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# CASE STUDIES

1st African Water Integrity Summit  
“Accelerating Towards a Water Secure World”  
April 29-30 | Lusaka, Zambia



**1st African Water Integrity Summit  
April 29-30, 2014, Lusaka, Zambia**

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# Welcome

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Dear delegates, dear participants and Water Integrity committed friends. In the name of the implementing partners of the "*Regional Capacity Building Programme Promoting and Developing Water Integrity in Sub-Saharan Africa*", the UNDP Water Governance Facility, the Water Integrity Network secretariat (WIN-S), WaterNet and Cap-Net UNDP, it is my pleasure to welcome you to this 1st African Water Integrity Learning Summit.

Organising a first edition is a great but difficult task. It is great because we have the liberty to propose a format we think best suits the purpose, but it is as well difficult due to the lack of references points and experience. Very early on, we chose to hold what we called a 'Learning Summit'. With this name, we wanted to indicate that this event would attempt to reconcile two different but complementary goals.

First of all, this Summit should be the opportunity to optimise the exchange of experience between participants. Regardless of the function and position one has in the water sector, we want to maximise the learning process for all.

The second goal, more of political nature, is to highlight the importance of Water Integrity for all development partners, with the hope that the conclusions of the Summit will provide clear orientations and proposals to raise water integrity on the African continent.

The declaration of the Summit will be conveyed by our high-level ambassadors from the Regional Economic Commissions (RECs) to the African Ministers' Council on Water (AMCOW), in order for AMCOW to consider this text at its Technical Advisory Committee and at its General Assembly.

I would like to thank you all for the enthusiast responses to our call to join us at this summit and for your numerous presences. Over 53 abstracts were submitted to the review team, out of which very difficult choices had to be made in order to select 9 case studies oral presentations and 18 posters presentations to inspire the different session discussions. These 27 case study presentations can be found in this booklet.

My words of thanks are also addressed to our friends from the RECs and their high-level delegates, for their continuous and very committed support as regional partners to the programme, as well as to the Zambian Ministry of Mines, Energy & Water for hosting this important event and for the efficient collaboration during the organisation.

On a more personal note, let me say it feels really good to be part of this enthusiastic and committed community of integrity practitioners. We are all here to contribute to the spreading and integration of important values for and in our society.

I am very excited and look forward to our achievements with this Summit and to making a significant contribution to AMCOW's political process. In the name of our partners, we wish you all good luck with the work ahead of us.



*Mr. James Leten,  
Programme Manager  
Water Integrity Capacity Building*

# Concept Note

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## The African Water Vision 2025

In 2009, the African Water Vision 2025 outlined the challenges to the sustainable management of water resources on the continent. In the face of competing demands for basic water supply and sanitation, food security, economic development, and the environment, it recognised the 'disastrous consequences' of continuing business as usual. It named inappropriate governance and institutional arrangements as one core 'human threat' to sustainable water management: *"There are numerous governance factors in Africa. They include: lack of accountability, transparency and good governance, resulting in ineffective management of water resources; inadequate cooperation and coordination in the management of national and international water basins; and inappropriate institutional arrangements resulting in poor management and low capacity in human resources. [...] A lot of work remains to be done on this constraint."*[1] The vision called for fundamental changes in policies, strategies and institutional arrangements, the adoption of participatory approaches, as well as for openness, transparency and accountability in decision-making processes as a key success factor.

## The problems we face

The extend of the African water challenge was summarised in AMCOW's 2012 snapshot: 322 million people in Africa gained access to an improved drinking water source since 1990 – but in the same time period the population relying on unimproved sources increased by 65 million to 344 million people. According to UN estimates, more than 300 of the 800 million people in sub-Saharan Africa live in water-scarce environments, and 115 people die every hour from diseases linked to poor sanitation, poor hygiene and contaminated water. According to the Global Corruption Report 2008, 25% of all water investments – about 50 billion dollar - are lost to corruption every year. Citizens bear the direct cost of paying bribes, but also indirect cost of substandard services ranging from minor nuisances to loss of life when infrastructure and disaster response is affected. Poor and disenfranchised populations are rarely compensated when profitable projects affect their livelihoods.

The importance of good governance to solve the water crisis has been recognised in many international processes, as well as in numerous declarations and conventions. The Report of the High-Level Panel of Eminent Persons on the Post-2015 Development Agenda and the 6th World Water Forum both linked effective governance to integrity and control of corruption. Integrity challenges come in many forms, involving financial transactions, manipulation of knowledge and information, discrimination in all forms, illegal or irresponsible water abstraction and waste discharge, as well as biased rules and processes that favour power and short-term interests over equity, fairness, societal welfare and long-term sustainability. Fragmented institutions, high investment sums and state monopolies make the water-sector structurally vulnerable to such risks.

Lack of water-related integrity incurs huge cost for societies, in lost lives, stalling development, wasted talent and degraded resources. Unethical practices reduce economic growth, discourage investments, violate human dignity, increase health risks and decelerate poverty reduction. But the impacts of corruption are much broader than on economic growth and service delivery. It also undermines social capital and trust, human and democratic rights and the rule of law. Increasing water integrity contributes, therefore, to socio-economic development and poverty reduction in multiple direct and indirect ways.

[1] Economic Commission for Africa, African Union, and African Development Bank, "The Africa Water Vision for 2025: Equitable and Sustainable Use of Water for Socioeconomic Development," 2009.

# Conference Themes

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## 1. Demonstration of Social Accountability Tools

There is wide agreement that increased advocacy is needed to stop corruption in water sectors. Meeting the challenges and providing such advocacy needs broad collaboration and involvement of the civil society. Water professionals in many societies face a vicious cycle of corruptions breeding corruption, as integrity and cooperation is undermined and penalised. No actor can facilitate change alone. But pilot programmes have shown that even very poor communities, when mobilised and informed, can exert pressure and hold local politicians and service providers to account. Social accountability is an approach to governance by which citizens, civil society organisations (CSOs), and other non-state actors hold government and services providers accountable for their performance, using an array of mechanisms. Participation seems to be the one tool that is common to anti-corruption work in all the subsectors, but in practice it takes many forms and it has become clear that there is no "one size fits all" approach. Rather, combining tools, modifying approaches, and tweaking existing strategies helps create approaches that fit a particular country or region's experiences. This theme explores experiences and collects evidence on circumstances under which such approaches deliver effective and sustainable routes to achieving water resources management and water services objectives.

## 2. Developing infrastructure and integrity hand in hand?

The water sector is vulnerable to corruption, in part because of particular traits of the sector. Water management is capital-intensive; processes of investments are accompanied by important money-flows. As such they augment the risks of unethical practices in planning, tendering and procurement processes. Large infrastructure projects are complex, making procurement manipulation lucrative and difficult to detect. Clientelism and kickbacks in contracting are common in water sectors around the world. Decision-making is dispersed across many political and administrative jurisdictions and defies legal and institutional classification, creating loopholes that can be exploited. Studies suggest that corruption decreases efficiency of African utilities by more than 60%. Some water practitioners are advocate that building institutional water integrity before any infrastructure investment process have started is an important precondition. Others see these investment processes as ideal moments through which to strengthen integrity on the job, allowing immediate learning-by-doing opportunities. Tools such as Integrity Pacts can be introduced at the starts of investment programmes, establishing sound practices for any particular project and equipping involved officials with valuable experiences for future practice. This theme is the occasion to discuss these complex thematic relationships.

## 3. Building water integrity capacities

Over the past two decades, awareness increased on the need for integrity related capacity development across the water sectors. Programmes like the African Regional capacity development effort were initiated as a consequence of this insight. Lessons have already been learnt, tools have been tested and applied and policies, rules and changes in institutional mechanism have been undertaken, addressing un-ethical practices involving different type of actors across local, national and international levels, in public-public, public-private and public-consumer interactions. However, it is critical to promote evidence based water integrity measures. Policy frameworks for natural resources management, as well as anti-corruption programmes, have a history of unintended side-effects, undermining livelihoods, criminalising the rural poor, and even aggravating environmental impacts. Identifying the right mechanisms to target anti-corruption measures and integrating them into natural resource management is, therefore, highly relevant. This theme is the opportunity to take stock of the main challenges and the hurdles that impede making progress in integrity building.

# Case Overview

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## Lutte contre la pratique de la corruption dans la construction de grands barrages. L'expérience du barrage de Ziga

*Construction of the Ziga Dam, a large-scale infrastructure project financed by twelve donors, posed a significant integrity challenge. The case study presents the process developed and implemented to secure effective implementation of the project plan. The process served as a model for projects across the region.*

### Case Facts

|                 |  |
|-----------------|--|
| Country/Region: | Burkina Faso   |
| Water Function: | Water supply   |
| Organization:   | ONEA   |
| Issue:          | Infrastructure Investments                               |
| Keywords:       | Dam construction, donor coordination, project monitoring |

La mise en œuvre du projet d'Approvisionnement en Eau Potable de Ouagadougou au Burkina Faso, connu sous le label du projet Ziga, a été largement justifié par la quasi permanence de la pénurie d'eau liée à la faiblesse de la mobilisation des ressources en eau (12 millions de m<sup>3</sup>/an mobilisables contre un besoin de 18 millions/an) aggravée par l'accroissement de la population de la ville d'environ 3% par an. La couverture des besoins en eau dans la ville de 60% pouvait à peine être maintenue au fil des années.

L'alimentation en eau potable de la ville de Ouagadougou avant la construction du barrage de Ziga était assurée par des forages et des barrages : barrages en ville, dont l'eau est très polluée et barrage de Loumbila, à 20 km au nord de la ville. Les pénuries à répétitions caractérisaient le quotidien des populations de la ville.. De longues études de faisabilité ont montré que la seule solution économique viable permettant de résoudre le problème sur plusieurs décennies était de recourir à l'une des principales rivières du pays, le Nakambé.

La mise en œuvre du projet de construction du barrage de Ziga a nécessité la mise en place d'un système de coordination et de suivi-évaluation défini de commun accord, assuré par la partie Burkinabé avec à sa tête le Ministre chargé des finances appuyé par deux points focaux notamment, le Directeur National de la Coopération et le Directeur Général de l'ONEA.

La coordination des bailleurs de fonds, au nombre de douze, est passée par la désignation d'une "tête de file" en l'occurrence, la Banque Mondiale qui avait le

montant de contribution financière le plus élevé (75 millions de dollars américains ).

Afin d'assurer une bonne efficacité, les missions de supervision des bailleurs de fonds étaient conjointes, trimestrielles et/ou semestrielles, et le compte rendu était finalisé et validé à la réunion suivante, indépendamment des rappels de missions individuelles sur les points spécifiques ou des détails, conjointement signés par les parties prenantes. La validation susmentionnée incluait la vérification de l'effectivité de la mise en œuvre des recommandations précédentes qui étaient par ailleurs traitées dans un chapitre distinct dans les rapports de suivi et d'évaluation.

La totalité des activités à mettre en œuvre dans le cadre du projet a été réalisée par des prestataires suite à des appels d'offres internationaux, diffusés sur une large échelle à travers les journaux internationaux et selon les critères d'éligibilité définis par les bailleurs de fonds. Les activités relatives à la réalisation du projet de Ziga avaient été subdivisées en dix (10) lots

Les travaux de construction des différentes infrastructures du projet devant avoir des impacts sur l'environnement humain et physique dans la zone rurale formée par les terroirs de 26 villages riverains, sur les forêts et sur les installations des personnes se trouvant sur le trajet des conduites, un plan gouvernemental d'atténuation desdits impacts sur l'environnement (P.G.A.L.E) a été élaboré et mis en œuvre. Il a été élaboré sur la base d'une étude d'impact environnemental (E.I.E) respectant la démarche réglementaire-inventaire participatif, enquête publique, établissement d'un projet soumis à évaluation des acteurs et des partenaires, et validation avant la mise en œuvre.

Le plan de gestion a pris en charge ¼ des populations de la zone soit 6134 personnes et leurs concessions, qui ont été déplacées et réinstallées avec reconstitution de leurs revenus et exécution des composantes d'atténuation des impacts, biophysiques (impacts des travaux, reboisement etc.) des infrastructures de santé (construction d'infrastructures, dépistage des endémies et traitement), impacts sur le développement

local (outils financiers, activités spécifiques des femmes), transfert des populations et indemnisation/compensation.

Relativement à la conception technique de certains ouvrages (le barrage et la station de traitement), des concertations approfondies et tendues avec les partenaires techniques ont permis de choisir des options technologiques pertinentes.

La phase d'évaluation des offres et d'établissement des rapports y afférents s'est déroulée dans le respect des procédures édictées et avec les aspects suivants:

- La participation de l'Ingénieur Conseil et des Assistants techniques internationaux aux travaux d'évaluation des offres avec obligation de signature ; un expert international a été spécialement recruté pour participer aux travaux et produire un rapport indépendant.
- Les membres nationaux de la commission d'attribution (au titre de technicien) sont désignés par le Directeur Général de l'ONEA, trente minutes avant l'ouverture publique des plis. Les seuls membres titulaires nationaux sont ceux occupant des postes de responsabilités officielles.
- Conformément aux dispositions nationales, deux rapports sont produits : l'un portant sur l'évaluation de la sous-commission d'analyse des offres et signé comme tel par les techniciens ayant participé aux audits travaux ; l'autre rapport est celui intitulé rapport d'analyse et de délibération de la commission d'Attribution des Marchés de l'ONEA et signé par les membres titulaires et portant le visa obligatoire de l'Ingénieur Conseil chargé de la Maîtrise d'ouvrage et l'Assistant Technique auprès de la Maîtrise d'ouvrage.
- Les rapports ont été vérifiés avant leur signature et leur conformité avec la procédure d'évaluation établie avant signature et la transmission systématique pour avis de conformité préalable à la Direction Centrale des Marchés Publics (DCMP) du Burkina Faso et par la suite aux Bailleurs de fonds pour non objection.
- Le déroulement des travaux d'évaluation des offres s'effectuait dans le cadre du strict respect de la confidentialité, de l'interdiction de contact avec les soumissionnaires, et du maintien en un seul lieu de l'ensemble des documents.

### Impacts sur l'intégrité

Professionalism: Le projet de construction du barrage de Ziga s'est exécuté avec un très bon niveau de professionnalisme.

Respect des délais contractuels: De façon générale, aucun lot ou composante, quelle que soit la complexité des travaux, n'a été exécuté(e) avec dépassement du délai contractuel. Dans cet ordre d'idée, les travaux complémentaires et même les avenants n'ont pas entraîné la mise en place de dispositions, spécifiques particulières de type mise en demeure ou autre. Au contraire, on a même noté une accélération des travaux induisant un gain de temps du délai d'exécution très bénéfique au projet.

Efficacité du système de coordination: Le système de coordination efficace et de suivi évaluation a permis d'éviter le blocage aussi bien au niveau des bailleurs de fonds qu'au niveau du gouvernement.

Création de la MOZ au sein de l'ONEA: La création au sein de l'agence d'exécution d'une structure de maîtrise d'ouvrage entièrement dédiée à la mise en œuvre du projet et au suivi des travaux à pied d'œuvre, a constitué une disposition qui a permis le suivi des travaux par les agents de l'ONEA à travers les renforcements de capacité et l'appropriation des installations et des équipements pour une exploitation optimale.

Un autre aspect très intéressant était l'existence de dossiers techniques de base et des spécifications techniques de qualité. La base d'une mise en œuvre professionnelle est fondée sur les dossiers techniques de bonne facture. C'était le cas pour ce projet ; et aujourd'hui avec le recul ; les longues discussions sur les choix techniques et technologies étaient fondées et ont permis de finaliser les dossiers d'appel d'offre corrects et solides ; des coûts justes ; et finalement, des travaux de qualité à des coûts avantageux.

La pérennité de l'ouvrage: Depuis la réception des travaux, aucuneavarie n'a été constatée, ce qui atteste du respect des standards et de la solidité de l'ouvrage.

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## Going against the Cabal at Guma Valley

*Over the past two years, Guma Valley Water Company conducted a transformative internal campaign to fight institutionally entrenched corruption. The case shares the personal experience of the Integrity Ambassadors that played a crucial role in the orchestrating the turnaround.*

### Case Facts

|                 |  |
|-----------------|--|
| Country/Region: | Guma Valley, Sierra Leone                                |
| Water Function: | Water Supply & Services                                  |
| Organization:   | Guma Valley Water Company                                |
| Issue:          | Effective Anti-Corruption                                |
| Keywords:       | Integrity Ambassadors, institutional capacity, collusion |

Freetown, the capital city of Sierra Leone, is home to about 2 million people. Guma Valley Water Company (GWC) is responsible for providing safe clean drinking water to the people of Freetown, a task that the company, ever since its inception in 1961, has struggled to perform successfully. Less than half of the population of Freetown receives pipe-borne water. People without access to the utility's service get their water from shallow unprotected wells and surface streams. The effect of lack of access to clean water on the health and socio-economic status of the people is huge. Freetown recorded the highest number of deaths in sub-Saharan Africa from the cholera epidemic that ravaged the country in 2012.

That same year, GWC was literally a defunct public water utility: it was considered normal for employees to go without pay for several months, and was unable to buy water treatment chemicals and cover other necessary operating expenses. There was no provision for capital expenditure to repair broken down equipment or facilities, or extend the service to un-served areas as new settlements developed. In order to fully meet its operations and maintenance (O&M) costs, GWC usually relied on funds transferred from the Government of Sierra Leone. In 2012, the Government transferred the sum of Le3.5bn—equivalent to US \$800,000—into the company's coffers to help it meet the shortfall in its operating finances.

Ironically, while the company was also not doing well, the fortunes of some employees was thriving. Most of the employees were constructing homes and driving expensive vehicles. Donor funds was being used to deliver over-priced white elephant projects, which

were poorly thought out, poorly implemented, and having no sustainable impact on the number of people given access to safe clean drinking water. Consequently, the Government of Sierra Leone started considering proposals to privatize the public utility.

Fast forward to 2014, after a 15 months of internally driven transformation and change management programs, the company is now generating more than enough revenue to finance, not only its O&M costs, but also it is able to put some money aside each month for capital projects to repair and extend pipe-borne water delivery services to under-served and un-served areas in the city. How we orchestrated this turn-around strategy in the company, in an environment where corruption is institutionalized, is the subject of the case study.

### Dealing with the Cabal

How does one deal with institutionalized corruption? This the main challenge at GWC. How does one deal with corruption so entrenched, so pervasive that employees and stakeholders do not even consider such activities as acts corruption? Such acts are often justified with statements like "this is our time", or "we may not have another opportunity".

What makes it really difficult to fight corruption in such environments is the fact that the people you as a manager will rely upon are the very people who have connive to fleece the company. Systems and procedures get breached, and monitoring mechanisms get undermined by the very people who are charged with the responsibility to protect the company. The "hunter" of corruption can quickly become the hunted in such settings. He or she will have to endure smear campaigns and innuendo against themselves and their families. In such situations, the one fighting against corruption will often be seen as the impostor; the one who walks into a room and all conversations stop.

