



# TOWN LEVEL ANNOTATED WASH INTEGRITY SCAN REPORT

AGAGO, KALONGO,  
PATONGO



*This report has been developed under the WASH SDG Programme by NETWAS Uganda as a member of the WASH Alliance International, partner of the WASH SDG Consortium.*

# Introduction

This report summarizes the results of the workshop on the Annotated Water Integrity Scan (AWIS) for the WASH supply in Agago district town councils.

The workshop was organized by NETWAS Uganda under the WASH SDG programme on 28th April 2021 at Agago district headquarters. This report presents the results of the application of the AWIS to assess the integrity of WASH supply in the town councils of Kalongo, Agago and Patongo in Agago. This was also to identify priority WASH integrity areas for action. WASH is an important area in Agago and further growth in investment is envisaged to enhance water and sanitation coverage which is now estimated at 70% (Table 1).

The table also gives some data that shows why it is important to explore the integrity situation. Additionally, Agago's rating in the local governments' assessment report 2018/2018 with regards to accountability requirement was quite low.

The workshop came at a very opportune moment when the town councils were developing workplans and budgets, for the financial year 2021/2022. The AWIS is a tool based on dialogue of a small group of workshop participants with experience in the sector and in anti-corruption legislation. It provides a quick assessment of the integrity of the water sector in terms of Transparency, Accountability and Participation (TAP). The definitions for TAP however differ from the way you normally would interpret them. They have been established specifically to explore the mechanisms that govern the activities within the sector and to facilitate scoring TAP according to different integrity levels. The AWIS looks at five critical risk areas (Policy and Legislation, Regulation, Investment Projects and Programmes, Service Delivery and Anti-corruption Legislation).

**Table1: Summary information of the situation in the town councils**

Item	Agago	Patongo	Kalongo
<b>Water supply coverage</b>	68.2%	86.4%	82.5%
<b>Sanitation coverage</b>	55.7%	70.6%	76.2%

## The Participants

Participants at the AWIS workshop held in Agago were drawn from three town councils which include: Kalongo, Patongo and Agago town councils. They included the town clerks, health inspectors and the district officials.

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The participants expected to:

- Understand the AWIS methodology as well as the thinking behind it;
- Learn more about how AWIS could be implemented and rolled out;
- What outputs can be generated in an AWIS workshop;
- How it could trickle down to the various institutions;
- Learn how the AWIS tool could assist in formulation of practical rules and regulations to curb poor governance and corruption in the WASH at town council level.
- See if the AWIS tool to be used in their town councils to enhance good governance in the water sector.



INTEGRITY

# OVERVIEW OF THE INTEGRITY SITUATION

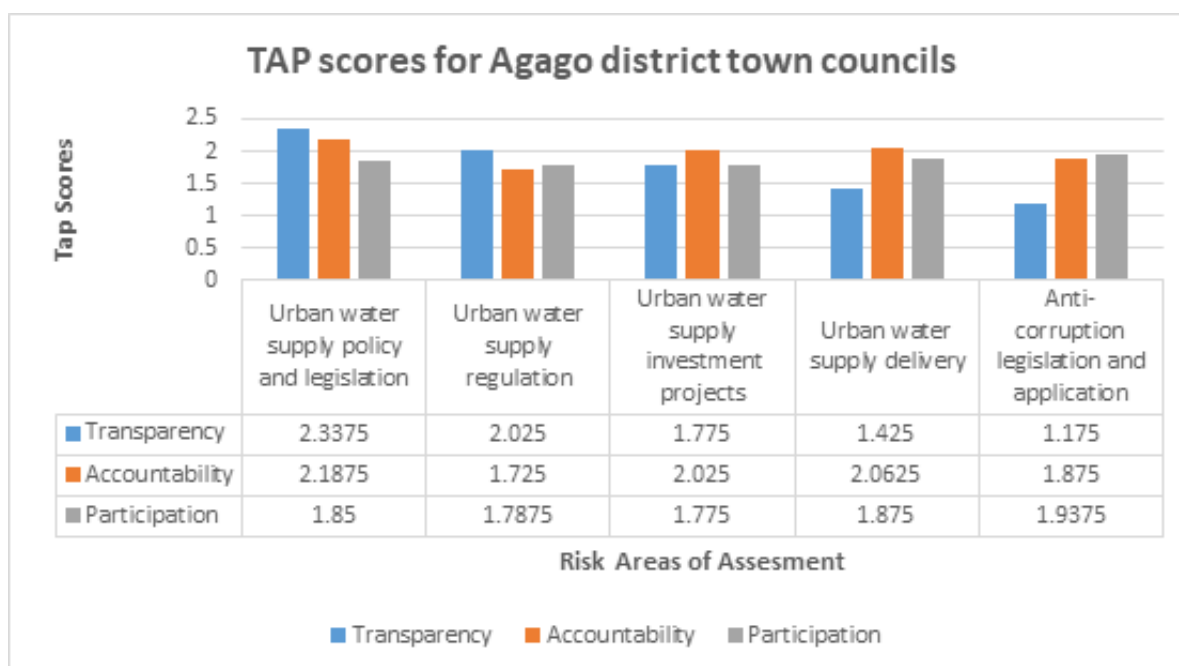
This section provides an overview of how the participants perceived the integrity of WASH supply in the town councils. It is important to realize that the WASH sub-sector in Agago has been subject to considerable changes over the last years since the end of the war. This led to a number of sector changes like water and sanitation access going down as a result of people moving away from the camps back to their homes.

