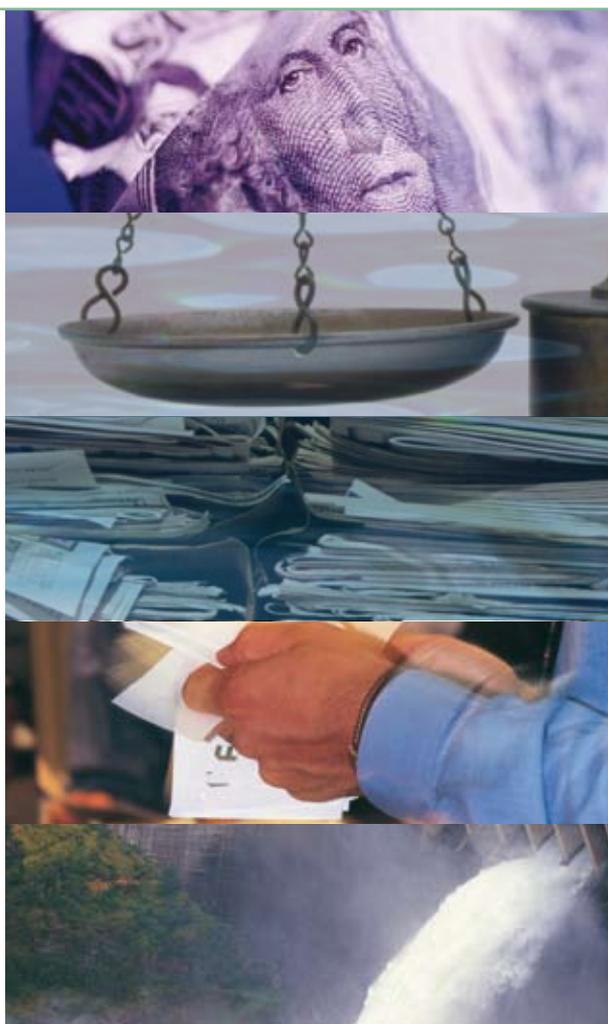




# TRAINING MANUAL ON WATER INTEGRITY

## FACILITATOR'S GUIDE





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## MODULE 1: WATER GOVERNANCE

**RATIONALE:** Strengthening accountability and transparency is ultimately about strengthening governance systems, mechanisms, institutions, tools and practices. It is therefore important that learners have a sound understanding of the main elements of governance and its institutional framework in the water sector. The introduction to Integrated Water Resources Management (IWRM) sets the scene for exploring concepts of governance and the institutional framework for water.

**DURATION:** 4 hours

### Learning objectives

By the end of this Module, learners will:

- Be familiar with the key tenets of Integrated Water Resources Management (IWRM)
- Understand the concept and elements of governance, good governance and water governance
- Have a working knowledge of the roles and functions of water resources and water services institutions in their countries
- Have a working knowledge of the factors that enable effective water governance

### Learning methods

#### Session 1: Introduction to IWRM (1 hour)

**Step 1:** Introduce the rationale and learning objectives of this Module.

**Step 2:** Facilitate a plenary brainstorm on 'what we know about water resources' and 'what we know about water governance'. Capture learners' contributions on a flipchart as a basis for the need for integrated water resources man-

agement (IWRM) and the need to strengthen transparency, accountability and good governance. For example, learners may note that water resources are finite, scarce, depleting, limited, expensive, governed by many different institutions, needed by everyone (competing users), and so on. They may also note that water governance is inadequate, corrupt, in a crisis, water resources are not properly managed, water delivery is not adequate, and so on. All of these are reasons why water resources and water services need to be managed in an integrated way and need to be governed properly.

**Step 3:** Facilitate a plenary brainstorm on 'so what then is IWRM'? Write the learner's contributions up on a flipchart, and use these contributions as a basis for an introduction to IWRM, using the CapNet IWRM tutorial and or the CapNet IWRM PPT presentation.

**Step 4:** Wrap up the session with a discussion of examples of IWRM activities and initiatives from learners' countries, reiterating how IWRM aims to strengthen water governance and the protection, management and equitable and sustainable management of water resources.

#### Session 2: Introduction to water governance (1.5 hours)

**Step 1:** Ask learners' to capture how they understand 'governance' in one sentence on a card. Place the cards visibly on a wall and use their ideas as a basis for an introduction to 'what is governance' using the

**Step 2:** Given the definition and key concepts of governance, ask learners to work in pairs or threes to identify one example of 'good governance' from their experience. During their feedback to plenary, capture the key elements of each example, and use it to illustrate the 'good gov-

ernance' definition in the Training manual on Water Integrity, Module 1.

- Step 3:** Summarise governance and good governance, and facilitate a plenary brainstorm on 'water governance', summarising using the Training manual on Water Integrity, Module 1.
- Step 4:** Given insights into governance, good governance and water governance so far, ask the learners to work in small groups to identify five (5) factors or principles that they feel would enable good water governance. Add to their feedback with the Training manual on Water Integrity, Module 1, and an interactive presentation of the Module 1 PPT "Water governance and institutions".
- Step 5:** Summarise the session by facilitating a plenary discussion on the ways in which governance and transparency and accountability are linked, with reference to their examples from step 2 as appropriate.