Sometimes, the cabal is not only restricted to employees that report to you, but senior colleague, and bosses, or they may have the tacit support of the members of the Board of Directors, who say one thing in public, but privately say something else. Even when suspects are brought to book to take responsibility for

corrupt acts, one watches in amazement as stakeholders put up defense for the suspects, by trying to pick out holes in the evidence or highlight breach of procedure in trying to exonerate the people concerned.

Going against a well-organized cabal is akin to fighting for ones' life, because one never knows to what extent people are willing to go to. Short of sacking nearly everyone concern, the people fighting against corruption are left with little choice but to continue to work with the very people they know to be corrupt. Bringing in new employees can help dilute the culture of corruption, but this is not something that can be implemented quickly.

### Fixing the Billing System

The first thing we had to do was take control of the billing system. This single act immediately brought to an end nearly all illegal tampering with the customer information and billing system. A core issue regarded the biggest customers. It is not unusual for some of GWC's officers to have negotiated deals with some of our biggest consumers in return for reduced bills. So we took the following steps:

- Analysed consumption patterns for the 200-hundred biggest customers over a 3 year period;
- Made site visits to individual consumers and laid the cards on the table, observed consumption by site and gauged it against actual billing amounts;
- Highlighted issues of low revenue;
- Negotiated minimum monthly bill amounts with individually customers or negotiated tariff rate with trade groups or associations;
- reliable water supply services was guaranteed in return as an incentive.
- Once gains were made, we publicized it widely; gave monthly performance bonus to staff.
- New billing system being procured that will be tamper proof and an enumeration of Customer will be conducted soon.

As a result of the sustained improvement in performance, Development Partners have suddenly begun showing great interest in the utility, all wanting to offer funds for a complete revamp of the sector.

Now that we are generating a lot more revenue than we were doing before, a new challenge that has only recently emerged is spending money judiciously and strategically. Projects with no impact on core activities of the utility are now de rigueur, alongside rigged procurement and employment procedures.

### Impact on Integrity

While integrity at GWC has improved a notch, particularly in activities related to revenue collection, it is an on-going battle. Corruption on the expenditure side is on the increase.

The good thing is that most people have now seen the potential of the company and what we can achieve if corruption is minimized. We engage in frequent workshops with the staff to help reinforce the message that we should all work for the good of the company and the people we are mandated to serve. Once people begin to see that we are now doing the right things, instead of enriching ourselves, they want to help the utility succeed.

As well, GWC are now attracting the best caliber Engineering Students from the local universities, wanting to work for GWC, something that we were not used to experiencing only a couple of years back. So integrity has taken hold in the company. We need to do everything possible to nurture it.

### Lessons Learned

- Fighting corruption in an environment where corruption is entrenched, or institutionalized, is very difficult;
- Proponents of change need change agents who believe in the vision and who will take the message out to the rest of the organization;
- Remember, when fighting corruption, do not succumb to pressure; live to fight another day;
- Dilute the corrupt gene pool with new employments, if possible;
- Stay clean; stick to your guns, but it will not be an easy ride;
- Enhance monitoring mechanisms; monitor activities yourself if necessary;
- Transparency as a tool in fighting corruption: the sharing of information; a robust Management Information System that brings back performance data from all corners of the organization.
- Live by example; people watch what you do, instead of what you say.

### More information:

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## Dialogue Sessions Unearthing Allocation of Funds to Ghost Villages

*During the construction of boreholes in Nebbi district, dialogue sessions conducted in sub-counties as integrity measure discovered that officials had allocated funds to non-existent villages, and moved to hold them to account. . The case initiated a process that aims to establish greater transparency and accountability in the district.*

### Case Facts

|                 |   |
|-----------------|---|
| Country/Region: | Nebbi District, Uganda                                      |
| Water Function: | Allocation of water resources                               |
| Organization:   | Local communities   |
| Issue:          | Embezzlement of public funds                                |
| Keywords:       | Planning; Ghost villages; dialogue sessions; accountability |

Nebbi district earmarked over sh. 191million to drill and construct boreholes in the financial year 2013/2014. During one of the district dialogue sessions in Nebbi district, a controversy issue emerged over the borehole which had been approved for drilling and construction in the financial year 2013/14. The report indicated that some of the boreholes have been allocated in non-existing villages. As the sub-county leaders claimed that, names of some of the beneficiary villages do not exist in their sub-county as indicated by the district officials. This led to a heated debate during dialogues and agreed to relocate back to its original village.

Dictation on the priorities of sub counties by some district officials where water points are taken to prioritized locations. The village called "Juba" still has land wrangles between government-NFA and intruders so the inhabitants will very soon be evicted. Some district officials think they are antagonizing their plans by the sub county officials and other community members who demand for information on these issues. Budget constraints mean that some sub county may not be able to follow up these issues. These similar problems are happening in other sub counties of Nebbi district, because the locals are not empowered. Information flow from district to sub counties is not regular, if this is done through constant feedback, these problems could be avoided.

Water users pay contribution to acquire new water sources, but this money can't be traced since there is no accountability for use of the money. There are still some individuals who own boreholes and deny people from using them.

### Initiatives and Impacts

- The imparted knowledge on Governance, Transparency and accountability through district and sub county dialogue sessions by CEFORD, with support from NETWAS and DANIDA.
- The strong leadership structures at district and sub county levels ranging from technical and political staff coupled with their willingness helped in making tough decisions and actions to correct mistakes.
- Continuous follow up by all stakeholders involved in the project starting with CEFORD, NETWAS, District and sub counties that help attain the desired results needed.
- Involvement of all stakeholders like media houses also helped through newspaper publications where one of the journalists documented and published this issue in the paper.

### Lessons Learned

- People's integrity at work need to be at constant check so that everyone gives the right services to those entitled to.
- Once local communities are empowered they demand for improved water services
- District leadership is very key in the success of our intervention
- Political will is very key since it adds on the voice of the voiceless
- A lot is still desired by the local communities if all are to access safe water as a right.

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## Integrity Ambassadors Changing Local Water Management Cultures

*The case discusses the initiative of a local NGO engaging municipal councilors, local leaders, residents associations and the local population through multiple channels, in order to jointly act against corruption and improve local water supply and services.*

### Case Facts

|                 |   |
|-----------------|---|
| Country/Region: | Chitungwiza, Zimbabwe   |
| Water Function: | Planning & Policy making processes                              |
| Organization:   | ZIFEDA  |
| Issue:          | Anti-Corruption   |
| Keywords:       | Capacity building, awareness campaigns, resident's associations |

Chitungwiza is a dormitory town of Harare whose population has soared in the past decade. It is one community whose residents have suffered some of the worst water related woes in Zimbabwe. While I have firsthand experience of the water challenges of the town, I was not sure whether to use it as my case study at the Water Integrity training. I was not the only one with difficulties coming up with case studies for presentations. It was part of the requirement of the workshop for participants to present their own case studies. The problem was not in finding cases of corruption in our countries' water sectors, but rather we were not sure of our security as ambassadors; we shared a common concern, fear of backlash. Those working in the water institutions felt most vulnerable especially after the organizers indicated intentions to publish our case studies in Regional Newsletters

Water is a politicized resource in Zimbabwe as in other SADC states, with the historical context playing an important role when it comes to how this precious resource is governed. While we were attending the workshop, back in Zimbabwe, general elections which included, councilors for Chitungwiza, were underway. The electoral process lacked transparency and accountability such that many voters doubted their integrity. The voters were so terrified to voice their displeasure in how elections were administered.

Rapid urbanization due to high rural-urban migration has given rise to illegal settlements stressing water resources in Chitungwiza. Corruption in the water sector in Chitungwiza has its roots in the political background

of the country. Like many governments formed out of former liberation movements in SADC, they tend to be autocratic and impose military leadership styles while lacking basic governing skills. The citizenry hardly demands accountability.

While public officers are supposed to be apolitical, in Zimbabwe, senior water managers are appointed by politicians in return for loyalty and have protection. The same applies to power companies. Those who are involved in grant corruption sing political hymns in order to cow down people from demanding accountability. Out of desperation to win votes and funding of elections, politicians offer protection to perpetrators of grant corruption. More so, Zimbabwean politicians now own several businesses in Chitungwiza and other parts of the country under the indigenization and economic empowerment policy. Their companies provide services to local authorities increasing the risk of corruption due to conflict of interests.

Chitungwiza is an extension Town of Harare which buys bulk water from Harare and resells to residents at a markup. It has the third biggest population after Harare of mostly poor people. The town has been affected by perennial water shortages and no lasting solution had been found. There was no meaningful dialogue between the stakeholders, service providers and consumers. The Town administration is broke and cannot service its huge debt for bulk water. The council is failing to recover costs of water distribution from residents. Senior management has been awarding themselves obscene allowances while the rest of staff has gone without pay for more than a year. Tender procedures have been flouted with impunity while service delivery has deteriorated significantly.

Many residents including churches and their leaders are beneficiaries of corruption hence they do not want to participate in anti-graft efforts for fear of exposure. Residents feel water bills are not justified and therefore resist paying. They have resorted to alternative water sources like bush pumps installed by NGOs at the height of the Cholera outbreak in 2008. Almost every residents and business premises have each an unprotected well from which they fetch water, some for consumption. The water has been tested and proved to

be contaminated with sewer. Some public institutions including clinics, hospitals, and schools have electric boreholes which do not supply adequate water.

Women and girl children who spent their most productive time in long queues waiting to fetch drinking water are the most affected. Some girls fail to attend school or go late. Unemployed youths have become water vendors. Children, the elderly, disabled and people living with HIV and Aids are greatly exposed to diarrhea and other diseases as a result of water problems. With the costs of health services beyond their reach many, people are dying in their homes.

Communities lack understanding of the long term effects of their actions. Residents themselves are both perpetrators and victims of corruption. They want to get rich without hard work. They refuse to pay bills, yet they collect their money from tenants and convert to personal use. House owners overpopulate their houses to earn for them to earn more money. High unemployment has led people to resort to accommodation services corruption.

Capacity building initiatives target various stakeholders in Chitungwiza:

### **1. Advocacy and Lobbying**

A faith-based civic society organization called Zimbabwe Faith, Ethics and Development Association (ZiFEDA) lobbies for ethical conduct in church, private and public institutions. Zimbabweans are predominantly Christian, and most water managers also serve as church leaders. The churches are now involved in major development projects in Zimbabwe, thereby becoming key stakeholders in the fight against corruption. ZiFEDA conducts forums on good corporate governance as a corruption prevention strategy and publishes weekly articles in a national paper.

### **2. Chitungwiza Residents Association and Women's Community Representatives**

Chitungwiza Resident Association has become a significant voice of Chitungwiza residents. This reputable association participates in council meetings. We discouraged residents to work with trusts led by former MPs and councilors who were fired for corruption, and assist the Association.

### **3. Local Authority Capacity Building Activities**

Morale among water department workers in Chitungwiza is very low after eleven months without pay.

Workers are not employed on merit, councilors are not qualified and the administration cannot employ performance based management systems. Its capacity to implement MWRM is low. The Mayor has requested that we organize IAT for councilors and senior management as well as facilitation of the strategic planning for the town.

### **4. Social Accountability**

NGOS colluding with town managers lead to newly installed but nonfunctional infrastructure, or plans that are never carried out. Some CSOs have done researches on water and health related problems but findings have not been shared with the communities. The Legal Resources Foundation educates residents on their civil responsibilities to be meaningfully involved community project budgeting and planning thereby preventing misappropriation of development funds by NGOs

### **5. Justice and Police Force**

President Robert Mugabe has declared his government's zero tolerance to corruption and has demonstrated commitment by the current purging of corruption in parastatals and the water authority. We have seized the opportunity to engage the Chitungwiza District Magistrate's Court and Chitungwiza Police to ensure IAT. Both institutions have welcomed the idea and are committed to uphold the rule of law in Chitungwiza to ensure corruption is investigated and perpetrators punished. Zimbabwean laws do not provide protection for whistle blowers and we want to lobby for the same.

## **Impact on Integrity**

- Key stakeholders in Chitungwiza agree on the need for integrity at all levels to ensure service delivery.
- Stakeholders expressed willingness to be trained in IAT. There is dialogue between service providers and consumer groups which is aimed at improving service delivery and hence the start of IWRM.
- The residents association's leadership is inspired to build their capacity to strengthen the citizen voice. A coalition of civic organizations is now in place giving the necessary civic voice to ensure integrity in Chitungwiza Town Council.
- We have achieved a working relationship with the administration which gives us an opportunity to impart technical skills in the various administration departments.
- On-going meetings with the Mayor and the Town Clerk tailored our course to the most critical areas of service delivery. We have agreed to train the councilors
- After the training, we will facilitate the Chitungwiza Strategic Planning. This is a great opportunity to integrate IAT in the entire system and solve water problems of one of the most troubled towns in Zimbabwe.

## **Lessons Learned**

- An Integrity Ambassador must cultivate personal integrity and strong interpersonal skills.
- Corruption in the water sector is usually fed by corruption from other sectors of the economy and therefore, a multi-stakeholder participatory approach will help in fighting corruption.
- Religious leaders have an important role in building integrity of communities
- We must target political processes like election administration, and a culture of violence and intimidation that promotes corruption.
- NGOs /CSOs/ Media must be financially transparent and accountable both to donors and local communities they serve.
- Turn journalist from public relations managers for elite and corrupt politicians into advocates for the suffering masses, they play a key role.
- Communities need guidance and need to be made to account to each other for their behaviors so that they learn from their problems and find own solutions. As Water Integrity Ambassadors we are just catalysts of this process.

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## The IWRM Roadmap for Gambia

*The case study describes a systematic campaign building capacities at various levels and mitigating corruption to enhance integrity among various stakeholders during the roll-out of a major water policy reform in The Gambia.*

### Case Facts

|                 |   |
|-----------------|---|
| Country/Region: | Gambia  |
| Water Function: | Water Resource Management                           |
| Organization:   | Gambia County Water Partnership                     |
| Issue:          | Awareness   |
| Keywords:       | IWRM, Roadmap, policy implementation, sensitization |

The Gambia's water resources endowments consist of surface water found in the river Gambia and its tributaries, a few coastal streams, and multiple aquifers found at different depths throughout the country. Major threats to the surface and groundwater resources are identified as: 1) depletion of water stock, 2) pollution of water resources and 3) corruption. Natural and human pressures pose a threat to long-term water security. The Gambia has developed an IWRM Roadmap that moves it closer to its IWRM vision. The national process is convergent with the Economic Community of West African States (ECOWAS) Regional Water Policy and Water Vision. A fair amount of work is needed however to align river basin organization and national approaches to water resources management. More effort is required to involve small-scale farmers, fishermen and other stakeholders in planning and decision-making processes.

In early 2008 the Government of the Gambia, began to implement a new national water policy. The implementation of the new policy requires development of appropriate legal and institutional arrangements, water resource management tools, and wide ranging human resource capacities necessary for application of IWRM in the Gambia. Arising from this need, government sought support from the African Water Facility to implement a water sector reform project.

The Roadmap calls for the establishment of a Country Water Partnership, which should serve as a neutral platform for all stakeholders in the water and water related sectors for the implementation of the IWRM Roadmap.

A set of (13) thirteen priority actions, deemed necessary to make the transition from current unsatisfactory management practices to full-fledge IWRM, constitutes the Gambia's IWRM Roadmap. The actions are group under five themes: 1) facilitation of the reform process, 2) stakeholder engagement, 3) rejuvenation of an enabling environment, 4) capacity building and 5) action plans and project development. Subject to untimely external inputs certain actions were delayed.

Integrity challenges in the management of water resources include

- Distorted or minimal information and unwillingness to share information (to keep dubious acts under cover, people are not willing to share information),
- Delay in works execution (Contractors divert funds paid to them for other issues),
- Delay in disbursement (corrupt officials withhold disbursement to create room for bribery),
- Inadequate consultations with relevant stakeholders (projects are plan without adequate and required involvement of relevant stakeholders),
- Improper recruitment practices and low personnel capacities (contracts are awarded to relatives/friends, kickbacks are expected)
- Improper tender and procurement procedures (nepotism. Awards do not follow laws, key stakeholders seldom participate), extravagant paybacks
- Poor equipment for work executions, and inferior quality equipment for infrastructural projects,
- Environmental impacts from uncontrolled abstractions (indiscriminate drilling of boreholes, hand pump wells, without informing or approval from the relevant authorities) and agricultural chemicals hazards and pollutants.

Ignorance is a key factor for perpetuating poverty and barriers to development includes administrative, facilitation and socio-cultural. The Gambia is going through a decentralization process and an act of parliament was passed in 2002.

The initiatives embarked on the decentralized structures to propagate its establishment and capacity building for an effective water integrity network in the Gambia.

The activities contributed significantly in building capacities at various levels and mitigated corruption to enhanced integrity among various actors. Activities aimed to

- increase community awareness and participation,
- improve information sharing and enhanced coordination among stakeholders,
- Improve data collection, management and sharing,
- Encourage whistle blowing offering protection
- Water committees sensitized and mobilized for enhanced awareness on anti-corrupt practices

The aims are pursued through the following activities:-

- Awareness and capacity building training workshops on national, regional and local level involving Municipal Councils, Technical Advisory Committees (TAC), Water and Sanitation sub-committees (WATSAN) of TAC, Multi-disciplinary Facilitation Teams (MDFT's), Ward Development Committees (WDC's), and Village Development Committees (VDC's),
- Participatory monitoring and evaluation using various monitoring and evaluation tools and mechanisms,
- Preparation and distribution of periodic reports, and regular consultations, knowledge and information sharing including feedbacks,
- Outreach materials developed and distributed including posters, t-shirts and leaflets
- Drama/ theatre groups were engaged and trained for performing corrupt and good practices depicting practical actions,
- Two hundred radio programme by one hour used community radio stations and private FM stations,
- Ten television programmes on water integrity with the Gambia Radio and Television Services which allowed viewers to make contributions, comments, asked questions and concerns,
- Retreats were conducted every six months, which allows stakeholders to review progress, strategy and performance and lessons learned were documented

It is planned to continue the awareness campaign.

### Impact on Integrity

The initiatives have enhanced awareness, participation and sense of ownership among stakeholders. It increased efficiency in the management, development and coordination of water resources, increased access and reliability of water supply

- Stakeholders at various levels are sensitized and mobilized. Corruption risks and causes were identified, mitigation mechanisms were devised.
- Regular consultations and meetings are done as required, effective participatory monitoring and evaluation mechanisms are in place,
- Free and transparent information flows between various stakeholders, data is collected and shared as required,
- Appropriate recruiting procedures are adhered to, and contracts are transparent and realistic,
- Decentralised procurement and multi quotations are encouraged, funds are disbursed as per work verified and in line with contracts,
- Whistle blowing is encouraged at all levels.