## ASSESSMENT

The Annotated Water Integrity Scan (AWIS) was introduced explaining that the integrity is assessed in terms of Transparency, Accountability and Participation (TAP) of WASH in Agago. The approach implies that participants look at the TAP of the five main risk areas that are being explored in the AWIS. The participants initiated their work with an anonymous scoring of their perception of the situation which showed that differences exist in the TAP of the different risk areas. Average scores were established for TAP of each risk area (see Figure 1). The scores however showed considerable variations indicating that clearly different views existed among participants about the integrity situation.

## ANNOTATED OVERVIEW

The average scores were presented as a basis for the following annotation process. As participants see the situation from their own perspective and may in fact only have partial information it is very common that their scores differ from the average scores. The problem is that integrity often is a difficult subject to discuss and participants may easily become defensive about their scores. To create a dialogue about the situation participants were therefore asked to collectively provide arguments that would make it plausible why people would feel that the situation could be better than the average score that is presented and thereafter they are asked to provide the arguments why the situation could be worse than the average scores. This approach was followed in the workshop in Agago and participants were very enthusiastic as it helped them to exchange views in an open dialogue. The results of this process are presented in tables.



## TAP FOR POLICY AND LEGISLATION (PL) IN WASH SUPPLY

On average the group scored transparency in policy and legislation with 2.3. The T:P&L score is therefore between level 2 in which P&L is partly developed with important gaps and level 3 where only few improvements are needed and P&L is basically well established (inclusive). Table 2.1 provides the annotations collected by the group to explain and complement this scoring result.

The average score of 2.2 for accountability in policy and legislation indicates that P&L application is at the middle scoring level which is defined as it being applied to a fair extent, but still with important limitations and (sections of the) institutions being weak.

Accountability-level 1 implies that PL is hardly applied and few institutions fulfil their role and level 3 implies that P&L is well applied and institutions fit their role and have Anti-Corruption Mechanisms (ACM) in place.

With 1.9 the average score for participation in policy and legislation is slightly below the middle scoring level. The score 2 for P: P&L is defined as information is available but some may not be independently checked or not accessible to all. Stakeholders can express their views and complain. A 1 level would imply that stakeholders have no or very little access to information on P&L and no complaint mechanism. The definition of level 3 says that stakeholders have good access to information, are actively consulted (pro-poor and gender sensitive) and/or represented in decision-making bodies. The annotations for the P:P&L score are listed in table 2.0

TAP	Score	Annotations
<b>Table 2: Annotations for Average score on Policy and Legislation</b>		
Transparency	2.3	<ul style="list-style-type: none"> <li>• Public Health legislation in place but limited to technical staff.</li> <li>• By-laws exist but expires 6 months after enactment calling for consistent renewal hence hindering lower council legislation.</li> <li>• Fines suggested in the laws are low hence no impact</li> <li>• Compromised leaders like the superior technocrats and politicians who are used to sabotage the works of the implementing team</li> <li>• Ordinance formulation takes long</li> <li>• By-laws are difficult to implement as they are usually challenged since they are looked at as merely council resolutions</li> </ul>
Accountability	2.2	<ul style="list-style-type: none"> <li>• Political interference in technical works</li> <li>• The auditors are usually compromised by higher authorities and other parties of interest</li> <li>• Policies and Legislations are in most cases not known to the accused</li> <li>• Lack of physical accountability to the communities by the authorities like the tax collections meant for WASH service provision</li> </ul>
Participation	1.9	<ul style="list-style-type: none"> <li>• No complaint mechanism in place and at times, the aggrieved do not know where to register their complaints</li> <li>• Reports of audit works are not widely shared</li> <li>• Policies are not interpreted and disseminated</li> </ul>

# TAP FOR SERVICE PROVISION (SP) FOR WASH

On average the group scored transparency in Service Provision with 1.4. The T: SP score is in the lowest scoring level meaning that there are no or few or unclear written rules available concerning SP and the rights and duties of suppliers, users and other key actors.

A level 2 would imply that rules of SP are established but have important gaps. Level 3 implies that rules are comprehensively established and only need few improvements.

