

# AWIS facilitator's guide

A guide to help implement an Annotated Water Integrity Scan



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Jan-Teun Visscher and Janek Hermann-Friede

## Water Integrity Network (WIN)

The Water Integrity Network, founded in 2006, aims to promote water integrity to reduce and prevent corruption in the water sector. It stimulates anti-corruption activities in the water sector locally, nationally and globally. It promotes solutions-oriented action and coalition-building between civil society, the private and public sectors, media and governments.

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**Acknowledgements** This manual was written by Jan-Teun Visscher (Consultant for WIN) and Janek Hermann-Friede from the Water Integrity Network (WIN). The guide was edited by Mark Worth, and designed by onehemisphere.se. The development and testing of the manual received support from Transparency International Secretariat in Berlin (TI-S), Transparency International Kenya (TI-K) and the Water Integrity Network Secretariat (WIN-S).

WIN would like to thank its members, partners, donors and its International Steering Committee members for their continued support.

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Inside cover: A free water basin for thirsty pilgrims in the temple village of Gokarna on Karnataka's west coast (South India)

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Every effort has been made to verify the accuracy of the information contained in this report. All information was believed to be correct as of May 2011. Nevertheless, the Water Integrity Network cannot accept responsibility for the consequences of its use for other purposes or in other contexts.

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## ACRONYMS

<b>ACF</b>	Anti-corruption framework
<b>ACL</b>	Anti-corruption legislation
<b>ACM</b>	Anti-corruption measures
<b>AWIS</b>	Annotated Water Integrity Scan
<b>CSO</b>	Civil society organisation
<b>GCR</b>	Global Corruption Report
<b>IPP</b>	Investment projects and programmes
<b>IRC</b>	International Water and Sanitation Centre
<b>IWRM</b>	Integrated water resource management
<b>NGO</b>	Non-governmental organisation
<b>PL</b>	Policy and legislation
<b>R</b>	Regulation
<b>SP</b>	Service provision
<b>T</b>	Transparency
<b>TAP</b>	Transparency, accountability and participation
<b>TI</b>	Transparency International
<b>TI-K</b>	Transparency International Kenya
<b>TI-S</b>	Transparency International Secretariat
<b>TISDA</b>	Transparency and Integrity in Service Delivery in Africa
<b>WIN</b>	Water Integrity Network
<b>WRM</b>	Water resource management

# Preface

**This document was developed to guide the facilitation of the Annotated Water Integrity Scan (AWIS). The AWIS was established by the Water Integrity Network (WIN) and IRC International Water and Sanitation Centre in response to the call made in the 2008 Global Corruption Report (GCR) for participatory and qualitative tools to analyse corruption in, and enhance the integrity of, water service development and delivery.**



Residents of the district of Tapsia filling water containers for daily needs, using hoses from municipal delivery truck. Kolkata, India. © Michael Buckley / Istock

**“learn how to guide the implementation of the AWIS at the country level and about possibilities to adapt it to other settings.”**

The AWIS is a diagnostic tool for multi-stakeholder workshops that has three main objectives:

- » Establish an overview of the integrity of different sub-sectors of the water sector to highlight areas which are vulnerable to corruption.
- » Identify priority areas for action to enhance water integrity.
- » Increase awareness about the water integrity in a specific sub-sector and stimulate improvement.

By repeating the AWIS annually (or every two years), it can also be used as a monitoring tool.

This facilitator's guide is meant for experienced facilitators who want to learn how to guide the implementation of the AWIS at the country level and about possibilities to adapt it to other settings. It includes instructions for the preparation and implementation of an AWIS workshop, which in essence is an expert meeting that explores the integrity of a sub-sector of the water sector, and to initiate follow-up with key actors interested in exploring and improving integrity of water governance. The manual assumes that its readers already possess facilitation skills, have experience with the facilitation of workshops and dialogue, and have reviewed the publication, “Annotated Water Integrity Scans, A manual to help assess integrity levels in specific sub-sectors of the water sector” (Visscher and Hermann-Friede, 2011).

This Facilitators guide was developed for WIN by Jan Teun Visscher (WIN Consultant) and Janek Hermann-Friede (WIN-Secretariat team member). The document was reviewed by Teun Bastemeijer (WIN-Secretariat director) and Alexandra Malmqvist (WIN-Secretariat team member) and tested at a training workshop for AWIS facilitators in Nairobi, Kenya, in December 2011.

The development and initial testing of the draft manual took place during the final quarter of 2011 as a result of cooperation between Transparency International in Berlin (TI-S), Transparency International Kenya, and the WIN Secretariat.

**TEUN BASTEMEIJER**

**WIN Director**

15 December 2011

# Introduction

AWIS is a diagnostic tool



**The AWIS does not explore corruption itself, but reviews the integrity of government mechanisms that are in place by looking at three pillars: transparency, accountability and participation (TAP).**

Three women wait at the harbourside for the morning catch, Mui Ne, Vietnam. © Anthony Brown / Istock

**The AWIS is a diagnostic tool for multi-stakeholder workshops that has three main objectives:**

- 1. Establish an overview of the integrity of different sub-sectors of the water sector to highlight areas which are vulnerable to corruption.**
- 2. Identify priority areas for action to enhance water integrity.**
- 3. Increase awareness about the water integrity situation and stimulate improvement.**

The AWIS does not explore corruption itself, but reviews the integrity of government mechanisms that are in place by looking at three pillars: transparency, accountability and participation (TAP), as explained in Chapter 3 of the AWIS manual. The tool provides insight into the strengths and limitations of the institutional setting, and the application and monitoring of rules and regulations that influence corruption risks.

AWIS embraces the thought that if a relatively small group of professionals from different disciplines and organisations, connected to a specific sub-sector, can create a dialogue in a 'safe' environment, then they can develop a fair overview of the integrity of a specific sub-sector. The AWIS is a tool applied in a workshop with key actors from different organisations who are knowledgeable about the integrity of the sub-sector that is being explored. Together they assess the situation in a structured dialogue. This can be compared, for example, to a special commission advising a political authority or policy-makers. Thereafter their findings should be shared with a wider set of stakeholders who can take the necessary actions to improve upon the integrity of the sub-sector under review. The facilitation approach required for this process is discussed in this manual. It is meant for future facilitators of AWIS workshops and for the organisation that coordinates the preparatory and follow-up process.

This document presents information on underlying concepts in Chapter 2 to provide the facilitator and the rapporteur with additional background information that may help to explain a little more about the concepts, if this is requested by the participants. Chapter 2 also includes information on the definition of transparency, accountability and participation, and the five risk areas that have been established for the AWIS as well as on the approach to scoring that is used. It stresses the need to adapt and test the indicators when using the tool in sub-sectors other than urban and rural water supply, which are covered in the AWIS manual (WIN, 2011). Additional information is provided on the concept of Bono Thinking Hats, a communication approach that is being adopted to stimulate multi-stakeholder dialogue instead of debate. Chapter 3 presents an overview of some of the strengths and weaknesses of the AWIS. This is followed by Chapter 4, in which the steps needed to organise the AWIS are being presented, including suggestions for the promotion of the AWIS with organisations that may have an interest in implementing the scan. In Chapter 5, practical suggestions are provided to facilitate the meeting and avoid potential problems that may occur throughout the process. This section also presents some suggestions for reporting. It is followed by the final chapter, which includes some ideas for the essential follow-up process.

A role-play was developed to introduce facilitators to the AWIS methodology. The role-play is not included in this manual to ensure that it can be used in future training of facilitators workshops that are being envisaged by WIN together with different partners and in different regions and languages.

**“The tool provides insight into the strengths and limitations of the institutional setting, and the application and monitoring of rules and regulations that influence corruption risks.”**

# Underlying concepts

The thinking behind the principal



Despite the secretive nature of corruption, sector professionals, government officials and civil society organisations have considerable knowledge that can be used to obtain a good overview of the integrity situation of a particular sub-sector.