### Lessons Learned

- Women and youth groups were among the institutions that played pivotal roles in fighting corruption and all forms of malpractices in the management and coordination.
- Whistle blowing serves as a very effective tool to reveal corrupt practices which led to legal actions against the culprits. It also facilitated the recovery of illegally acquired equipment and materials by corrupt officials and other workers
- Social accountability facilitated the development of infrastructure as much needed funds were utilized appropriately, provided room for expansion and served as a vital tool to fight poverty.
- By extension, the programme assisted building integrity in other sectors. Stakeholders at the grass root observed irregularities in the management of other resources and mitigating efforts were undertaken.

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## Scaling Up Water and Sanitation Services to the Urban Poor

*The Urban Project Concept is a system of procedures, processes and tools to implement projects that deliver simple, cost effective and sustainable technologies for pro-poor water service delivery poor urban areas. Community participation and empowerment forms a core element of the programme.*

### Case Facts

|                 |                                    |
|-----------------|------------------------------------|
| Country/Region: | Kenya                              |
| Water Function: | Water Supply & Services            |
| Organization:   | Water Services Trust Fund          |
| Issue:          | Pro-poor service delivery          |
| Keywords:       | Urban WASH services; Urban poor; t |

Kenya is located in East Africa with about 25% of its population living in urban areas and about 70% of this population residing in the low income urban areas with little or no access to water and sanitation services. Until the 1990's politicians and professionals were unable to cope with rapid urban growth and to some extent lacked the political will to address the deteriorating living conditions in the low income urban areas. After all, the urban poor got their water 'somewhere'.

In the last 10 years, the Kenya government implemented far reaching reforms, created Water Service Providers (WSPs) to provide water services in all urban areas, a regulator and a pro-poor fund, the Water Services Trust Fund (WSTF) to support water service provision in under and unserved areas.

In 2007, the Water Services Trust Fund (WSTF) developed the Urban Project Concept (UPC) to fast-track responses to specific challenges of urban low income settlements. The Urban Projects Concept (UPC) consists of systems, procedures, processes and tools that enable efficient and effective project implementation. The projects incorporate simple, cost effective and sustainable technologies. Since 2009, UPC has reached 1.4 million people with affordable safe water and 400,000 people with basic adequate sanitation.

Some of the impediments to the improvement of living conditions in the urban low income areas in Kenya is the lack of reliable sector specific data, e.g. demographic data, socio – economic data, data on existing water supply and sanitation situation, data on housing, drainage, solid waste disposal, etc. This makes it very difficult to make informed decisions on investments or to monitor projects in these areas. In addition, many water

utilities lack entrepreneurial skills and spirit; Instead of approaching low income urban areas with pro-poor strategies, specialised units and adapted solutions, many utilities prefer to avoid risks and mainly focus on collecting revenue from metered customers in middle and high income urban areas.

The sector also lacked an up scaling concept that defined standards and guiding tools for the implementation of projects. This led to piecemeal pilot projects with limited impact. The workmanship was poor, with lack of appropriate technologies and limited community involvement. In some instances there was no value for money in projects. Poor governance and corruption in many water utilities led to the wrong priorities and misappropriation of funds. The poor areas suffer most for such consequences. Furthermore, many of the financiers did not have clear procedures during project preparation, implementation and operations. Limited financial and technical support to the water utilities to extend services in the low income urban areas,

Efforts have always been put in the implementation of projects in these areas with little emphasis on operations monitoring after the completion of projects to determine the status and performance of the projects. Many utilities are indeed centralised without a strong presence in low income areas. Maintenance and repair requirements needs are not identified and why reported damage is not responded to.

The fact that low income urban areas are not perceived as a business opportunity but rather as a burden or risk can be largely attributed to a lack of knowledge about socio-economic conditions of areas which are often labelled "settlements for the urban poor". The presence of private ISPs in urban slums indicates that these areas constitute an important market for water kiosks as well as for domestic and commercial connections. A utility can only respond to the specific needs of slum dwellers or the residents of dilapidated council estates, if it is willing to study local conditions and willing to work with residents, local organisations and local authorities.

## UPC Activities

1. Financing of water and sanitation projects: Through calls for proposals (CFP) twice a year, urban WSPs are invited to submit proposals for the improvement of water supply and sanitation in the low-income areas within their service area. The CFP approach encourages competition and an efficient allocation of funds through a transparent appraisal and funding criteria.
2. Capacity Building: WSTF recognizes that WSPs have limited capacity for proposal preparation and project implementation. WSTF designed tailor made curricula to address these gaps and increased WSPs awareness of the UPC as a financing mechanism through workshops. The WSPs who have qualified for funding are taken through the implementation process; a feedback workshop for those who do not qualify to help identify and improve weak areas.
3. Field Monitoring: UPC lays a lot of emphasis on field monitoring and established controls to ensure that quality, time and costs are well managed. This is done with Field Monitor teams and regular field visits by the UPC team Internal Audit Department.
4. Water and sanitation database (MajiData): MajiData allows all stakeholders to access data on all low income urban areas of Kenya. Data can be used to prepare good quality Project Proposals, but also to improve the monitoring and management of these areas. You can view it on [www.majidata.go.ke](http://www.majidata.go.ke)
5. Operations Monitoring: Comparing the project at three different stages: as planned; as built; as used.
6. All the above activities are guided by tools, guidelines and brochures that have been developed to guide in the project preparations, implementation, monitoring and evaluation. For example DVD-ROM for Implementation of Water Supply projects in low income urban areas; implementation of Public sanitation, Aquapix with various photos of watsan projects from different countries; Inventory and operations monitoring tool.
7. Community participation and empowerment: To ensure community ownership, the utility works with a project task team that comprises of stakeholders from the local government, public health, local administration, local development committees, women and youth representatives. This task force has a clear mandate to assist the utility in mobilizing and sensitizing the community on the project as well as secure land for investments.

## Impact on Integrity

Since 2007, UPC investments resulted in 500 new water kiosks; 530 yard taps; 26,000 water meters; 120 water tanks; 17,000km of pipeline 60 public sanitation facilities, increases in revenue reduction of Non Revenue Water for utilities.

Less obvious outputs included

- Income generation through the kiosk operators who not only sell water at the regulated price but also other goods in the kiosk
- Development and adoption of national Technical standards for water provision in the urban poor areas; formation of pro-poor units and customer care concept to serve the urban poor.
- Firing of corrupt Managing Directors upon misappropriation of funds.
- Increased transparency in tendering and implementing projects, launch of MajiData-pro-poor database , map showing each and every financed infrastructure in the country
- Refund of unused project finances amounting to 370,000 Euros

## Lessons Learned

- Serving low income urban areas requires an elaborate concept that addresses not only technical but social and governance issues.
- Transparency and accountability is key to success of projects; alignment to the overall water sector framework and operations monitoring is key to sustainability
- Unlike NGOs or private ISPs, which can cherry-pick their project locations, the utility has the obligation to supply all people living within its service area
- Focus on selecting simple cost effective technologies with maximum impact.
- Harmonization of donor procedures is key to success of the project.
- Capacity strengthening of the implementing institutions is important.

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## Promotion of Transparency and Integrity Systems in Local Authorities

*Development of local authorities' integrity systems for the enhancement of transparency and accountability to avert misappropriation of funds and corruption in the delivery of services for the benefit of the consumers and stakeholders*

### Case Facts

|                 |  |
|-----------------|--|
| Country/Region: | Zimbabwe   |
| Water Function: | Planning and policy making processes               |
| Organization:   | Zimbabwe Local Government Association              |
| Issue:          | Transparency                                       |
| Keywords:       | Capacity gaps in local governance; code of conduct |

Local Authorities in Zimbabwe face a major deficit in practicing transparency, integrity and accountability. A patronage culture of governance has been entrenched albeit the existence of legislation and policy measures. Most Local Authorities have weak code of conduct and ethics and in cases where strong documentation is available the implementation framework is vague with no appropriate measure to enforce what is dictated by the code of ethics.

This initiative was developed to redress these issues by giving technical assistance to local authorities for the creation of codes of conduct and ethics and appropriate training for application and execution. Further, given the inadequacy of the induction training Councillors receive, the initiative sought to enhance the capacities of the Councillors to integrate integrity issues in the budgeting and planning purposes.

Integrity challenges include:

- 1) Deficient capacities and knowledge of Tender Procedures amongst Councillors in the Tendering and Procuring Committee.
- 2) Absence of Ethics and Prudence Systems.
- 3) Conflicting Legislation governing the tendering and procurement processes.

There is no statutory educational requirement for Councillors that are elected into office and therefore, some of the Councillors do not have the requisite educational background to enable them to fully comprehend the tendering and suppliers selection process

and albeit the committees are serviced by experienced professionals we still have a multitude of cases where Local Authorities lose millions because of poor decisions made at the tendering stage.

Lack of transparency in decision making and service delivery processes have been major areas of concern by the public and the private sector. The patron-client relationship between local authority officials and politicians has worked to undermine accountability of key officials to the public. Once people gain political power, their attitude towards the people who brought them into office has been negative and counter-productive.

The division of functions between central and local government is a contradictory one in the administration of many countries. There are theoretical and practical contradictions that one must address in order to understand where we are and where we want to go in the maintenance of this symbiotic relationship between central and local government. Transitioning from centralized governance to decentralized governance requires a corresponding transition in the legislative frameworks governing the operations of Central and Local Government.

In this regard, Local Authorities are requested to tender through the procurement board all their equipment and supplies. But the rules and regulations of the board are not conducive to the local authority and most councillors are not versed with this requirements.

To answer these challenges, the initiative engaged with

- Developed a Local Authority Integrity System
- Trained Councilors on code of conduct and ethics
- Developed of an ethics manual

### **Impact on Integrity**

There is a strong commitment to the code of conduct by councilors. There is significant reduction in violation of laid down procedures by elected councilors in the execution of their duties at community and Council level.

Council officials and local leadership structures will adhere to the rule of law. Communities want to see the rule of law replacing the rule of man in the governance of local affairs. RDC officials will be committed to agreed information and public disclosure processes in their work with communities and other key stakeholders.

Public, private sector and civil society institutions are engaged in successful partnerships for effective delivery of good governance entrenching transparency, accountability and integrity. Local communities have increased mechanisms for shaping the priorities of local institutions through reinforcement of their participation in local decision making and governance processes.

The targeted local governments are now able to efficiently sustain socio-economic development processes in their areas and deliver accessible and affordable quality services that respond to people's needs. There is more transparent and expenditure management system within the targeted RDCs and communities are being kept informed about local revenue earnings and budgets.

### **Lessons Learned**

- Participation by the Local Communities is key to the achievement and sustainability of integrity systems in organizations
- The ethical dilemmas that are encountered in the day-to-day affairs of an organization cannot be resolved by legislation alone there is need
- Transitioning towards good governance in terms of accountability, transparency and integrity is a process that requires a harmonious relationship between the policy makers (politicians) and Policy implementers (executive)

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## Preventing Theft of Repair Materials to Avoid Prolonged Water Shortages

*The case study describes a case that tested the Corruption Prevention Policies implemented by the Water Boards and Government of Malawi. The disruption of drinking water supply created sufficient public backlash to pressure the Water Board into enforcing its integrity rules.*

### Case Facts

|                 |  |
|-----------------|--|
| Country/Region: | Lilongwe, Malawi   |
| Water Function: | Water Infrastructure   |
| Organization:   | Lilongwe Water Board   |
| Issue:          | Anti-Corruption in maintenance   |
| Keywords:       | Collusion; whistle-blower protection; enforcing anti-corruption policies |

This Case Study happened at the Southern Zone of Lilongwe Water Board, a water utility company which supplies water to residents of Lilongwe, the Capital City of Malawi. Maintenance staff usually gives false information about the extent of pipe bursts and leakages to collect repair materials which are then used for personal gain. There is usually collusion among employees or with customers to divert repair materials, steal property and other assets of the Board to sell instead of using the materials to repair pipe leakages.

In this particular case, a 350mm diameter pumping main burst. This pipe delivers water to a 6,000m<sup>3</sup> reservoir which serves over 10,000 connections in an area with a population of over 60,000 people, most of whom are low income earners. When this pipe burst, repair materials were quickly provided to the maintenance staff to repair the pipe. However, some materials (Couplings) were reported to have been misplaced somehow and could not be traced.

The repair works could not continue as the high value materials, they could not be procured quick enough. Customers were kept for two days without drinking water. A customer, who was affected by the water shortage, reported to have seen the Board's staff dropping some materials at a certain house. Upon thorough search of this house, the materials were found and the owner of the house admitted to have bought the materials from one of the maintenance staff members and that he resells them in his Hardware Shop in town. He was able to identify the member of staff who sold him the materials.

The pipe burst was only repaired on the third day and

water supply resumed. The member of staff was subsequently dismissed upon a disciplinary hearing and the owner of the house was arrested for purchasing stolen goods with the case pending in court. The tough stance taken by the Board in dismissing this employ is in line with Lilongwe Water Board's Anti Corruption Policy where any member of staff proven to be indulging in any acts of corruption is dismissed. This was also a warning to all other members of staff indulging in the same malpractice that the consequence of their actions is dismissal from the Board.

The main challenge in this case is the tendency by maintenance staff to present false information on the extent of leakages in order to collect materials and divert them for personal use. The institutional policy is that all faults are reported to one control centre and are then given to plumbers to repair them. When they are repaired, plumbers report back to the control centre to clear the list. However, not all faults reported by customers get to the control centre hence plumber prioritise the faults not logged in order to collect materials. Additionally, they exaggerate the extent of faults to collect more materials for personal gain at the expense of a large number of people without drinking water.

The other challenge is that members of staff collude with customers to report non-existent faults. When such faults are reported, materials are collected which are not used but sold. Eventually, customers with real faults suffer as major pipe bursts and leakages are not repaired due to non-availability of materials. The Board also spends a lot of money procuring materials which are misused. In addition, some maintenance staff demand or solicit money and other benefits from customers to decide on which faults to repair quickly or not. This brings inequity in the provision of water supply as those without means to pay or bribe are not assisted and don't have access to drinking water. It's quite difficult to break the link between colluding staff and corrupt customers as they support each other in their dealings. Members of the public also aide this malpractice by agreeing to buy and resell materials meant to benefit a large group of people due to selfish reasons.

The Lilongwe Water Board has a Corruption Prevention Policy in place so as to prevent cases of corruption and

fraud and thereby protecting its revenue, property and reputation and other assets. The Policy also helps develop and maintain an organizational culture, procedures and strategies which prevent corruption. This is in line with Malawi Government's zero tolerance to all forms of corruption.

The Board's Corruption Policy applies to Lilongwe Water Board Members, Employees, Clients (individual and corporate), suppliers of goods, services, works and any other persons or entities dealing directly or indirectly in matters or transactions for Lilongwe Water Board.

Members of the public report suspected cases of corruption or other irregularities against employees, clients or suppliers through telephone, letters or coming in person to the utility. The Board has an anonymous Tip-off program where the general public can report suspected cases of corruption and fraud as well as cases of illegal water connection, illegal drawing of water and stealing of LWB property. All reported tip-off anonymous cases are investigated upon and a reward is given to anyone whose report is proved true.

Implications of this issue in relation to integrity, equitable access to drinking water, cost of water, quality of water and inefficiency in delivery of water services were highlighted. Failure to quickly repair the leakage led to three days of no water to more than 10,000 customers. These customers are low income households who suffered a lot as they had to get water from expensive or unsafe alternative sources. The Board spent more financial resources as it had to hire water bowsers to supply a few customers.

Extra staff costs were incurred as the maintenance staff had to work through the night and were paid allowances. Customers were forced to walk long distances to purchase water at higher prices and resorted to breaking pipes in anger and the Board paid to repair these broken pipes. The Board lost revenue due to three days of no water sales. More importantly, lack of integrity on the part of staff, painted a poor picture of the Board's service delivery. Additionally, during repairs, debris and mud got into the pipes and customers got dirty water upon resumption of water supply, further damaging the reputation of the Board.

Lilongwe Water Board realized that the fight against corruption requires concerted effort with other players. Thus the Board works with the Anti-Corruption Bureau and the Malawi Police in matters where the expertise from either of these institutions is deemed indispensable. The Board uses institutional and legislative arrangements in its fight against corruption. These include the Water Works Act No. 17 of 1995 and the Corrupt Practices Act No. 17 of 2004.

### Impact on Integrity

- The Board recognized the significant role whistle blowing practice plays in the prevention of corruption. Under whistle blowing practice, any other person including an employee of LWB can raise a concern or submit a report about a suspected corrupt or fraud practice which forms a basis for investigation.
- Under its Corruption Prevention Policy, the Board upholds that no person (the whistle blower) will suffer any penalty or retribution for reporting any suspected or actual incident of corruption in good faith.
- The main challenge the Board faces in fighting corruption and fraud is that most corrupt practices are coordinated by one or more employees which makes it difficult to track. Collusion with members of the public where repair materials are sold is another challenge.
- Lack of uniformity and delay in handling the corrupt practices by the Board does not scare staff involved in the malpractices. The key success from this case study was that the employee who was found guilty of diverting the repair materials was consequently dismissed.

### Lessons Learned

- Suspected corruption practices helped uncover this malpractice and helped in having the leak repaired.
- Boards should strengthen internal controls and monitoring mechanisms to curb theft of materials
- Integrity Committee for oversight can help delinking operational management from crucial decisions in the anti-corruption drive.
- There is need for the Board to further sensitize the public to report all suspected cases

### More information:

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## Social Accountability Approach to Rainwater Harvesting for Women in Mwihoko

*A project to provide access to safe water and sanitation in rural Kenya translated into a healthier community and freed women from the chore of collecting water – after they took over the project from corrupt officials and invested in developing basic capacities and skills.*

### Case Facts

|                 |  |
|-----------------|--|
| Country/Region: | Ndibai Village, Kenya  |
| Water Function: | Rural Water Supply   |
| Organization:   | Women for Water Partnership  |
| Issue:          | Gender   |
| Keywords:       | Rainwater Harvesting; Project Capture; Gender and Water, Social Accountability |

Most of the 660 households in Ndibai get their water from the local river which is 20 minutes' walk from the nearest household. Water is brought up from the river on peoples' backs, or by bicycle or donkey cart. When the river is dry, people tend to dig holes in the river bed at night and return in the morning when the holes have filled with some water. There is an issue with water quality in this area, since the water apparently has high salt and fluoride content.

The overall aim of the project is the improvement of the current situation where the issue of water is a matter of health due to the excessive consumption of fluoride and contaminated river water that has been fetched through many hours walking or cycling in unsafe and stressful situations by women and girls. A pilot project had been implemented by Melania Foundation providing 4 rainwater harvesting tanks, the project was then scaled up by to cover larger number of the community through the Women for Water Partnership together with local partners.