### Session 3: Institutional frameworks for water resources and water services (1.5 hours)

- Step 1:** Recap the three components of water governance from session 2, namely (i) the policy and legislative framework, (ii) institutions and (iii) decision making and regulatory mechanisms.
- Step 2:** Ask the learners to work in country groups as appropriate and to draft a list of (i) the names of the main pieces of legislation and policy that govern water resources and water services in their countries, (ii) the main water resources and water services institutions in their countries, and (iii) the main tools and mechanisms used for water related decision making and regulation. Once they have fed this back to each other, move to step 3.
- Step 3:** In the same groups, ask the learners to revisit the list of water institutions in their countries, and to draw an organogram/ picture of how they all fit together and interact. Use the South African water sector organogram in this module as an example if needed.

**Step 4:** Following feedback from the groups, facilitate a plenary reflection on what learners notice from looking at these pictures/ organograms. The learners may notice that institutional frameworks have weak links to users; that there are stronger and weaker linkages between the various institutions; that water resources and water services institutions are often separate and distinct, and so on. Summarise with input for this session in the Training manual on Water Integrity, Module 1.

**Step 5:** Based on their observations and the enablers of effective water governance, ask the learners to work in the same groups to identify the potential governance and institutional weaknesses and gaps, and generate ideas for ways in which these gaps could be addressed and accountability and integrity can be strengthened through for example capacity building, awareness raising, better systems and tools, or legal or policy reforms.

**Step 6:** Summarise this module with reference to feedback from the groups, making links to additional strategies and approaches to strengthen governance that will be covered in the modules to follow.

**Step 7:** For homework, in order to prepare for Module 2, ask the learners to:

- Prepare to present an example of water sector corruption from their countries using a news cutting, a story, a role-play, photographs, a map, or any other way to share their example.
- They should also read the SIWI Policy Brief "Corruption risks in Water Licensing", outlining the water licensing corruption in Kazakhstan and Chile. Any learners unable to think of their own examples should share the Kazakhstan or Chilean examples.

## MODULE 2: CORRUPTION IN THE WATER SECTOR

**RATIONALE:** The purpose of this Module is to strengthen learners' working knowledge of the types, costs, impacts and drivers of corruption, with a specific focus on water sector corruption. This knowledge is essential to properly identify corruption risks and to plan and implement anti corruption strategies and actions.

**DURATION:** 6 hours

### Learning objectives

By the end of this Module, learners will:

- Have a working knowledge of key terms and concepts in corruption and anti corruption
- Understand why and how water sector corruption happens
- Be able to locate where particular types of corruption occur within various water sub sectors
- Understand the costs and impacts of corruption
- Have increased insight into the effects of corruption within a human rights framework
- Understand the incentives, disincentives and socio-economic factors that drive corruption

### Learning methods

#### Session 1: Defining terms and concepts (1.5 hours)

**Step 1:** Introduce the rationale and learning objectives of this Module. As the aim of this exercise is to strengthen our working knowledge of corruption, it is important to stress that we will be working with real examples and will adopt an experiential learning approach.

**Step 2:** At the end of Module 1, learners were asked to prepare to present an example of water sector corruption from their countries using a news

cutting, a story, a role-play, photographs, a map, or any other way to share their example. There were also asked to read the SIWI Policy Brief "Corruption Risks in Water Licensing", which outlines the water licensing corruption in Kazakhstan and Chile. Any learners unable to think of their own examples should share the Kazakhstan or Chilean examples. In small groups, the learners will share their examples. Each participant should come up with a short title for their presentation and speak for 4–5 minutes. Each group is then asked to agree on one example to share in plenary. The plenary report back should include a short description of the example, why they chose it, and note anything in particular they learnt from hearing and sharing the examples. At the end when each group reports back, the short title for the example should be written on a card.<sup>1</sup>

**Step 3:** Present slides 1–8 of the Module 2 PPT. Augment your input with the content provided in this document.

**Step 4:** Facilitate a plenary discussion to link learners' examples from step 2 with the common forms of corruption.

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<sup>1</sup>In order to stimulate discussion on social dilemmas, include the following example of corruption: "Mr. and Mrs. X live in the countryside with their five children. The last several years have been difficult for them as there have been many problems to get water to irrigate their paddy field. The upstream water user, Mr. Y, is the local big farmer and seems to dictate when water is released. Locally it is said that Mr. Y keeps the local officials in his pocket and hands out benefits to them. If the water is not coming in the right time this year it can mean that yields will shrink which will lower the income for family X. It will then be difficult to pay school fees and health bills for their children. Last year Mr. X was approached by one of the local officials who made it understood that water can be released at the right time and of the right amount in case some "extra" fees are paid. Mr. and Mrs. X are now discussing if they should pay this "extra" fee or not.

**Step 5:** Place the example cards out of sight (e.g. behind a screen) and designate two coloured cards, one colour for 'yes, this is corruption', and one colour for 'no, this is not corruption'. Then explain that even when we've defined and agreed on what constitutes corruption, in our private thoughts we may wonder whether a practice that is perhaps so common and widespread is actually corrupt? Learners then get an opportunity to vote in secret whether they think each example is really corruption or not. You can then share the overall result and reflect in plenary on what these votes indicate about our understanding of corruption. Explain that this issue will be revisited at the end of the Module.