Salt workers for the Afar tribe at the Ass Ale salt lake in the Danakil Desert in Ethiopia. © Guenter Guni / IStock

**The two main concepts that are the basis for the AWIS are the thinking behind the principal-agent model that can be used to look at the interaction between key stakeholders and constructive, guided dialogue using the principal of the Bono Thinking Hats.**

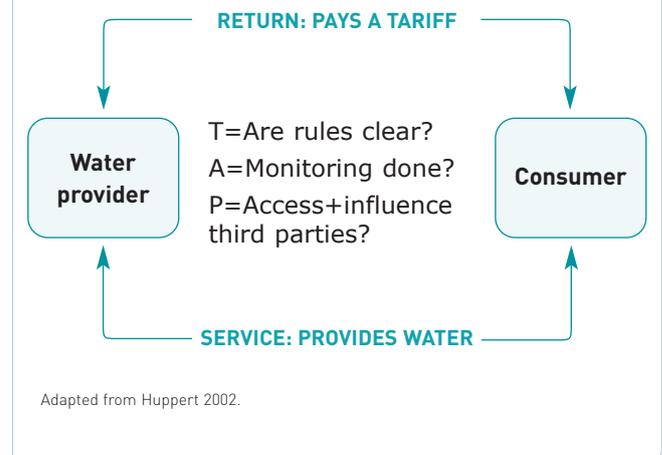
### 2.1. LOOKING AT GOVERNANCE FROM A PRINCIPAL-AGENT PERSPECTIVE

The concept that has triggered the development of the framework of analysis applied in the AWIS is the principal-agent model (Furubotn & Richter, 1997; Huppert, 2005, 2009). This model was developed to clarify the risk that exists if principals or agents involved in a transaction take advantage of inequities that exist among them (Figure 1). Such risks make it very important to look at the integrity of the interactions between stakeholders and the way these are governed.

The principal-agent model defines the relations between actors in terms of governance coordination mechanisms (rules such as contracts and regulations) and transactions (services and returns). Wherever one individual depends on the action of another, a principal-agent relationship arises. The individual taking the action is called the agent. The affected party is the principal. In the sense of this model, for example, the doctor would be the agent and the patient would be the principal; the corporate executive is the principal and the subordinates are the agents. In turn the corporate executive is an agent for the shareholders. The principal-agent interaction may be an important cause for efficiency problems, but it may also invite opportunistic behaviour and create opportunities for corruption. The model of Huppert (2002, 2009) argues that principal-agent problems may arise because agents benefit from asymmetry in the information process, since the agent often knows more about the situation than the principal. The agent can take advantage of this knowledge and exploit the principal. Huppert calls this problem the moral hazard attitude, as it challenges the moral attitude of the agent. On the other hand, the agent may not be able to control some external factors interfering with the service and for which he cannot be held accountable by the principal.

Bellaubi and Visscher (2010) took this idea a step further and used the model to make a risk assessment of all relationships between agents and principals involved in water supply provision. They explore the integrity of the service(s) and returns/payments that are being exchanged between all actors in a water supply system. They explored the integrity of each relationship by looking at the integrity in terms of transparency, accountability and participation (TAP). It is important to stress, however, that these authors define transparency, accountability and participation in a specific way that differs to some extent from more conventional definitions (Table 1).

**FIGURE 1** Example of principal agent model



For each relationship, these TAP levels are scored and the results are presented in the form of an 'integrity risk map' (chart) that shows all actors and the relationships between them with the TAP scores for each relationship. For example, in the case studies reported upon in the Kenya national water integrity study (TI-Kenya, 2011), the scoring was made by a research team which thereafter discussed the results with the actors and helped them to identify priority actions to improve upon the integrity of the sub-sector under review.

This concept was further modified for the AWIS. Instead of taking a look at actor relationships, it was tuned towards an exploration of the governance mechanisms and procedures in place in a sector (urban water supply, rural water supply, irrigation, etc.). The AWIS thus looks at the existence of mechanisms to control the relationships between actor groups, at the overall perception about how these mechanisms are put in place and allow actors to control each other, and at the possibilities for external control and adjustment (because of the availability of reliable information and control bodies that involve or can report to civil society).

In AWIS, the risks are then assessed through a multi-stakeholder dialogue about a specific sector in a one-day workshop. The review is structured along five main risk areas that have been identified (Table 2). The first four form a practical basis for the discussion about a sub-sector, and the anti-corruption framework is an overarching risk area that applies equally to the first four risk areas.

**TABLE 1** Definitions of the key elements of integrity (TAP) and the related risk scores

INTEGRITY PILLAR	DEFINITION	RISK LEVELS
<b>Transparency (T)</b>	Existence of clear written rules and regulations defining relationships between actors	High risk = non-existing Medium risk = existing but unclear Low risk = fully comprehensive
<b>Accountability (A)</b>	Availability and application of control mechanisms for holding actors responsible for their actions based on the rules and regulations	High risk = non-existing Medium risk = existing but not enforced Low risk = enforced by applied sanctions, incentives, anti-corruption measures
<b>Participation (P)</b>	Accessibility of information to third parties with a possibility to influence rules and regulations	High risk = no access to written information Medium risk = access to written information Low risk = parties able to redress failures in rules and control mechanisms

Based on Bellaubi and Visscher (2010).

To allow for effective communication and scoring, three different risk levels are established for each of the pillars (transparency, accountability and participation) for each of the five risk areas. Table 3 provides an example of the risk area, policy and legislation. This approach allows participants to score their perception of the TAP levels of the five risk areas of the sub-sector under review. The idea of the levels is based on the concept of scoring ladders, using a number of key indicators that are felt to have the largest impact.

In Chapter 4 of the AWIS manual, the three score levels are defined for each of the TAP pillars for the five risk areas, looking both at urban and rural water supply. This concerns a minimum level rated at 1, in which much needs to be improved, a moderate level rated at 2, and an advanced level rated at 3, which requires very little or no improvement. The establishment of these levels required a detailed

discussion that included reviews by various experts and testing in trial workshops. The lesson learnt is that to do an AWIS in a different sector such as sanitation or IWRM, a similar exercise is necessary that involves people who are well-connected with the respective sub-sector. This is an important task that needs to be established by a small team that can interact to ensure that the indicators and levels are well-understood and easy to use before moving into an AWIS workshop.

You can also contemplate using the AWIS idea to explore integrity at the regional, community or even project level. However, this will need careful identification of the critical risk areas which at the regional level may not be so different from those used for the national assessment. This may be quite different, for example, at the community level or for a different sub-sector. Hence this will require careful preparation.

**TABLE 2** Main risk areas used in the AWIS

<b>Policy and legislation (PL)</b>	Comprises the official policy and legislation in place in the specific sub-sector.
<b>Regulation (R)</b>	Refers to the existence and application of concrete rules (water rights allocation, tariffs, quality standards, service standards, abstraction rates, etc.) and the existence and active operation of institutions (oversight bodies, water resources commissions or the equivalent).
<b>Investment projects and programmes (IPP)</b>	Concerns how the financial resources in the specific sub-sector are being spent and how the institutions involved are being controlled.
<b>Service provision (SP)</b>	Concerns how services are being provided and how respective institutions are being controlled.
<b>Anti-corruption framework (ACF)</b>	Refers to the specific anti-corruption legislation in place (in a specific country) and its application.

**TABLE 3** Transparency levels in policy and legislation

<b>T=1</b>	PL does not exist or is very limited and lacks clarity.
<b>T=2</b>	PL is developed but has important gaps; for example, it may not favour the poor, or legislation may not include legal mechanisms for users to take judiciary action against a water provider for receiving poor service.
<b>T=3</b>	The existing PL is well-established and is pro-poor and gender sensitive. Situation is quite satisfactory and may only require limited improvement.

## 2.2. ANONYMOUS SCORING AND CONSTRUCTIVE DIALOGUE

Despite the secretive nature of corruption, sector professionals, government officials and civil society organisations have considerable knowledge that can be used to obtain a good overview of the integrity situation of a particular sub-sector. The AWIS was therefore developed with the idea that it would be used in a group session with participants from different organisations involved in the sector, including government, the public and private sectors as well as civil society and donors. It aims at constructing an overview of the integrity of the sub-sector collectively.

Because of the secretive nature of corruption, participants are asked to score the risk levels of TAP for each of the five risk areas anonymously. These scores are then collected and processed. The resulting average scores already provide an interesting overview but are not sufficient to really understand the integrity situation, as they hide the differences in opinion of the participants.

The AWIS therefore comprises an annotation process (a description of the ideas underlying the scores), as the average scores do not provide sufficient insight to guide priority action that may be needed. The annotations are needed to be able to understand the results and share them in a meaningful way with others. The annotations are obtained through the facilitation of a constructive dialogue among the different actors that allows them to bring in their different experience and perceptions. However, participants must feel that they are in a relatively safe environment to discuss the sensitive issues of TAP, as will be explained in the next section.