The proposal for this project was written, on behalf of the Mwihoko Women's Group, by an organisation called Bridge Partners (BP). The father of the Executive Director of BP has a farm in Ndibai. Other members of the family sit on the Board of BP and the mother of the Director is the Treasurer. These facts about the local partner were not known at the beginning of the project. On approval of the project, funds were transferred to BP, but the Executive Director did not involve the local and took the project as a personal property, only involving those who would not question him.

Shortfalls found during the monitoring exercise by the WfWP Chair and the SI Kenya members were:

- local authorities and other government institutions in the area, perceived the project as a private venture, so they did not give it attention. It was only after the project monitoring which discovered the gaps in the implementation and lack of community involvement, then the local authority and government department officers and the local community were enlightened of the project as a community based one and the importance of their involvement.
- The workmanship of the project was not as per the specifications of approved proposal, areas noted were, gutters and concrete base installed by women themselves and no materials or skilled labour had been provided by BP.
- No evidence of any filter systems having been installed
- The tanks were of different sizes. Some women (Chair, Treasurer and Secretary) had more than one tank while others had none. The rationale for different tank sizes was not clear.
- Most women had not received any training, although some had received a three day training
- Women contributions as envisaged in the project proposal (co-funding element). Amounts paid seem to have varied from Ksh 6,000 – Ksh 7,000. The funds had been withdrawn for the group bank account by the BP Executive Director without the group consent; no records were available on how the finds were utilized.
- The land on which Resource Centre is built is not owned by the Mwihoko women's group, but by the family of the Director of BP. The women had no access to the center; it was for the sole use of BP.

## Project Activities

The project was taken over by the local women. Activities focused on:

1. Training on life cycle water and sanitation: The Mwioko Women group and local administrators were trained, the main objective was to equip the Mwioko Women with knowledge and skills with which they can use to access clean drinking water and keep good sanitation. The concept of clean environment: access to safe water, adequate sanitation and proper hygiene education can reduce illness and death from diseases such as diarrhea and dysentery. The use of taps was demonstrated and processes of accessing clean water. The need to cover water storage tanks and cleaning once a year during the dry season when empty. Use of chlorine tablets to kill bacteria in water. Maintenance of a clean environment around water springs, bore holes and even tap water. Use of appropriate toilets: how to avoid flies from the toilet moving to food and water. The significance of the eco-toilets and the economic aspect of eco toilet, dry fecal matter could be converted to manure through composting.
2. Resource centre / Production shed: Centre constructed for used as a training centre and production of materials for project implementation.
3. Sanitation component: 3 ecotoilets and a shower room were constructed to assist the women in Miti Mingi area access clean drinking water (10.000 litre tank), improve their sanitation and to be used as income generating activity for the women group
4. Revolving fund (Capitalization): The revolving funds component was used to purchase twenty two (22) dopers, one for every member. Three male dopers were to be shared among the women. 66 chickens - Ken bro, each member received two hens and a cock. The eggs would be used by each family any excess sold centrally. Proceeds from the sale of eggs and sheep will be re-invested (specific proportion). If a doper gives birth to a male doper, it is given to a member who does not have one. This is exchanged with a female one later. The group contributed money as a group and raised Euros 2336 which they used to purchase land (1 hectare) on which the eco toilet is constructed.

Integrity was required to reap the benefits of this project for families and schools, which translated into a more healthy community, and reduced incidences of water borne diseases. It has released women from the chore of collecting water from long distances through a rugged landscape.

## Impact on Integrity

- Originally, the local authorities and other government institutions in the area, perceived the project as a private venture, so they did not give it attention. It was only after the project monitoring which discovered the gaps in the implementation and lack of community involvement, then the local authority and government department officers and the local community were enlightened of the project as a community based one and the importance of their involvement.
- The community generated awareness for their rights to water and the importance of Monitoring and Evaluation of projects
- Transparency and trust building by both the implementers and the community is very important for success and sustainability of the project.
- Exposure to other initiatives in the country, this will enable the community to engage effectively during the county budgeting processes and ensuring that their needs are captured.

## Lessons Learned

Transparency and accountability is key to success and sustainability of any project, especially so where access to clean water and sanitation is a challenge.

Engaging with different stakeholders required skills and capacities the communities lacked

Vetting and performance evaluation of NGO's and CBO is crucial to ensure delivery of services and implementation of projects as proposed.

Given the increasing competition for water resources, climate change, economic progress and population growth, all stakeholders must be fully engaged to address the needs of the community.

The need to engage the local community and government is very crucial as effective agreement cannot be obtained without all other parties to which water issues are important and who may share in the costs and benefits (both economic and social) that result.

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## Water Integrity in Hadejia Jamaare Komadugu Yobe Basin (HJKYB)

*Knowledge-based collaboration and the creation of national platforms for systematic stakeholder engagement will be required to establish sustainable integrated water resource management in transboundary river basins and provide water security in the face of rapidly increasing and competing demands.*

### Case Facts

|                 |   |
|-----------------|---|
| Country/Region: | Hadejia-Jamaare-Komadugu-Yobe Basin, Nigeria                              |
| Water Function: | Integrated Water Resources Management                                     |
| Organization:   | HJKYB basin organizations   |
| Issue:          | Transboundary collaboration   |
| Keywords:       | river basin collaboration, water sector reforms; institutional capacities |

Nigeria has been divided into eight hydrological areas/surface water provinces of which the Hadejia Jama'are Komadugu Yobe Basin (HJKYB) is within the hydrological area VIII. The HJKYB covers a total area of about 148,000 km<sup>2</sup> in north east Nigeria (95% of basin area) and south east Niger (5%). One of its subsystems has lots of water infrastructure used for domestic, economic and agricultural purposes. The basin is of strategic importance as a source of shared waters between 4 countries. It is a wetland in dry lands, has some 30 million people depend on its water resources, dependence increases as the water gets less and less, it drains into a Lake rather than the Atlantic Ocean and contains important areas, DWFC, HNW, Ramsar Site

This presentation examines the endemic and persistent water resources management problems facing the Hadejia Jama'are Komadugu Yobe Basin (HJKYB). It outlines various efforts dedicated by all range of stakeholders in addressing them through the IWRM approach. Community planning and involvement in the basin management ensures the needed buy-ins, transparencies and accountabilities for the HJKYB situation. It elaborates the achievements within the Basin particularly its infrastructural interventions, Institutional arrangement and the local capacity building activities as well as the economic importance of these activities to the inhabitants of the basin and the nation at large.

An Information memorandum on the country action plan for the water integrity developed during a Water

Integrity Training in Liberia was submitted to the National Council of Water Resources for action as a first step towards achieving the set goals in December last year.

The challenges been faced within the basin center on:

- Inadequate knowledge base on the natural resources,
- Low political will,
- Sectoral water resources development,
- Long-term failure in the management of the river systems – dams operation failures,
- Poor coordination, Institutional weaknesses,
- Blockages channels by silt and typha grass,
- Flooding,
- depletion of the underground water,
- intense inundation and extreme desiccation,
- Tension and conflict and Ten-fold increasing poverty.

In salvaging the basin, attempts to raise the above issues were made by various institutions including donors and stakeholders consultative sessions (from the grassroots to the apex governing body). It required analysis of preparations of the CMP and water charter, biodiversity studies, feasibility studies for flow proportioning structures, socio-economic studies, flood management studies, fisheries studies and the formation of the HJKYB- Coalition and Trust Fund.

Other challenges for the sustainability are funding gaps, none replacement Board of Trustee (BoT), insufficient fund raising strategy and lack of follow-up with the states, conflict among riparian states, including the non-endorsement of the water charter by five out of the six riparian states. The constitutional system of government of Nigeria is based on the federal, state and local government legislations. There are tools and mechanism in legislations, policy guidelines, water resources management strategy document, master plan, action plan guideline and standards, national councils on water, environment,

State water regulatory agencies and States environmental regulatory agencies have backup policies, laws and institutional arrangements that can be utilized for achieving the integrity in the water sector however,

there are weakness in enforcement mechanisms, Low capacity-building and overlapping mandates.

On Accountability and integrity, even though there are anti-corruption and corruption preventive, policies, processes, institutional arrangements and laws in the country, there gaps in them that needed to be addressed and these are; Awareness is usually in form of jingles and adverts, No national communication strategy for water resources project, No National water users association network to communicate to the grassroots their rights and roles as per water supply and resources management, Revised National Water Resources Management Policy Draft, 2007 still yet to receive Federal Approval, The apex regulatory body for water resource management is IWRM Commission, the laws establishing this body has not been signed. These present a gap in the element of accountability and finally, lack of cognate experience or relevant training of personnel in the various anti-corruption units on water resources transparency and accountability.

The project enabled:

- Construction of 22 infrastructural Projects and four channel clearance led to the reclamation of some 7000 hectares of farmland, increased fishing activities and increased livestock production. This has led to un-estimated increases in the incomes of the basin communities.
- Built the capacities of twenty eight (28) communities in joint community management of water resources infrastructures
- Rehabilitation and establishment of hydro stations 33 and four automatic loggers
- Rehabilitation and establishment of 49 met stations and one automatic weather station at BUK
- Capacity building and financial management and Contributions to KYB-WDI and SWRMCs through fund support.

Creation of a National Platform will bring together various water users association to interact and create awareness on rights and roles on water resources management, transparency and accountability; as in the HUKYB will address some of the key burning issues in Water Integrity.

### Impact on Integrity

Impacts were most pronounced in data collection and monitoring for more transparency, including

- Increased the eagerness of the organizations responsible for data management.
- Creation of partnership among national and international organizations that have a stake in the data management of the basin
- Signing of MoUs with NIHSA, NIMET, DCTA, SWRMCs and MDAs for Hydro-Met Monitoring and other interventions

It also resulted in improved collaboration including

- Improving institutional arrangement within the basin, Initiation of Round-Table Discussions and formation of Regional CBOs
- Contributions to Kafin Zaki EIA and cooling down tension on the issue of dam construction
- Developing the Water Charter and CMP Endorsed by the Stakeholder States and FGN
- Collaboration and sharing with other Basins in the Country towards best IWRM practices in North Central and Cross River Basins

### Lessons Learned

- Set Indelible landmarks in IWRM practices as in the HUKYB
- Bring the stakeholders together, build capacities and share national and international experiences
- Support Water Integrity and Accountability Strategy and Implementation. Collaborate with related institutions to advocate the passing of Water Bills and IWRM best practices
- Develop a strategic approach to funding the institutions responsible for implementation of work programmes such as a Road Map, develop CMP in the wider and the Water chapter for effective coordination.
- Ensure that private sector and civil service staff placed on preparing, selecting, supervising and monitoring and evaluation are well paid and socially taken care of to reduce corruption in the water industry, focus on disciplined leadership

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## Contribution de la reddition des comptes à l'amélioration du Service Public de l'Eau dans les Communes du Bénin

*The case described the use of awareness campaigns to increase stakeholder participation and accountability tools to improve public water service delivery in local communities in Benin. After a successful pilot, the project served as template for larger-scale measures in the country and region.*

| Case Facts      |   |
|-----------------|---|
| Country/Region: | Benin   |
| Water Function: | Planning and policy-making processes  |
| Organization:   | <i>Association des Femmes de Sinendé</i>  |
| Issue:          | Community participation   |
| Keywords:       | Audiences publiques; Cellules de veille citoyenne; Baisse drastique des conflits et divorces liés à l'eau |

Depuis 1990, le Bénin est engagé dans un processus démocratique. Pour enracer la démocratie à la base, l'Etat a rendu effective la décentralisation à partir de 2002. Dans ce système de gouvernance, les textes de loi obligent les élus, les gouvernements et les fonctionnaires à informer les populations et à rendre compte de leurs actions. Selon l'article 2 de la loi n°97-029 du 15 janvier 1999 sur la décentralisation, «... La commune est l'expression de la décentralisation et le lieu privilégié de la participation des citoyens à la gestion des affaires publiques locales».

Cependant, l'état des lieux montre que ces textes sont peu appliqués. Le constat majeur relevé est l'insuffisance voire l'absence d'une culture de compte rendu par les dirigeants ou les élus à différents niveaux aux mandants qui sont les bénéficiaires des services publics. Par ailleurs, les populations ne savent pas pour la plupart que c'est leur droit de demander des comptes aux élus ou aux différents fonctionnaires. Ces derniers se montrent souvent peu responsables devant les citoyens, au regard de leur statut de garant du respect du cadre légal de gestion dans les différents domaines de développement et en matière de transparence. De même, la conscience publique sur la «citoyenneté» est très limitée et contribue à la faiblesse du système de suivi des actions de développement. A ce propos, une étude réalisée en 2009 a révélé que les autorités ne se sentent pas obligées de rendre des

comptes tandis que les populations n'ont pas non plus tendance à en demander; ce qui laisse place à toutes sortes de malversations dans la délivrance des services d'eau et d'assainissement aux communautés locales.

Or, avec la décentralisation, les populations ne devraient plus être perçues comme de simples bénéficiaires de services conçus en dehors d'elles, mais comme des acteurs qui participent et s'impliquent en amont et en aval de la prise de décisions relatives à leur mieux-être.

Malgré les efforts pour promouvoir la bonne gouvernance, les défis liés à l'élevation de la conscience citoyenne d'une part et la culture de la prise de responsabilité restent entiers.

C'est dans ce contexte qu'un partenariat a pris corps, à partir de 2010, avec les autorités de 3 communes dont celles de Sinendé et des acteurs du secteur de l'eau et l'assainissement, soutenus par l'Ambassade Royale des Pays-Bas et l'Association des Communes Hollandaises (VNG International). Il s'agit de l'initiative « Domestic Accountability ».

L'initiative avait pour objectif principal de contribuer à l'amélioration de l'accès des populations aux services de base à travers un dialogue efficace entre les communes et la société civile locale d'une part, et une connaissance et un savoir-faire accrûs sur la reddition de comptes autour des services de base d'autre part. De plus, le pari était d'accroître l'offre et la demande de reddition des comptes, afin de rendre transparente la gestion des ressources financières en matière de réalisation et de gestion des ouvrages d'eau et d'assainissement, et d'améliorer la fourniture des services de base au niveau local.

L'initiative a permis de faire mieux connaître les mécanismes formels et informels existants sur la reddition de comptes, de mettre en place des structures de veille fonctionnelles (Cellules de Participation Citoyenne et Associations de Consommateurs d'Eau Potable) dans la Commune. Compte tenu des moyens limités des Communes et de l'importance de l'accès à l'information pour l'amélioration de la gouvernance, le renforcement des capacités des services d'information

et de communication de la Commune a été identifié comme un défi majeur.

La production et l'appropriation d'outils simples, adaptés au contexte de commune rurale pour faciliter l'offre et la demande de reddition de comptes a constitué également un défi de première importance.

L'initiative dénommée « Domestic Accountability » (DA) a été coordonnée par la SNV/Bénin, et la participation des acteurs du secteur de l'eau et de l'assainissement. Le Partenariat National de l'Eau du Bénin avait pour principales activités i) d'améliorer la connaissance des acteurs communaux sur le Budget Programme par objectif du secteur en tant qu'élément de reddition des comptes; ii) de faciliter l'information aux niveaux national et local sur la programmation et les réalisations en matière d'eau et d'assainissement, à travers l'organisation d'émissions télévisuelles, radiophoniques, la réalisation de supports d'informations du grand public en langues française et locale ; iii) de soutenir l'élaboration du guide sur la reddition des comptes. Sur la base d'un plan d'actions harmonisé et participatif, différentes activités ont été menées dont entre autres :

- l'organisation d'émissions radios interactives (2 contrats signés avec les radios) et d'audiences publiques (11) sur les prévisions, les réalisations et la gestion des ouvrages d'eau et d'assainissement ;
- La sensibilisation des populations pour leur participation aux sessions du conseil communal et leur droit en matière d'accès aux informations sur la gestion des affaires publiques (7 posters géants diffusés);
- La mise en place d'Associations de Consommateurs d'Eau Potable (ACEP) dans les arrondissements ;
- Le renforcement des actions des Cellules de Participation Citoyenne, CPC (organes de contrôle citoyen au niveau communal) et autres groupes de citoyens organisés ;
- Le renforcement des capacités des élus et agents communaux en matière de reddition des comptes;
- La mise en place d'un cadre de concertation des acteurs du secteur dans la commune ;
- Le développement de posters d'information (21) sur les réalisations et les programmations en matière d'eau et d'assainissement dans la Commune, en langue française et en langues locales.

### Impact sur l'intégrité

- Augmentation du nombre d'observateurs aux sessions du conseil communal (de 5 observateurs en avril 2010 à 76 en décembre);
- Augmentation du nombre d'ouvrages en affermage : de 14 en 2010 à 50 en 2011;
- Organisation de 35 assemblées villageoises d'élaboration des documents de planification communale;
- Affichage régulier des relevés de décisions des sessions du conseil communal en français, et en langues locales;
- Mise à disposition de 20 dispositifs de lavage des mains dans les restaurants, suite aux demandes des populations, soutenues par les plaidoyers de la cellule de veille citoyenne;
- Amélioration du taux de réussite au Certificat d'Etudes Primaires dans la commune;
- Diminution drastique du nombre de conflits et de divorces dus au manque d'eau;
- Amélioration du recouvrement des redevances et taxes communales.

### Enseignements

- L'ancre juridique et les avantages de la participation du citoyen sont mal connus tant des autorités locales que des citoyens ;
- « L'instauration d'un dialogue permanent entre élus et populations à travers les audiences publiques crée un climat de confiance et facilite la gestion des affaires publiques locales » Maire de Sinendé ;
- Les citoyens organisés peuvent influencer les décisions publiques ;
- Les élus peuvent prendre conscience des avantages de la reddition des comptes pour leur image, mais les citoyens doivent veiller à ce qu'ils ne le fassent pas uniquement à leur seul profit.

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## Strengthening Social Accountability in Small Town Water Services Using Water Using Associations

*To reform the ailing water and sanitation sector in Rivers State, Water Consumer Associations developed management processes that integrated social accountability elements into every stage of project planning and delivery.*

### Case Facts

|                 |  |
|-----------------|--|
| Country/Region: | Eleme, River State, Nigeria  |
| Water Function: | Planning and Policy-Making Processes, Water Allocation                       |
| Organization:   | Water Consumer Association   |
| Issue:          | Decentralized Services   |
| Keywords:       | Community Participation, Project Management, Operation & Management Planning |

This case reviews an intervention aimed at reforming the water and sanitation sector in Rivers State which has for well over three decades been riddled by inappropriate governance and institutional arrangements. Communities in Eleme were organized into Water Consumer Associations (WCAs) in order to enable them take the lead in ensuring continued access to water supply and curb the inherent public health and economic difficulties/hazards inherent in poor services. The welfare-based practices (free water services) replete with corruption were replaced with a demand-driven approach, and community level ownership and sustainability was strengthened through community participation and payment of user fees.

