p>Workstation 3: Reasons that lead to the existence of corruption at your work place</p> <ul style="list-style-type: none"> • Low payments (salaries) • Lack of motivation for employees • Political interference • Delay in payment of salaries and allowances • High demand for water in dry seasons • No job security and moral decay • High level of bureaucracy • Poor management of human resource by directors |
| <p>Workstation 2: How do we overcome corruption at our work stations?</p> <ul style="list-style-type: none"> • Customer sensitization • Motivation of staff • Putting in place a customer charter • Rotation of meter readers and all staff • Efficiency in performance • One voice from all operators to refuse kickbacks to the authority • Timely payment of salaries | <p>Workstation 1: Driving forces for corruption in the water sector</p> <ul style="list-style-type: none"> • Poor remuneration visa a viz the cost of living • Greed • Technological advances • Tribalism and nepotism • Poor supervision and monitoring • Poor policy implementation • Break down of moral values • Lack of patriotism • Lack of political will • Inflation • Ignorance • Long chain bureaucracies • Lack of human integrity |

Outputs from the exercise using workstations methodology

End of day One

2.0 DAY TWO PROGRAMME

| Tuesday, November 27, 2012 | Day | 2 | Diagnostic Studies | |
|----------------------------------|------------------|-------|--|-----------|
| Minutes | Lead Facilitator | | Joseph & Denis | |
| 30 | 8:30 | 9:00 | Group feedback | Julia |
| 90 | 9:00 | 10:30 | Water Integrity: the Ugandan Context-baseline report on water integrity | Joseph |
| 30 | 10:30 | 11:00 | <i>Break</i> | |
| 90 | 11:00 | 12:30 | Multi stakeholder Integrity studies with examples from Uganda; Scorecard study | NETWAS Ug |
| 30 | 12:30 | 13:00 | Case study | Moses |
| 60 | 13:00 | 14:00 | <i>Lunch</i> | |
| 90 | 14:00 | 15:30 | Corruption Risk mapping | Denis |
| 30 | 15:30 | 16:00 | Afternoon Break | |
| 60 | 16:00 | 17:00 | Good Governance Sector Working Group: Highlights and Action Plan | Gilbert |
| 30 | 17:00 | 17:30 | Wrap up and Evaluation | Julia |

2.1 Check-in

Day two started with a brief check in session at 8:36am. This exercise was aimed at establishing how the participants felt individually. The exercise was facilitated by Julia who requested participants to form a circle and then individually air out how they felt. The feedback revealed the participants were generally fine and ready to start the day save for one participant (Joseph Habyarimana) who was feeling sickly.

Evaluation of Day One

Mr. Joseph Habyarimana presented the Day One evaluation by participants based on the guiding questions of what went well, what did not go well and areas that need more clarification.

| What went well | What did not go well |
|--|--|
| <ul style="list-style-type: none"> • Presentations fully covered • Excellent presentations and contribution by participants • Corruption discussion was okay • Good flow of sessions • Fine presentations on Water Integrity • Meals very fine • Accommodation fine • Workshop started on time • Breakfast okay | <ul style="list-style-type: none"> • Time management • WAVE concepts and emphasis • Scrapping allowances for participants • No sandals in hotel • No handouts for presentations made • Rooms not prepared in time • Poor gender balance |
| Areas for Clarification | |
| <ul style="list-style-type: none"> • Governance wasn't clear • Definition of Water Integrity • Introduction to Action Planning • Use more examples from the water sector | |

Leveling issues raised

- Participants were reminded about the participant's manual that accompanied the invitation letter. However, a CD would also in addition be availed at the end of the course.
- Definition of unclear terms – a session is provided for in the programme to address these issues. Participants were also encouraged to read their notes after the daily sessions where most of the concepts are further explained
- Action planning – participants were reminded of the three phases of the WAVEplus training and that Action Planning is handled at the end of the second phase. This is an output expected from all participants

2.2 SESSION: WATER INTEGRITY: THE UGANDAN CONTEXT- BASELINE REPORT ON WATER INTEGRITY By Joseph

In his introduction, the Joseph highlighted the fact that this presentation focuses on a study supported by Water Integrity International and Transparency International and was conducted in 2007 amongst the sector stakeholders to establish how the concept of Water Integrity is understood in the sector. The study was supported by the Ministry of Water and Environment and the Water and Sanitation Program (WSP) of the World Bank

He presented the key objectives of the study as follows;

- Identify approximate levels of resource financial leakages/corruption in the management of WSS systems experienced by NWSC, private water operators, rural and urban consumers, water authority representatives, district officials and contractors/suppliers;
- Assess the level of transparency in decision making processes related to allocation of water resources;
- Determine the extent of illegal costs that consumers (rural and urban) incur in the course of their interactions with WSS service providers;
- Assess the poverty and gender impacts of corruption in the water sector; and ;
- Assess the levels of integrity among water authorities experienced by contractors and consultants in the sector.



Figure 1: Joseph facilitating the session

Joseph noted that although the sector has introduced specific measures to promote transparency and accountability through such interventions such as preparation of annual sector performance reports, good governance sector working groups, annual sector reviews, the challenges in ensuring TAP are still enormous. He highlighted the need for sector players to be pro-active in getting information about the sector. He challenged the participants to help the current sector efforts in performance data generation especially APWO as an association. In order to assist the participants to appreciate the magnitude of the situation on the ground, he presented the latest statistics on water coverage from the Sector Performance Report 2012 as follows;

- As of June 2012, access to safe water within 1km in the rural areas was 64% (which is a slight decline from 65% which was reported last year), mainly as a result of overhead expenditures (from the rural water grant) on start-up costs in the new districts, and reduction in the budget/releases for the fourth;
- The urban areas, access to safe water increased from 66%, within 0.2km which was reported last year, to 69%.
- Access to household latrine coverage in the rural areas has remained at approximately 70% over the previous two years. Access to hand washing has increased from 24% to 27% in the rural areas, while in the urban areas it has increased to 85%. Compliance to the

He therefore noted that the baseline survey on Water Integrity that was carried amongst the sector stakeholders from the Local Governments, National Water and Sewerage Corporation, Private Water Operators etc was meant of augment the current measures already put in place to address transparency and accountability.

In order to gauge the perception of the participants about integrity and corruption in the sector, vis a vis the findings of the baseline survey, the facilitator carried out a small exercise of administering questions similar to those used in the study. The participants were told to assess their organizations using this form and respond appropriately with the assessment questions. The questions in the form are:

- Your perception of the level of transparency in staff recruitment
- Existence of system to protect whistleblowers
- Witnessing customers paying bribes
- Management awareness of corruption
- What are the common types of complaints?
- Political interference in the procurement process
- Who initiates the payment of a bribe?

When the tallying of the feedback from participants in the forms was done, it was seen to generally be in line with the findings of the report on the above issues.

Participants share experiences

- Whistle blowing in the organization: Mr. Ocaya from WSS services shared with the group how this is done in their station areas through community members being encouraged to bring forth any information relating to the integrity of the staff.
- Customer complaints: Ms. Nabaloga Robinah from Seamok services shared on efforts to address customer needs through establishing customer complaints books
- Procurement: Mr. Lule from Trandint Ltd shared on numerous experiences of bribery in the procurement process in the districts

The facilitator emphasized the need to have fair laws, transparent systems, sound recruitment and other policies through ensuring transparency and integrity. He also encouraged the participants to develop and write papers for presentation in local and international forums in order to promote this just cause while building their carriers.

The session was then concluded.

2.3 SESSION: MULTI STAKEHOLDER INTEGRITY STUDIES WITH EXAMPLES FROM UGANDA; SCORECARD STUDY By Grace (NETWAS)

The facilitator introduced the session by informing the participants that the session was mainly focusing on the experience of the Network for Water and Sanitation (NETWAS), a local NGO in Uganda largely involved in Capacity Building activities in the water sector.

The presenter discussed the score card process (development and implementation), participatory evaluation, social accountability, the outputs and outcomes.

The facilitator highlighted the purpose of using this approach as follows;

- ▶ To promote better governance, by fostering transparency, social accountability and effective communication/dialogue in small towns.
- ▶ Working on the hypothesis that improved governance would lead to improved service delivery

General Objective –

- ▶ Getting feedback from people on quality of water services in small towns

Specific Objective –

- ▶ Generating service users' feedback on access, usage, behaviour of staff, cost of water, problem resolving capabilities of the agency, satisfaction with quality of service and water quality, information and communication mechanisms.



Figure 2: Grace explaining the Score card process

Details of the presentation can be found in the annex for further reading.

In the feedback from participants, it was proposed that NEWTWAS harmonizes with other stakeholders like APWO in order to streamline what appears to be duplication of roles.

Another comment raised from this discussion was that whether there is a mis-representation of facts a study, there is a risk of causing integrity challenges in the face of the public for the organization. The image of the organization will be damaged.

Some participants commented on the fact that NETWAS activities do not cater for hardware/equipment.