## 2.3. ADOPTING THE SAME HAT APPROACH

Participants have different types of information, which may affect their perception of the integrity situation. For example, a final score of 1.8 for 'Participation' in 'Regulation' implies that some participants may have given a score of 1 or 1.5, and others have given a score of 2 or higher. For example, a regulator may put information about water providers on the Internet and therefore give a higher score because he or she feels that this information is available, whereas a user representative may not have easy access to Internet and therefore may be of the opinion that he or she lacks information. When discussing their perception with others, several actors may tend to stick to their opinion and will try to convince the other party that they are right and the other is wrong. This may lead to a long debate with winners and losers.

To avoid debate we adopt a different approach based on the concept of the 'thinking hats', also known as the Bono Thinking Hats (School of Thinking, 1983, cited by Visscher and Verhagen (eds.), 2011). This method encourages groups of participants to look at projects, activities and solutions from different but collective angles. This approach stimulates dialogue and blocks debate, as all participants have to adopt the same way of thinking (they wear the same hat) – for example, by only giving positive remarks about an issue in the first round. In the next round, everyone then changes their attitude (hat) to give only negative remarks. This implies doing away with the famous phrase 'yes but...', which is a root cause of unproductive debate.

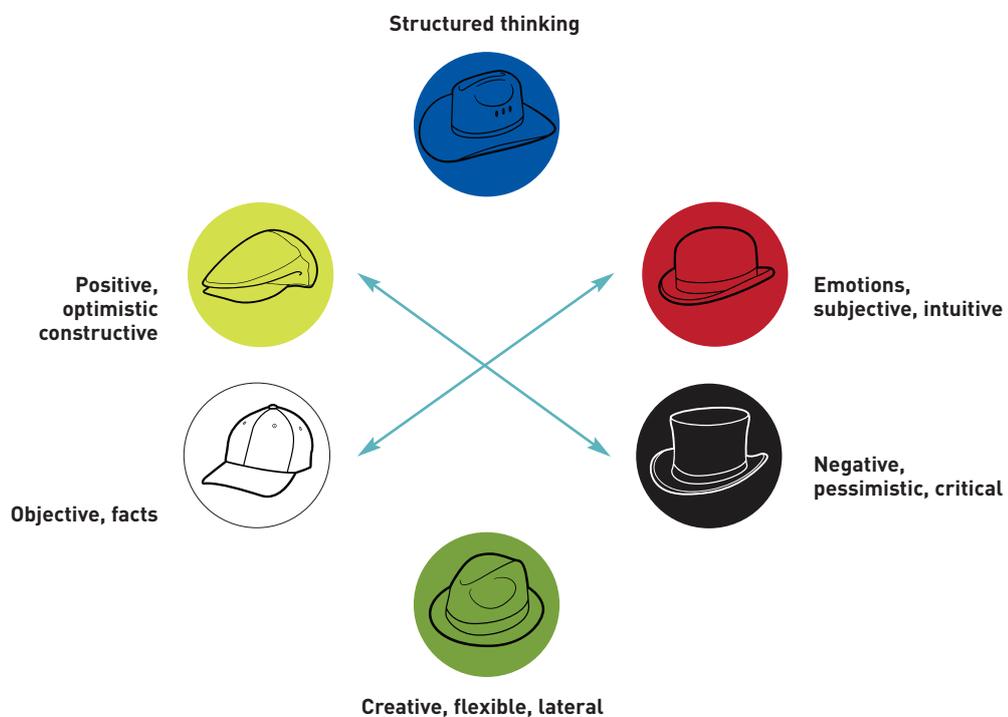
The premise underlying the Bono Thinking Hat approach is that the human brain works in distinctive ways that can be defined and accessed. Six distinct states are identified, each characterised by a specific coloured hat (Figure 2). This approach can be used, for example, to jointly discuss a proposal in different rounds to make sure that it is as good as possible. The black hat, for example, implies that you all pass negative judgment: what are the flaws; why is it wrong; why will it not work; why do you not believe it. We use the black hat to develop annotations for a lower scoring level. The yellow hat implies the opposite – that you pass positive judgments. A blue hat focuses on the structure of thinking. It is helpful to organise the process and is often worn by the facilitator.

We only use Bono's idea in a very simplified form by asking all participants to collectively provide qualitative arguments (annotations) for the level above the score, and thereafter they have to do the same for the level below the score. This can be done by dialogue, stressing that participants can also think about what other people not present at the meeting might think. An option to quick-start the process is to ask participants to first individually write one or two cards with annotations that make it reasonable to assume that the score could be even more positive (or negative) than the average and then discuss these cards collectively.

The advantage of the same hat approach is that participants do not have to state and defend their own position or agree on the score. They are challenged as professionals and knowledgeable persons in an 'academic' way to provide arguments for two different levels.

This approach creates a 'safe' environment because participants are not asked to agree or disagree with the scored level, but to jointly provide reasonable arguments for the situation. The resulting dialogue can be very rich and informative, leading to very good understanding of different perspectives on the status of integrity in a specific sub-sector. The main challenge is to guide the discussions and make sure that the resulting report cannot be traced back to individual participants. Instead it should be presented as the output of a collective effort that can be taken forward by others to improve upon the situation (see Chapter 5).

**FIGURE 2** Different perspectives based on the Bono Thinking Hats (1985)



# Strengths and limitations

Quick assessment



The AWIS has been specifically developed for a quick assessment at the national level, which gives it a number of strengths and limitations.

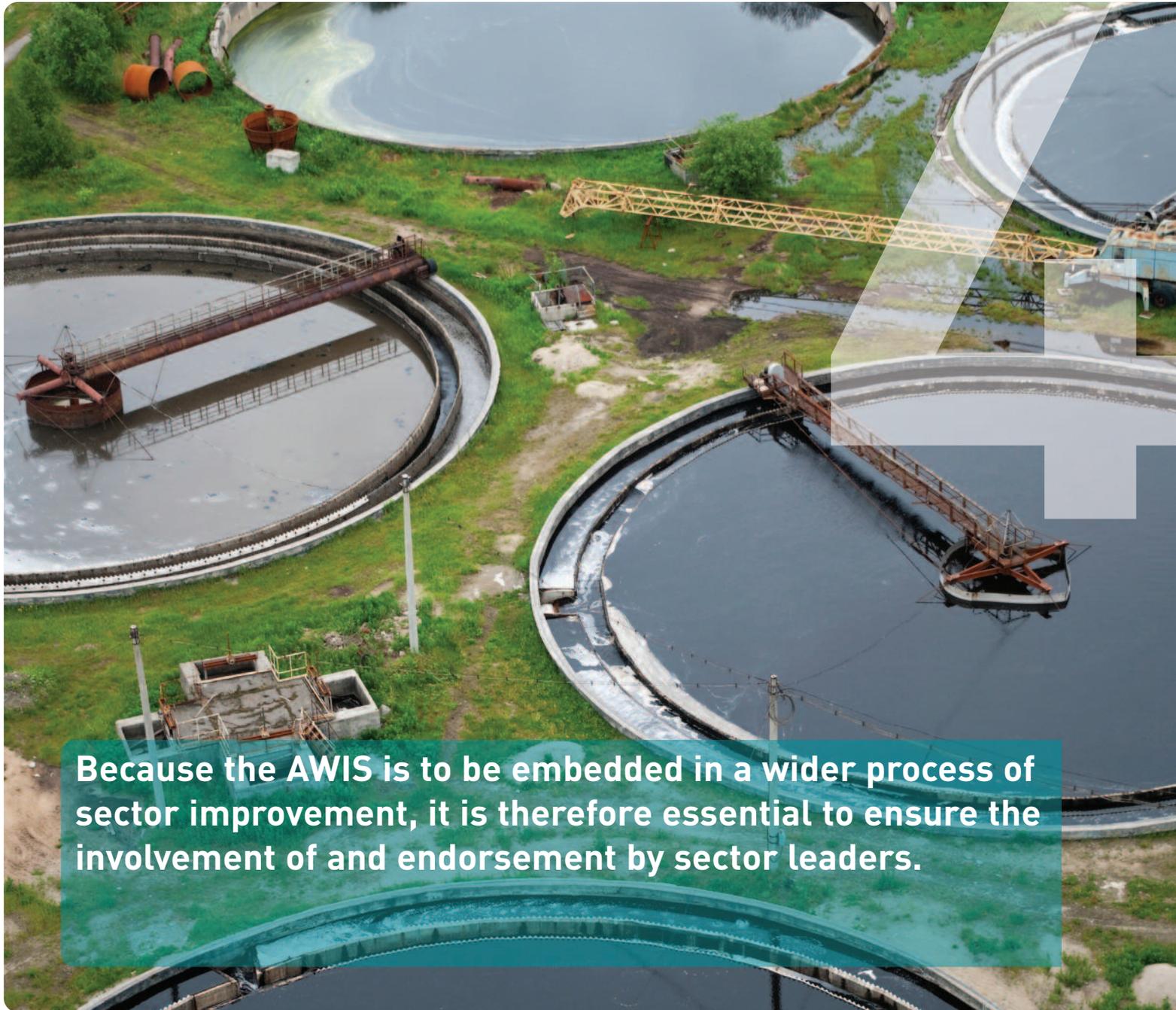
A group of people meet outside of a small cyber cafe alongside the road in the small village of Tiko in Cameroon. © Micky Wiswedel / Istock