Social accountability elements were build into the reforms, especially through Operation and Maintenance Management Plans (OMM) by the WCAs. The plan encompasses

- a) the establishment of a viable service level of the infrastructure. This involves defining the key outputs that are required from the utility in terms of both quantity and quality;
- b) the identification of the work load, materials and equipment requirement.
- c) The estimation of human resource needs.
- d) The scheduling and assigning tasks to ensure that all tasks are assigned to an appropriate work unit, and that monthly and quarterly plans broken down into daily and weekly schedules.

Other component of the OMM expounded by the WCA includes the establishment of a monitoring and evaluation process to ensure that the OMM is working well. This process collects data on performance indicators at their current (benchmark) levels, and track changes over time. It also included the re-adjust the workload or program as necessary etc. The case suggests that this is a viable model for social accountability and makes a case for its replication in other parts of Nigeria and Africa where small towns are ignored or neglected.

Prior to the project, the government and multinational companies made all decisions and the community was directed as to how they should participate. Projects of that era are noted as being products of poor participatory planning and design processes because the government or donors merely brought it, fixed support packages and work to tight schedules, often only "informing" community (male) leaders, and lacking time and resources to engage in true consultation and capacity development. Also, adequate financing and human resource development needed to sustain existing infrastructure and expand access to drinking-water services were lacking.

The challenge of financial resources required to operate, maintain, sustain and expand services are enormous in parts of Nigeria. The executive summary of the Nigeria water sector roadmap estimates a financial need of US\$2.5 billion until 2015. But beyond finance and revenues is the challenge of corruption which negates resource efficiency and bolsters wastages and abysmal services. For example, in Nigeria, free water services are common place and water tariffs generally do not reflect the cost of water provision services and environmental costs. They are generally based on a flat rate, that only represents a small portion of the cost of production and distribution; hence retaining the unviable distinction of perpetual operating. Eleme community had this challenge and many more.

The project ensured the involvement of the community at all stages of the project, so that the community owns the project and willingly takes responsibility for it. It is important to highlight that the community is the end user of the project. End user's needs, especially those

of poor women and men are at the basis of integrated needs-based planning processes that are cost-effective, socially equitable and environmentally sustainable. In order to make sure that projects are sustainable, local partners identified clear steps in the project implementation process that engaged the community. The community was involved in all stages of the project:

At the project identification stage; community needs were identified by assessing their development priorities. What was really needed at that moment? Or was there another immediate pressing need? Such need identification was made using a variety of approaches like the Participatory Rural Appraisal (PRA).

During design and planning; community involvement has to understand and collectively correct the problem area and chart a way forward. It was imperative to ensure that the community took part in site selection, survey, environmental impact assessment and many other investigations or discussions forming part of the feasibility and design. This meant spending time explaining the design to key members of the community. The design also considered community preferences and practices. Issues like capacity assessment, cost sharing and other relevant.

During construction, typical community roles during construction included labour and/or gifts to labourers. The management committee and possibly other members of the community were involved in measuring and approving the work carried out. This gave some level of project control to those involved.

Fourth; Operation and maintenance; the community through the WCAs now have a greater role and responsibility in the management and operation of the project/water scheme; this is so because the community is the principal beneficiary. This stage has often richly demonstrated to bring immense benefits in terms of increased ownership and sustainable management.

In order to mitigate against prevalent infrastructure breakdown or outright abandonment of the water scheme in addition to the traditional challenges of corruption and non-payment of user fees , it was considered inappropriate to adopt 'Top down Approaches' which meant the community was given whatever water scheme the government or the multi-national oil and gas companies thought fit.

Effective participation in the project afforded the Eleme community greater control over decisions affecting their lives. By incorporating their ideas and values into the planning process, the prospects for appropriate and valued outcomes, and hence sustainability, were also much improved.

### Impact on Integrity

- The community was really consulted and "felt" its needs were well identified, resulting in higher community participation.
- SUWASA ensured that membership of the WCAs was primarily made up of ordinary community members who were elected/nominated democratically by the community themselves in adherence to laid down criteria developed by the Rivers State Ministry for Water Resources and Rural Development.
- The WCAs were also actively involved in participatory planning, facilitation, financing, implementation, operation and maintenance of water facilities, ensuring transparency and accountability.
- The use of community participation via WCAs included processes that can enable the building of self-esteem, sense of responsibility, increased awareness of problems/issues and options for change and capacity to change happened. The expected outputs therefore were decisions and solutions that were identified and implemented for greater common good in the community.

### Lessons Learned

- It is noted that the operation and management of a water services require awareness, skills and experience that many communities may lack. Community capacity needs to be strengthened to manage such new projects with ease.
- There is need to assist the community to develop suitable system for monitoring the performance of water and sanitation infrastructure. It is important for management, re-adjustment or introduction of new approaches towards improving the new project when in use.
- The establishment of WCAs guarantees continued water supply through the use of 'user must pay' schemes. The sustainability of the project therefore depended on the quality of cooperation by the WCAs at the various stages.

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## Community Involvement in Rural WASH Procurement

*A structured process for community participation in WASH infrastructure planning, procurement, and construction increased local ownership, improved the quality of construction works and decreased misappropriation of funds.*

### Case Facts

|                 |  |
|-----------------|--|
| Country/Region: | Uganda   |
| Organization:   | JESE   |
| Water Function: | Rural WASH services  |
| Level:          | Local Government   |
| Issue:          | Construction & Maintenance                                     |
| Keywords:       | Community-led procurement, participation, WASH infrastructures |

Poor governance has been one of the major stumbling blocks to the economic development of Africa and it has been clear that a number of African countries including Uganda have not paid adequate attention to the proper management of public resources. In Uganda, all community supported construction works by the central and local Government, NGOs, and development partners in Uganda has to be done in accordance with the Public procurement and disposal of public assets act, 2003. The act was enacted to decentralize the procurement and disposal of public assets process to the lowest local governments (district level). Whenever a new WASH project is to be commenced, a baseline study is carried out by the district to establish the WASH needs of the selected area. Once the baseline is conducted, a list of WASH infrastructures to be developed is drawn; thereafter a tendering process is arranged.

Despite the so many benefits associated with this decentralized process, the participation of the beneficiaries (communities) right from baselines, assessments, tendering and procurement process is limited. This has resulted to low public perception of the tender evaluation confidentiality, low ownership and management of the infrastructures by the communities.

It is against this background that JESE encourages the participation of the community and sub-county structures in the tendering process when outsourcing construction of water and sanitation infrastructures at community level. This has increased the trust and ownership of the infrastructures by the community members.

### Challenges include

1. Bureaucratic procedures in the procurement process.
2. Limited access to information, tendering and procurement procedures by the community members
3. Duplication of bad works as there is a tendency of the same contractors winning contracts several times
4. Increased costs during construction as community members are not willing to volunteer despite the water source being for the community. They still believe, the government has a lot of money that should be exploited.
5. Reduced ownership of the constructed facilities as community members perceive the structures to belong to the government or the development partner. Even when the water structure breaks down, the community leaders call on government officials to carry out the Operations and maintenance.
6. Poor workmanship as attributed to minimal supervision by the community people while the government officials have busy schedules and limited finances to carry out daily supervision.

Despite the decentralization, information sharing with the community structures remains low, resulting in low ownership of the infrastructures and increased misappropriation of funds by the government officials.

The tendering process employed by JESE being highly participatory ensures quality works are produced by the contractors, the local community owns the process right from the start they conduct daily monitoring on the progress of works and utilization of construction materials. In cases where some local materials are not used or there is a balance, the local community together with their leaders and JESE agree on how to relocate the materials for other works within the same community.

Since JESE introduced the involvement of the beneficiaries (community members) in the needs assessment, tendering, procurement, and monitoring of the community infrastructures, there has been a lot of success stories registered.

## The process

1. A baseline study is carried out with village local council (LCI) chairpersons, key village informants, JESE project officers and sub county technical staff to establish the needs of a particular locality.
2. A participatory auguring exercise establishes potential sites for water construction. For a sanitation facility like ecosan latrine, soil conditions such as collapsible soils, under laying rocks, water table and pupil stance ratio in schools are assessed.
3. After a baseline study, a report is produced reflecting the water and sanitation needs of a selected project area which is disseminated to the sub county and village stakeholders.
4. Community members from selected villages are invited for a meeting at the sub county and sensitized about their roles and responsibilities during the construction. Construction plans are formulated and BOQ's analyzed with the community beneficiaries for effective follow-up during the process.
5. Adverts for facilities to be constructed are sent to these pre-qualified contractors and to the sub counties. To ensure that activities are done according to sector policies and approved technical specifications, the District Engineer and officers are invited to participate in the tender evaluation exercise.
6. Once the bids are issued, the Sub county LCIII, the sub county chief, the parish chiefs, the sub county community development officer, the head teachers of participating schools and village representatives are invited for training in bid evaluation procedures.
7. Having completed the evaluation process, the winners are notified in writing and asked to write acceptance letter or otherwise. The directors from successful companies are invited to discuss the terms and conditions of the contract with the senior management at the head office.
8. The contractor is then given the list of materials to deliver to the community for acknowledgement by the chairperson LCI or the head teacher upon being received. The recipient is issued with materials utilization form to track the usage of the materials.
9. Close supervision by the technician is ensured. A certificate of substantial completion is issued to the contractor upon completion of all works.
10. After a 3 months retention period, any defects are rectified by the contractor and the 10% retention money is released and a final completion certificate is signed to mark the end of the contract engagement between the contractor and JESE.

## Impact on Integrity

- Reduced bureaucracies in access to information, tendering and procurement procedures by the community members
- Duplication of work eliminated as a result of involvement of the stakeholders in the tendering process
- Reduced costs during construction as local leaders mobilize community members to participate in the construction works, operations and maintenance of the structures.
- Enhanced ownership and sustainability of the constructed facilities as community members through their established water point user committees are willing to contribute to the operations and maintenance of the structures through the water user fees
- Improved quality of work owing to close supervision as emphasized during the bid evaluation exercise where communities are empowered to be the watchdogs and eliminate incidences of poor workmanship and ensure value for money.

## Lessons Learned

- To ensure transparency, no corruption and value for money, participation of communities in overseeing procurement and tendering process is the option.
- Decentralization policies alone do not ensure that information is freely shared with the local level
- Communities have to be involved in processes from the start of the needs assessment
- Providing training in procurement procedures and sector standards for members of local communities is essential to ensure meaningful participation

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## Coordinating Transboundary Resources Management at the Horn of Africa

*Long-term water security in the face of climate change and disasters will require sustainable and collaborative management of transboundary water resources. The study suggests an approach to modelling and analyzing water management scenarios to help guide policy-making.*

### Case Facts

|                 |  |
|-----------------|--|
| Country/Region: | Djibouti, Eritrea, Ethiopia, Kenya, Somalia, Sudan, South Sudan and Uganda |
| Water Function: | Integrated Water Resource Management                                       |
| Organization:   | InterGovernmental Authority on Development (IGAD)                          |
| Issue:          | Transboundary collaboration  |
| Keywords:       | water basins, resource modeling; IWRM;                                     |

The InterGovernmental Authority on Development (IGAD) Sub-region comprises seven countries – Djibouti, Eritrea, Ethiopia, Kenya, Somalia, Sudan, South Sudan and Uganda. A combination of conflict, climate variability and change and rapid population growth has had an adverse impact on the Sub-region including worsening the effects of drought. Recent famines have been on a large scale, building on the endemic high levels of poverty and food insecurity. Levels of human development are low and social, economic and political inequalities among the people as well as among regions within the individual countries are pervasive. The IGAD Sub-region stretches over an area of 5.2 million km<sup>2</sup> and has a population of about 194 million people.

The purpose of the water management model is to prepare a water allocation plan that takes into account the needs of the different water users/stakeholder in a basin. In addition, a water management model is useful in considering the impacts of different future scenarios (changes in hydrology, management decisions, socio-economic changes, etc) on the entire system. The model should then be used to test the impacts of proposed mitigation measures (like changes in water allocation to a given sector, changes in sector priorities or bulk water transfers into and out of a basin).

The main aims of the paper is to assess and analyzing the water resources of the transboundary hydrological basins for IGAD countries (Djibouti, Ethiopia, Kenya, Sudan, South Sudan and Uganda) to contributes to

better understanding of the occurrence of catastrophic events (droughts, and flood).

The overall objective is to assess and analyze the water resources, socio-economic and environmental condition of the sub region and come-up with a set of strategy, recommendations, and action plans to enable member states to implement and operate an integrated trans-boundary water resources management process. For the Integrated Water Resources Management part, and to contribute towards promoting IWRM principles in trans-boundary water resources within the IGAD Sub-Region; planning joint development of major priority trans-boundary aquifer basins that offer noticeable potential for water based development activities; and initiating arrangements for joint planning and implementation of trans-boundary water development activities within major trans-boundary water systems.

In shared water basins, significant amounts of the water used in one country come from another. This fact formed the basis of formulating national water resources management strategies by the member states of IGAD. Based on the African Governments' policy of good neighborliness and promotion of regional cooperation among member states for optimal resource use, the policies and strategies of the IGAD member states adhered to the various currently accepted principles of international law on the use of shared water resources. Currently, in the absence of a joint organization for shared river water basins in the IGAD Sub-Region, water resources assessment, e.g. is carried out by each riparian. However, with the proposal of introducing common monitoring network, the several assessments of each riparian will have to be integrated into an overall river basin assessment for each shared river basin.

Several Challenges that are suggested in the paper include climate change and land use change. For water resources modeling in the IGAD Sub-region, several other challenges exist, such as:

- Inadequate infrastructure for water resources and hydro-meteorological management to support effective surface water and groundwater resources monitoring

- Variable and irregular climatological and hydrological data availability: Availability of surface and groundwater resources is limited for most basins being modelled
- Variable rainfall patterns, leading to challenges in rainfall and water resource management
- Influence of climate and land use change: deforestation and land use management practices have a great influence on the hydrology and water resources hydrological simulation
- Limited information of monitoring and management of water resources systems in the IGAD Sub-region.

The main activities of the Integrated Water Resources Management for this research were to develop an IWRM model for the transboundary basins of the IGAD Sub-Region. The modeling of water resources management in IGAD region is challenging. The region mainly comprises of arid and semi-arid areas where access to water resources is limited both in space and time. The WEAP model was used to model this region. The model provides a mean of analyzing the effect of policies interventions (structural and non-structural) on water resources availability and demand in a region. The possible use of the model in testing the effect of alternative water management scenarios was investigated. The main idea with the development of the model was that the model will evolve and improve over time as more information about water resources, demand and other policy issues becomes available.

The model were set up for a base year of 2010 while simulations were carried out for 20 years ending in 2030. Water resources scenario assessments showed that all basins have considerable water resources which, if well managed, can serve the needs of the basin inhabitants. The main aims of the study is to analyze the water resources of the transboundary hydrological basins for IGAD countries and contribute to better understanding of catastrophic events.

Provision of potable water is a challenge even in countries such as Sudan where the River Nile should provide adequate fresh water. The problem is that only parts of the Sudan benefit from the freshwater from the river; other parts are dependent on groundwater which is vulnerable to climate change. Deeper and deeper boreholes are required to sustain the increasing demand but the aquifer recharge may not match the long term demands. This has led to salt water intrusion and drying up of production wells in some instances.

### Impact on Integrity

The importance of transboundary water resources for sustainable development has been recognized. Strengthen national and regional legislation and put more emphasis on general audit functions.

Experiences suggest that water resources management have not been sufficient in making much required change, though in many cases measures are too new for a qualified assessment of their impact.

In several Sudan and Ethiopia there have been specific laws, policies, reforms, processes or organizations formed to promote integrity and accountability in public and private decision-making and water resource and services management. For example, at the IGAD sub-regional level very few countries have either signed or ratified the SADC Protocol Against Corruption.

### Lessons Learned

Coordination is an important tool of integration because the arena of water management sometimes involves conflicting objectives. Coordination mechanisms can be formal, such as intergovernmental agreements, or informal such as local watershed groups meeting voluntarily.

Cooperation is also a key element in integration, whether by formal or by informal means. Cooperation can be any form of working together to manage water, such as in cooperative water management actions on a regional scale, often known as 'regionalization'.

Examples of regionalization include a regional management authority like the Lake Victoria Basin Commission, consolidation of systems like IGAD, a central system acting as water wholesaler, joint financing of facilities like in Nile Basin Initiative, coordination of service areas, interconnections for emergencies, and sharing of personnel, equipment, or services.

Climate change is a fundamental driver of changes in water resources and an additional stressor through its effects on external drivers. Policies and practices for mitigating climate change or adapting to it can have impacts on water resources, and the way we manage water can affect the climate.

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## Renforcement de la résilience des communautés locales à la sécheresse

*This case reports on knowledge-based project that equipped local farmers with skills related to small scale water management and participatory management processes needed to develop resilient and adaptive water management approaches in the face of climate change and related challenges.*

### Case Facts

|                 |   |
|-----------------|---|
| Country/Region: | Bugesera catchment,<br>Rwanda/Burundi             |
| Water Function: | Water resources management                        |
| Organization:   | Sweco   |
| Issue:          | Adaptation to climate change                      |
| Keywords:       | drought resilience; participation, climate change |

Le projet de recherche appliquée « Renforcement de la résilience des communautés locales à la sécheresse grâce à une gestion participative des systèmes de collecte des eaux pluviales dans le bassin versant transfrontalier du Bugesera (Burundi et Rwanda) » est basée sur une approche de gestion démocratique et transparente des ressources en eau dans un contexte de résilience et adaptation des communautés locales aux périodes de sécheresses récurrentes qui sont une réalité dans la région transfrontalière entre le Burundi et le Rwanda.

Selon les statistiques de FAO, durant les trois dernières décennies, environ deux millions de personnes ont été affectées par des sécheresses et des cas de morts ont été enregistrés ainsi que des mouvements massifs des populations ce qui a créé des camps de réfugiés dans les deux pays. Les scénarios des modèles climatiques régionaux de l'Afrique de l'Est prouvent déjà la vulnérabilité du Bugesera vis-à-vis des extrêmes climatiques.

Pour prévenir les catastrophes éventuelles dues aux sécheresses dans les périodes à venir, les communautés locales riveraines du Lac Cohoha dans la région du Bugesera ont mis en place des structures sociales et économiques visant à mieux cadrer l'utilisation de la ressource commune -eau de pluie collectée et stockée dans des réservoirs pour des fins de la petite irrigation, abreuvoir, pisciculture villageoise et eau potable.

L'élaboration des outils de gestion a suivi une approche participative où toutes les parties prenantes ont présenté leurs avis et considérations visant à promouvoir la gestion transparente de la ressource commune. Les comités de gestion et de surveillance ont été mis en

place dans le but de promouvoir la culture d'intégrité dans la gestion de la chose communautaire et baliser toutes formes possible de corruption. Les manuels de procédures ainsi que les outils de suivi et évaluation ont été mis en place dans l'esprit d'éviter toute forme d'influence au sein de la communauté locale et provinciale.