The session was then concluded.

2.4 VIDEO ON WATER INTERGITY IN THE WATER SECTOR By Moses

The theme of the video covered several causes of corruption and the resultant effect. The issues of Transparency, Accountability and Participation (TAP) are discussed very well in this video. The video also discussed the process and strength of the TAP tool with specific reference to the Water Sector. This session excited the participants who clearly identified with the issues in the video.



Figure 3: Participants watching the video clip

After the brief video, participants were asked to jot down (on cards) one integrity issue in their respective organizations that is highlighted in the video.



The issues raised from the cards included the following:

- Meter by-pass and reversely
- Illegal water connection and meter tempering
- A platform for dialogue with stakeholders
- Participation of water needs to be encouraged as it will curb corruption

- Decentralize the procurement process of POs
- Bribes in processing management fees and conditional grant
- Kickbacks to authorities to win contracts
- Paying bribes to get contracts
- The Water Authority should be keen on the contractors to eliminate shoddy works.
- Identification and a collective action plan to curb corruption
- Giving feedback to water users
- Identify areas of improvement
- Have accountable feedback to consumers
- Transparency in water connections by avoiding meter tampering and illegal connections.
- The need for honesty and accountability

Another brief video clip was then also shown and participants asked to point out the integrity and governance issues observed. The issues raised were:

- Bribery and corruption
- Being honest is key
- Governance issues (no decision made or implemented)
- Political interference
- No fair hearing
- Lack of transparency
- Substandard work

One of the participants also shared an experience in one of the stations/areas called Magale where the community has been so hostile because of lack of involvement at the start of the project. The discussion revealed that Participation as one of the key pillars was missing and hence caused this conflict.

Another experience was shared where a mayor of the town interfered with operations by instructing the operator to connect a particular customer.

In another experience, a participant shared on political interference by the area Member of Parliament passing on instructions for the community not to pay for water. This has caused a lot of resistance from consumers.

2.5 SESSION: CORRUPTION MAPPING By Denis

The facilitator started the session by a brief funny clip as an ice breaker that made the participants laugh. He then started the session by highlighting the fact that corruption in the water sector has had a big negative impact on the population. A brief plenary session was then conducted on why the water sector is prone to corruption. The responses given were:

- There is a lot of public sector involvement (interfacing with consumers regularly)
- High level of investment

Denis clarified the fact that corruption does not only relate to exchange of money but that it extends to other issues relating to integrity. It was also pointed out that when one does not accept that there is a problem, it cannot be solved.

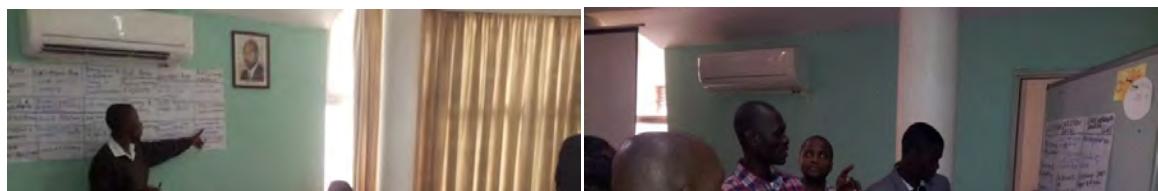
The approaches of reparation also have limitations – punishment is not enough. This therefore means that we should employ other means relating to prevention rather than solving the problem after it has occurred (or controls such as denying/ limiting access to finances). Denis summed up the issues discussed in “the Lifecycle of anti-corruption policies” tool. This is a tool that advises on where to concentrate depending on the level of risk. It also referred to as the Corruption mapping exercise.

The session on Good Governance Sector Working Group: Highlights and Action Plan was not conducted because the external facilitator (Gilbert Kimanzi) was not available. The participants were informed about this change and that time would be made to facilitate the session on another day.

Moses then introduced a group exercise to identify risks using the corruption risk mapping tool. Three groups were formed for the purposes of this exercise and each group was given a simplified template of the tool for the exercise. The feedback presentations were to be done using the group clinics methodology where a host from the group remains and the rest of the group members keep rotating in the other groups for a brief presentation by the host followed by a brief discussion.



Figure 4: Moses facilitates the group work



Participants presenting the out puts of their different groups through the group clinic methodology

| GROUP WORK | | |
|------------------------------|-------------------------|--|
| RISK AREA | CORRUPTION RISK | EARLY WARNING INDICATOR |
| POLICY MAKING AND REGULATION | OFFICE MISUSE | WEAK LAWS / UNSPECIFIED PUNISHMENT |
| PLANNING & BUDGETING | FRAUD / BRIBERY | EXAGERATION IN FIGURES / OVERCOSTING ITEMS |
| DONOR FINANCING | DIVERSION OF FUNDS | DISTORTED IMPLEMENTATION PLANS |
| MGT & PROGRAMME DESIGN | EXAGGERATED DESIGN PLAN | COLLUSION WITH SUPERVISORS |
| TENDERING & PROCUREMENT | BRIBERY | PULLING OUT OF BIDDING FIRMS |

| RISK AREA (RA) | CORRUPTION RISK (CR) | EARLY WARNING INDICATOR (EWI) |
|----------------------------|--|-----------------------------------|
| Policy making & regulation | Design in complications after policy document | Misinterpretations. |
| Planning & Budgeting | Policy documents silent on some pertinent issues | MISUSE of funds. |
| Donor financing | Over estimates of costs | Frequent break downs of the cycle |
| Fiscal Transfers | Falsification of the design | |
| Mgt and Programme design | DIVERSION of the funds to other activities | Pending Actions |
| Political interference | Political interference | DIVERSION from the set objectives |

| RISK AREA | CORRUPTION RISK | EARLY WARNING INDICATORS |
|-------------------------|-----------------|--------------------------------|
| OPERATION & MAINTENANCE | FRAUD | FREQUENT BREAK DOWNS |
| PAYMENT FOR SERVICES | BRIBERY | DELAY IN PAYMENT |
| FISCAL TRANSFERS | BRIBERY | DISTORTED IMPLEMENTATION PLANS |

| Risk Area | Corruption Risk | Early warning Indicator |
|----------------------------|--|--|
| Policy making & regulation | Weak and unclear policies as the fine as per illegal connections | Increased illegal activities. |
| Planning & budgeting | Under planning / budget inflations | Delay in activity implementation |
| Donor financing | Funding with attachments / conditions... | Incompetent companies may be selected. |
| Fiscal transfers | Influence over project decision undertaking | Delayed project implementation / completion. |

Some of the group work outputs from the corruption risk mapping exercise

The day's proceedings were concluded at 5:35pm with Julia facilitating the daily evaluation using the three questions of what went well, what didn't go well and areas of improvement. The participants also assessed how they felt over the day's proceeding (happy, just okay and unhappy). All participants were reported as happy save for one.

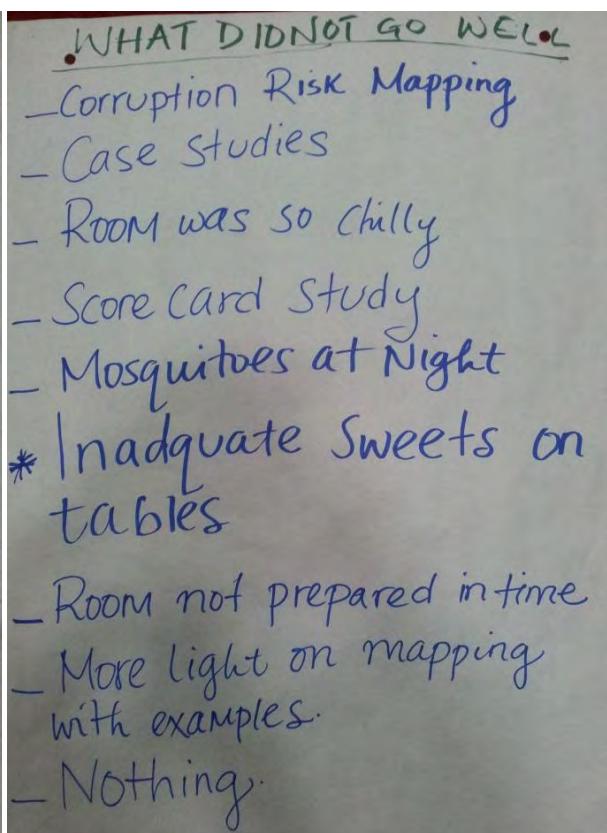
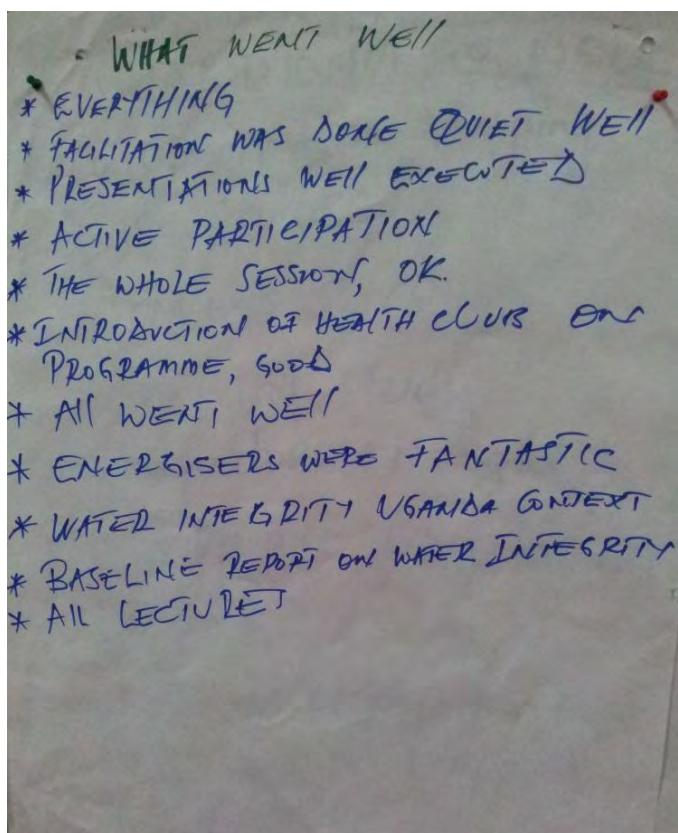
End of day Two