**The AWIS has been specifically developed for a quick assessment at the national level, which gives it a number of strengths and limitations.** The most salient strengths include that it:

- » only requires a relative small group of persons who are familiar with different aspects of the sector under review, including some with an understanding of the existing anti-corruption framework;
  - » can be organised quickly and requires only limited resources;
  - » provides quick results, as it involves only a one-day workshop;
  - » provides an interesting insight that, after a review and verification, can be shared quickly with sector leaders and organisations;
  - » encourages dialogue between different sector actors and avoids fighting over turf, which may help to get a better perspective on the integrity of a specific sub-sector;
  - » focuses on a limited number of levels for T, A and P, which makes it practical to do the assessment; and
  - » generates an overview of areas where priority action is needed that may include options for some specific research in areas that are not sufficiently clear for the participants.
- The AWIS also has a number of limitations that need to be taken into account:
- » The scoring is based on the perception of the participants in the workshop, and they may not have the full picture. The scores therefore may only partly reflect the integrity situation. The annotations, however, will help to put this into perspective, as will the reviews by other sector agencies. You can also consider conducting a rescoring at the end of the workshop, after participants have obtained a better overview of the integrity situation.
  - » Repeating the AWIS one or two years later may (partially) involve another group of participants, and this makes results only partly comparable. To a certain extent annotations will help the participants understand possible differences and changes that may have occurred over time.
  - » Participants may give a rosy picture of the integrity of the sub-sector under review. This makes it important to get a good mix of participants and to stress that in the next step the report will be shared with others (see Chapter 5). This allows you to stress that it is important to give a fair assessment that matches reality to avoid being open to easy criticism.
  - » The AWIS needs follow-up, which will require a powerful actor who can take the lead in an improvement process. Civil society organisations may be very interested in taking the lead in developing the AWIS but may not be in a position to lead the necessary change in legislation and regulation, for example. This makes it essential to involve the sector ministry at the very beginning because they often will be the lynchpin for improvements in many areas.

# Organising the AWIS

## Preparation



Because the AWIS is to be embedded in a wider process of sector improvement, it is therefore essential to ensure the involvement of and endorsement by sector leaders.

Water treatment plant © antikainen / Istock

**The preparation of an AWIS workshop includes a number of steps which are explained in the AWIS manual (Chapter 5). In this chapter we present some additional explanation for each step described in the AWIS manual.**

#### 4.1. INITIATION

It is important for one organisation to take the lead and set up a small team to organise the process. This team may comprise members of different organisations interested in supporting the process. It is important, however, that the core team reviews and understands the AWIS and the promotional materials. Because the AWIS is to be embedded in a wider process of sector improvement, it is therefore essential to ensure the involvement of and endorsement by sector leaders, such as the ministry of water or regulator, which later on can support or

lead actions for improvement. You may need to spend time explaining the AWIS and its process to some sector leaders, taking along a flyer and perhaps the promotional video. The idea is to get their buy-in and collaboration, and perhaps even a kind of mandate to take things forward. A point of caution is that practicing a full AWIS with the core team may not be a good idea if some of the members will also be participants in the AWIS workshop, as this may create some imbalance in the workshop among participants.

At this stage you also need to guarantee the resources for the entire process, including possible external support. You need to make a budget available to cover all the cost (Table 4). You further need to develop a timeline (Table 5) for the AWIS process and ensure that the persons involved have sufficient time to take care of the activities under their responsibility. This implies that you need to make an assessment of the time that each person needs to dedicate to the process.

**TABLE 4 Budget items for AWIS**

ITEM	COSTS
<b>Fees (team, facilitator)</b>	Salaries/fees for preparation (including collection of key information), the workshop, reporting and organising follow-up.
<b>Travel (team, participants)</b>	Travel to visit leading organisations etc., as well as travel for the participants to the workshop (which you may want to do it in a special place), and for which you may want to invite people from other cities.
<b>Printing cost materials and stationery</b>	This includes the flyer, the manual, the description of the sheets with the explanation of the different TAP levels and scorecards, sheets for flip-charts, etc.
<b>Participant costs</b>	Most organisations will cover the fee of their staff member who is participating but maybe not all, and there also may be other costs including attendance allowances, accommodation if they come from far away, etc.
<b>Venue cost</b>	Cost of location (room, equipment: beamer, computer, flip-charts) and lunch. Preferably you keep your group small, but in case of a larger group or if you do two sub-sectors in parallel, you will need a breakout room as well as double the equipment.
<b>Communication and office cost</b>	You will need a place to work and might be using the phone quite a bit.
<b>Contingencies (5%)</b>	As you may have unexpected expenses, we suggest that you add a small reserve of 5% to your budget, which you may or may not use.
<b>Total</b>	

You may also want to look at the in-kind costs, such as salaries of staff of participating organisations and even of the participants, venue costs if this is offered for free by one of the partners etc. These in-kind cost add in a way to the value of the AWIS.

In case you plan an AWIS for a sub-sector that is not covered in the AWIS manual, or if you want to implement an AWIS at the regional or even community level, the initiation takes on an additional dimension. You will need to set up a small team to review and adapt the TAP indicators and perhaps even the critical areas you want to explore.

#### 4.2. ESTABLISHING COUNTRY-SPECIFIC INFORMATION

The collection of country-specific information is a good way to start the AWIS process, as this helps you to get a feel of the financial risks that are implied in a specific sub-sector. You may also make this review broader by looking at investments and turnover in different sub-sectors, as this can help you to decide which sub-sector you want to review.

The team of the leading organisation may be able to collect this information quickly itself, or involve someone who may know or perhaps obtain information from the Internet and make a few phone calls to strategic organisations that may have the information at hand. The information is just meant to give a quick impression of the overall situation and identify in which sub-sector a lot of resources are being spent.

**TABLE 5** Draft timeline

ITEM	WK1	WK2	WK3	WK4	WK5	WK6	WK7	WK8	WK9	WK10	WK11	WK12
<b>Start with team (review materials, secure budget)</b>	●											
<b>Promote to sector leaders</b>		●	●									
<b>Adjust TAPs and risk areas as needed; arrange venue and ask facilitator to take a look</b>			●									
<b>Identify and invite participants</b>			●	●								
<b>Follow-up on invitations</b>					●	●	●					
<b>AWIS workshop</b>								●				
<b>Share report with participants</b>									●			
<b>Finalise report</b>										●	●	
<b>Share with wider group (meeting, press, etc.)</b>												●

The timeline needs to be adjusted based on local conditions

### 4.3. SELECTION OF PARTICIPANTS

The AWIS is an expert meeting, which implies that we need participants that together are knowledgeable about the sector and existing anti-corruption legislation. To ensure dialogue, the group needs to be relatively small but comprise a good spread of expertise. You may think of staff from sector organisations including the ministry of water, the regulator, academia, NGOs, development partners and CSOs, including, for example, a member of an anti-corruption organisation.

Local conditions will determine how you want to select participants. It is not necessary for you to be 'politically correct' in choosing staff from all sector organisations for the workshop. Yet you need to clearly inform sector leaders and the management of sector organisations that a small group of knowledgeable persons will develop the scan for discussion with them and a wider group of sector actors. You can also consider to first present the AWIS results to a small group of main sector leaders before sharing them in a larger forum for discussion and identification of follow-up action.

You must realise that managers of large organisations and political leaders may be very interested in the results of the AWIS, but not necessarily want to participate in the workshop. If they do participate, this involves the risk that they 'overpower' other participants. So you may wish to encourage them to leave the workshop to a senior technical staff member, and, for example, offer them instead to participate in a shorter meeting to see the first results, even before these are shared with a larger group.