Les aspects de gouvernance de l'eau tirés du Plan National de Gestion des Ressources en Eau (PAGIRE) ainsi que les bonnes pratiques de gestion transparentes matérialisées par l'accès du public aux différentes formes d'information ainsi que le renforcement des capacités sur les droits civiques participatifs et démocratiques font partie intégrante du projet.

En conclusion, le projet vise une mission double : résilience climatique et une gestion participative transparente et équitable des ressources en eau ce qui en conséquence pourra servir de modèle transfrontalier de gestion intégrée ayant comme finalité corruption –zéro dans le secteur de l'eau.

La gestion transparente des ressources naturelles communes dans toute communauté pose toujours des problèmes qui doivent être résolus pour permettre un développement intégral et inclusif. Les défis identifiés et jugés importants par les communautés d'agriculteurs, éleveurs et pêcheurs dans la zone du projet sont en principe liés aux influences multiformes internes et externes des décideurs politiques, des forces sociales au sein des clans ainsi que les pouvoirs économiques et indirectement politiques des familles riches ou des hommes et femmes d'affaires qui ont de grands projets agro-sylvo-pastoral dans les villages.

Ceci démontre que d'autres initiatives génératrices de revenus visant à promouvoir l'économie locale devraient être encouragées. Cette piste innovante permettant l'augmentation du pouvoir d'achat est à mettre à contribution le plus tôt possible car elle permettra aux populations de résister aux éventuelles tentatives de corruption et d'achat des consciences des populations, ce qui permettra le développement intégral de la région.

## Les activités

- Cartographie commune avec les populations bénéficiaires des besoins de ressources en eau pluviale pouvant contribuer durant les saisons sèches
- Mise en place des outils de gestion transparente du patrimoine commun ainsi que des manuels de procédures dans toutes les instances de prise de décision dans le but de créer une ambiance favorisant la durabilité du projet et l'appropriation des bénéficiaires et indirectement prévenir d'éventuels cas de corruption.
- Identification et mise en chantier d'activités visant l'usage intégré des eaux pluviales collectées dans l'agriculture et l'élevage par le biais de l'identification des nouvelles cultures/animaux ainsi que des variétés de semences pouvant être adaptées aux fluctuations des régimes de pluies ou aux sécheresses.
- Promotion des notions de services écosystémiques par la mise en place d'un plan de gestion des ressources en eau durable dans le bassin versant en vue de permettre une adoption de nouvelles options de développement durable. C'est ainsi donc que la biodiversité sera remise en état grâce à la conservation de l'eau et des sols conduisant à réduire la pauvreté dans les ménages.
- Renforcement des capacités dans la réduction des risques naturels par une introduction de culture de prévention et gestion des catastrophes et les systèmes d'alerte précoce. Les activités entreprises par les populations elles-mêmes visent à planifier, concevoir et construire de nouvelles infrastructures dans les communautés pouvant garantir la disponibilité d'un budget d'eau pour la consommation en périodes déficitaires.
- Activités continues de dialogue, communication et sensibilisation autour des thèmes de bonne éthique dans la gestion de l'eau au sein des communautés vulnérables. Ces activités constituent donc un pilier du concept de gestion transparente et la minimisation des risques de corruption dans la gestion du patrimoine commun est ainsi mise en œuvre.
- Nous envisageons aussi de promouvoir le transfert de connaissances dans ce domaine technique avec le Burkina Faso. Ainsi des partenariats au niveau des villages ainsi que les organisations de recherche universitaire sont en train d'être mis en place entre le Burundi - Rwanda et au Burkina.

## Impacts sur l'intégrité

L'impact sur le niveau d'intégrité manifesté dans les communautés de bases est visible et les indicateurs suivants sont à mettre à l'actif du projet:

- Acceptance naturelle de mettre des terres individuelles à la disposition du projet communautaire en vue d'y aménager des retenues collinaires
- Inexistence des cas de conflits liés à la gestion des eaux de pluies pour des fins de la petite irrigation, abreuvement des troupeaux
- Les parties prenantes y compris les autorités politico-administratives de la région du Bugesera sont sensibilisées et inculquées des pratiques de bonne gouvernance, la gestion transparente et démocratique de la ressource en eau et la corruption-zéro
- Acquisition et mise en pratiques des valeurs de bonne gouvernance, lutte contre toutes les formes d'injustice sociale pouvant hypothéquer la transparence dans la gestion de l'eau
- Plus d'esprit d'ouverture dans les débats publics et facilitation de l'accès aux différentes formes d'informations au public

## Enseignements

L'approche participative basée sur la cartographie des besoins et des connaissances locales disponibles en matière de gestion des ressources en eau d'une part, ainsi que le développement des compétences en matière de gestion transparente des infrastructures de collecte d'eaux pluviales d'autre part aura permis d'introduire un système de gestion intégrée des ressources hydriques mettant l'accent sur une utilisation polyvalente de l'eau pour l'adduction en eau potable, la production alimentaire et le bien-être de l'écosystème.

Nous espérons que ce projet de recherche-appliquée contribuera dans le court et long –terme à une connaissance de partage et au développement d'un mécanisme transparent et équitable de résilience au changement climatique dans la région du Bugesera.

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## Citizens Action Initiative supports Communities Demanding their Rights

*The case study reports on an initiative to build awareness and capacities of marginalized communities to hold officials to account. The initiative employed a rights-based approach and sensitized stakeholders in collaboration with local civil society organizations.*

### Case Facts

|                 |   |
|-----------------|---|
| Country/Region: | Rumphi District, Malawi                         |
| Water Function: | Water Supply and Sanitation                     |
| Organization:   | WaterAid, NICE, DFID, CAI                       |
| Issue:          | Water Rights                                    |
| Keywords:       | Right to development, Awareness; Accountability |

This Case Study is on Rumphi District in the northern region of Malawi, over 400 Km from Malawi's capital, Lilongwe and highlights that if people are empowered to know their rights and that development is also their right, they can take authorities to task, persuade them raise their integrity, be transparent and accountable and fulfil the people's demands for development including water access.

It further highlights that if people are fully sensitized about the benefits of development they can even participate in development programmes themselves.

The study presents findings followed after WaterAid in Malawi, and the National Initiative for Civic Education (NICE) with support from the British Government's Department For International Development (DFID) rolled out a Citizen Action Initiative (CAI) in several districts including Rumphi in Malawi under the Water and Sanitation Policy and Governance Project to bring close Malawi Government/service providers with the citizens to spearhead development.

The background of the study is that despite Malawi switching from one-party to multi-party democracy and embracing decentralization aiming at transferring some power from the Central Government to communities to spearhead development, authorities have continued to centralize their power ending up in imposing development on communities.

Lack of access to safe water, good sanitation and hygiene, lack of access to health services, lack of access to education, lack of good infrastructures such as bridges and roads and rampant acts of environmental degradation just mentioning a few.

WaterAid and NICE jointly launched a Citizens Action Initiative in communities in Rumphi which rolled a citizens-based transparency and accountability among all partner organizations.

The initiative created space for on-going dialogue between government/service providers' representatives and the citizens in the communities.

The initiative targeted at enabling the communities to demand their right of access to water sanitation and hygiene including other sectors' developments that were missing in their communities.

The project initially conducted a workshop for 9 implementing Civil Society Organizations (CSOs) to introduce and roll out the Citizens' Action Initiative and support the partners to develop action plans for implementing development in the communities

Communities especially the marginalized took government representatives/authorities of particular sector at a time to task, demanding development their development needs including access to safe water, good sanitation and hygiene. This was after the authorities realized that the citizens were then aware that development was their right, hence responded positively to meet the people's needs.

To sum up it all while those in power in the region may still believe that they hold the key to decide what development initiatives in their society another truth remains that people in communities know what they need.

*"People cannot be developed; they can only develop themselves by what they do."*

*Julius Mwalimu Nyerere, first president of Republic of Tanzania*

### **Impact on Integrity**

- Communities, especially the marginalized were able to call for interface meetings with government representatives/authorities to inform the authorities what they were lacking in terms of development in various sectors.
- Where authorities asked communities to also contribute the development demands, the people were willing to play their role
- From just low water sanitation and hygiene access of an average between 20 and 25 percent in the communities, access to such services rose to between 60 and 70 percent
- The authorities' acceptance that they have on behalf of government deliver development in the communities saw the state being overwhelmed by development demands against inadequate resources for implementing the demands

### **Lessons Learned**

- If people know their rights and that development is also their right, they can take authorities to task, persuade them raise their integrity, be transparent and accountable and fulfil the people's demands for development and water access
- If people are fully sensitized about the benefits of development they can even participate in development programmes themselves
- People in society are the best judges in terms of development priorities since they know what they are lacking

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# Fostering NGO Accountability Through Remote Monitoring

A remote monitoring system has been developed in an effort to ensure target beneficiaries receive intended donor support for rehabilitation or development works in insecure areas of Somalia.

## Case Facts

|                 |   |
|-----------------|---|
| Country/Region: | Somalia   |
| Water Function: | Water Resource Management and Service Delivery        |
| Organization:   | FAO Somalia   |
| Issue:          | Monitoring in unsafe areas                            |
| Keywords:       | Remote Monitoring; rehabilitation; NGO accountability |

The internal civil strife in Somalia has led to the collapse of its existing infrastructure necessitating huge financial investments being allotted to the development of infrastructure by various donors. The Cash based Intervention project commonly known as *Cash for work* implemented by various NGOs with immense participation from locals' stands out as one of the major investments in the rehabilitation of water catchments, feeder roads and canals in Somalia. However, due to prevailing political and security situation in southern Somalia which still remains unpredictable and ever changing. Actual field verification and monitoring of interventions undertaken is not only difficult but time consuming.

The difficulty in undertaking field verification of water interventions in the field has had far reaching effects and opened up avenues of corruptions by NGO's tasked, which delivered substandard or incompleteness interventions. As a result, beneficiaries did not receive the intended donor support. The main objective of the project is to foster accountability through monitoring and evaluation of levels of accomplishment of proposed/planned interventions by target NGO's.

Considering the challenges at hand, a monitoring system has been developed in an effort to ensure target beneficiaries receive intended donor support, through remote monitoring of rehabilitation or development works undertaken by the use of high resolution imagery. The system not only serves as a tool for accountability by the NGO's tasked, but also as an important source of information for planning. It involves a simplified 4 stage

process. Firstly, an initial assessment of the infrastructure proposed for rehabilitation and determination of area of interest (AOI); secondly image suitability and acquisition; thirdly change detection analysis following rehabilitation works and lastly an evaluation of levels of accomplishment of proposed interventions.

A basic quality check is performed by importing areas of interest Google Earth and displaying them on VHR satellite imagery. Screening of the satellite imagery highlights possible discrepancies between data provided and activity to be performed. If discrepancies are found, the NGO is contacted and asked to clarify which is a red flag, even if the NGO will not be monitored afterward.

Areas of interest are subdivided into high priority and low priority. Areas are defined as high priority using parameters such as ad-hoc indication from a compliance Officer, accessibility of the locations for field verifications, NGO behavior in previous/recent commitments, and discrepancies in GPS data provided by the NGO.

An assessment of the status of the infrastructure before and after rehabilitation is undertaken (see figure below) and classes are assigned as rehabilitated, not rehabilitated and not assessed in the event that there was no available image or cloud cover hindrances.

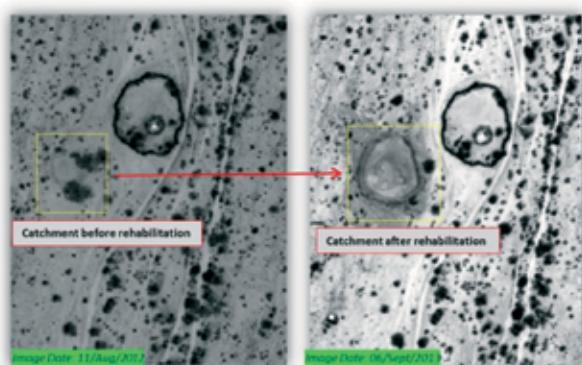


Figure 6: Example of a rehabilitate catchment through excavation

Interventions summary report cards per NGO were

produced to evaluate the level of accomplishment of proposed interventions.

Remote monitoring cannot create full transparency to hold actors to account. The indicators considered for evidence of rehabilitation cover aspects such as catchment excavation or vegetation removal. Nevertheless, a judgment on the quality of the rehabilitation works can only be made through field assessment since this cannot be assessed using remote sensing data

With the demand for the monitoring information rising, the system envisions not only to create a platform for enhanced accountability, but a reliable tool for informed future intervention planning.

### **Impact on Integrity**

Initial results include

- Increased reporting by NGO's, of planned and completed water interventions.
- Increased data demand on water infrastructure status, enhancing prioritization and avoiding "repeat work" which is a source of corruption.

### **Lessons Learned**

- Use of remote sensing which can be freely or at low cost acquired should be embraced to compliment ground validation of water interventions and increase accountability is to be achieved.
- The monitoring activity has not been without its share of challenges. Lack of image cover for both the before and after dates, cloud cover and wrongly spatially positioned proposed point posed as major drawbacks for the monitoring activity.

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## Community Water Supply Management: Kebkabiya Water Supply System Case Study

*The case study reports on the collaboration between donor organizations and local communities in jointly developing an exit strategy for the donor from a crisis region and the handover of the water infrastructure to an empowered local community.*

### Case Facts

|                 |  |
|-----------------|--|
| Country/Region: | Kebkabiya, Darfur, Sudan                             |
| Water Function: | Water supply   |
| Organization:   | Oxfam, KSCS  |
| Issue:          | Donor exit   |
| Keywords:       | Internally displaced persons; community empowerment, |

The water supply system of Kebkabiya town, North Darfur state, Sudan, consisted of open hand-dug wells, tube wells with motorized pumps, distribution network and tap stands until the influx of 49,000 internally Displaced Persons (IDPs) during the 2003 Darfur crisis. Oxfam supported the upgrading of the water system through drilling of boreholes, construction of distribution networks, elevated tanks, collection points and hand pumps. The system was managed by Oxfam, a local NGO Kebkabiya Small Holders' Charitable Society (KSCS) and involvement of the communities for almost 10 years; where water was served free-of-charge.

In the light of government policy on participation, the Oxfam principles of community empowerment, and shrinking of funds from the international community, the stakeholders jointly developed an exit strategy that enhances the involvement of the communities in the operation and management of the water system in Kebkabiya. This is expected to sustain and improve water services, and raise the sense of ownership. If accompanied with good and agreed upon management tools and internal policies, will ultimately promote transparency, accountability, efficient and effective utilization of the available financial and water resources.

Given the long stand of the Darfur conflict, Oxfam and partners started to discuss durable solutions to ensure sustainability of water provision to the affected communities in Darfur. Based on Oxfam experience in remote management system that heavily centered around building local community's capacity to run and manage water resources, the cost recovery initiative was selected as the best option. In order to implement

this initiative, Oxfam team have carried consultative visits and meetings with key stakeholders in Kebkabiya including the Commissioner, KSCS management and staff, IDPs, the Shartai and others.

Generally, the idea of laying the foundation for the system of Water Cost Recovery was well received and appreciated by all parties including IDPs. It was agreed that the community contribution should at least account to ensure 25% of the water running cost while Oxfam and KSCS to bear the remaining 75% in the first phase. It was also agreed that after 6 months the whole system will be reviewed and corrective actions will be taken to ensure smooth implementation of the cost recovery system.

Local communities (IDPs & host communities) in Kebkabiya were already involved in the management of water resources, for example in Alsalam (sub camp in Kebkabiya), all users pay a fixed amount per month (5 SDG) to cover the operation and maintenance costs of their systems. In return they receive continuous water service for human consumption and their livestock cattle/small animals and other productive uses. However, some families consider the tariff system unfair as everybody pays the same amount, irrespective of their consumption. Those not engaged in productive uses subsidizes those who are not.

In preparation of the cost recovery implementation, Oxfam held five meetings with related stakeholders resulting in:

- A collection of concerns raised that will be carefully studied and addressed by the program team in Elfasher and the country office.
- KSCS and Oxfam WASH Project Officers were tasked to drafting a project proposal for the cost recovery project. The project should include rehabilitation of the boreholes and network system that require this in order to prepare them for the cost recovery system.
- The meetings also agreed that KSCS project team will continue working with water management committees and community leaders to prepare the necessary ground for the cost recovery trial.

- KSCS is to prepare cost of operation and maintenance for the water sources in Kebkabiya on monthly basis and submit to Oxfam for payment until the budget for cost recovery project is availed.

Given the importance assigned to the cost recovery initiative, a review was conducted with the following objectives:

- Reviewing the community management of Kebkabiya water supply system, institutional and technological tools adopted to ensure accountability and transparency.
- Documenting success, lessons learnt and constraints impede integrity in community water supply management.
- Explore the opportunities of replicating the approach in other similar context in the region and elsewhere.

The study adopted a methodology that combines questionnaire at household level, focus group discussions with different community segments, SWOT analysis and interviews; with key stakeholders, government officials and women groups. A financial analysis was conducted to forecast the feasibility of the system. Also, two cases of community cooperative water management projects were studied to investigate the capability of the communities to manage and afford the water fees. Moreover a one day reflection workshop was organized –with all stakeholders- to cross check and validate the preliminary results.

To mainstream water integrity in Kebkabiya community water supply management, the study analyzed the management system which consists of a steering committee responsible for overall supervision of the system, and Executive committee responsible for daily operation, and local water committees responsible for water tariff collection, water distribution points and community mobilization.

The study showed that despite their low participation in local water committees, women proved to be very active as tariff collectors. The executive committee is supported by the local partner KSCS as a technical body. With support from Oxfam, KSCS trained community committees in financial and book keeping and rehabilitation and expansion of the water system.

#### Impact on Integrity

- The revenue collected was deposited in a bank account and managed by KSCS and the executive committee. It is agreed that monthly internal auditing and end year external auditing are to be conducted and results to be publicized.
- The initiative explores adoption of ethical tools, continues training and capacity development, and experiments with green technologies such as solar power pumping to reduce operation cost and increase sustainability.
- There are potential opportunities for the system to succeed as the communities are willing to pay the user-fees suggested; fees are only one 10th compared to private vendors, potential water resources, relatively good economic status and high family income and supportive government policies.

#### Lessons Learned

The main lessons learnt from the study include:

- The success of cost recovery needs strong system in place, complimented with staff commitment, proper community mobilization and awareness as well as closer monitoring and follow up of plans.
- Need to design relevant training on WCRS for both community committees' members and KSCS staff to ensure shared vision among key stakeholders.
- The most vulnerable groups of the community are the stronger supporters of the initiative as they are paying less than what they used to pay for water vendors. Given the fact that they are living in the outskirts of the town and with the expansion of the system, they are better served.
- Constraints that impede the cost recovery initiative signified by the unpredictable security situation; Kebkabiya continue to receive influx of new IDPs who are supposed to get water free-of-charge.