3.0 DAY THREE PROGRAMME

| | | | | |
|---|-------------------------|--------------|---|----------|
| Wednesday, November 28, 2012 | Day | 3 | Anti-corruption laws, Institutions and Instruments | |
| Minutes | Lead Facilitator | | Harrison &Julia | |
| 30 | 8:30 | 9:00 | Group feedback | Moses |
| 90 | 9:00 | 10:30 | Value for money study in the water sector | Gilbert |
| 30 | 10:30 | 11:00 | Break | |
| 90 | 11:00 | 12:30 | Presentation on anti-corruption laws, Institutions, Instruments and access to Information | IGG |
| 60 | 12:30 | 13:30 | Lunch | |
| 30 | 13:30 | 14:00 | Drivers of corruption | Harrison |
| 40 | 14:00 | 14:40 | Impact and cost of corruption | Harrison |
| 60 | 14:40 | 15:40 | Accountability | Moses |
| 20 | 15:40 | 16:00 | Afternoon Break | |
| 30 | 16:00 | 16:30 | Exercise on accountability | Moses |
| 30 | 16:30 | 17:00 | Wrap up and Evaluation | Julia |

3.1 Check in

The day started with a short prayer which was followed with a recap of the previous day by one of the participants. This was through synthesis of the results from cards where issues were jotted by all participants. The following is a summary of the issues presented.



Julia responded to the issues relating to housekeeping. Denis then briefly clarified on corruption mapping by discussing the high risk areas in the water sector.



Figure 5: Julia clarifies on issues raised in the evaluation

The areas discussed were categorized as Public-Public, Public-Private and Private-Private corruption. Some time was allowed for the participants to share a few experiences on integrity issues in their areas of operation.

One of the participants shared an experience where (in Kibale) the Mayor of the town forced the Operator to make an extension to his home which was not in the work plan. The discussions also covered the practical challenges faced by the operators where Public officials in the towns/ district refuse to pay and go ahead to intimidate. The participants also shared experiences on challenges of following up payments with institutions like police and the army.

The session on Value for money study in the water sector could not be discussed at this point because Gilbert was not available at that time. This session was replaced by one on the Good Governance water sector working group that was supposed to be conducted the previous day and the session was facilitated by Denis.

3.2 SESSION: GOOD GOVERNANCE WATER SECTOR WORKING GROUP By Denis

Denis introduced this session by explaining to the participants that the Good Governance Water and Sanitation sub-sector Working Group abbreviated as **GGWSWG** is one of the working groups in the sector that monitors the implementation of the different sector policy issues relating to governance.

Participants were also informed that the Water and Environment Sector Working Group is the highest organ of the sector which also includes the donors. The facilitator then shared the work plan of the **GGWSWG** while discussing the implication of some of the action areas. The following was highlighted in the discussion as key interventions or observations that have resulted from the **GGWSWG**.

- The need to have Customer/ Client's Charter in place. As a result the Ministry of Water recently developed one. It was agreed that all operators should develop a Client's Charter for their areas as a way of exercising Transparency and serving their customers better. The executive members from APWO at the training pledged that APWO would soon develop a standard template of a Clients Charter which would be circulated to all members
- The need to have a Customer complaints book in place to record and follow up on Customer complaints
- An APWO code of conduct has been developed and widely circulated to members.
- The **GGWSWG** has also observed the irregularity of companies owned by government officials doing business without integrity

Denis also highlighted the fact that the information needed by the work plan is generated by the operators and therefore the operators are key stakeholders who need to act with integrity because their actions directly affect the sector. He further emphasized the need for the Client's Charter.

As the session was concluded, the participants were also reminded to continue with identifying issues that can be considered for developing an action plan at the end of the course.

3.3 SESSION: ANTI-CORRUPTION LAWS, INSTITUTIONS, INSTRUMENTS AND ACCESS TO INFORMATION By IGG representative (External Facilitator)

The facilitator briefly introduced himself and set the stage with an icebreaker to ensure a favorable learning environment.

He started by pointing out that the session was going to highlight different laws relating to the water sector and discuss general issues related to the implementation of these legal provisions. The facilitator highlighted the Constitution as the overall provision in the law and that any other law contravening this is a nullity. He informed the participants that the Inspector General of Government (IGG) is the main anti-corruption agency in the country with an Act empowering it derived from the constitution.

The National laws presented include: Public Procurement and Disposal of Assets Act, Penal Code, Police Act, National Audit Act, National Environment Management Authority Act, National Water and Sewerage Corporation Act. The International laws highlighted include: African Union Convention on Preventing and Combating corruption and the UN convention against corruption.



Figure 6: The discussion on IGG and corruption

The facilitator also presented the implementer of the different laws as: the IGG, Civil Society (local and international), PPDA Authority, Parliament, Courts of Law, etc.

The facilitator shared some challenges relating to the IGG exercising their mandate. He pointed out the challenge of limited capacity by IGG to follow up on its mandate. The manpower is overstretched in following up the recommendations made and hence the effectiveness of the IGG is sometimes compromised by this. Another challenge is that in cases of bribery, one of the culprits must be used to testify against the other in order to have a successful prosecution. In such cases you look out for the worse evil and then chose one of the culprits to testify against the other.

Another challenge is that of conflicting legal opinion between IGG and PPDA in regard to the same case in some instances. In an attempt to manage these challenges, the IGG as an institution has generally agreed that in order to improve the process, the respective regulator of the industry initiating the complaint (Water in this case) should first handle the cases that come up. However, in cases where you have for example bribery, that is an outright crime/ criminal offence.

The discussions also highlighted the fact that contract management related issues have been a great challenge in the provision of management and operations services and that several issues relating to corruption and integrity are common in the sector.

The session was then concluded by the participants being told that improving integrity remains a challenge due to the fact that many of the parties involved collude to cover up the issues raised.

3.4 SESSION: DRIVERS OF CORRUPTION By Harrison Mutikanga

Harrison started with a small brain teaser where participants were required to calculate some figures where the answer would result into number 5. He then related this number to the 5th alphabet (E). He asked participants to mention the biggest animal they know that starts with this letter. An elephant was mentioned. He summed up the exercise by stating that the elephant is how big we can quantify corruption in relation to other animals due to the size difference. This is a simplistic way of describing corruption in our society.

This was then followed with a discussion on the drivers of corruption and the following feedback from the participants was provided.

- The people
- Money
- Don't care anymore attitude (no integrity)
- Desire to amass wealth
- Greed

He then explained the corruption formula which also appears in the handout notes: $C = M + D - A$ (Corruption = Monopoly + Discretion – Accountability). This is what leads to corruption. Harrison then went on to discuss the drivers of corruption in the water sector in Uganda through a plenary session and the following was generated.

- Small towns are monopolies of service provision in their areas
- Emergency procurements are also drivers to corruption or procurement related abuses
- High demand for water services
- Limited accountability & failure of monopolistic state delivery
- Customers who don't know their rights eg. Relating to having a connection
- Weak civil society
- Buried and forgotten pipes making the sector vulnerable
- Systems (institutions) that are not working

The facilitator concluded the session by pointing out the fact that the Drivers of corruption must be counteracted by the drivers for change. He could also not hide his disappointment in the key reform approaches of decentralizing service provision and Private Sector Participation not resulting in corruption reduction. Corruption has instead increased!