Visiting some of the institutions and sharing information about the process may be a good way to initiate discussion, as well as to create the space for follow-up. A short promotional video is available that you may want to use for some of these visits.

### 4.4. PREPARATION OF THE AWIS WORKSHOP

Participants have to be officially invited. Ideally this should be done by the organisation that is the formal leader of the specific sub-sector. This invitation should be sent out together with a summary of the AWIS describing the objectives, the workshop concept and the follow-up process (Annex 1).

It has proven useful in the past to first address the relevant actors informally (e.g. via phone, informal mail, etc.) and explain the concept of the AWIS before sending the official invitation. Whether such a procedure is needed has to be decided based on the experiences of the implementing organisation.

It is important to send out invitations several weeks before the workshop because this allows you to find possible replacements if some stakeholders cannot participate. Often you will need to get back to the people who are invited to ensure that they indeed will come to the workshop.

Further, a briefing package has to be prepared that participants will receive when they come to the AWIS workshop. This package includes:

- » An agenda (as shown in the annexes of the AWIS manual).
- » The AWIS summary
- » Country and sub-sector specific information (see AWIS manual)
- » A printout of the TAP overviews for each of the critical areas (to be handed out at an opportune moment at the workshop)
- » Two copies of a scorecard (to be handed out at an opportune moment at the workshop)

A registration form has to be prepared (preferably pre-filled with the information you already have) to capture e-mail addresses and telephone numbers of the participants. Another point you may want to raise on the form is the level of responsibility of their organisation for specific risk areas.

It is important to visit the venue beforehand to make sure it suits the workshop. It needs to be ensured that you have the possibility to work in smaller groups. You further need to make sure that you can project the AWIS presentation and that sufficient flip-charts and markers are available.

# Facilitating the AWIS workshop and reporting

## Implementation



**Together we have a lot of information and experience that we want to share in order to help improve the integrity of the sector and create benefits particularly for poorer sections of society.**

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**The AWIS workshop has a number of important steps. It may be opened by an official if this would help to obtain better buy-in from decision-makers, but this should not create a formal atmosphere. The gist of the meeting is that together we have a lot of information and experience that we want to share in order to help improve the integrity of the sector and create benefits particularly for poorer sections of society.**

### 5.1. INTRODUCTION

After a round of introduction, it is essential to clearly explain the purpose of the meeting as well as the AWIS methodology and the approach to the scoring. It is important to stress in the introduction that:

- » Improving integrity is very important because it can free up a lot of resources for the sector.
- » The AWIS is also used in other countries and has proven very helpful to stimulate constructive dialogue.
  - » It is a positive approach that looks at integrity, which creates a more open atmosphere than talking about corruption.
  - » AWIS is not a tool to accuse and provide a critique of the government or other organisations.
  - » It is very important to be as honest as possible, in order to make the most of the meeting and the discussion.

A PowerPoint presentation is available that you can use to make the introduction. WIN has also produced a video that you can review before giving your presentation or even show at the workshop.

The introduction includes an explanation of TAP and the critical risk areas that have been chosen for the AWIS. It is very important to stress that the results of the meeting will be included in a report that will be shared throughout the sector after a review by the participants. This implies a kind of independent check by several people who should be well aware of possible limitations in integrity issues. Hence, painting a rosy picture will not be beneficial because this will open us to easy criticism.

It is important to point out that it will not be possible to identify the most important actions for improvement, if we do not paint the real picture. This may impede

more effective work and freeing additional resources (for example, for water supply system development and water service delivery) and prevent building more trust (and therewith more support) on the user side.

It may be quite relevant at this stage to give some examples of hidden problems that may not surface immediately, but still will need to be taken into account (see Box 1).

#### BOX 1 Example of information that may be hidden or sensitive

In some countries it is common that new water systems are overdesigned (for example, by overestimating population growth), but following the design specifications as outlined by government. In the implementation stage, however, smaller pipes (which are much cheaper) may be installed. Initially this will have no effect on the performance of the system, but after a few years problems will arise. This practice may not be widely known. It implies that in the development of new projects, a problem may exist with T, as it is not clear what basis to use for the design. It also implies a problem with A, as the internal control does not prevent installing smaller pipes (or using less cement, etc.), and a problem with P, as the information that actors provide is not available or not properly checked.

Tender procedures may be well organised, but we found an example in which everything seemed legitimate because three companies were bidding for a project. In fact this was not the case because the three companies, which had different names, belonged to members of the same family and were not independent. So in this case the T was fine, but the A proved to be low as the connections between the contractors were not detected, and the P was also low as it proved possible to hide the collusion from the bidding review committee. This case was detected because of a whistle-blower.

## 5.2. ANONYMOUS AND CONFIDENTIAL SCORING

When the participants have understood the TAP and the scoring process, they are requested to complete the scoring for the different risk areas. Hand out the forms that are available with the description of the risk areas and different score levels for T, A and P, and instruct them to go through the five main risk areas one by one and indicate the score they feel fits best. It is necessary at this stage to state again that this information is only for them and the sheet will not be collected. You will also have to remind them that they have five scoring possibilities, being the three levels shown as reference (1, 2 and 3), but they also have the option to score in between two levels (1.5 and 2.5). These two interim levels were added after the first AWIS workshop when it turned out that participants found it difficult to score with only three options. The interim scores provide participants the possibility to score with greater nuance. For these interim levels no separate descriptions were provided, but it is obvious that they are in between the descriptions of the level above and below.

**In summary, scoring is anonymous and you have to make sure that participants register their scores for themselves. They should neither discuss nor share the individual scores with other participants. Doing so would make the AWIS exercise invalid. This can be compared to a secret ballot or voting process.**

Before starting the scoring it is also good to say that there is a column on the sheet in which they can already consider entering ideas for themselves that support their score.

When scoring is completed, participants need to copy their results on a separate scorecard that you provide to them (see AWIS manual). Once completed, the scorecards are to be collected and processed in the Excel spread sheet by one of your colleagues (the rapporteur, for example), whilst you proceed with the explanation of the annotation process.

The results have to be processed quickly because you need the average TAP scores for each risk area in the form of a graph when starting the annotation session. The graph should be copied into a PowerPoint to be presented to the participants.

## 5.3. EXPLAINING AND IMPLEMENTING THE ANNOTATION PROCESS

This explanation is often the most difficult part of the process because participants are not accustomed to trying to jointly defend a common position. Hence, you will need to give an example with annotations. We have chosen policy and legislation in water resource management in order not to influence the participants in their scoring or annotations (Annex 2). If you were to do an AWIS for WRM, however, you would need to choose another example.

**You can use the example to explain the process of annotations by having a detailed discussion of a few of the annotations, whilst stressing that the process is the product of a collective effort to give arguments in support of the specific T, A or P level being closer to the level below the score, followed by the collective indication of arguments that suggest that it is above the score.**

In the introduction you should have already explained that people look at reality from their own perspective. They may look at the same situation but see different things. This makes it plausible that differences in scoring will exist among participants and that good arguments can be found as to why it would be likely that some people (within the group, but also in the outside world) would score higher or lower than the average that was established.

## 5.4. THE ANNOTATION PROCESS

You will start with presenting the results of the anonymous scoring process, which preferably is screened as a diagram. This does not only give the average score, but also makes it clear where the biggest integrity problems seem to be.

You now come to the heart of the AWIS: the group has to develop the annotations. This usually results in a rich dialogue that needs to be captured. Hence, it is essential that you have a good rapporteur or perhaps even two, including one who writes the output on a flip-chart. If you have an experienced rapporteur, you may also consider doing it directly with the beamer on-screen, although flip-charts have the advantage of allowing you to leave them hanging on the wall for reference. It is essential to read the results back to the

participants because you need to make sure that the essence of the ideas is captured properly.

Depending on the group, you may kick off the dialogue process by opening the floor to discussion, or you can do a card exercise asking people to write down the supporting arguments for the level below the score, and after having discussed these cards do another round for the level above the score. Cards have an advantage because people can remain anonymous about what they think, which may be particularly important if there are large differences in the scores (large standard deviation). At this stage it is good to stress again that the annotations do not present their own views, but provide arguments that others could give to defend a higher or lower score. It should be pointed out once more that the group needs to develop a realistic overview because a report will be established for sharing with a larger group of actors and agencies.