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## Intégrité de l'eau dans le Système Aquifère du Sahara Septentrional (SASS)

*La gestion intégré de ressource en eau de Système Aquifère de Sahara Septentrional (SASS) a été gérée par L'observatoire de Sahara Septentrional (OSS) en collaboration avec les trois partenaires nationaux ANRH (Algérie), DGRE (Tunisie) et GWA (Libye), qui a pour objectif la bonne gouvernance, le renforcement de système d'intégrité de l'eau et la lutte contre la corruption.*

### Case Facts

|                 |   |
|-----------------|---|
| Country/Region: | Système Aquifère du Sahara Septentrional (SASS) |
| Water Function: | Water Resource Management                       |
| Organization:   | CERTE et OSS                                    |
| Keywords:       | Intégrité, Gouvernance, OSS, SASS               |

Le Système Aquifère du Sahara Septentrional (SASS) est l'un des grands bassins aquifères d'Afrique du Nord et parmi les plus exploités du circum-Sahara. Il recouvre une étendue de plus d'un million de km<sup>2</sup> dont 700.000 se trouvent en Algérie, près de 80.000 en Tunisie et 250.000 en Libye.

Le problème auquel doivent faire face les trois pays considérés est d'assurer le maximum de prélevements d'eau pour le développement socio-économique durable de la région concernée sans risquer pour autant de dégrader la ressource, et de disposer des outils pertinents pour répondre aux questions

Une approche dynamique et multidisciplinaire pour l'étude des ressources peu renouvelables du bassin partagé promue depuis 1992, couvrant les aspects techniques, scientifiques, socioéconomiques, institutionnels et politiques, pour une gestion commune de la ressource en eau partagée par les pays concernés.

Ainsi, et sur la base d'une situation de gestion bilatérale de la ressource au travers des commissions mixtes préexistantes, l'OSS a générée une véritable conscience de bassin, rassemblé les trois pays, et les a accompagnés dans :

- la conduite de synthèses (hydrologique, hydrogéologique, géologique, ...) consolidées sur l'ensemble du territoire du SASS;
- la conduite d'études socio-économiques et environnementales qui soulignent la nécessité d'une gestion efficace des ressources hydrauliques et la

prise en compte des multiples impacts environnementaux dus par exemple à des pratiques agricoles inappropriées

- la mise en place d'un système d'information intégré commun aux trois pays, comprenant la base de données SAGESSE (Système d'Aide à la Gestion des Eaux du Sahara Septentrional), commune et accessible par chaque pays.
- la mise en place d'un modèle mathématique global de gestion, et de trois sous-modèles qui permettent d'affiner le fonctionnement du système de façon globale et dans trois zones à fort risque ou potentiel (Djeffara, Nord des Chotts et Bassin occidental);
- la cartographie des zones à risques et de celles à fortes potentialités susceptibles de permettre des transferts en eau vers les régions qui en ont le plus besoin;
- l'utilisation des données d'observation de la Terre pour améliorer la connaissance des prélevements des eaux du SASS et l'évolution de l'occupation des sols la mise en place d'un globe virtuel couplé à un serveur cartographique et au système d'information géographique, accessible au grand public, et permettant de situer les grandes zones d'exploitation du SASS et de visualiser leurs principales caractéristiques;
- l'établissement du mécanisme de concertation approprié et validé par le niveau politique à travers une déclaration signée en 2006 par les ministres des ressources en eau des trois pays, et l'installation opérationnelle, en 2008, du Secrétariat de ce mécanisme au sein de l'OSS.

La Stratégie de l' OSS (Observatoire de Sahara Septentrional) est adoptée lors de la 4e session de l'Assemblée générale (Tunis, Avril 2012) s'organise autour de deux axes :

- un axe scientifique et technique centré sur la gestion durable et concertée des ressources naturelles, avec deux thèmes principaux : « Eau » et « Terre » et deux thèmes transversaux : « Climat » et « Populations » ;
- un axe informationnel centré sur les enjeux de partage des connaissances et de communication dans une logique d'interfaçage entre connaissances scientifiques et prise de décision en matière de gestion des ressources naturelles.
- Un axe de gouvernance de l'eau pour une utilisation équitable dans la dimension sociale, efficace dans la dimension économique, durable pour une dimension environnementale et une opportunité démocratique équivalente dans la dimension politique.
- Un axe d'intégrité de l'eau qui englobe le renforcement de la transparence et la lutte contre la corruption par la participation de toutes les institutions citoyennes et usagers telque planification, attribution, gestion, approvisionnement en eau et prestation de services d'eau.

### Impact sur l'intégrité

- Le mécanisme de concertation porte essentiellement sur la recherche, le partage de l'information, la mise à jour des modèles et leur exploitation, la définition d'indicateurs communs, la proposition de plans d'action pour les zones à risques, et d'une manière générale, le renforcement des capacités.
- Réduire le risque de corruption lors d'approvisionnement grâce à des accords contraignants entre les trois pays.
- Une meilleure gestion de l'approvisionnement en eau, des services d'assainissement et des ressources en eau ont permis de stimuler la croissance économique des trois pays. (développement touristique et agricole dans le sud Tunisia et les oasis)
- La sustinabilité de la gouvernance de l'eau et ses impacts sur la santé humaine, les moyens de subsistances et eco-systèmes.

### Leçon messages clefs

- Toutes les décisions relatives à la protection, la gestion, l'utilisation, la répartition et la conservation des ressources en eau relèvent du domaine de la gouvernance. De plus , il est admis qu'au lieu de parler de « crise de l'eau », on devrait en réalité parler de « crise de la gouvernance et de l'intégrité».
- J'ai appris que la gestion de l'eau est très importante dans le monde entier et pas seulement dans les pays qu'ils souffrent d'une pénurie d'eau. Nous avons des sources d'eau limitées dans la planète, la croissance démographique très rapide et nous avons besoin de trouver une meilleure solution pour vivre en paix et sans être inquiets de la sécurité ou de la nourriture ou de l'eau.

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## Campagne de sensibilisation des OSC (Organisation de la société civile), médias et élus locaux sur l'intégrité de l'eau au Cameroun.

*La compréhension du mécanisme de l'intégrité de l'eau susciter auprès des acteurs un catalyseur de l'avènement de la transparence d'où les formations et renforcements de capacité tant à l'échelle nationale et locale.*

### Case Facts

|                 |   |
|-----------------|---|
| Country/Region: | Cameroon  |
| Water Function: | Policy-making and regulation                              |
| Organization:   | CAMERWASH / EFACAM  |
| Issue:          | Integrity Challenges                                      |
| Keywords:       | Civil Society Organizations, capacity gap, new challenges |

Le secteur de l'eau et de l'assainissement a toujours été considéré par la population comme un domaine fermé mais l'arrivée de l'initiative de l'intégrité de l'eau donne espoir aux acteurs locaux pour le contrôle et le suivi la gestion dans le secteur de l'eau ;

Introduit au sein des acteurs locaux au Cameroun par CAMERWASH (Cameroon Journalist and Medias WASH Network ) suite à la formation sur l'intégrité de l'eau à Dakar en 2013, qui a vu la participation de CAMERWASH organisée par WIN, la gouvernance méconnue des acteurs locaux au Cameroun suscite après la tenue de l'atelier de restitution organisé à Yaoundé en 2013 et la campagne opérée depuis lors par CAMERWASH, un fort engouement manifesté par un grand désir d'être formé par le renforcement de capacité pour l'appropriation à la suite des rencontres de sensibilisation autour des élus municipaux et des acteurs locaux ;

Avec le transfert de compétences à la suite de la décentralisation, le renforcement de compétence des élus locaux qui manifestent de plus en plus le besoin de s'arrimer au mécanisme de l'intégrité de l'eau qui surement leur capacité pour une bonne gouvernance dans le secteur de l'eau au vu de la gestion des points d'eau qui seront désormais sous la responsabilité des CTD (Commune Territorialement Décentralisée) ;

Il urge dès lors de former les acteurs locaux et renforcer les compétences des élus locaux sur l'intégrité de l'eau, dans le souci de la bonne gouvernance et la participation et le contrôle citoyen.

- Briser le mur des politiques (ils sont les véritables obstacles) ;

- Amener le législateur à s'approprier des mécanismes de l'intégrité de l'eau (excellent outil de la gouvernance dans le secteur de l'eau) ;
- Combattre la corruption dans le secteur de l'eau ;
- Former et capaciter les acteurs.
- Un atelier de restitution de la formation sur l'intégrité de l'eau en mars 2013 à Yaoundé avec la participation des membres du réseau CAMERWASH, des médias et des acteurs locaux. (rapport disponible) ;
- Rencontre de sensibilisation des élus locaux en cours dite campagne d'information sur l'existence et l'importance de l'appropriation des mécanismes de l'intégrité de l'eau (la méthode adopté est celle de demande d'audience ensuite des rencontres d'échanges auprès des conseillers municipaux, maires et acteurs locaux « OSC et médias par la présentation du mécanisme de WIN « Water Integrity Network » ;

Le regain d'attention de la part des acteurs locaux ayant pris participés à l'atelier de restitution à travers des feedbacks et la régulière forte demande de formation. Les acteurs rencontrés ont pris conscience des dangers de la corruption dans le secteur de l'eau et l'importance du rôle à jouer pour éviter et lutter contre tout fléau dans le secteur.

- Forte demande de formation sur l'intégrité de l'eau (le constat est clair, tous les acteurs rencontrés sollicitent la formation et la mise à niveau) ;
- Continuer le plaidoyer pour amener toute la population à prendre connaissance de l'existence de l'intégrité de l'eau pour cela des débats et échanges à travers les médias et les OSC s'avèrent important ;
- Densifier les rencontres et renforcement de capacité à l'échelle nationale pour une synergie d'action devant susciter l'intérêt général.

## Défis d'intégrité dans le secteur de l'eau au Cameroun:

- La corruption dans le secteur ;
- La formation des acteurs et opérateurs du secteur ;
- L'amélioration du cadre juridique et la mise sur pied d'un organe régulateur ;
- La redevabilité et réédition.

Pourquoi est-ce important de travailler dans le domaine de l'intégrité et de la lutte contre la corruption?

- Contribuer à l'amélioration des politiques dans le domaine de la gestion de l'eau au Cameroun ;
- Améliorer à l'atteinte des besoins des populations en l'eau potable ;
- Renforcer les capacités en intégrant le taux de croissance démographique et d'urbanisation galopante connue ;
- Réduire fortement les inégalités;

## CAMERWASH

- CAMERWASH est une plate forme Camerounaise composée de Médias et journalistes AEPHA; et des Associations de la société civile œuvrant dans le secteur AEPHA;
- Notre slogan: "Contribuons à l'accès à l'eau potable, l'hygiène et l'assainissement au Cameroun et en Afrique"

## Objectifs

- Plaider auprès des organisateurs du sommet pour le lancement d'une plate forme Afrique de l'intégrité de l'eau;
- Porter l'initiative à travers la mise en place d'une plate forme en Afrique centrale où le projet est méconnue et manque d'implémentation;

## Activités

- Former les acteurs locaux et toutes les parties prenantes (surtout les élus locaux conformément au transfert de compétence suite à la décentralisation au vue de la forte demande venant d'eaux) ;
- Densifier la sensibilisation de toutes les parties prenantes ;
- Mener le plaidoyer et le lobbying à l'échelle nationale ;
- Susciter la diffusion et la publication de toutes les conventions signées dans le secteur ;
- Lancer un observatoire sur AEPHA au Cameroun et Afrique centrale.

## Espoirs

- La forte demande de formation rencontrée auprès des élus locaux, des acteurs de terrains et même des populations sont rassurantes pour un avenir d'adhésion mais, cependant, il faut aussi craindre qu'une longue attente à la formation peut démotiver ces acteurs.
- Il convient aussi de rappeler la difficulté d'éprouver certains élus locaux de l'amière pays à accéder aux TIC

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## Business Integrity Initiative (BIF) in Ekurhuleni Metropolitan Municipality

*The municipality initiated the creation of a business integrity framework (BIF) that focuses on proactively identifying fraud and corruption risks, and supports risk management and good governance. A recent survey assessed the awareness of local residents with the measures, as well as their view on the level of transparency and integrity in the municipality*

### Case Facts

|                 |  |
|-----------------|--|
| Country/Region: | Leondale, South Africa                               |
| Water Function: | Water Supply and Services                            |
| Organization:   | Local municipality                                   |
| Issue:          | Business Integrity                                   |
| Keywords:       | social equity; accountability; governance; integrity |

Leondale is a township in the Ekurhuleni Metropolitan Municipality (EMM), with a population of around 7 000. In terms of institutional arrangements, non-delegated decisions in Leondale related to services like water and sanitation are taken by the Council, which operates under the executive mayor at local government level. Water services in Leondale are managed within the provision of the National Water Act (Act No. 36, 1998)-NWA of South Africa. Through legislation, public accountability, participation and active involvement of Leondale residents in municipal affairs, are encouraged at council level. Water services are among the priorities and the needs for the community.

As per NWA, residents in Leondale receive a minimum of free 6 kL of water per month for basic services. This is enhance the fact that EMM, which over the last three year received a Platinum Award as a result of consistently maintaining the blue drop (drinking water) status for excellence for water quality management. In addition, the City of Ekurhuleni was the overall winner in 2012 for water conservation and demand management interventions. Majority of residents in Leondale agreed on the status of water quality management.

From the principles of good governance at local level, the municipality launched the development of the anti-corruption strategy dated nearly 4 years ago. It covers issues related to forensic audits, accounting and fraud investigations, disclosure service (fraud hotline) and management requests, etc. This applies to all townships (e.g. Leondale) and towns that fall under this municipality. Whistle blowing (through use of fraud hotline) is one of the mechanisms of the anti-corruption strategy

for EMM. This strategy applies to all service delivery aspects, i.e. water and sanitation, energy and electricity, finances, management, etc. Despite the anti-corruption campaign in the municipality, unlawful cases have been that cover among others fraud and corruption, unauthorised expenditure, non-compliance to policies and procedures.

The municipality initiated recently the creation of business integrity framework (BIF) that focuses on identify proactively fraud, corruption risks, risk management, prevention plan, good governance, ethics, etc. The implementation of BIF presents some challenges at EMM level. This could impact on its towns/townships like Leondale: e.g. insufficient integration and coordination of anti-corruption strategies (ACS), lack of monitoring and evaluation mechanisms, non adequate consultation process during the development of ACS and investigation delay in fraud cases. It has been noted management capacity due high volume of reported cases.

Despite the high quality drinking water that EMM has consistently maintained, the report of the auditor general indicated material losses related to water distribution for the total water purchased. There are backlogs in upgrading old steel water meters with new water meters. It may take up to 3 months for upgrade in Leondale. Unauthorised, wasteful and irregular expenditure have been noticed at EMM level that may impact on service delivery, in particular water services. Cases of fraud and corruption, unauthorised expenditure, non-compliance to policies and procedures still exist even among councillors however the legislative power is striving to root out these malpractices.

EMM publishes transparently on line annual reports related finances, governance, service delivery performance (that includes water services), organisational development performance, as well as the general auditor's report. Legislation governing the municipalities' operations relates to Municipal Financial Management Act (Act 56 of 2003).

Because EMM has initiated several activities, it was decided to talk to residents to confirm whether activities are happening on the ground and if information is available to access easily the reports published by EMM.

- Ten in ten people confirmed to have access to potable water. As per NWA, residents in Leondale receive a minimum of free 6 kiloliters of water per month for basic services.
- ward committees in Leondale engage with residents to ensure that water services and others are provided according to the residents' satisfaction. Ten in ten residents were very positive on water services provided by EMM. Leondale residents are aware of the budget allocation for water services from published/available reports.
- Transparency, accountability and participation is proof of good governance principles at local government level. Eight in ten residents agreed on these principles.
- ICT is used in the public interest to have access to reports on operational issues related to water services through the municipal web site ([www.ekurhuleni.gov.za](http://www.ekurhuleni.gov.za)). Payment of water bills is made by registering on [www.e-siyakhoka.co.za](http://www.e-siyakhoka.co.za). Ten in ten residents are aware of this initiative.
- On a monthly basis, residents in Leondale are encouraged to check on the website the level of compliance of portable water quality in terms of standards set by the Department of Water Affairs. One in five residents checks water quality; however the majority rely on the hard copy report that accompanies the monthly water bill. Ten in ten residents are trust EMM for water quality.
- Water conservation and demand management interventions i.e. improving metering and billing of water supply to bulk-water consumers, with a consequence of reducing non-revenue water for the municipality. Residents in Leondale have been urged to replace old water meters with new ones to ensure correctness of readings. Ten in ten residents are aware of meter replacement.
- Leondale residents make use of the fraud hotline as part of the anti-corruption strategy by EMM.
- The level to supply the minimum amount of water for basic services remains key in EMM, particularly for residents in Leondale. The implementation of the NWA is a reality. Hence social justice for water access for previously disadvantaged community is seen a constitutional right.

## Impact on Integrity

- In the last seven years, EMM has led investigations on around 200 alleged cases for fraud and corruption, unauthorised expenditure, non-compliance to policies and procedures. Residents in Leondale have easy access to information about these cases. The creation of business integrity framework (BIF) has been praised by communities. This framework is part of governance framework that intends to identify fraud, corruption risks, risk management, prevention plan, good governance, ethics, etc.
- Leondale residents as other communities make use of the disclosure service (fraud hotline) as part of the anti-corruption strategy by EMM.
- In the 2012, the auditor general found EMM in good financial position to ensure that water service was delivered at national level compliance. It is a reality that all residents spoken to were satisfied in terms water service delivery. Ten in ten drink water tape without boiling for instance since it is safe.
- accountability, social equity for water access, good governance and public participation in EMM affairs show the level of trust residents in Leondale have in EMM.

## Lessons Learned

- Management and financial performance, accountability, transparency, integrity, good governance, social justice for water services are vital for the community. Most importantly the community should be involved to make sure water services are delivered to its satisfaction.
- Unauthorised, wasteful and irregular expenditure are big challenges in the municipality which may constitute a danger for service delivery in Leondale as well as other areas.
- BIF is a good initiative for the jurisdiction where Leondale falls, however mechanisms should be put in place to enable a successful implementation of BIF. Hence there is a need to improve the integration and coordination of anti-corruption strategies and in turnaround of fraud case investigation.