3.5 SESSION: IMPACTS AND COSTS OF CORRUPTION – By Harrison

Harrison continued facilitation into the session on Impacts and Costs of Corruption. This was mainly conducted using a plenary approach. The main impacts discussed were:

- Water pollution and over exploitation: This resulting from discharge of chemicals by industries as a result of corruption. The poor suffer more as a result of this.
- Reduced government and water utility revenues. eg. via purchase of water meters. This can through deliberate specifications that lead to a meter of a lower class for selfish reasons

- Re-allocation of funds meant to extend services for other areas hence impacting on the service coverage.
- Poor quality of sanitation leading to diseases
- Increased O&M costs and hence higher tariffs. An example was shared where the pollution into lake Victoria by industries (as a result of corruption) has increased the treatment costs for National Water and Sewerage Corporation which has intern contributed to an increase in the water tariff.

3.5.1 Video on corruption in the water sector

A brief video was then shown on “how corruption and loss of integrity can affect the water sector”. The following issues were pointed out by the participants as feedback from issues/ lessons in the video:

- ✓ Regulation is key to support the sector consumers
- ✓ Transparency is highly required by consumers
- ✓ The consumer wants to participate
- ✓ Corruption directly impacts on quality of service to customers

The session was concluded by participants making a general observation that the absence of strong regulatory mechanisms in Uganda is a big challenge for the sector.

3.6 SESSION: ACCOUNTABILITY By Moses

In Moses’ presentation, he highlighted the fact that Accountability is key in building the integrity fabric of any institution. This was discussed with the use of numerous examples in the water and other sectors. In order to understand the concept of Accountability more, an exercise (fish bowl) was conducted for participants to share on a hypothetical situation in a station where performance of a Station/ Area has greatly deteriorated and the Operator is at the verge of losing their contract.



Figure 7: Moses gives the instructions of the fish bowel exercise

Several good points resulted from the participant's contribution in the exercise. The proposed Changes in area that were discussed include:

- ✓ Evaluating the sales
- ✓ Call emergency meetings
- ✓ Divide and allocate staff
- ✓ Sensitize stakeholders
- ✓ Checklist to measure outputs
- ✓ Identify which section has the problem and isolate it
- ✓ Assess the commercial records as a ways to strengthen accountability

Comments about the process:

- This was the first time the WAVE Uganda was using this exercise and therefore any shortcomings can continue to be improved
- Some of the participants gave hypothetical contributions because the exercise was also hypothetical. In future a real case study can be used for this exercise.
- The instructions did not seem clear to some of the participants and therefore occasionally the facilitator had to guide the process.
- The exercise took slightly longer than expected.

- Even with some of the above limitations, the participants in their feedback greatly appreciated the tool and one of the participants requested for more information about the tool for replication in their organization's capacity building activities.

3.7 SESSION: FEEDBACK FROM THE PARTICIPANTS By Julia

The day's proceedings were concluded at 5:05pm with Julia facilitating the daily evaluation using the three questions of what went well, what didn't go well and areas of improvement. The participants also assessed how they felt over the day's proceeding (happy, just okay and unhappy).



Figure 8: Julia facilitating the daily evaluation

From the evaluation of how the participants felt using the smiley faces, all participants were reported as happy save for one.

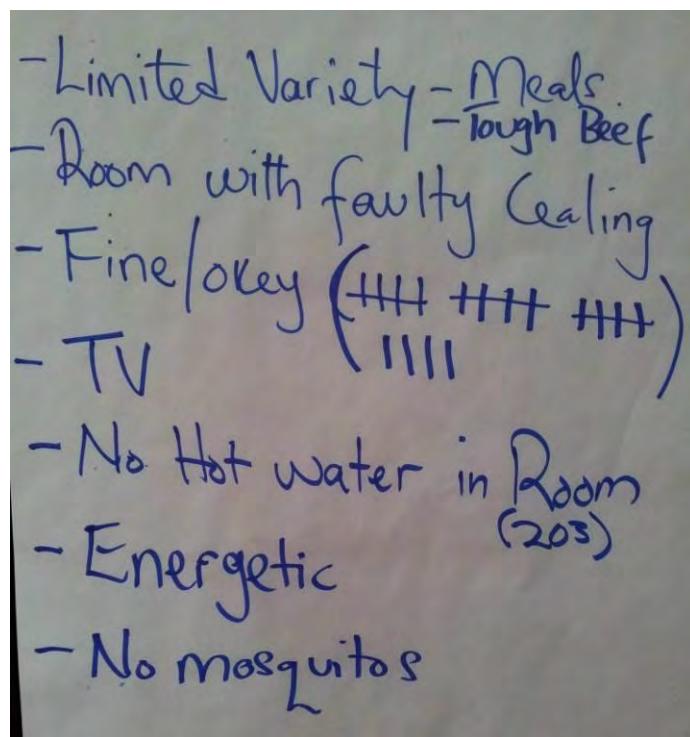
End of Day three

4.0 DAY FOUR PROGRAMME

| Thursday, November 29, 2012 | Day | 4 | Anti-corruption tools and Processes | |
|-----------------------------------|---------------------------|-------|--|---------------|
| Minutes | Lead Facilitator Harrison | | | |
| 30 | 8:30 | 9:00 | Group feedback | Julia |
| 90 | 9:00 | 10:30 | The New PPDA framework; Stakeholder Roles and Responsibilities | Ojambo (PPDA) |
| 30 | 10:30 | 11:00 | Break | |
| 60 | 11:00 | 12:00 | Guidelines for procurement of water service providers; status update | Frank |
| 60 | 12:00 | 13:00 | Key challenges in the procurement process | Joseph |
| 60 | 13:00 | 14:00 | Lunch | |
| 30 | 14:00 | 14:30 | The Clients Charter; promotion of Integrity and Transparency | Harrison |
| 30 | 14:30 | 15:00 | The APWO Code of Conduct | Moses |
| 30 | 15:00 | 15:30 | Afternoon Break | |
| 60 | 15:30 | 16:30 | Revisiting Unclear Concepts | Denis (all) |
| 30 | 16:30 | 17:00 | Wrap up and Evaluation | Joseph |
| 240 | 17:00 | 21:00 | Social evening | Julia |

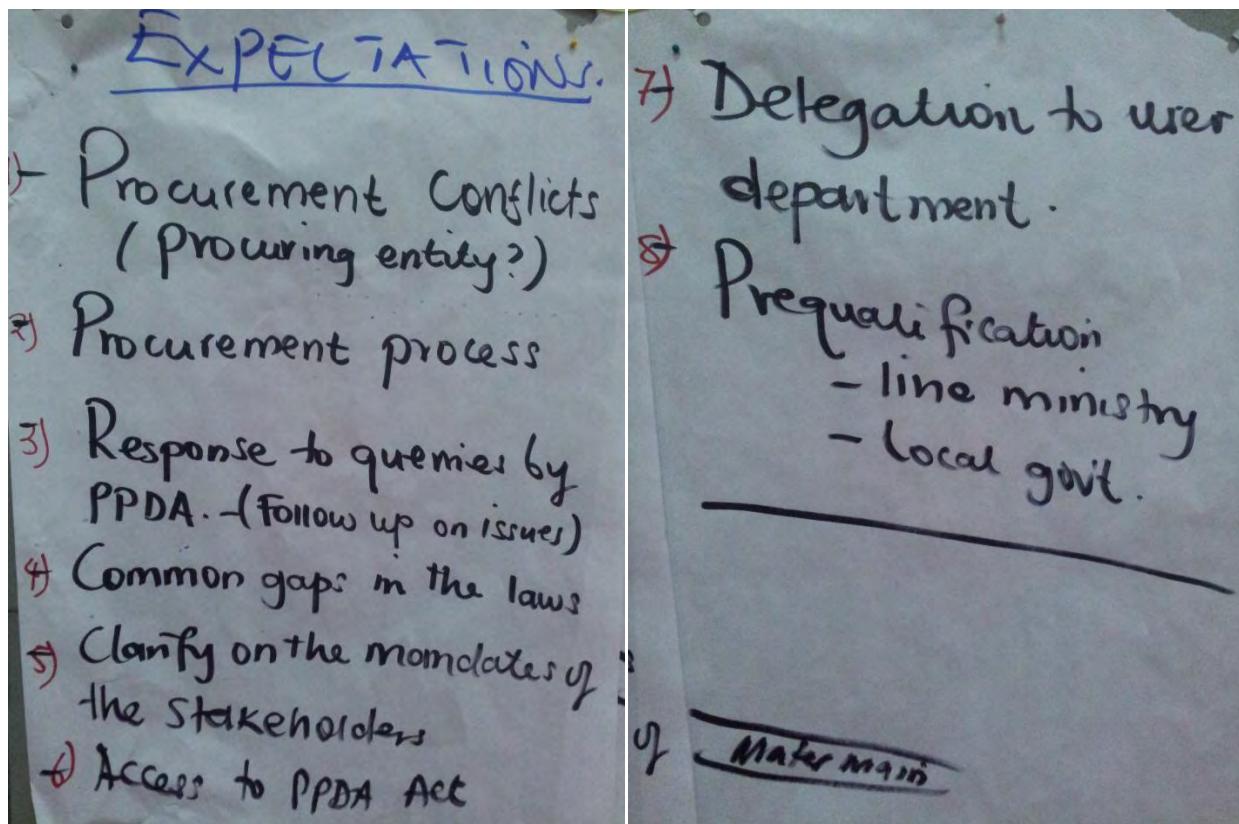
4.1 Check in

The day started with the daily check in session facilitated by Julia which gave the feedback below:



4.2 SESSION: THE NEW PPDA FRAMEWORK; STAKEHOLDER ROLES AND RESPONSIBILITIES By Moses Ojambo (External Facilitator)

The facilitator started the session by a brief plenary session seeking the participants to point out their expectations in line with procurement, covering challenges and issues for clarification. This was aimed at guiding his presentation to meet their expectations. The following was highlighted:



He started by highlighting the legal framework which captured the following:

- The PPDA Act 2003
- The constitution of Uganda 1995
- Local government Act & Regulations including the Amendment of 206
- PPDA Regulations 2003
- Local government guidelines 2008
- Standard bidding document
- Circulars issued by PPDA

The facilitator highlighted a major change in the field of procurement from the use of tender boards to contracts committees as a result of the introduction of the PPDA Act and Regulations (2003).