### **Session 2: Locating types of corruption within the water sector (1 hour)**

**Step 1:** Following a plenary brainstorm on why learners think there is corruption in the water sector: provide a short introduction on why and where corruption emerges (use the content provided in this module) Highlight the key features of the water sector that provide opportunities for corruption, e.g. large scale infrastructure investment, monopolistic structures, weak regulatory mechanisms, relatively low capacity, and so on.

**Step 2:** Present slides 9 and 10 of the Module 2 PPT. Refer to examples raised by the learners in session 1.

**Step 3:** In small groups, ask participants to place their examples within the corruption framework/matrix. Facilitate a plenary discussion where they report back. Conclude with a summary of what they found and the potential uses of the framework or matrix as a tool to identify corruption risks, and note that this will be the focus on the next Module (3).

### **Session 3: The costs and impacts of corruption (1.5 hours)**

**Step 1:** Introduce the session. Explain that you will explore the costs and impacts both of corruption in general, and specifically within the water sector. In this session, we will explore the costs and impacts of corruption from different perspectives. We will unpack the economic and social costs.

**Step 2:** Divide the learners into two groups. The first group will brainstorm and report back on the costs and impacts of corruption overall, and the second group will brainstorm and report back on the costs and impacts of corruption within the water sector specifically. Facilitate a plenary discussion based on this feedback, and cluster the points raised under different headings, such as 'economic costs and impacts', 'environmental costs and impacts' and 'social costs and impacts'. You can also include sub-headings such as 'impacts on the poor', 'impacts on health' and so on.

**Step 3:** Present slides 11–20 of the Module 2 PPT on the costs and impacts of corruption. Note the points raised by the groups, and add to their ideas with information provided in this module.

**Step 4:** Following any further discussion, summarise with slides 21–23 of the Module 2 PPT. Ask participants to reflect on whether they agree that corruption is a human rights issue.

### **Session 4: Drivers of corruption (2 hours)**

**Step 1:** Introduce the session on drivers of corruption: So far we have clarified terms and concepts, and we've identified where and how corruption occurs in the water sector, and in the last session we unpacked the costs and impacts of corruption. The question that we haven't explored is why? What are the drivers of corruption? Understanding the costs, impacts and drivers is essential in order to identify risks and design strategies and actions to prevent and address corruption. Present and discuss the drivers that perpetuate corruption in the water sector in points 1–8 in the Training manual on Water Integrity, Module 2.

**Step 2:** Divide participants into two smaller groups. Explain that this session involves a role play. Ask the first group to select five members to be part of an expert panel on the causes of corruption. The other group will be the audience. The group with the panellists should identify people to role-play: (i) a political scientist who will respond to questions about the political causes for corruption; (ii) an anthropologist who will respond to questions about the social and cultural factors that can influence corruption; (iii) an economist to respond to questions that refer to the economy; (iv) a meter reader, and (v) a

water user that has resorted to paying bribes for extensions, 'better' meter readings, and so on. The group that will be the audience should prepare questions for these various experts.

- Step 3:** Facilitate a panel discussion. Make sure the group adheres to overall ground rules, and capture key points made under the headings 'economic drivers', 'political drivers', 'socio-cultural drivers', 'supply side drivers' (the meter reader) and 'demand side' drivers (the water user).
- Step 4:** Debrief the panel with a presentation on the key points you have captured. Add your own comments to this presentation using Training manual on Water Integrity, Module 1 under session 4 and slides 24–29 of the Module 2 PPT.
- Step 5:** In closing this Module, revisit the secret votes on which examples did or did not constitute corruption and ask the learners to vote again. Summarise with main points covered and highlights.

# 3

## MODULE 3: IDENTIFYING CORRUPTION RISKS

**RATIONALE:** The Global Corruption Report 2008 recommends that information on the corruption risks for all activities in the water sector needs to be gathered through appropriate assessments. Understanding different types of corruption and where and how they occur is the core of a useful corruption risk assessment. This allows early warning indicators to be identified that can be used to diagnose potential problems, and to link problems to the right kind of preventative actions. The practical exercises in this Module focus on mapping as a tool for corruption risk assessment, and three other examples of tools for identifying corruption risks are also explained.

**DURATION:** 4 hours

### Learning objectives

By the end of this Module, learners will:

- Understand the value of a thorough assessment of corruption risks before planning or implementing preventative or mitigating actions.
- Have a working knowledge of two corruption risk assessment tools, the corruption interactions framework and the corruption risk assessment.
- Be comfortable with using corruption risk mapping to identify corruption risks in the water sector in their country contexts .
- Be aware of other tools for identifying corruption risks.

### Learning methods

#### Session 1: Why assess corruption risks? (30 minutes)

**Step 1:** Introduce the rationale and learning objectives of this Module. Facilitate a plenary brainstorm on the 'why should we assess or analyse corruption risks?' Capture the learners' ideas on a flipchart.

**Step 2:** Add to the learners' contributions with the content in session 1 in this module.

#### Session 2: Using the corruption interactions framework (1.5 hours)

**Step 1:** Recap the learners' (and other) examples of corruption using the short title cards from Module 2, session 1.

**Step 2:** Recap the definitions of different types of corruption and link each learner example to a type or more than one type of corruption where appropriate.