The average score of 2.1 for accountability in Service Provision indicates that SP application is at the middle scoring level which is defined as it being applied to a fair extent with rules, ACM and audits, but still with important limitations and (sections of the) institutions being weak. Accountability-level 1 implies that SP implies that no rules, audits or water quality delivery are applied and no complaint mechanisms are in place. Level 3 means that rules are applied fairly to all providers and results compared.

With the average score for participation in Service Provision being 1.9, a figure that lies slightly below the middle scoring level. It means that information is available but accessibility may not necessarily be to all and may not be independent.

Stakeholders can express their views and complain. Level 1 can be defined as having little or no access to information. A score of three would mean that stakeholders have access to quality information, are represented in or consulted by decision making bodies and a mechanism for filing complaints exists. The annotations for the SP scores are listed in table 3.0

TAP	Score	Annotations
<b>Table 3: Annotations for Average score on Service Provision</b>		
Transparency	1.4	<ul style="list-style-type: none"> <li>Rules for SP are spelled out in the contract documents but with limitations especially on the roles and responsibilities at the lower local governments</li> </ul>
Accountability	2.1	<ul style="list-style-type: none"> <li>Limited enforcement of ACM</li> <li>Not clear for ACM at district especially regarding IPP</li> <li>No clear penalties for shady work in the contract document</li> <li>Mechanisms of reporting and complaining is very weak.</li> <li>Retention time is only limited to three months which is not enough time to see loopholes.</li> </ul>
Participation	1.9	<ul style="list-style-type: none"> <li>The officers responsible for disseminating the information stay within and don't share. This makes the information abstract and cannot be shared.</li> </ul>

# TAP FOR REGULATION (R) FOR WASH

On average the group scored transparency in Regulation with 2.0. The T: R score is therefore a level 2 which implies that regulations and institutions are fairly well established but important weaknesses and gaps exist. A Level 3 would imply regulations and institutions are inclusive and only a few improvements are needed.

The average score of 1.7 for accountability in Regulation indicates that R application is between the lowest scoring level which is defined as Regulations not or hardly applied as well as few institutions are established and with weak and little ACM in place and the middle scoring level which implies that Regulations are applied with limitations by more or less independent institutions with some internal control mechanisms. A level 3 would imply that R is well applied through a set of comprehensive regulations by institutions with considerable independence and internal controls.

Stakeholders can express their views and complain. A 1 level would imply that stakeholders have no or very little access to information on R and no complaint mechanism. The definition of level 3 says that stakeholders have good access to information, are actively consulted (pro-poor and gender sensitive) and/or represented in decision-making bodies. The annotations for the R scores are listed in table 4.0

TAP	Score	Annotations
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**Table 4: Annotations for Average score on Regulation**

Transparency	2.0	<ul style="list-style-type: none"> <li>• No resources to implement the regulations in place</li> <li>• There is selective application of the existing regulations highlighting the disparities between the rich and the poor</li> <li>• Inadequate human resource for enforcement</li> <li>• Delays in judicial processes and lack of sufficient capacity to administer some punitive measures like holding cells.</li> <li>• Limited access to the legal books</li> </ul>
Accountability	1.7	<ul style="list-style-type: none"> <li>• The justice system is marred by irregularities.</li> <li>• Interest is always on where funding is most especially on the hardware activities</li> <li>• Limited support from institutions like the OAU</li> <li>• So many government investigation arms (OAU, IGG, state house)</li> <li>• Government institutions meant to punish the corrupt are corrupt too</li> <li>• The Uganda audit system is more on management issues than problem solving</li> <li>• Bureaucratic government systems delay service delivery.</li> </ul>



Participation	1.8	<ul style="list-style-type: none"> <li>• No clear information on the billing systems from the water service providers</li> <li>• Not all information is being disseminated as most stays in offices</li> <li>• Audit reports are not shared with the lower local governments.</li> <li>• No inter-sectoral collaboration with regards to WASH</li> <li>• Complaint registering systems are in place as communities know where to report</li> </ul>
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## TAP FOR ANTI- CORRUPTION LEGISLATION (ACL) FOR WASH

On average the group scored transparency in Anti- Corruption Legislation with 1.2. The Transparency for ACL is at Level 1 meaning the there is no or there is very limited ACL in place. A level 2 would mean ACL is partly developed with important gaps and level 3 would imply that rules are comprehensively established and only need few improvements.

The average score of 1.9 for accountability in Anti- Corruption Legislation indicates that ACL application is slightly below the middle scoring level which is defined as it being applied to a fair extent, but still with important limitations and (sections of the) institutions being weak. Accountability-level 1 implies that ACL is hardly applied and few institutions fulfil their role and level 3 implies that ACL is well applied and institutions fit their role and have Anti-Corruption Mechanisms in place.