Figure 9: Mr. Ojambo facilitates the session

- There is a challenge in accessing the relevant laws however the public places where one can access them at a cost are: 1) The Uganda Printing and Publishing Corporation and 2) Public Procurement and Disposal of Assets Authority offices.
- The facilitator highlighted the following key principles of public procurement
 - Transparency – the process must be as open as possible. All bidders should have equal information about the procurement opportunity
 - He also explained the procurement process right from the bid preparation to contract acceptance and that this must be transparent.
 - Participants were enlightened about the rights of Bidders to review the bid documents before buying. Bidders also have a right to know why they were not shortlisted as part of transparency. It should also be publicly displayed and write to you why you were successful or not
 - Accountability – accountability is not necessarily to do with money but also involves being responsible in decision making
 - Fairness and Non-discrimination: bidders should not be discriminated because of religion, region/ tribe, etc

- Competition: this helps in getting good pricing. When people know they are the only ones, they tend to collude
- Confidentiality, Economy & Efficiency – value for money
- Ethics and integrity

Mr Ojambo also enlightened participants about the correct understanding of Procurement as a means or process of acquiring goods and services through various means which include purchasing, buying, renting, leasing, hiring and franchising. To choose how to acquire goods or services should be determined by the objective and value for money.

The participants were then asked to share on the stakeholders they interact with in the procurement process. The following stakeholders were mentioned in the plenary session

- Procurement Officer
- Accounting Officer
- Cashier
- Evaluation Committee
- Local Council 5 & 3
- User/ Heads of Departments
- Contracts Committee
- Chief Administrative Officers
- Chief Administrative Officer's drivers
- Office attendants

This brought out the current irregular practices in the procurement processes. He then guided on the correct or expected practices.

The facilitator made a detailed step-by-step explanation of the entire procurement process: Developing procurement plans and budgets, developing bid documents and specifications, approval of the documents, communicating the decisions relating to award, final award, contract signature and implementation.

The facilitator then concluded by correcting the misconception about blacklisting. It is not the mandate of procurement entities (like Ministry of Water and Environment) to blacklist bidders. However, it is the mandate of PPDA.

The session ended at 12:08pm

4.3 SESSION: GUIDELINES FOR PROCUREMENT OF WATER SERVICE PROVIDERS; PROCUREMENT PROCESS GUIDE By Francis Mabonga

He introduced the session by highlighting the fact that the procurement for water services is unique and complex. Francis also pointed out that the fact that the framework of the management contracts is quite unusual.

He noted that the purpose of the guide is to ensure that the unique issues are also profiled within the provisions of the framework. The findings of a study by the consultant hired by the Ministry of Water to carry out a study were key in providing information to come up with this guide.

The facilitator also presented the criteria to be used to classify the operators and schemes in an effort to streamline the current ambiguity in the procurement of water supply operations.

Francis highlighted the need to streamline the prequalification process by the Ministry which has been addressed in the new guide. This is to be conducted through grading of operators based on their competencies

The need to streamline and centralize the prequalification exercise was of great concern to many participants. Currently, parallel prequalification exercises are done by the districts and these are legally provided for under the law. The meeting was guided that this can be streamlined through the Ministry getting ratification from PPDA on being the sole pre-qualification authority for this unique service like a few other sectors have done.

4.4 SESSION: THE CLIENTS CHARTER: PROMOTION OF INTEGRITY AND TRANSPARENCY By Mutikanga Harrison

Dr Harrison Mutikanga started with a small experience he had with breaking traffic laws. In his experience, he shared how after committing a traffic offence, he had an option of bribing the traffic officer who created circumstances for that but he resisted the temptation. Harrison observed that not paying the officer the bribe would come at a much higher cost (more than four times the cost of the bribe) let alone the inconvenience of the bureaucratic mode of having to pay to the bank. He pointed out that on the face of it, corruption seems cheaper than other official channels and yet the intangible values are being lost.

The facilitator then continued with the session by asking the participants through plenary "What is a Customer Charter". The response was that it is a statement of laws of the company and expectations of services to be provided (Participant). The facilitator substantiated this by stating that it is a social contract between the client and provider. It provides answers about utility practices.

The plenary continued by discussing examples of the content of the Charter with the following responses.

- Continuity of supply
- Water quality (mention color - colorless), Intervals of taking water samples
- Timely repairs (specify time)
- Pressure (supply at a certain pressure) – atleast 10meters

- Complaints handlings (specify time of handling)
- New connection Procedure (cost, how long)
- Contacts and address

It was emphasized that the charter points towards integrity. This is a contract with the customers and we should strive towards this. It was also pointed out that many towns have the document but due to the operational and investment challenges beyond the operator's control, they are unable to meet the standards set in their respective Charters. Participants were also encouraged to visit the National Water and Sewerage Corporation Website (www.nwsc.co.ug) where they can download the Client's charter to support them improve on the one's they have developed.

4.5 SESSION: APWO CODE OF CONDUCT By Denis

Denis mainly handled this session through a plenary discussion. This was guided by copies of the APWO Code of conduct that was circulated to all participants. It was clarified that the code is intended to serve as a self-regulating tool for members. Many challenges in operations were shared including alcoholism, unprofessional standards, abusive language, no discrimination against persons with HIV/AIDs, etc.

The following issues were also raised in the plenary session:

- The need to support the regulatory framework by providing information/ performance data
- The need for Participants to read the Code and appreciate it more.
- Challenge of gaps in reprimanding members who do not adhere to the provisions of the Code
- Limited provisions in terms of regulations or other wise to protect APWO's image, eg. deal with members who leave behind energy arrears
- Members demanded to know what benefits (apart from capacity building) does APWO give its members. The main benefit given is networking linkages with donors and other partners, advocacy eg. Tariff setting framework (BPT), Members can also conduct different consultancy services through APWO hence giving the individual members a bigger image.

Denis highlighted several areas that the code addresses and informed the participants that the copies of the code availed should be put in their respective offices for ease of reference. He noted that more consultations would be made while revising it to ensure that it is improved.

End of session

The daily Evaluation was facilitated by Ronald. Cards were issued for participants to jot down their ups and downs of the day.

5.0 DAY FIVE PROGRAMME

| Friday, November 30, 2012 | Day | 5 | Action Planning and Evaluation | |
|---------------------------------|------------------|-------|---|--------------|
| Minutes | Lead Facilitator | | Joseph | |
| 30 | 8:30 | 9:00 | Group feedback | Julia |
| 90 | 9:00 | 10:30 | Value for money study in the water sector | Denis |
| | | | Action planning guidelines | Moses |
| 30 | 10:30 | 11:00 | <i>Break</i> | |
| 90 | 11:00 | 12:30 | Developing individual Action Plans | All |
| 60 | 12:30 | 13:30 | Lunch | |
| 60 | 13:30 | 14:30 | Presentation of individual Action Plans | Joseph |
| 30 | 14:30 | 15:00 | <i>Afternoon Break</i> | |
| 60 | 15:00 | 16:00 | Wrap up and Evaluation | Joseph/Moses |
| 60 | 16:00 | 17:00 | Facilitators meeting | FP |

5.1 Check in

The day started with the participant's daily check in by Julia. The responses revealed that participants were generally ok. Three of the participants were feeling sickly. One the participants (Robinah Nabaloga) was then invited to present the evaluation of the previous day.



Robinah facilitating the evaluation feedback of day four's proceedings

The participants were informed of some adjustments on the days' timetable to include the session not facilitated on day 3 on value for money study.

In order to set a background to the session, a video clip was shown to the participants on water challenges in Bolivia that result from gaps in integrity; and how lack of integrity has resulted in numerous losses; and how this has been worsened by Climate change.