**Step 3:** Present the value chain framework of corrupt interactions in the water sector using examples to illustrate.

**Step 4:** Explain that using the framework involves locating types of perceived or known corruption to the appropriate cell, specifying the type of corruption (checking definitions) and the parties (always at least two) involved. Specific types of corruption may well span one or more levels, and more than one column. Typically aspects of state capture and grand corruption will cluster in top left corner of the framework with petty corruption towards the right hand corner. You can illustrate this point by presenting the simplified version of the value chain framework, also in the Training manual on Water Integrity, Module 3 under session 2. Note that early warning signs and potential actions/ tools to prevent different types of corruption can be identified in additional columns, and this is the main objective of the next Modules.

**Step 5:** Where possible, cluster learners into country or regional/ provincial groups, and ask them to use their examples to complete the framework of corrupt interactions in the water sector. If there is a shortage of water resources related examples, one group should use the "Corruption risks in Water Licensing" example from Kazakhstan and another from Chile, using the case material distributed and used in Module 2.

**Step 6:** Facilitate a plenary report back and discussion, highlighting the key lessons learnt concerning the use and value of the framework and how they can apply it in their work.

### Session 3: Using the corruption risk map (2 hours)

**Step 1:** Present the 'Illicit conduct' list described in the UN Convention on Corruption.

**Step 2:** Divide the learners into groups of 5–8 learners. Ask each group to select one example of corruption. The example should link up with the illicit conduct list, and should comprise a number of different types of corruption. Where possible, water resources related examples should be used. If none are available, the water licensing can be used.

**Step 3:** When using the corruption risk assessment tool, have the learner whose example has been chosen (or who knows the example best) be the interviewee. The other learners will work together to complete the risk assessment process in a step by step manner.

**Step 4:** Explain the table of sector processes and sub processes as set out in Step 1 of the risk mapping exercise in the content section for this session.

**Step 5:** Using the content section for the corruption risk map as a handout, explain each step and then assist the groups to practice them using their selected examples.

**Step 6:** Once the learners have got to the end of the third step in completing the matrix, ask them to report back to plenary, and facilitate a discussion about the usefulness of the tool to their work. Have them compare and contrast this tool with the corruption interactions framework practiced in session 2.

**Step 7:** Summarise with key lessons and applications of these tools, i.e. the corruption interactions framework and the corruption risk map.

**Step 8:** As noted, the corruption risk map is one tool for mapping and diagnosing corruption risks, which has been selected and used throughout the course as a basis for planning anti corruption initiatives. There are many others in development. Use the content at the end of session 3 to present an overview of three other examples, namely: (i) WIN's Annotated Water Integrity Scan (AWIS); (ii) the Ugandan water integrity studies, lead by the Ministry of Water and the Environment<sup>1</sup>; and (iii) the utility checklist.

<sup>1</sup>The participatory water integrity studies combined a qualitative 'risk and opportunity mapping study' with a nation-wide quantitative baseline survey to update the sectors' anti-corruption action plan. Similar research is now being replicated in other countries.



# 4

## MODULE 4: ANTI CORRUPTION LAWS, INSTITUTIONS AND INSTRUMENTS

**RATIONALE:** The primary learning objective of Modules 4–6 is to explore the use of various tools and actions for promoting integrity and transparency in the water sector. In this Module, learners have the opportunity to think through the practical application of anti corruption laws, instruments and institutions in the wider governance environment within their own country.

**DURATION:** 3,5 hours

### Learning objectives

By the end of this Module, learners will:

- Understand how international anti corruption laws, instruments and institutions can be used as tools against corruption and explore practical applications to combat water sector corruption
- Be able to identify various international instruments that address corruption and their importance for the water sector
- Understand the role of institutions in promoting accountability. This includes anti-corruption commissions, the ombudsman, prosecutors, courts, accounting and auditing functions, the media, NGO's, and civil society.
- Understand the core elements of freedom of information laws

### Learning methods

#### Session 1: Legal anti corruption instruments (1 hour)

**Step 1:** Introduce the rationale and learning objectives for this Module and facilitate a plenary brainstorm on the names of international and

national laws that can be used against corruption. Capture these on a flipchart.

**Step 2:** With reference to this list and Training manual on Water Integrity, Module 4 in the learner handouts provided, present slides 1–20 of Module 4, and facilitate a plenary discussion on the questions on slide 21.

**Step 3:** Discuss in plenary how international conventions can be used to hold governments accountable on matters of anti-corruption performance, e.g. through peer pressure (government to government) at the international level; through public pressure at the international level (especially in intergovernmental meetings to discuss the convention); and through public pressure at local level (Source: WIN). Participants should elaborate on the steps they would follow to use international conventions as advocacy tools to address pressing water sector issues in a particular country context.

#### Session 2: The role of institutions (1.5 hours)

**Step 1:** With reference to the Training manual on Water Integrity, Module 4 and examples from the learners' country contexts, present slides 22–30 of Module 4.

**Step 2:** Divide the learners into two groups in keeping with countries.

Group one discusses the Lesotho Highlands Water project case and answers the following questions:

- How does the UN Convention against Corruption operate in the Lesotho case?
- If your country were to confront a similar case, what are the appropriate institutions to tackle this, and how? It might be useful to

think beyond public institutions and discuss the role of the media, civil society and NGOs.