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## Integrity Management Toolbox for Small and Medium Sized Enterprises

*The case reports on the development and pilot test of a toolbox developed to tackle Integrity Management Risks at the operational level in Zambian water sector SME, using a stepwise approach that looks at the companies' business models and that identifies existing possibilities for improving integrity management within them.*

### Case Facts

|                 |  |
|-----------------|--|
| Country/Region: | Zambia   |
| Water Function: | All functions  |
| Organization:   | SMEs in water-related services   |
| Issue:          | Integrity Management   |
| Keywords:       | Business Model Approach; Bottom Up; Actor specific; SMEs; Integrity Management; Awareness raising; Anti-corruption |

Around the world, the water sector is faced with governance challenges and lack of integrity, which often results in conflict and significant shortcomings in water supply. The same is true for Zambia, where integrity and anti-corruption remain one of the least addressed areas in the governance of water resources and services. Although the country has relatively abundant water resources, the population's access to safe water and sanitation services is one of the country's major challenges. Zambia's water sector has undergone important reforms, but the reform process has been slow and major challenges remain. Among the most important reasons are the weak institutional and legal frameworks and procurement systems, the unregulated public-private sector contracting and the limited awareness and know-how necessary for addressing integrity issues at the operational level.

Apart from public water utilities, companies of Zambia's private sector play a crucial role in water sector development when it comes to procurement of goods and services. While most of the attention is directed at large multinational companies, small and medium-sized enterprises (SME) also provide a wide range of services and products to the water sector. Those artisans, sanitarians, manufacturers, construction contractors, consultants, drilling companies etc. - here referred to as water sector SME - are increasingly relevant for the country's water sector, as they provide water and sanitation services in low-income areas where public authorities lag behind.

There are a number of specific integrity challenges that result from increasing private sector engagement in the Zambian water sector, due to the private sector's profit-oriented nature and its lack of embedment in overarching policy structures. As private investment in the water sector is increasing, the private sector becomes increasingly exposed to risks of corruption. A challenge particularly related to the involvement of SME is that they are usually dependent on a few contracts or clients, which makes them easy prey for corrupt officials or useful allies when it comes to politically motivated decisions about water. SME are also particularly vulnerable to non-integrity because of their comparably weak negotiation power within the private and the water sector and due to their limited resources, which can make it necessary for SME to take up dishonest activities in order to survive.

However, capacities to tackle integrity-related issues at the operational level of SME are still very limited. In order to be able to achieve equitable, safe and reliable access to water and sanitation services, practical tools to tackle integrity risks at this level need to be made available to SME. Zambian water sector SME often adopt dishonest practices unintentionally due to a lack of business management skills. Unintentional engagement in corruption may be due to weak management skills and institutional embedment and their subsequent lack of knowledge on Do's and Don'ts.

In order to address the above mentioned issues, WIN, cewas (international centre for water management services) and WASAZA (Water and Sanitation Association of Zambia) collaborate in the development of an Integrity Management (IM) Toolbox for Zambian Water Sector SME. This toolbox aims to tackle Integrity Management Risks at the operational level of Zambian water sector SME, using a stepwise approach that looks at the companies' business models and that identifies existing possibilities for improving integrity management within them. As such, the IM Toolbox is a practical bottom-up and actor specific approach to water integrity, that focuses on the local level of service provision and thereby complements the regulatory, institutional and policy framework on integrity available in Zambia.

## **Project Activities**

IM Toolbox for Zambian Water Sector SME initiates and facilitates an Integrity Management Process along the following 7-STEPs:

**STEP 1.** Introduction and awareness raising for Integrity Management

**STEP 2.** Description of the SME's business model and internal value chain

**STEP 3.** Mapping of the integrity-related Zambian water sector

**STEP 4.** Identification and selection of integrity risks most relevant to the SME's business model

**STEP 5.** Selection of integrity instruments best geared to tackle the identified integrity risks

**STEP 6.** Elaboration of a concrete implementation plan

**STEP 7.** Implementation and monitoring of the Integrity Change Process

The Toolbox supports the initiation of a systematic change process towards an integrity-improved business model that results in improved performance. By so doing, the IM Toolbox also increases the SME's understanding that transparent, ethical, legally and regulatory compliant practices are not only necessary but also advantageous in many ways.

By encouraging SME to incorporate Integrity Management into their business models, the IM Toolbox improves the overall level of integrity of SME and thereby improves the companies' efficiency, effectiveness and performance:

- By avoiding bribery, SME can decrease costs (i.e. for fines and legal expenses) and increase margins
- By building a reputation for ethically sound business, SME can increase the trust and loyalty of customers
- By using commitment to integrity as a unique selling proposition when applying for contracts, SME can win more projects.

The content of the IM Toolbox for Zambian Water Sector SME is currently being validated in the field and will be finalised by April 2014. The approach will then be piloted Zambian Water Sector SME between June and December 2014.

As the concept of the IM Toolbox can be transferred and adapted to into any geographical context, administrative level and target group, the approach has received substantial interest within the development cooperation and water sector community.

## **Impact on Integrity**

- Improved the overall level of integrity of SME and thereby improved efficiency, effectiveness and performance:

A positive impact on the whole Zambian water sector is expected to result from the project:

- Firstly, the IM Toolbox will increase sensitivity to and awareness for integrity-related issues within the private sector and among consumers.
- Secondly, this increase of the private sector's sense of responsibility for quality service provision is expected to rise investment levels in the water sector.
- This will be further reinforced by the sudden availability of money that was previously lost to corrupt practices.
- Finally, the IM Toolbox will improve the level of competition within the private sector, which leads to a more affordable, reliable and safe service provision.

## **Lessons Learned**

- Zambian water sector SME are faced by integrity risks that are owed to internal and external conditions. This duality needs to be taken into account when designing IM instruments, as external conditions can only be tackled by mitigating rather than preventive measures.
- The level of background knowledge on integrity differs widely within the target group. The challenge for bottom-up approaches is to accommodate all knowledge levels without becoming too complex or trivial.
- Integrity instruments for this target group need to incorporate business and strategic management tools that help to prevent unintentional integrity risks and redirect the SME's focus from short term incomes to long term business profitability.
- Awareness raising on the institutional framework as well as on the consequences of non-integrity needs to be a fundamental part of any tool that tackles integrity at SME level.

## **More information:**

Contact: JHermannFriede@win-s.org

Toolbox: <http://www.cewas.org/projects/water-integrity-management>

## Building Water Integrity Practices into National Water Development Plans

*To improve the implementation of a National Water Development Programme, the government of Malawi build procedures for community participation into procurement and contracting processes for the drilling of boreholes across the country. The measures improved services delivered as well as transparency and accountability of the overall programme.*

### Case Facts

|                 |   |
|-----------------|---|
| Country/Region: | Malawi  |
| Water Function: | Infrastructure Development                                  |
| Organization:   | National government   |
| Issue:          | Procurement   |
| Keywords:       | Water Integrity, borehole, groundwater, aquifer, corruption |

Malawi is endowed with a variety of natural resources which include vast expanses of water systems. This includes lakes such as Lake Malawi and rivers such as the Shire River. These water systems cover over 21% of the country's territorial area. There are also widespread groundwater sources whose occurrences are associated with two major aquifers viz the basement complex and the alluvial aquifer giving varying borehole yields (National Water Policy, 2005).

Although the country is endowed with vast amounts of water resources, demand for clean and safe drinking water in Malawi is great as is the case in many countries in the southern African region. It is estimated that only about 30% of the population has access to safe and clean water. With Malawi's agricultural background, much of her population lives and works in rural areas. Consequently, the provision of potable water for domestic supply across the country is of special importance. Groundwater resources in Malawi have, therefore, for a long time been developed predominantly for domestic supplies. It is clear that groundwater supplies are required to serve the majority of the rural population.

It is under this background that the government of Malawi and development partners set up a National Water Development Programme (NWDP) which had a component of borehole construction in four districts. The NWDP was expected to run from 2010-2015 with funding from the government of Malawi and some development partners. The NWDP was well executed and its performance was very impressive. The communities in the four districts has benefitted greatly from

this programme after about 2700 boreholes were successfully constructed and commissioned in the four districts. This was because every step during the project implementation was done transparently and orderly. It can be stated that water integrity practices were followed in the construction of these boreholes.

### 1. Procurement

In 2003, Government began to strengthen the procurement of goods and services through the introduction of the public procurement law as well as the establishment of the Office of the Director of Public Procurement. Specific guidelines were put in place including the requirement that each public institution should establish an internal procurement committee through which services are procured.

During the implementation of this programme, procurement procedures were strictly followed. This included advertising, selection and proper monitoring of goods and services rendered. This meant that goods and services procured were of good quality and there was no misuse of funds and goods.

### 2. Supervision of works

The boreholes were drilled by contractors and supervised by different consultants. The Groundwater Division of the Ministry of Water Development and Irrigation provided backup supervision of works. Each Traditional Authority had Water Monitoring Assistants who were present at every stage of borehole construction. This ensured that the quality of boreholes was according to agreed specifications and standards.

### 3. Capacity building for beneficiary communities

Before boreholes were given to communities, the communities were requested to contribute 1% of the total cost of the borehole in monetary terms. This was done to show their commitment. The beneficiary community formed Water Point Committees. The community was given a starter pack of spare parts and spanners for the maintenance of the borehole. This would ensure that the lifespan of borehole is long enough.

## **Activities**

1. Negotiations with development partners for funding
2. Setting up a programme/project office
3. Employing programme/project officers and also attaching government officers to the project
4. Renting of offices for the project
5. Procurement of goods and services such as furniture, vehicles, computers etc for the project office
6. Then initiating the implementation of the project as follows
  - Advertising for consultants, contractors, and Water Monitoring Assistants to kick start the borehole construction
  - Selection
  - Award of contracts
  - Borehole construction process
  - Training communities
  - Borehole survey
  - Borehole drilling
  - Civil works
  - Commissioning of the boreholes

## **Impact on Integrity**

- Generally the case study shows positive impact on water integrity.
- There was some coordination amongst all institutions that were involved in the implementation of the borehole construction.
- Since boreholes of good standards were constructed, it can be assumed that there was no misuse and no corruption during the construction of these boreholes.
- The implementation of the project was done in a transparent manner.

## **Lessons Learned**

1. If the systems are followed, it is possible to deliver quality services to communities. In this case boreholes of good quality and standards were constructed and the communities benefitted
2. It is clear from this case study that if there is close monitoring during project implementation, misuse of resources and corruption can be avoided
3. The rural poor people can benefit from government and development partner programmes if the programmes are transparently implemented
4. With proper personnel, proper planning and design of the programmes it is possible to implement water integrity principles

## **More information:**

Contact: wmsonda@yahoo.com

## Human Rights-Based Approach to Sustainable Water Governance

*Local communities embracing integrity to improve access to water*

### Case Facts

|                 |  |
|-----------------|--|
| Country/Region: | Elgeyo-Marakwet County, Kenya              |
| Water Function: | Water supply                               |
| Organization:   | Moiben WRUA                                |
| Issue:          | Local participation                        |
| Keywords:       | community participation, user associations |

Moiben River under the jurisdiction of Moiben water resources user association (WRUA) is spread over a length of approx. 256 Kilometres. It is divided into 6 zones (A-F). Prior to engagement with the project and their training, the Moiben WRUA had problems with leaderships and management due to lack of knowledge and this led to collapse of projects that had been initiated.

Trainings on leadership and financial management led to pro-active leadership and improved collaboration with the local community. In the month of May 2013, the WRUA members of zone B&C together with the entire community of Kimnai location decided to revive Mwangaza Water Project that had stalled due to poor management and lack of funds. It was noted that the community members who benefitted from training passed the same training to others and together they have decided to form a water committee that will deal with the situation and supply water to the community.

The leadership of this committee is spearheaded by the WRUA members. It was also noted that the previous management of the water project that had stalled provided water to around 30 households only in the entire community since no one was willing to pay for the service. This was because their previous understanding of the right to water was that it was their right to be provided with water for FREE.

But after the training, the WRUA members understood that safe water has a cost due to the purification process, only that the right to water advocates that the cost should be affordable to every citizen. Armed with this understanding, the WRUA members at Kimnai organized to sensitize the rest of the community members where they agreed from the barazas that those members with water connections should pay a monthly fee

of Kshs. 50. This money would be used in the maintenance and to increase supply of water to other households within the community. At the moment, 75 households are now accessing water through the project up from the initial 30 households.

In addition, WRUAs, government line ministries and other stakeholders have gained financial management skills which have assisted them to manage the funds they received from WSTF. *"Before this training, we used to hire an accountant to come and assist us with the accounting of funds. Now as laymen, we are able to keep financial records, be able to interpret them and also answer questions from on finance"* says an elated Secretary stipulating that they keep a cash book and an Analysis book for Vote head analysis.

They also have a procurement committee within the membership that assists in procurement process of project assets, materials and services.

### Lessons Learned

- The HRBA principle of empowering the Right Holders, enabled them to know their rights and demand for services and hold the Duty Bearers accountable
- The community have been accountable with their funds which has qualified them to graduate to the next level of funding.
- The WRUAs have been able to apply their knowledge received from trainings on accountability and transparency by demanding for services from the relevant institutions which significantly improved service delivery.
- The WRUAs have also displayed accountability and transparency by keeping proper books of accounts and updating members during their meetings as well as erecting signposts on project sites undertaken by WRUAs e.g. at spring sites displaying the support amount used for the construction, the donors that supported them and the management team for accountability.

### More information:

Contact: francismacoduor@gmail.com

# Practical information

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## Summit location

The African Water Integrity Summit takes place at the InterContinental Hotel Lusaka on **Tuesday, April 29 and Wednesday, April 30, 2014.**

Haile Selassie Avenue  
P.O. Box 32201  
Lusaka 10101  
ZAMBIA  
Tel Front Desk +260-211-250000

Registered participants should come to the registration desk upon arrival at the hotel in order to pick up their badge and a conference packet.

## Working languages of the Summit

Sessions will be in English and French with simultaneous interpretation.

## Internet Access

Complimentary wireless internet will be available in all hotel lobby areas. In addition, complimentary wireless internet has been arranged for all guestrooms.

## Meals

The following meals will be provided at the hotel for all attendees during the conference:

- Welcome reception cocktail (*Monday, April 28 at 6:30 pm*)
- Lunch (*April 29-30*)
- Closing cocktail (*Wednesday, April 30 immediately after the closing session*)

## Free Time

No dinners have been scheduled for the evenings of Monday, Tuesday and Wednesday in order to facilitate interactions among attendees. There are numerous restaurants and shops close by the hotel.

# Acknowledgements

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**The summit organising committee would like to thank all the parties that contributed to this Summit in a way or another.**

*Political guidance and strategic orientations were provided by*

- **The African Ministers' Council on Water (AMCOW),**  
in the person of Hon Bai-Mass Taal
- **East African Community (EAC)- Lake Victoria Basin Commission (LVBC),**  
in the person of Dr Canisius Kanangire
- **Economic Community of West African States (ECOWAS),**  
in the person of Mr Innocent Ouédraogo
- **Southern Africa Development Community (SADC),**  
in the person of Mr Phera Ramoeli
- **The Ministry of Mines Energy and Water Development of Zambia,**  
the Hon. Minister, as well as Fredrick Nswana and Ngosa Howard Mpamba

*Financial support to host the Summit was provided by*

- **Swedish International Development Cooperation Agency**

*Additional staff assistance was provided by*

- **Members of the Zambia Water Partnership**

*Additional financial support for participants to attend the Summit was provided by*

- **Water Integrity Network**
- **WaterNet**
- **CapNet UNDP**

We acknowledge with a lot of gratitude the abstract reviewing team (*Rennie Chioreso, Françoise-Nicole Ndoume, Maria Jacobson, Goodwell Lungwu, Cate Nimanya, Indika Gunawardana, Ellen Pfeiffer, Hélène LeDeunff, Rachad Alimi, James Leten*) for their critical input and the summit facilitation team (*Goodwell Lungwu, Cate Nimanya, Rachad Alimi*) for their hard work and support. Especially *Ellen Pfeiffer* for her professionalism, dedication and leadership for shaping the content of this summit.

We thank Transparency International-Zambia for their dedicated efforts in Lusaka, and the SIWI Communications team (*Sanna Gustafsson, Hélène LeDeunff, Maya Rebermark, Nora Lee*) for spreading our integrity messages. We thank all the participants that responded with enthusiasm to the Summit's invitation. It is the sum of dedication and talent that makes it possible for the 1st African Water Integrity Summit to take place.

## 3 Years of Regional Partnership in Water Integrity

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*"Integrity and anti-corruption are increasingly recognised as critical areas in water governance. The UNDP Water Governance Facility at SIWI and its partners have joined forces to make sure the principles underlying integrity are positioned on water governance agendas. These principles are transparency, access to information, participatory decision-making, accountability and the rule of law."*

**Marianne Kjellén, Programme Director, UNDP Water Governance Facility at SIWI**

*"It is well documented that corruption and lack of integrity in the development and management of water threaten to undermine investment in the water sector. The SADC Secretariat, through the Water Division within the Directorate of Infrastructure and Services, is pleased to have been able to facilitate the Regional Capacity Building Programme and will continue to mobilise resources to support it."*

**Phera Ramoeli, SADC Senior Programme Officer and Chair of the SAG**

*"Corruption in the water sector takes place at various levels, from regional to local, and from small to grand scale. Our training gave water sector professionals, academics and officials, practical ways to fight corruption. I am confident that we, with our partners, can continue to make bold moves towards ensuring that integrity becomes a priority for everyone working in the water sector."*

**Canisius Kanangire, Executive Secretary of the Lake Victoria Basin Commission**

*"Integrity gaps in the water sector have disastrous consequences: loss of life; degradation of resources and environment; and distortions of development efforts. This concern is the core of our Water Integrity Capacity Building Programme. It is now important to follow up on the workshops, at both country and regional levels. It is necessary for us to put water integrity where it belongs, at the top of national and regional agendas."*

**Innocent Ouedraogo, Interim Director, Water Resources Coordination Centre – ECOWAS**

*"In Africa and many countries around the world, water crises are not primarily due to resource scarcity but to governance failures. With investments in the water sector growing, corruption risks are on the rise. WIN hopes to help convince decision makers that capacity building for good governance is urgent and that investments in water integrity in particular need to be prioritised. Without integrity, no sustainability!"*

**Teun Bastemeijer, Chief Advisor Strategic Outreach and Programmes, WIN e.V.**

*"Corruption is as much structurally conditioned as it is a result of individual practice. The involvement of the SADC Water Division in the training encouraged open and constructive discussion on a topic that many usually shy away from. So has the Programme had an impact? The answer is a clear yes."*

**Jean-Marie Kileshye Onema, Network Manager, WaterNet**

*"Being a partner in projects in various regions adds to the global experience in water integrity work. The results Cap-Net UNDP has achieved within the water integrity capacity development project are a strong foundation on which to continue work throughout 2014. We are looking forward to continuing to deliver tools for rapid and effective awareness raising and capacity development on integrity issues."*

**Themba Gumbo, Director Cap-Net UNDP**

The full Report of the Regional Capacity Building Programme will be published shortly.



Empowerment from  
Multi-Stakeholder Partnerships

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[www.watergovernance.org/integrity/summit](http://www.watergovernance.org/integrity/summit)