Julia thereafter invited Denis to facilitate the session on value for money.

5.2 SESSION: VALUE FOR MONEY STUDY IN THE WATER SECTOR By Denis

Denis started the session with a brief plenary discussion on their understanding of value for money.

The output of the discussion was mainly:

- ✓ How resources are utilized.

Denis substantiated this understanding by stating that it also covers money that is budgeted for some work has not been spent. He then discussed the approach of the study which was an assessment of each of the phases in the development of a water supply system.

He pointed out that in case of shoddy work that has taken place at the construction stage the Operations stage is severely affected. This is one of the main challenges the operators are facing in the small towns.

The facilitator also shared the main findings of the report and key recommendations in the areas of Evaluation & Negotiations, Contracting, Funds release, procurement process and contract performance period.

The participants were allowed to share their different experiences of shoddy work in their towns. These mainly referred to the poor constructions by the different projects implemented by the Ministry of Water and Environment which has affected the operations by the Private Water Operators.

End of session

5.3 SESSION: ACTION PLANNING By Moses

Moses introduced the session by highlighting the fact that the basis of the action planning is the specific areas of operation and interventions that improve performance or integrity in this case. The methodology used in the session was presentation (PowerPoint)

The facilitator then highlighted the following principles in the planning process.

- Choice to plan as individual or team
- Consider the fact that the action plan should be within the available resources
- Quantification of Action plans for ease of monitoring
- Share a copy of the plan with facilitators

He shared the standard template or guide format for the participants to develop their own plans. He noted that this was simply a guide and that they were free to improve it.

- Introduction of operation area and mandate
- Priority area of improvement
- Description of current situation
- Expected change
- Proposed action
- Required resources
- Indicators to measure
- When changes can occur
- Any other important elements

This was further clarified with the use of an example of an action area to guide them in developing their own plans. The template was availed to all participants. The participants then started on the process of developing their respective town action plans. This process took two hours. The participants thereafter made presentations of two sample action plans and they received feedback.

Rukungiri Town – Joint plan by Richard Ocaya and Gibwiru Sarah (Feedback from participants and facilitators)

- Where will participants get funds to put in place equipment for replacement?
- How will you measure trust?
- Improve by including an indicator of time taken to replace a burst. Means of Verification is also important.

Mr. Mujope also presented the action plan developed for Umbrellas (joint plan)

- Need to improve the phrasing of indicators. The indicators stated were quite broad
- Some of the actions are already what is being done as activities
- Some of the actions depend on actions of members which maybe beyond their control.

5.4 SESSION: FINAL EVALUATION By Julia

Participants were availed with the course evaluation forms which were duly completed in about 15mins.

5.5 Closing remarks

Participant's representative (Mr. Ocaya Richard) delivered brief remarks on behalf of the participants, and expressed his appreciation with the quality of the delivery of the sessions by the facilitators. He also commended GIZ/WAVE for the financial support to the sector.

The representative of the Ministry of Water and Environment (Ronald Nyakana): Appreciated GIZ and APWO for the funding, Coordinating and facilitating the training. He also thanked the

participants for their enthusiasm and active participation. He pledged the Ministry's continued support to the WAVE programme in particular and capacity building in general. He reminded the participants that the implementation is now left as their challenge.

APWO (Moses Mwesigwa) – appreciated the participants' response to the call to attend the training, thanked APWO secretariat for preparations and coordination, appreciated workshop secretariat and the hotel. He reminded the participants of their entitlement of a CD containing all the study materials. He urged them to read all materials given and also implement. Moses reminded the participants of the planned follow up exercise. He thanked GIZ in a special way and requested the participants to visit the APWO website and Facebook page. He then congratulated them for successfully completing the course.

5.6 Lessons Learnt:

- There is need to include more participatory training methodologies that assist in generating local examples related to issues of Water Integrity and Accountability;
- The involvement of the external trainers from the IGG and PPDA was very useful because it elevated the training to a much higher level and also enabled the participants to appreciate the magnitude of the issues related to Water Integrity and Accountability at a national and global level;
- There is need to roll out the training course on Water Integrity to cover other stakeholders in the sector;

Annex 1: Attendance

| Training course: WATER INTEGRITY | | from | to | in |
|----------------------------------|--|------------|------------|--------|
| | | 26/11/2012 | 30/11/2012 | Uganda |

| Country | No | Title | Gender | Surname | First Name | Email/Telephone | Position | Institution |
|--------------------|----|-------|----------|-------------|------------|--|------------------|--------------------|
| Town | | | Ms or Mr | | | | | |
| Namutuma | 1 | | Ms | Namolinda | Juliana | namulindajuliana@gmail.com | Manager | Kagulu |
| Lwakhakha | 2 | | Ms | Namusoke | Olivia | nmskolivia@gmail.com | Manager | Pwer Technical |
| Rukungiri | 3 | | Ms | Gubwiru | Sarah | Sabwiru@yahoo.com | Manager | WSS Services |
| Semuyo | 4 | | Mrs | Namayanja | Bridget | namayanjabbdget@gmail | Manager | Seamok Services |
| Kakiri | 5 | | Ms | Nabaloga | Robinah | nabarob@yahoo.com | Manager | Seamok Services |
| Kayunga | 6 | | Mr | Ssembatyia | Evarist | irumu@yahoo.com | Manager | Irumu & Associates |
| Mbarara | 7 | | Ms | Kobusingye | Elizabeth | elizabeth.kobusingye@mwe.go.ug | Social Scientist | WSDF-SW |
| Kabale | 8 | | Ms | Ainomugisha | Doreen | adoreen62@gmail.com | Social Scientist | SWUWS |
| Ntungamo | 9 | | Mr | Lule | Richard | lule200ang@yahoo.com | Director | Trandint Ltd |
| Nakasongola | 10 | | Mr | Habyalimana | Joseph | jhabyelimana@gmail.com | Director | Power Technical |
| Wakiso | 11 | | Mr | Muchope | Samuel | Sammuchope@yahoo.com | Accountant | cUws |
| Tororo | 12 | | Mr | Otude | Thomas | otudethomas@yahoo.com | Coordinator | JOWA Engineering |
| Kasese | 13 | | Mr | Ochaya | Richard | richard.ochaya@yahoo.com | O&M Manager | WSS Services |

| | | | | | | | | |
|------------------|----|--|----|------------|-----------|--|-------------------|---------------------------|
| Kyenjojo | 14 | | Mr | Tugume | Mark | tugumemark@yahoo.com | Social Scientist | mwUws |
| Kibaale | 15 | | Mr | Kisembo | Leonard | 0777692265 | Manager | Irumu & Associates |
| Isingiro | 16 | | Mr | Bangizi | Golden P. | pygolden@yahoo.com | Manager | Amazing |
| Nagongera | 17 | | Mr | Ogot | Samuel | ogotsam@yahoo.com | Managing Director | Kagulu WSS Ltd |
| Busia | 18 | | Mr | Walakira | Stephen | walakirastephen@yahoo.com | Branch Manager | JOWA Engineering |
| Buwenge | 19 | | Mr | Makaya | Charles | 0752658956 | Water Officer | Buwenge Town Council |
| Luwero | 20 | | Mr | Kasasa | Francis | 0701111213 | Water Officer | Luwero Town Council |
| Wakiso | 21 | | Ms | Namitara | Lazia | lazia.namitara@mwe.go.ug | Social Scientist | WSDF-C |
| Jinja | 22 | | Ms | Kasubo | Esther | 0712720630 | Manager | Mutaka |
| Lukaya | 23 | | Ms | Nabagesera | Josephine | 070188174 | Manager | Bright Technical Services |
| Kampala | 24 | | Ms | Orishaba | Grace | 0702739757 | Program Officer | NETWAS |
| Kampala | 25 | | Ms | Birungi | Juliet | 0774466583 | Admin | APWO |

Annex 2: Action Plans

NAME: KOBUSINGYE ELIZABETH

COMPANY: WSDF-SW

TOWN: MBARARA

TITLE: SOCIAL SCIENTIST

| PRIORITY AREAS | CURRENT SITUATION | EXPECTED CHANGE | PROPOSED ACTIONS | STRATEGY | INDICATORS | WHEN CHANGES CAN BE SEEN |
|--|--|--|---|---|---|--------------------------|
| Situation analysis on organization about Integrity | Less understanding about water integrity | Better understanding about integrity by WSDF team | Disseminate knowledge acquired | Prepare presentation to WSDF-SW team | Presentation Number of staff (attendance sheet) | December 2012 |
| Lack of sensitization to enhance participation | No guidance to WSSBs, SOs, about client charter | Session on production of customer charter in O&M trainings | Include session in training manual | Standard of expected charter in WSDF-SW schemes | <ul style="list-style-type: none"> • Presence of standard format • Manual | February 2013 |
| | Emphasis on customer complaints handling not elaborate | Proper handling of customer complaints in WSDF-SW schemes | <ul style="list-style-type: none"> • Embed in trainings • Trainings • Follow up on operators during test running | <ul style="list-style-type: none"> • Improve training manual • Include in O&M checklist | Improved O&M checklist | February 2013 |