- Given the examples of corruption we've been working with throughout the course, are there any examples that could be tackled using a similar approach? If so, how?

Group 2 is assigned to revisit the institutional maps developed in session 3 of Module 1. They should choose one with most relevance to them, and use the maps to:

- Identify governance gaps and challenges in the context of a specific country
- Identify the existing links between water management, water services institutions and anti corruption institutions
- Brainstorm ideas on ways to address these gaps. This could include, for example, policy review, anti corruption agencies, oversight mechanisms, or any of the other institutions and strategies covered in this session.

As covered in Module 1 session 3, please consider the following points when assessing governance gaps and challenges:

- Water management and water services institutions are completely different and rarely linked up. This is one of the challenges of IWRM and of anti corruption in the water sector.
- All institutions need mechanisms and systems to enable the voice of citizens/ users to be taken into account in the planning, allocation, regulation, management and provision of water resources and water services.
- Problems in management and governance go beyond technical challenges. Institutional reform is often needed to create correct policies, viable political institutions, workable financing arrangements, and self-governing and self-supporting local systems. Institutions are often rooted in a centralised structures for decision making with fragmented subsector approaches to water management, and local institutions that often lack capacity. Awareness on water issues in political organizations is in many cases limited and/or of low priority.
- Clarifying clear and separate roles and responsibilities between and within institutions is a key aspect of water sector reforms. These reforms have the potential to help prevent corruption, but could also make matters worse if mis-handled. New organisations and new interfaces between organisations can create new opportunities for corruption to emerge. Regulators are key and these are becoming more widespread. However,

a good regulatory framework does not necessarily mean good regulation. A clear distinction between the functions of government, for example, as a provider of services and as a regulator to ensure those services are properly delivered is important. However, effective regulation systems requires both the capacity to regulate and political will to ensure compliance. Weak regulation results in poor performance, poor management, malpractices and inefficient services.

- It is important that the 'player' role of water services providers, is accounted for separately from the 'referee' role of water services authorities, such as local government and regulators.

**Step 4:** Use the feedback from the groups to summarise the role of institutions in strengthening accountability for effective water management and water services.

### Session 3: Assessing legal and institutional frameworks for integrity and accountability (1 hour)

**Step 1:** One example of a review of anti corruption laws and institutions is the SADC integrity and accountability mapping exercise supported by SIWI. Present the SADC accountability mapping PPT and facilitate discussion on points of clarity.

**Step 2:** In small groups, learners select one country whose national context is most relevant to their work. Each group undertakes a similar mapping exercise and formulate informed recommendations to strengthen integrity, accountability and transparency in the water sector in that country.

Each group should consider:

- The main laws, policies and processes related to prevention and anti corruption
- The main institutions (refer here to work done in session 2)
- Awareness, governance, policy and capacity gaps concerning water sector accountability and transparency
- The main recommendations for addressing these gaps

**Step 3:** Use feedback from the groups to summarise the main lessons learned in their evaluation of the use of anti corruption laws, and institutions and instruments for tackling and preventing corruption in the water sector in each national context.

# 5

## MODULE 5: TRANSPARENCY AND ACCESS TO INFORMATION

**RATIONALE:** This Module explores practical actions to strengthen transparency. Knowing what information is needed and how it can be accessed is necessary to prevent corruption and mitigate risks. The purpose of this Module is to highlight the role of transparency and access to information in the water sector through a range of case examples and tools. It will focus on the processes and procedures involved in infrastructure planning, construction and post construction, and actions to improve transparency in the water sector.

**DURATION:** 5,15 hours

### Learning objectives

By the end of this Module, learners will:

- Understand the role of transparency and access to information in preventing, identifying and mitigating corruption in the water sector.
- Have identified the types of information needed to prevent corruption through infrastructure development and service provision processes and procedures.
- Have a working knowledge of a range of tools and activities to strengthen transparency and prevent corruption.
- Have identified early warning signs and actions to improve transparency using examples within the national context of their country.

### Learning methods

#### Session 1: Transparency and access to information (15 min)

**Step 1:** Write up the quotes from Article 19 of the Universal Declaration of Human Rights (from the Training manual on Water Integrity, Module

5) on a flipchart. Introduce the rationale and learning objectives for this Module, and through a plenary brainstorm, refresh earlier learning on the definition of transparency (Module 2) and the access to information laws (Module 4).

#### Session 2: Transparency in water infrastructure development (2 hours)

**Step 1:** The purpose of this session is to identify phases and activities in infrastructure development projects or programmes that are most vulnerable to corruption, and the kind of information that helps to reduce corruption. Through a plenary brainstorm, write up the typical phases of a water infrastructure development project on a flipchart, including the main activities that take place in each phase (using the content for this session). Divide the learners into 3 groups, one that will work with the preparatory phase, one with the procurement and contracting phase, and one with the implementation and operation and maintenance phases.

**Step 2:** In their groups, the learners should (i) identify which activities in their phase/s are most vulnerable to corruption, including a description of the types of corruption, and most importantly (ii) identify what information is needed to reduce or prevent each form of corruption.