If there is tension in the group, you may at this stage come back to the example given in section 2.3 about differences in access to information regarding certain issues which may lead to differences in perception. So you may explain, for example, that a staff member from a regulator may have the idea that the system is very good, but others may not actually be aware of this, or the effect of the approach may be different from what is envisaged. If this falls under the responsibility of your organisation, then you may feel frustrated and be convinced that your work merits more recognition. Yet, others may not come to the same conclusion because they do not have the information. In fact, this creates an opportunity for some participants to get feedback on their work by listening to other participants to find out where improvements can be made.

If the group is large or pressed for time, and you have another facilitator and rapporteur who can help with the annotations, you may consider to do one of the risk areas together and then split up into two groups. Each group addresses two risk areas and present the results for discussion and completion to the other group in a plenary session. This approach allows you to work faster and still catch the knowledge of the other group in the plenary. On the downside, the additional contributions during the plenary are provided outside of the main Bono Hats methodology. This may discourage some participants from speaking out.

At the end of the annotation process you can invite participants to do *another round of anonymous scoring*, as they may have gained a better understanding of the integrity situation in the specific sub-sector. This can be processed immediately whilst you facilitate the next session, but you can also decide to leave the processing for later because you may need the rapporteur in your session to explore improvements.

### 5.5. IMPORTANT POINTS FOR THE FACILITATION PROCESS

The facilitation process is key to ensuring that a true dialogue is being established and that participants feel respected. You may have to 'control' some of them to ensure that everyone is able to provide input and that the meeting is not dominated by (the views of) a few individuals. You make your life as a facilitator easier by giving a brief introduction with clear instructions as outlined below and by using some of the tips for the facilitation process.

#### Instruction at the beginning

A short introduction may be useful to establish the rules of the game, in which you tell participants that you will facilitate the discussion and that one of your tasks is ensuring that everyone has an equal opportunity to contribute. This may imply that you may ask talkative people to be short in their comments whilst encouraging others to speak up. As a facilitator your role is to be neutral, and at best you can pose challenging questions. In this introduction you can also explain the following:

- » Indicate how much time is available for the annotation process of each indicator, and that it is very important to start on time after coffee and tea breaks, etc.
- » Provide instructions about the annotation process explaining that the annotations must be clear and as objective as possible.
- » Explain that the idea is not to discuss the average score and change it, but only to provide the annotations. At the end, a rescoring will be carried out when everyone has the opportunity to learn from the others.

End the introduction by asking whether the task is understood.

### Some tips for facilitation

In this section we give a few ideas that may be useful in the facilitation process. It is important to remember that facilitation must be neutral and that it is your task to bring the ideas of the group to the surface and that they are documented properly. You may have to explain this point repeatedly throughout the workshop because some participants may ask your support for their argument - your role is to guide the process and summarise the annotations.

In this respect it will be necessary to repeat contributions verbally and ask if the group agrees with how they are being written on the flip-chart. If the contribution relates to another relevant issue, then ask the participant to write it down in order not to forget it, as it will need to be taken up at a later point in the discussion. If the point is not relevant, then you need to omit it from the process. You can explain, for example, how in itself it may be a good point but that it is not relevant to the specific TAP and risk area that is being discussed. Remember, you have the full authority as facilitator to maintain the focus.

The following ideas may be useful in the facilitation process if the group is more complex:

- » If you have a group in which several people talk at the same time, you may make a comment about the communication process. If they proceed with their behaviour you may use a 'talking stick'. Any object that a person can easily hold can become a talking stick. The rule is that only the person with the stick is allowed to talk. Thereafter, the stick is handed to someone else. This avoids participants from talking at the same time.
- » If some group members are not listening well enough to others, you may stress the importance of listening and suggest that a person first summarises what has been said before responding to an idea or suggestion.

- » It is quite common in meetings that some participants repeat their ideas and arguments using different wording. It is essential to visualise the contributions, allowing you as a facilitator to point to the issue and indicate that it already has been registered and if needed will be discussed later. You can then continue by explaining that in a first step the inventory of annotations should be completed for both levels before going back for a critical review.
- » If some participants are more talkative than others, you may invite someone to act as an external observer to keep track of the participation and report back to the group after a first round of 10 minutes or so. This may help talkative people to reflect on their own behaviour.
- » Another way to stop talkative people in a fairly elegant way is to indicate that the process is pressed for time and that you want to introduce a short-cut to capture the ideas around the table with a quick brainstorming on cards, which then can be discussed.
- » You may even start directly with a brief brainstorming session using cards. Participants then write down positive or negative annotations on a card. The cards are collected, sorted and discussed. This may help to speed up the discussion. The card approach can also be followed when ideas are being identified to solve integrity problems that have been identified. All ideas are valid and will be listed for later discussion and prioritisation using the approach of the thinking hats.

You may already introduce some of the above suggestions at the start of the meeting. If you are not happy with the way the discussion develops during the meeting, you can stop the group. Tell them that you have a reflection you wish to share in your role as facilitator because you think the process can be made smoother, better, faster, etc.

## 5.6. IDENTIFICATION OF PRIORITY AREAS FOR FOLLOW-UP

The results of the scoring and the annotation process together provide a good overview, and will allow participants to identify priority areas for action. At this point it is important to have a good feel of the attention span of the participants. The discussion has already taken up a lot of attention. The topics addressed throughout the AWIS workshop usually are not discussed openly, and participants may be tense and getting tired. If this is the case, it is better to leave the next step for later, for example, asking the group to be available for a follow-up discussion within a few weeks after a first draft report has been developed.

If there is sufficient time available, however, you can proceed in a plenary session using cards to capture ideas and arguments to prioritise areas for action. You can also split up into small groups if actors can be linked well to certain risk areas. The participants should identify a number of potential improvements. These may be very practical suggestions such as making specific existing information readily available on a website. Others, such as changes in policies or regulation, may be much more difficult to initiate and will take much longer to implement. If you use cards to develop follow-up action, you can ask participants to place priority stickers, for example, on the three most important ideas. The results of this process are a number of ideas, some of which are actionable whereas others need to be taken forward, for example, as input for a larger group. After you have listed the ideas, you have to turn some of them into specific activities.

It is crucial to define responsibilities regarding who will follow up on the priorities and mobilise other relevant actors. The resulting plan also needs to establish a timeline or due dates, and should include details for the follow-up process.

At the end of the workshop the reporting process has to be discussed, and it must be established how the report will be shared with a wider audience as well as if the media should come in at a later stage.

## 5.7. REPORTING

All results of the workshop need to be safeguarded at the end of the meeting. This may include taking pictures of flip-charts and making a back-up of the scores (and also possibly of the notes that were taken). The rapporteur together with the facilitator usually synthesise the outputs into a report (a reporting outline is presented in Annex 3).

After completion the draft report is shared with participants for possible comments before it is introduced into the wider follow-up process (as defined during the workshop). This is important in order to make sure that participants continue to be involved in the process and have strong ownership of the outcomes.



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# Organising the follow-up process

## Actions



**The first group of actions is related to the finalisation and presentation of the report. The second group of actions relates to activities that participants can take forward and already discuss within their own organisation.**

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**Potential follow-up will partly depend on the suggestions that come out of the workshop, but also on the contacts you have made in the preparation phase. If you have made a good link, for example, with the ministry of water at the start of the process, it may be easier to agree with it on possible actions related to policy and legislation and on other improvements.**

Another important aspect of the follow-up is the way in which you facilitate the discussion concerning the AWIS results, and the quality and sense of shared ownership of the framework for action with a set of clear priorities. You may contemplate presenting the results in a sector meeting where you can establish small discussion groups around priority areas. The ideas for action from the AWIS meeting can then be taken as a starting point for these small groups. In this way you establish a larger carrying capacity for sustained action.

### 6.1. THE ACTION PLAN

The action plan from the workshop may contain different types of actions. For each point, the actor who will take the action forward and the timing must be established (Table 6).

The first group of actions is related to the finalisation and presentation of the report. The second group of actions

relates to activities that participants can take forward and already discuss within their own organisation.

### 6.2. USING AWIS FOR MONITORING

The developers of the AWIS also consider it feasible to use the AWIS for monitoring, by repeating the process a year later. This becomes even more attractive if a number of concrete actions have been planned, as their implementation can be monitored at the same time.