NAME: NABALOGA ROBINAH

COMPANY: SEAMOK SERVICES LTD

TOWN: KAKIRI

TITLE: Commercial Officer

| PRIORITY AREAS | CURRENT SITUATION | EXPECTED CHANGE | PROPOSED ACTIONS | STRATEGY | INDICATORS | WHEN CHANGES CAN BE SEEN |
|-------------------------------|--|---|--|--|--|--------------------------|
| Unclear connection procedures | Customers not aware of new water connection procedures | Increased awareness on connection fees and requirements | Sensitize customers on new water connection fees and procedures | Display detailed procedures in the office | Displayed connection procedures | January 2013 |
| Structural accountability | Staff are not aware of their roles | Increased awareness/responsibility staff | Meeting with Director to come up with organogram | Hold meeting to inform staff and display structure | <ul style="list-style-type: none">• Displayed structure• Minutes of meeting | March 2013 |
| Customer charter | Lack of knowledge of expectations by customers | Increased awareness of the roles of the provider by customers | Come up with a customer charter | Display detailed procedures in office – customer charter | Displayed customer charter | June 2013 |
| Participation | <ul style="list-style-type: none">• Not strict on recording complaints and following up• Customers hold information on bursts and leakage | Increase in the participation of customers | Sensitization (one on one with customers to request for information) | Sensitization | Reduction in NRW | |

NAME: KASASA FRANCIS TEBAGALIKA

COMPANY: LUWERO LOCAL GOVERNMENT

TOWN: LUWERO TOWN COUNCIL

TITLE: URBAN WATER OFFICER

| PRIORITY AREAS | CURRENT SITUATION | EXPECTED CHANGE | PROPOSED ACTIONS | STRATEGY | INDICATORS | WHEN CHANGES CAN BE SEEN |
|-------------------------------|--|---|---|--|--|--------------------------|
| Unclear connection procedures | Customers not aware of new water connection procedures | Increased awareness on connection fees and requirements | Sensitize customers on new water connection fees and procedures | Display detailed procedures in the office and at public kiosks | Displayed connection procedures | February 2013 |
| Financial accountability | Collection is higher than banking | Full banking of all collected money | Issue payment Certificates less unbanked money | Written letters to the PO | Banking equal to collection | February 2013 |
| Legalise all connections | Not all connections are reported | Reduce illegal connections | Sign all connection forms | Written letters to the PO | New connections in the report Equal to connections signed | February 2013 |

NAME: HABYARIMANA AND OLIVIA NAMUSOKE

COMPANY: POWER TECHNICAL SERVICES (U) LTD

TOWN: LWAKHAKHA/NAKASONGOLE

TITLE: Commercial Officer

| PRIORITY AREAS | CURRENT SITUATION | EXPECTED CHANGE | PROPOSED ACTIONS | STRATEGY | INDICATORS | WHEN CHANGES CAN BE SEEN |
|----------------------------------|--|---|---|--|---|--------------------------|
| Accountability | All books of accounts are not available e.g cash book, ledger book | Provide all the missing books e.g cash book and the ledger book | Teach the cashier on how to use the books provided | <ul style="list-style-type: none">• Proper reporting• Good record keeping | Availability of all accounts records | 3 months |
| Customer charter complaints book | Lack of customer charter | Increased awareness | Inform the customers of the new development | Display of the charter in the office | <ul style="list-style-type: none">• Reduce complaints• Increased awareness | 2½ months |
| Billing | Manual billing | Improve on the billing efficiency | <ul style="list-style-type: none">• Computerized billing• Tech the personnel computer skills | Provide the computer | <ul style="list-style-type: none">• Accurate billing• Timely billing e.g at the end of the month | |

NAME: NABAGESERA JOSEPHINE
COMPANY: BRIGHT TECHNICAL SERVICES
TOWN: BUNYARUGURU
TITLE: Commercial Officer

| PRIORITY AREAS | CURRENT SITUATION | EXPECTED CHANGE | PROPOSED ACTIONS | STRATEGY | INDICATORS | WHEN CHANGES CAN BE SEEN |
|-------------------------------|--|---|---|--|---------------------------------|--------------------------|
| Unclear connection procedures | Customers not aware of new water connection procedures | Increased awareness on connection fees and requirements | Sensitize customers on new water connection fees and procedures | Display detailed procedures in the office and at public kiosks | Displayed connection procedures | February 2013 |
| Financial accountability | Big numbers of defaulters | Increase collection efficiency | Sending reminders to customers | Use enforcement from the authority | Increased revenue | February 2013 |

NAME: LULE

COMPANY: TRANDINT LTD

TOWN:

TITLE: DIRECTOR

| PRIORITY AREAS | CURRENT SITUATION | EXPECTED CHANGE | PROPOSED ACTIONS | STRATEGY | INDICATORS | WHEN CHANGES CAN BE SEEN |
|---|---|--|---|--|--|--------------------------|
| Technical and financial reporting | Managers and staff not fully adhering to required reporting time lines | <ul style="list-style-type: none">Prompt and timely submission of the necessary reportsAccountability | Revise and set out new time lines for reporting q | <ul style="list-style-type: none">Send memo to stations communicating revised time lines of reportingSetting out new penalties on failing to adhere to the revised timelines on reporting | Displayed memo on new reporting at every station | January 2013 |
| Unclear disconnection and reconnection procedures | Staff not following the laid out procedure for disconnection and recommendation | Adherence to the laid out procedure on making the disconnections and recommendations | Holding a sensitization meeting with managers | Displaying of disconnection orders and reconnection orders at stations | Displayed disconnection and reconnection orders on all station notice boards | January 2013 |
| Developing a whistle blower policy | No efforts to deter corrupt practices outside the normal audit process | Station staff participatory in promotion of integrity and prevention of corruption tendencies | <ul style="list-style-type: none">Discuss with other Directors rewards for whistle blowersIdentifying ways of protecting the identities of the whistle blowers | Presentation and inclusion of the issue in the management meetings | Agreed on and endorsed whistle blower strategy for the company | February 2013 |

NAME: OCHAYA RICHARD/SARAH GUBWIRU

COMPANY: WSS SERVICES (U)

TOWN: RUKUNGIRI - KASESE

TITLE: MANAGER

| PRIORITY AREAS | CURRENT SITUATION | EXPECTED CHANGE | PROPOSED ACTIONS | STRATEGY | INDICATORS | WHEN CHANGES CAN BE SEEN |
|---------------------------|--|---|--|--|--|--------------------------|
| Customer charter | No customer charter in place | Customers get to throw their rights and involve themselves in day to day running of the system | Design a customer charter | Display the customer charter in the water office and public places/distribute | Displayed customer charter | February 2013 |
| Leakages and burst | Slow response to leakages and bursts | Reduction in non NRW% | Having repair materials in store | Purchase material and stock | Reduction in NRW% | February 2013 |
| Billing and meter reading | <ul style="list-style-type: none">• Customers complains over bills inaccuracy• Faulty meter reading | <ul style="list-style-type: none">• Gaining customer trust over monthly water bills• Accuracy in meter reading and billing | <ul style="list-style-type: none">• Proper bills explanation to customer and put it right• Rotation of meter readers per month in different zones | <ul style="list-style-type: none">• Assign a particular person over a leakage or burst and follow up• Bill explanation to customers• Rotation of meter readers | <ul style="list-style-type: none">• Trust and willingness to pay• Less complains• Accurate bills | January 2013 |

NAME: AINOMUGISHA DOREEN, TUGUME MARK, MUCHOPE SAMUEL
COMPANY: UMBRELLA ORGANIZATION
TOWN: NIL
TITLE: SOCIAL SCIENTIST, ACCOUNTANT

| PRIORITY AREAS | CURRENT SITUATION | EXPECTED CHANGE | PROPOSED ACTIONS | STRATEGY | INDICATORS | WHEN CHANGES CAN BE SEEN |
|--|---|---|---|--|--|--------------------------|
| Unclear connection procedures | Customers not aware of new water connection procedures | Increased awareness on connection fees and requirements | Sensitize customers on new water connection fees and procedures | Display detailed procedures in the office and at public kiosks | Displayed connection procedures | February 2013 |
| Recruitment of members | Lack of awareness of Umbrella services | Increased awareness of Umbrella services | Advocacy meetings & Sensitization | Dissemination of information on how to join the Umbrella | Increased membership | Dec- Jan 2013 |
| Technical support & backstopping | Lack of technical capacity in handling the system | Ability to understand the system | Increased capacity building | Continuous training & monitoring | Improved functionality of the system | Dec- march 2013 |
| Improved scheme revenue | Low revenue | Increasing revenue collection & connections | Increased connections, Reduction in NRW | Routine monitoring | Efficiency functionality of the system | Dec- march 2013 |
| Setting of system structures in membership schemes | No clear structures in some member schemes | Clear standard structures in place | Training of stakeholders | Mobilization of water boards & Authority | Good management of water schemes | Dec-June 2013 |
| Water quality | Scheme operators don't adhere to routine water quality monitoring | Good water quality | Routine quarterly testing | Timely feedback on the quality of water | Good health | Dec- March 2013 |