**Step 3:** The groups should share the lists of information needed to reduce the risk of corruption. Facilitate a plenary discussion on where, from whom, and how this information can be obtained. Public access to procurement information is governed by the Public Procurement laws of different countries. Where these laws do not comply with Freedom of Infor-

mation Laws, facilitate a group discussion on actions to influence or enforce public access to procurement information under the Freedom of Information law.

- Step 4:** Ask the learners to reflect on how their own organisations promote access to information to the public. For example, do they have an information officer in place? How long does it take to address a request for information? Is their website updated frequently and what information is published there? Where are invitations to tender opportunities announced?
- Step 5:** Lead a facilitated discussion on actions proposed to improve access to information, from sector organisations, and the learners' own organisations. The feedback on this reflection should be summarised and written down.
- Step 6:** One potentially powerful tool for preventing corruption in procurement is the Integrity Pact. Share the example from the Training manual on Water Integrity, Module 5, and ask learners to reflect on the factors that need to be in place for an Integrity Pact to be initiated and implemented in their own country contexts. Let them share in country groups and summarise the session with a discussion on the use of integrity pacts for reducing corruption in procurement.

### Session 3: Freedom of Information in action (2 hours)

- Step 1:** Divide the learners into two groups. Distribute the IRC role play guide NGO WASH Justice to the one group and New Town Water Supply Board role play guide to the other group. Allow time for groups to read the guides, respond to questions for clarification, and allow them to assign roles and prepare their role plays.
- Step 2:** While the role-plays are enacted, write up key points for discussion on the measures taken, the constraints to access to information and creative ways to address these constraints. Make sure to include the impacts of accessible information, both from the perspective of the provider and NGOs.
- Steps 3:** Debrief all participants on the outcomes of the role play and document the key lessons regarding Freedom of Information and its practical application.

### Session 4: Taking action to strengthen transparency (1 hour)

- Step 1:** Using the examples of actions to strengthen transparency and integrity in the content section, explain what each example entails and illustrate with learners' experiences.
- Step 2:** In session 2 of this Module, the learners identified the information needed to reduce the risk of corruption and where, from whom, and how this information can be obtained. They were also asked to reflect on how their own organizations promote access to information to the public. Ask them to work in the same groups to identify early warning signs of corruption risks and come up with action plans to strengthen transparency and access necessary information in their own organizations/sector.
- Step 3:** Based on feedback from the groups, summarise the Module using the Training manual on Water Integrity, Module 5.

# 6

## MODULE 6: ACCOUNTABILITY

**RATIONALE:** The learning objective of Modules 4–6 is to explore the use of various tools and actions for promoting integrity and transparency in the water sector. The aim of this Module is to strengthen learners' knowledge of political and administrative accountability in the water sector, and how to improve accountability through the use of different tools and approaches.

**DURATION:** 6 hours

### Learning objectives

By the end of this Module, learners will:

- Understand the different dimensions of political and administrative accountability and how actions taken by citizens can strengthen accountability in the water sector.
- Understand the respective roles of the state, service providers and citizens to ensure accountability in public service delivery, and how this applies to the water sector.
- Have explored accountability within the context of IWRM.
- Have explored case examples of actions to strengthen accountability in the water sector.

### Learning methods

**Session 1:**  
**Concepts, coalitions, contracts and compacts**  
**– What is accountability all about? (1.5 hours)**

**Step 1:** Introduce the learning objectives for this module and ask the learners to work in groups of 3 to define accountability. What is accountability all about?

**Step 2:** Based on their feedback, fill in any gaps on the key concepts in accountability. Draw your

input from the content in this module to supplement your presentation of slides 1–14.

**Step 3:** In session 1 Module 1 learners developed country specific maps/ organograms of key water sector institutions, and developed these further in session 2 of Module 4. In this session, using these maps, ask the learners' to work in the same groups to plot the lines of accountability between the various water sector institutions. Remind them to include all three main types of accountability (political administrative, financial).

Is the line of accountability:

- Based on a contract, e.g. between water users and service providers, for the provision of a service? (a contract could be depicted using a dotted line)
- Based on voice, e.g. elected political representation. In the case of IWRM, catchment committees or river basin organisations are often intended as representative bodies, where various water user groups formally or informally elect representatives of their interests in the activities of the river basin organisation. This is also an example of voice. (voice could be depicted by a different colored dotted line)
- Based on a compact, e.g. where a public institution has oversight over another public institution, e.g. a regulator over a water utility, or a national department or ministry over a decentralised department or municipality. (compact could be depicted by a solid line)

**Step 4:** Once the groups have depicted the accountability lines, ask them to discuss the opportunities and constraints of each of the three different types of accountability from the perspective of water user groups.

For example, contracts usually contain clear performance criteria to which services provid-

ers can be held accountable. If these criteria are not known to the users, however, they are not able to hold service providers to account. Public institutions are bound by legal and policy frameworks to hold each other accountable, but it is only through knowledge of these provisions that users are able to strengthen public accountability. While the intention of voice is to ensure that users' rights and interests are safeguarded and that policy makers are held accountable, elected representatives may be sidelined by technical and administrative constraints, or may not act in the interests of stakeholder groups they represent.

**Step 5:** Using the feedback from the groups, summarise the identified opportunities and constraints to the group. Facilitate a plenary discussion on the similarities and differences between accountability issues in water services institutions and water resources institutions. One of the key points to note is that there are more contractual accountability relationships in water services provision, and more voice-related accountability relationships in water resources management. This has implications for the approaches and tools needed to strengthen accountability within and between these sectors.