The new AWIS would not start from scratch, yet it would include the anonymous scoring as a first step. Thereafter, participants would get a quick report on the progress made for the activities planned the year before. Scoring results of the new AWIS will then be compared to the results of the previous workshop. In the next step participants would be asked to review and improve the annotations of the previous AWIS.

The group of participants is not likely to be the same because people in strategic positions may change. This in itself is not a problem but will require the AWIS process to be explained to the newcomers. This can be kept brief and also serve to refresh the memory of the other participants.

**TABLE 6** Action plan agreed in the AWIS workshop

ACTION	ACTOR(S)	WHEN
1. Development of workshop report	Facilitator and rapporteur	
2. Review of workshop report	Participants	
3. Discussion of workshop report with management of sector leading agency		
4. Organisation of a meeting to present the report to a wider audience		
5. Arrange for a press conference about the AWIS		
6. Including the information about sector monitoring on the website of the ministry and announcing this in the press		
7. ...		
8. ...		

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## Annex 1: Summary note on the AWIS

**Curbing corruption can make an important contribution to improving both the performance of existing water supply and sanitation systems and the development of new systems. The Water Integrity Network has developed the Annotated Water Integrity Scan (AWIS) as a tool to help reduce corruption in the sector. The AWIS is a tool that can be used to quickly assess the integrity in a specific water or sanitation sub-sector and identify practical steps for improvement. The AWIS explores the integrity of the water sector defined in terms of transparency, accountability and participation (TAP), and makes an assessment of the anti-corruption framework that is in place. The heart of the implementation of the AWIS is a workshop with some 8-12 persons who are familiar with a specific water sub-sector (e.g. rural water supply, urban water supply, irrigation). Together they will make an annotated scan of the TAP in the main risk areas of a specific sub-sector and the anti-corruption framework, and make this available to the main water sector stakeholders for comments and follow-up action.**

### 1. INTRODUCTION

The AWIS prepares for improved integrity by facilitating *constructive dialogue* amongst different water sector stakeholders on issues related to transparency, accountability, and participation (TAP) as well as the existing anti-corruption framework (ACF) and anti-corruption measures (ACM). This dialogue may help policy-makers, local government officials, utility staff, regulators, private sector providers and consultants, civil society organisations, international development agencies, and representatives of water-user communities to establish priority actions to enhance water integrity and governance. AWIS does not measure corruption directly, but rather sheds light on systemic weaknesses in the governance framework that leave the water sector vulnerable to corruption.

The AWIS serves three purposes that are especially important in context of economic poverty, poor water governance, and precarious water service delivery:

- 1. Establish an overview of the state of integrity in different sub-sectors of the water sector that shows potential risks of corruption.** The AWIS brings the views of a small but diverse group of experts together and helps to create a level playing field with regard to knowledge and perception of problems related to water integrity. This group provides an annotated overview of the integrity situation in a specific water sub-sector in terms of TAP and the related ACF.
- 2. Identify priority areas for action to enhance integrity.** With an AWIS, challenges to integrity in water governance are identified and analysed in one or more water sub-sectors. The methodology recognises that water supply entails different challenges than sanitation, and that both services are confronted with unique sets of problems in urban or rural areas. The expert group which needs to reflect the experience of different stakeholder groups jointly will be able to identify specific areas where measures should be taken to strengthen the water governance framework and improve water integrity. It is anticipated that the participation of experts with different backgrounds and links to different stakeholder groups will effectively neutralise biases and misinformation.
- 3. Increase awareness on the state of water integrity and stimulate action among sector stakeholders.** The results of the AWIS are documented and broadly shared with different stakeholder groups and decision-makers, allowing them to comment on the outcome. This will help to validate the findings and allow the results to be used to initiate action. The AWIS itself will only give priority areas for action. Usually a next step is needed to formulate specific actions to be taken. Therefore it is important to realise that the AWIS is not a stand-alone activity. It needs to be embedded in a process that ensures that results are discussed among stakeholders that have a mandate to improve the respective sub-sector(s). So ideally, the AWIS will become part of existing stakeholder initiatives and be used to strengthen them.

It is envisaged that the AWIS also can be used for monitoring change by properly documenting and repeating it, for example, annually and comparing results. Preferably this would be combined with the monitoring of specific activities for water integrity improvement that are being agreed upon among stakeholders. The use of AWIS as a potential monitoring tool will be subject to further analysis by WIN and by the community of practice being established.

It is important to be aware of some of the limitations of the AWIS. It is a quick scan of the integrity situation carried out by a relatively small group that collectively will know a lot but not everything about the sector and its stakeholders. By sharing the results with a wider group of stakeholders for comments, the effect of this limitation is reduced and the final report will provide a good insight into prevailing conditions and may also point to areas for further analysis. As the AWIS identifies risk areas that require improvement, leading stakeholders who are in a position to propose and approve sector improvement need to be engaged for follow-up action. So AWIS and the dialogue it promotes are important steps toward initiating improved integrity in the sub-sectors being reviewed. But they will have to be combined with other activities to enhance water integrity and water sector performance.

## 2. THE AWIS WORKSHOP

The core of the AWIS is an expert meeting – a facilitated workshop with important stakeholders who may hold different and opposing positions. The approach adopted in the workshop prevents this from leading to confrontational debate (with potential winners and losers). Instead, the AWIS methodology allows for dialogue to enhance common understanding that can form the basis for jointly seeking solutions for the most important problems.

First, the AWIS is explained with some examples. Then each participant anonymously attributes scores each to transparency, accountability and participation (TAP) of the five critical areas explored by the AWIS and gives the results to the facilitator. The scores are computed to obtain the average score of all participants for each of the TAP levels.

This result is shared with participants and is the basis for jointly establishing an annotation for the two levels that flank the resulting score. First, the participants collectively establish a fair description of arguments as to why the level below the score could apply (i.e. why someone could have scored transparency in regulation as 2 even though the average score is 2.4). Thereafter they will collectively give the arguments for the level above the score. This approach allows participants to anonymously present perceptions, as the question is what arguments can we think of that may make people perceive that the T, A or P integrity level is less advanced than the average level that was identified. Thereafter the same is done for the question of what facts could support a higher level. The advantage of this proceeding is that participants put themselves in the position of others, think of different arguments, and are more perceptive of the perspectives of others, as they do not have to agree on the specific score.

To enable joint discussion, the sometimes very complex concepts of TAP are reduced to simple and clear definitions as a basis for the scoring and annotation process. The culturally and context-specific interpretations of TAP concepts will then find consideration in the content of the annotations.

After the annotation process, another round of anonymous scoring can be done because participants may have gained a better understanding. The result of the scoring and the annotations needs to be properly documented, and the resulting report is then to be shared with a wider group of stakeholders for validation and to create adequate follow-up.

## 3. PILLARS OF INTEGRITY

In the AWIS context, integrity broadly refers to an **environment that evades corruption and enables good governance**. This includes the respect for the rule of law, but it also refers to rational, smart decisions and to a functioning and efficient administration in the water sector. In AWIS, integrity is based on three pillars: transparency, accountability and participation (TAP). These pillars are introduced in this section. An important difficulty will become apparent, in that these terms have different meanings and are used differently by different people. Some of these differences are briefly presented, and the specific definitions adopted in the AWIS for T, A and P as shown in Table 1 are clarified. In addition, the AWIS looks at the anti-corruption framework (ACF) that is in place in terms of policy and legislation and their application.

**TABLE 7** Definition of the pillars of integrity used in AWIS

PILLARS OF INTEGRITY	EXPLANATION
<b>Transparency</b>	The existence of written procedures, agreements and contracts that explain the roles and responsibilities of actors.
<b>Accountability</b>	The application of the written procedures and agreements, where feasible also looking at possible compliance (internal accountability).
<b>Participation</b>	Access of the public, the users or their representatives ( <i>including marginalised and resource-poor groups</i> ) to information, their role in decision-making, and their right and possibilities to effectively file complaints and be heard (external accountability).

### 3.1 TRANSPARENCY

Transparency International states that transparency can be defined as a principle that allows those affected by administrative decisions, business transactions or charitable work to know not only the basic facts and figures but also the mechanisms and processes. It is the duty of civil servants, managers and trustees to act visibly, predictably and understandably.

In the AWIS, however, the term is used differently, with **transparency being narrowly defined as relating to the existence of written procedures, agreements and contracts**, as these are considered to set the basis for actors' understanding of the rights and obligations that govern their relationships. This approach is based on the principle-agent model of Huppert (2002). Access to information is taken out of transparency and is included in participation (see 3.3) because this makes it much easier to assess the integrity risk level for transparency.