NAME: OTUDE THOMAS

COMPANY: JOWA ENGINEERING SERVICES LTD

TOWN: KUMI

TITLE: Commercial Officer

| PRIORITY AREAS | CURRENT SITUATION | EXPECTED CHANGE | PROPOSED ACTIONS | STRATEGY | INDICATORS | WHEN CHANGES CAN BE SEEN |
|---------------------|------------------------|---|---|---|------------------------------|--------------------------|
| Customer complaints | Inadequate information | Design and extensive easy follow up of complaints | Design and extensive and elaborate format | Record all complaints | Property recorded complaints | 1 month |
| NRW | Too high | Public awareness | Timely repairs | <ul style="list-style-type: none">Sensitize the customers to report leakagesDisplaying photo numbers/contacts for public to report | Reduced NRW | 2 months |

NAME: STEPHEN WALAKIRA
COMPANY: JOWA ENGINEERING SERVICES LTD/JOBATOV JOINT VENTURE
TOWN: WAKISO TOWN COUNCIL
TITLE: BRANCH MANAGER

| PRIORITY AREAS | CURRENT SITUATION | EXPECTED CHANGE | PROPOSED ACTIONS | STRATEGY | INDICATORS | WHEN CHANGES CAN BE SEEN |
|-----------------------------|--|---|--|--|---|--------------------------|
| Inadequate water supply | Customers can only receive water twice in a week | Installation of another borehole by MWE | Work with the facility (WSDF) Central to install pump in drilled borehole | Inform customers on Town radio over this development | Improved water supply | December 2012 |
| High NRW | Average NRW stands at 25% above acceptable 15% | Reduction in NRW to between 15-20% | Sensitize plumbers, meter readers on better disconnection measures and vandalism | Establish a network of whistle blowers on illegal connections and validation | Displayed penalties and awards to whistle blowers in office | February 2013 |
| Absence of accounts records | Books of accounts not controlled at station | Obtained books of accounts at the station and records by commercial officer | Purchase account books from station imprest | Save proportionally from other operation expenses in order to purchase books | Properly recorded/ booked books of accounts at station | February 2013 |

NAME: NAMAYANJA BRIDGET
COMPANY: SEAMOK SERVICES LTD
TOWN: SEMUTO
TITLE: COMMERCIAL OFFICER

| PRIORITY AREAS | CURRENT SITUATION | EXPECTED CHANGE | PROPOSED ACTIONS | STRATEGY | INDICATORS | WHEN CHANGES CAN BE SEEN |
|---------------------------|--|--|---|---|---|--------------------------|
| Structural Accountability | Staff unaware of their responsibilities and roles | <ul style="list-style-type: none"> • Specialization of work. • Responsible staff | <ul style="list-style-type: none"> • Holding staff meeting on sensitization on their responsibilities • Display of Organisation Structure | <ul style="list-style-type: none"> • Call for staff meeting | <ul style="list-style-type: none"> • Record of minutes taken • Displayed Organisational structure | March 2013 |
| Customer Charter | Unawareness of Clients Rights | Clients knowledge of their rights | <ul style="list-style-type: none"> • Sensitize clients • Displaying of Charter | <ul style="list-style-type: none"> • Hold a community clients meeting • Display charter | <ul style="list-style-type: none"> • Displayed clients charter, record minutes | June 2013 |
| Code of Conduct | Staff not acquainted with APWO's Code of conduct to shape their behavior | Growing rate of moral staff | Sensitise staff on code of conduct | <ul style="list-style-type: none"> • Hold staff meeting • Offer every staff copy of the code of conduct | <ul style="list-style-type: none"> • Display copy of conduct of conduct in the office for effectiveness | March 2013 |

NAME: NABAGESERA JOSEPHINE
COMPANY: BRIGHT TECHNICAL SERVICES
TOWN: BUNYARUGURU
TITLE: Commercial Officer

| PRIORITY AREAS | CURRENT SITUATION | EXPECTED CHANGE | PROPOSED ACTIONS | STRATEGY | INDICATORS | WHEN CHANGES CAN BE SEEN |
|-------------------------------|---|---|---|--|---|---------------------------|
| Unclear connection procedures | Customers not aware of new water connection procedures | Increased awareness on connection fees and requirements | Sensitize customers on new water connection fees and procedures | Display detailed procedures in the office and at public kiosks | Displayed connection procedures | February 2013 |
| Customer participation | Customers are not aware whom to report to | Proper information flow | Sensitizing customers, providing customers with contacts of responsible staff | Responsible staff circulate their contacts to customers | <ul style="list-style-type: none"> • Displayed organization structure • Customers reporting to relevant staff | 1 st Jan 2013 |
| Customer Transparency | <ul style="list-style-type: none"> • Customers are not aware when to have water • Increased awareness on the days to have water | Increased awareness on the days to have water | Sensitisation of customer, develop a water rationing schedule | <ul style="list-style-type: none"> • Display schedules in the office and in public places like churches • Announcements in public places like churches | <ul style="list-style-type: none"> • Reduced customer complaints • Displayed schedule | 20 th Dec 2012 |

NAME: NAMULINDA JULIANA

COMPANY: KAGULU MULTIPLE SERVICES

TOWN: NAMUTUMBA

TITLE: Commercial Officer

| PRIORITY AREAS | CURRENT SITUATION | EXPECTED CHANGE | PROPOSED ACTIONS | STRATEGY | INDICATORS | WHEN CHANGES CAN BE SEEN |
|--|--|--------------------------------|--------------------------------------|--|---|--------------------------|
| NRW | Its high | Reduced NRW% | Timely repair of leakages and bursts | <ul style="list-style-type: none">Sensitise customers to report leakagesDisplay contacts | Displayed company contacts in town | 3 months |
| Customer complaints book | Complaints books provide inadequate information | Easier follow up of complaints | Design one that is extensive | All reported complaints are recorded | Properly recorded complaints | 2 months |
| Customer responsibility as far as leakages are concerned | Customers are not aware of their responsibility as far as leakages are concerned | Improved awareness | Sensitisation | <ul style="list-style-type: none">Display guiding noticesUse of L/C meetings to sensitise the community | <ul style="list-style-type: none">Meetings heldDisplayed guiding notices | 3 months |

NAME: **GOLDEN PAYI BANGIZI**

COMPANY: **AMAZING LTD**

TOWN: **ISINGIRO**

TITLE: **MANAGER**

| PRIORITY AREAS | CURRENT SITUATION | EXPECTED CHANGE | PROPOSED ACTIONS | STRATEGY | INDICATORS | WHEN CHANGES CAN BE SEEN |
|-------------------------------|--|--|--|--|---------------------------------|--------------------------------|
| Unclear connection procedures | Customers not aware of new water connection procedures | Increased awareness on connection fees and requirements | Sensitize customers on new water connection fees and procedures | Display detailed procedures in the office and at public kiosks | Displayed connection procedures | February 2013 |
| The Client's Charter | Customer not aware of their rights / call it on billing/water meter readings and complaints handling | Timely response to the broken downs water quality and continuous supply of water and complaints handling | Sensitize customers of their rights and responsibilities towards the utility | Giving in the attached detailed charter on their bills | Displayed customers charter | 12 th December 2012 |

NAME: SSEMBATYA E./KISEMBO LEONARD

COMPANY: IRUMU AND ASSOCIATES LTD

TOWN: KAYUNGA/KIBAALE

TITLE: DIRECTOR

| PRIORITY AREAS | CURRENT SITUATION | EXPECTED CHANGE | PROPOSED ACTIONS | STRATEGY | INDICATORS | WHEN CHANGES CAN BE SEEN |
|-------------------------------|--|-------------------------------------|---|---|--|--------------------------|
| Unclear water bills | Customers don't know how much they pay and consume | Customers will know how much to pay | <ul style="list-style-type: none">• Sensitization meetings• Local radio program | Community to know how to read meters and bills reading | <ul style="list-style-type: none">• Increased revenue collection• Public awareness on water use | January 2013 |
| Higher NRW | Non revenue water is high | Reduced NRW | <ul style="list-style-type: none">• Metering of connection• Monitoring system for leakages• Cross checking meter readings | <ul style="list-style-type: none">• Acquisition of meters• Repair of leaks | <ul style="list-style-type: none">• Reduced NRW complaints book introduction• reduced meter reading variation | January 2013 |
| Internal staff unsatisfaction | Internal staff feel that salary not enough | Staff satisfaction | Giving staff allowances and salary increment | Motivation | Improved internal staff performance | February 2013 |