## Session 2: Strengthening accountability – Tools and actions (1.5 hours)

**Step 1:** With reference to inputs from the learners, present slides 15–26 of Module 6 using the content for this session on tools and actions to strengthen accountability in the water sector.

**Step 2:** Using the opportunities and constraints identified in session 1, discuss the content on combating corruption during IWRM reform using the content in this Module.

**Step 3:** Using their institutional maps, ask the learners' to select two key institutions and discuss what practical actions these institutions can take to promote accountability.

For example:

- Regulators have ultimate oversight over the performance of water institutions. They can promote accountability by supporting water users' monitoring and feedback on the performance of water utilities, water associations and other water sector institutions. Regulators can also ensure that standards

and by-laws are in place; consistent with national level policies and plans, and that these by-laws and standards are adhered to in contracts with service providers.

- Utilities and water services providers can ensure they have good customer relations and communications systems in place. They can also ensure that they have effective financial management and monitoring systems in place.
- Water user associations can ensure that all water user groups in their areas are adequately represented and that their voices are heard in planning and decision-making on the allocation of water resources to various user groups.
- National ministries and departments can ensure that legal and policy frameworks enable and promote accountability within and between decentralised water sector institutions and water users.
- Water users can engage with political representatives and mobilize access to the information they need to effectively monitor and give feedback on water resources and services activities that affect them.

**Step 4:** Ask the learners to select one of the PACTIV actions they think would be the most useful to strengthen accountability between their water sector intuitions. In groups, ask them to discuss how they would go about implementing the selected action within the context of their country's specific reality.

**Step 5:** Facilitate plenary feedback from the exercise and summarise with key learning points.

## Session 3: Leveraging accountability: Citizen action, citizen voice (2 hours)

**Step 1:** Use the accountability triangle to illustrate that this session will cover two cases of citizens' engagement with policy makers and water service providers towards better accountability.

**Step 2:** To ensure citizens' voices are heard in policy decisions and water services provision, more organised and concerted participation is required. Present the content on participation in the content for this session.

**Step 3:** Distribute and discuss the WIN Case Information Sheet on Uganda No. 3 of 2009 and present the PPT on the Zambian Water Watch Groups as two examples of active citizen and

consumer participation to strengthen accountability in the delivery of water services.

**Step 4:** Divide the learners into 2 groups. The one group will explore the Zambian example and the other the Ugandan example. Each group should discuss the following questions: What conditions do you think need to be in place for this kind of citizen's action to be put in place and remain effective? Are these conditions in place in the water sector in your country? What are the barriers to citizen action? What can be done to address these barriers? What is needed to keep these initiatives going?

**Step 5:** Through feedback from the group exercise, facilitate a discussion on the advantages and disadvantages of both approaches. In the Ugandan example, citizens are leading and in the Zambian example, the Regulator leads.

Some key points to make:

- An enabling environment and political will is required: Regulator led and supported accountability initiatives usually happen within the context of sector reform, and usually follow civic action or engagement. Regulator or government lead user platforms may be more sustainable..
- But political support must be secured; training and awareness raising is needed at all levels – for users, user groups, CSOs, councillors/ politicians, service providers and officials; energy and time is required to for all actors to buy in to a 'partnerships for improved service delivery' paradigm and to keep the momentum going.
- Positioning is also important: Citizens need to feel that user platforms are credible and that have some ownership over them.
- It is important to think about whether or not user groups and platforms are: (i) an arm of the Regulator (ii) delegated by the regulator to the authority/ provider, or (iii) autonomous The selection criteria and processes for welcoming the users that comprise these platforms must also be carefully considered.

**Step 6:** Close the session by facilitating a discussion on whether the different examples of citizen action are applicable in the learners' country contexts.

#### **Session 4: Enabling and raising citizens voice (1 hour)**

**Step 1:** Divide the learners' into two groups: One group will represent civil society organisations and the other will play the role of water sector institutions, such as utilities and regulators.

**Step 2:** Both groups will create a scenario in which they aim to improve accountability within a specific water related activity in their area. This activity could be the construction of a multipurpose dam, the implementation of new water supply infrastructure, the extension or upgrading of existing infrastructure, the establishment of a river basin organisation, etc.

Ask the civil society group to plan how they would go about setting up water watch/ user groups. What are the aims and objectives of the user groups? What do they want to monitor and why? Who would they partner with? How would they select the representatives in the user groups? What information do they need and from which institutions?

Ask the water sector institution group to list the actions they would take to improve accountability in the implementation of the water related activity. For example, they could support the establishment of a user platform or forum, they could make their plans and budgets publicly accessible, they could create a help desk, or a call centre, or they could strengthen stakeholder consultation processes. The Utility checklist will provide some useful ideas.

**Step 3:** Based on the plenary feedback from both groups, facilitate a discussion on the actions and tools that strengthen accountability in the water sector and water related activities, summarise useful learning points, and close the session.