### 3.2 ACCOUNTABILITY

Accountability is a broad concept that entails several dimensions and is often used in different ways. Some see it as a mechanism to hold people and institutions accountable, whereas others may see it as a concept referring to the actual application and implementation of rules and standards. Accountability in a democratic sense, according to SIWI (2011), means that an individual in a public function or a public institution must answer for their actions.

In the AWIS context, **accountability relates to the way in which written procedures and agreements are applied, where feasible also looking at possible compliance**. This assumes that if procedures and agreements are clear then the actors involved can hold each other accountable. This can also be understood as 'internal accountability' where actors involved in certain transactions check on each other.

### 3.3 PARTICIPATION

Participation is a term with many different meanings. Some stress that it refers to the most basic indication of democratic rule – that whoever is affected by a decision should, one way or another, directly or indirectly, have the chance of intervening in and influencing such decisions. It is also argued that participation fosters ownership, in the sense that decisions are increasingly accepted and implemented by involved actors. Studies show that actors who are affected by decisions and who are involved in the decision-making process tend to respect decisions more than those who are excluded from such processes.

Participation is sometimes also portrayed as important for public institutions and service providers because it enables them to better understand the needs and interests of the public and consumers, which is very important in an increasingly complex world.

In the AWIS context, **participation relates to access of the public, the users or their representatives (including marginalised and resource-poor groups) to information, their right and possibilities to effectively file complaints and be heard, and their role in decision-making.** It can be best seen as external accountability – through a third party – which avoids collusion among specific actors within a sub-sector.

The rationale is that without access to high-quality information (that can be checked by independent, third parties), stakeholders are not aware of what is going on. But availability of information is not sufficient; it also needs to be easily accessible by all stakeholders. In addition, mechanisms must exist to file complaints or protest. Another crucial aspect concerns the way decisions can be influenced.

### 3.4 ANTI-CORRUPTION FRAMEWORK

In the initial application of the AWIS, anti-corruption measures were included as a fourth pillar for the analysis. These were defined as specific measures that organisations and governments take internally and externally to reduce the risk of corruption, where feasible also looking at the application of sanctions. This led to repetition and overlap in the annotations provided by participants.

Based on this experience it was considered very useful to establish instead an overview of the overall anti-corruption framework that applies to the sub-sector, in

terms of policy and legislation and their active application. Most of this framework will be overarching and not sector-specific, as it relates to how issues such as the public procurement regulation, public financial administration, freedom of information and whistleblower protection are organised and implemented. This sets the context for improving sector integrity and therefore the AWIS must explore this framework, assess the presence of an active media that covers corruption, and understand how civil society is involved. So the initial AWIS model was adjusted and the assessment of the integrity of the anti-corruption framework was included in addition to the other four risk areas per specific sub-sector, as will be discussed in Section 3.

### 4. APPLYING TAP TO CRITICAL RISK AREAS

In the AWIS, several critical areas have been selected for the integrity (TAP) assessment. The five main risk areas that have been established are shown in Table 2. For each area, some further explanation about the application of TAP is provided in this section.

The principle adopted in the AWIS methodology is that for each risk area, three levels are established to characterise the performance regarding T, A and P. The three levels are (1 = low, 2 = medium and 3 = high). The lowest level will require the highest attention in order to improve upon the situation, but priority-setting also will need to explore the priority of a specific risk area and the cost-benefit ratio of possible measures.

**TABLE 8** Main risk areas used in the AWIS

<b>Policy and legislation</b>	The official policy and legislation in place in the specific sub-sector
<b>Regulation</b>	Referring to the existence and application of concrete rules (water rights allocation, tariffs, quality standards, service standards, abstraction rates, etc.). Institutions (oversight bodies, water resources commissions or the equivalent) are in place and functioning.
<b>Investment projects and programmes</b>	Concerns the way in which financial resources in the specific sub-sector are spent and the institutions involved are controlled.
<b>Service provision</b>	Concerns the way in which service provision and institutions are controlled.
<b>Anti-corruption framework</b>	Refers to specific anti-corruption legislation in place in a specific country and its application.

## Annex 2: Example of AWIS results

### TAP for policy and legislation (PL) in integrated water resource management

On **average**, the group **scored transparency** in policy and legislation at **2.5**. 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 a few improvements are needed and P&L is basically well-established (pro-poor and gender sensitive). Table 9 provides the annotations collected by the group to explain and complement this scoring result.

**TABLE 9 Annotations for average score on T:P&L = 2.5**

<b>Above</b>	Policy is sufficiently established to guide the developments for the coming 10 years and covers pro-poor aspects. Legislation is sufficiently clear and does not require much change in the next 10 years
<b>Below</b>	Policy is in place but is not very well established and does not provide response to risk of climate change. Legislation not fully developed and not sufficiently independent Board members of the Water Resource Committee are elected and nominated by the president.

The **average score** of **2.2** for **accountability** in policy and legislation indicates that P&L is applied to a fair extent but with important limitations, and that (sections of the) institutions are weak. Some participants, however, felt it was even better, that PL is applied to a large extent, and that institutions are fit for their role and have ACM in place. At best, few improvements needed. Table 10 provides the annotations established by the group, which could serve as arguments for people to score A:R higher or lower than 2.2.

**TABLE 10 Annotations for average score on T:P&L = 2.5**

<b>Above</b>	Roles and responsibilities are well spelt out and institutions are increasingly doing their jobs (MWI, regulator, WARMA, WSBs, WSPs) New Constitution of Kenya (COK) 2010 transforms citizens into right-holders Existence of water action groups (WAG); residents' associations
<b>Below</b>	In 3 of the 16 water basins, policy and legislation are fully applied and are reported upon In the other basins sufficient steps have been taken to enhance the implementation and monitoring of policy and legislation

With a **2**, the **average score** for **participation** in policy and legislation is at the middle scoring level, which is defined as stakeholders having access to information, being informed and being able to express their views and complain, but access is biased toward certain actors. The score of 2 for P:P&L is defined as 'Information is available but some may not be independent or not accessible to all. Stakeholders can express their views and complain'. The definition of level 1 is: Stakeholders have very little access to information on PL, whereas level 3 indicates: Stakeholders 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 11.

**TABLE 11 Annotations for average score on T:P&L = 2.5**

<b>Above</b>	<p>Industry, communities, district assemblies, civil society organisations including women's organisations are consulted (meetings)</p> <p>In three water basins, a complaint mechanism exists which can be channelled through the district assembly</p> <p>In the other basins complaints can be directed to the WRC in the capital</p>
<b>Below</b>	<p>Policy and legislation is officially published but not readily available on the website</p> <p>Consultation process does not seem to lead to effective change and a better application of pro-poor measures; information can be accessed through the ministry for water resources</p> <p>In 13 out of the 16 basins, there are problems with the complaint mechanism and consultation process, which is more focused on awareness creation</p> <p>Filing complaints is cumbersome</p> <p>High turnover of district staff with new staff not being re-consulted or informed</p>

## Annex 3: Annotated outline workshop report

This annex presents the annotated outline of an AWIS workshop report. As a facilitator, you look at the WIN website for possible examples, or you may want to request that WIN share with you one of the reports of earlier AWIS workshops.

1. **Introduction.** Short note on the workshop, the purpose, the organisers and a reference to the summary description of the AWIS in Annex 1. You may also want to include a country data sheet with information on the sub-sector under review, but you may also include other sub-sectors if, for example, you want to stress the need to review them as well.
2. **The AWIS workshop and its participants**  
Who are the participants, number, background, organisational links (refer to list in Annex 2 and add the expectations of the participants).
3. **Overview of the integrity situation.**  
This section provides an overview of the perception of the participants
  - 3.1 Quantitative results of the anonymous scoring (including graphical presentation)
  - 3.2 Overview of annotations (using the format presented in Annex 2)
  - 3.3 Conclusions and recommendations
4. **Evaluation and follow-up.** This section presents the result of the evaluation of the workshop by participants and may include suggestions for improvement of the approach. It also presents the agreed activities for follow-up in the form of Table 6 shown in Chapter 6.1 of this guide.

**Annex 1 Summary description of AWIS** (shown in Annex 1 of this guide)

**Annex 2 List of participants and their institutional associations** It is also important for you to have the e-mail addresses and telephone numbers to share the report and ask clarifying questions when required.

**Annex 3 Workshop programme** (see AWIS manual)



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