With 1.9 the average score for participation in Anti- Corruption Legislation is slightly below the middle scoring level. The score 2 for P: ACL is defined as information is available but some may not be independently checked or not accessible to all.

Stakeholders can express their views and complain. A 1 level would imply that stakeholders have no or very little access to information on ACL and no complaint mechanism. The definition of level 3 says that stakeholders have good access to information, are actively consulted (pro-poor and gender sensitive) and/or represented in decision-making bodies. The annotations for the ACL scores are listed in table 5.0 below

TAP	Score	Annotations
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**Table 5: Annotations for Average score on Anti-corruption legislation**

Transparency	1.2	<ul style="list-style-type: none"> <li>• No knowledge of ACL application at lower local governments</li> <li>• The ACL is general for all but far from people, some projects have ACL applied by the IGG office but not all of them.</li> <li>• There is fear in filing corruption cases</li> </ul>
Accountability	1.9	<ul style="list-style-type: none"> <li>• There is understanding of the ACL institutions</li> <li>• Selective application on ACL</li> </ul>
Participation	1.9	<ul style="list-style-type: none"> <li>• No feedback from the Anti-corruption institutions especially on their findings.</li> </ul>

## TAP FOR INVESTMENT PROJECTS AND PROGRAM (IPP) FOR WASH

On average the group scored transparency in Investment Projects and Program with **2.3**. The T: IPP score is therefore between level 2 in which rules for design, procurement and financial audits are fairly well established but have important gaps and level 3 which means that rules are comprehensively established and only need few improvements.

The average score of 2.0 for accountability in Investment Projects and Program indicates that IPP application is at the middle scoring level which is defined as it being applied to a fair extent, but still with important limitations and (sections of the) institutions being weak. Accountability-level 1 implies that PL is hardly applied and few institutions fulfil their role and level 3 implies that P&L is well applied and institutions fit their role and have Anti-Corruption Mechanisms in place.



**Anon functional borehole in one of the town councils of Agago**

With 1.8 the average score for participation in Investment Projects and Program is just below middle scoring level. The score 2 for P: IPP is defined as information is available but some may not be independently checked or not accessible to all.

Stakeholders can express their views and complain. A 1 level would imply that stakeholders have no or very little access to information on SP and no complaint mechanism. The definition of level 3 says that stakeholders have good access to information, are actively consulted (pro-poor and gender sensitive) and/or represented in decision-making bodies. The annotations for the IPP scores are listed in table 6.0

TAP	Score	Annotations
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**Table 6: Annotations for Average score on Investment Projects and Programmes**

Transparency	2.3	<ul style="list-style-type: none"> <li>• There is an established system but there is delay in the procurement process which leads to poor work as contractors try to catch up with the little remaining time in the financial year as they need to be paid in that financial year.</li> <li>• The checks and audits of the work done are easily cleared. Central government projects are closed to local governments which makes monitoring hard (no participation of the lower local government).</li> <li>• Public health technical staff are not involved in the design, siting and operation as well as maintenance of both the government and development partner projects which at times hinders functionality.</li> </ul>
Accountability	2.0	<ul style="list-style-type: none"> <li>• Contractors limit the investment capital to save more hence hindering quality of work especially Water projects.</li> <li>• The quality assurance team is not efficient enough to punish culprits.</li> <li>• Lack of enforcement especially IPPs</li> <li>• No clarity on where and to whom to report shady work</li> <li>• Sub county leaders have limited capacity to effectively monitor investment projects and work done by the contractors.</li> <li>• Lower government technical staff with the capacity are usually by passed in the project design and implementation (they cannot complain as they will be charged with insubordination).</li> <li>• Conflict of interest during tendering of the projects by some staff and political leaders.</li> </ul>
Participation	1.8	<ul style="list-style-type: none"> <li>• Public health staff not involved in sensitization activities which affects ownership.</li> <li>• Information on projects from the district and the center are not properly disseminated.</li> <li>• Lower local government staff limited to witnessing projects rather than full involvement in the process.</li> </ul>



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## WAY FORWARD

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- There is need for training of town councils and communities where the by-laws come from. This should be followed up with sensitization on the 6 months expiry of the by-laws. The process for renewal needs to be expedited so as to fast track the renewal process. Added to the above, the by-laws can be backed up by a court order which does not expire. This implies that enforcement is done basing on the court order which does not necessitate renewal even after the expiry of the law.
- All the district town councils should work in unison to come up with one by law.
- The communities need to also be sensitized WASH rights and policies. That is to say, sensitization should be done at lower levels so that they can know all the rights, policies and laws. Dissemination should not stop at just the district.
- The AWIS concept should be extended to all stakeholders including both the technical and political wings of the district leadership. To further support their learning, members of the town council and district leadership should be facilitated to have learning visits to areas where the AWIS concept has worked well.