## MODULE 7:

# INTEGRITY IN INTEGRATED WATER RESOURCES MANAGEMENT (IWRM)

**RATIONALE:** The aim of Module 7 is to place the four main content areas covered through the Water Integrity course within the context of IWRM reform. The previous Modules have covered (i) corruption and anti-corruption in the context of water governance, (ii) different types, impacts and drivers of corruption, (iii) how to diagnose and identify corruption risks, and (iv) the laws, institutions, actions and tools that promote transparency and strengthen accountability.

This Module will investigate similar topics. Specifically, it will: (i) explore water integrity and IWRM from a governance perspective, and (ii) identify the types of corruption, (iii) look at potential corruption risks and (iv) discuss actions to mitigate and prevent actions, through the lens of the IWRM planning and implementation cycle.

The Module culminates in the development of action plans for learners to implement after the course.

**DURATION:** 5 hours

## Learning objectives

By the end of this Module, learners will:

- Understand the strengths, weaknesses, opportunities and threats related to water integrity in IWRM.
- Have identified types of corruption, corruption risks, and actions to promote integrity through each step of the IWRM planning and implementation cycle.
- Have reviewed the tools and actions covered through the course, from diagnosis/ identification of corruption risks, to developing action plans to strengthen accountability, transparency and integrity in the water sector in their country contexts.

## Learning methods

### Session 1: IWRM and water integrity (1.5 hours)

**Step 1:** Introduce the rationale and learning objectives for this Module using the information provided in the section below. Next, facilitate a plenary brainstorm on (i) potential entry points for corruption and potential entry points to strengthen accountability, transparency and integrity in IWRM. Capture these ideas on a flipchart.

**Step 2:** Use the material in the content section and on slides 1–9 of the Module 7 PPT to add further insights to these ideas placed on the flipchart.

**Step 3:** In small groups, ask the learners to discuss and capture the strengths, weaknesses, opportunities and threats (SWOT analysis) to water integrity within IWRM.

**Step 4:** Summarise this session using slides 10–25 of the Module 7 PPT and the SWOT analysis from “Mapping integrity and accountability in water in the SADC region” (provided in the content section for session one in this module).

### Session 2: Water Integrity in IWRM: Planning and implementation (1.5 hours)

**Step 1:** Interactively recap the tools and methods in the content for this session, and walk the learners through each step of the IWRM planning and implementation cycle using slides 26–35 of the Module 7 PPT.

**Step 2** Option 1: Create a scenario in which the learners imagine they are water sector anti corruption experts engaged as part of a multi-disciplinary team tasked to oversee and reduce the potential corruption risks and strengthen the transparency and accountability measures in an IWRM planning and implementation process in river basin X. In small groups, they should discuss:

- (i) What are the corruption risks in each phase of the IWRM cycle?
- (ii) What risk mitigation strategies or tools can you use in each phase?

**Step 2:** Option 2: Identify 3–5 common country groupings within the learner group. Ask the groups to consider the conditions and situation of the water management practices in the selected country at the river basin level where IWRM principles should be applied.

Specific tasks for each group:

- Identify the main stakeholder groups to be included in a stakeholder's platform to participate in each component of the IWRM planning cycle.
- Discuss the key indicators of a successful participation of the stakeholders in IWRM planning.
- Identify some key success factors for effective participation of stakeholders.
- Identify the main constraints and/or resistance factors against introduction of stakeholder's participation in IWRM planning.
- Identify a strategy how to overcome these constraints.

**Step 3:** Use the table of suggested tools and methods in the content section on session two to supplement the group's feedback. Facilitate plenary discussion on the application of these tools in IWRM. Summarise with the last slides in Module 7 PPT.

### Session 3: Preventing and mitigating risks, and action planning (1.5 hours)

**Step 1:** Divide the learners into six groups. Each group should review and provide a summary of the main highlights and learning's from each of the previous Modules in the course.

**Step 2:** Building on their summaries, recap the three primary learning objectives. These also constitute the 3 steps involved in promoting water

integrity: (i) Understanding corruption and anti corruption in the context of water governance (Modules 1 and 2), (ii) Diagnosing and identifying corruption risks (Module 3) and (iii) Promoting transparency, accountability and integrity in water (Modules 4, 5 and 6).

**Step 3:** In Module 3, learners worked in groups to identify corruption risks. They developed corruption risk maps and identified 'early warning signs' or 'red flags'. In Module 5 the learners identified the information that is needed to reduce certain corruption risks and discussed how access to information could be strengthened within their own organisations. These were country/ regional groups that used the water sector corruption examples they brought into the course as practical, applied examples. In this Module, they should work in the same groups and with the same matrices and complete the column 'proposed measures' to address the corruption risks identified.

**Step 4:** The learner groups present their completed matrices in plenary. Facilitate a plenary discussion with respect to areas requiring further clarity.

### Session 4: Developing action plans (1 hour)

**Step 1:** Based on the proposed measures to prevent or mitigate the corruption risks identified in the previous sessions, ask the learners to reflect on (i) what the key corruption risks are within their own organisations and (ii) what they will do to mitigate these risks when they return home. Next, ask learners to identify the individual, organisational or collaborative actions needed to implement these measures.

**Step 2:** These action plans will be presented and discussed in plenary and can be developed using the matrix on page 19.

Corruption risks	Proposed measures	Action plan: Name of organisation/ individual or collaboration				
		What actions (step by step)	Who will do what?	When will this be started and completed?	What resources will you use?	What support is needed?

