

# ***AWIS- tools Introduction***

***Capacity building training on the concept of  
water integrity and related tools***

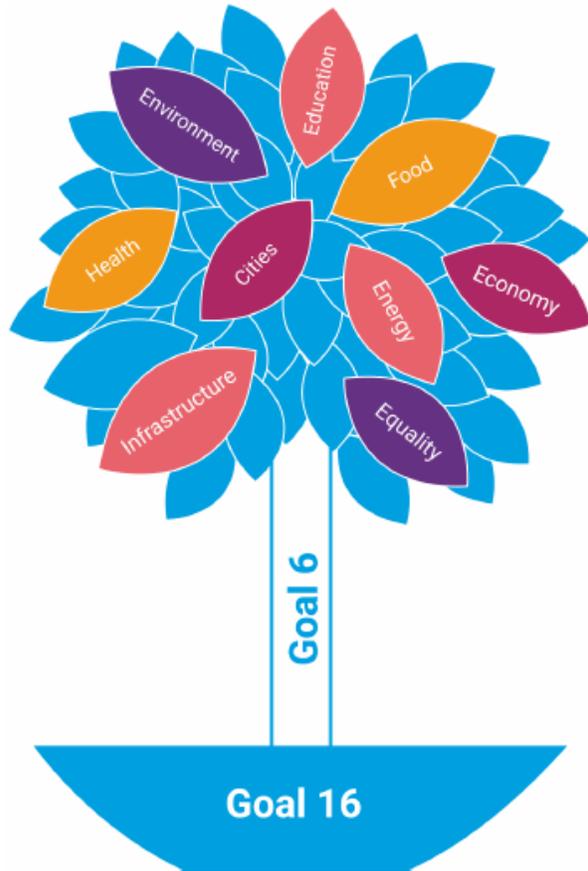
***Sanjoy Mukherjee  
27 -28 October 2021***



**cewas**



# Clean water needs clean governance



Goal 16: Effective, Accountable and Inclusive institutions at all levels

Goal 6: Water and Sanitation for all

Human Right to Water and Sanitation



# *What is AWIS*

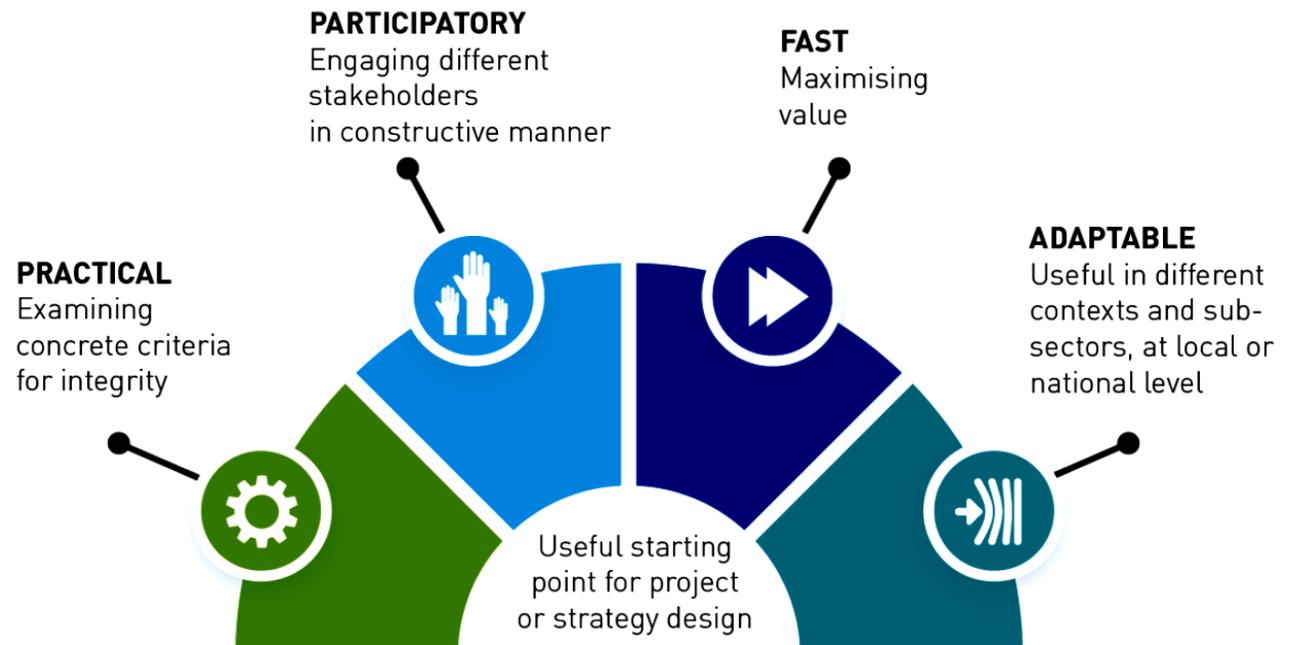
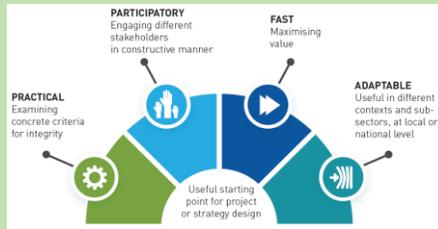
*Quick participatory assessment of the integrity situation in the water sector at national or local level, to build awareness and a common understanding of key integrity challenges and to plan for action.*

# AWIS Principles

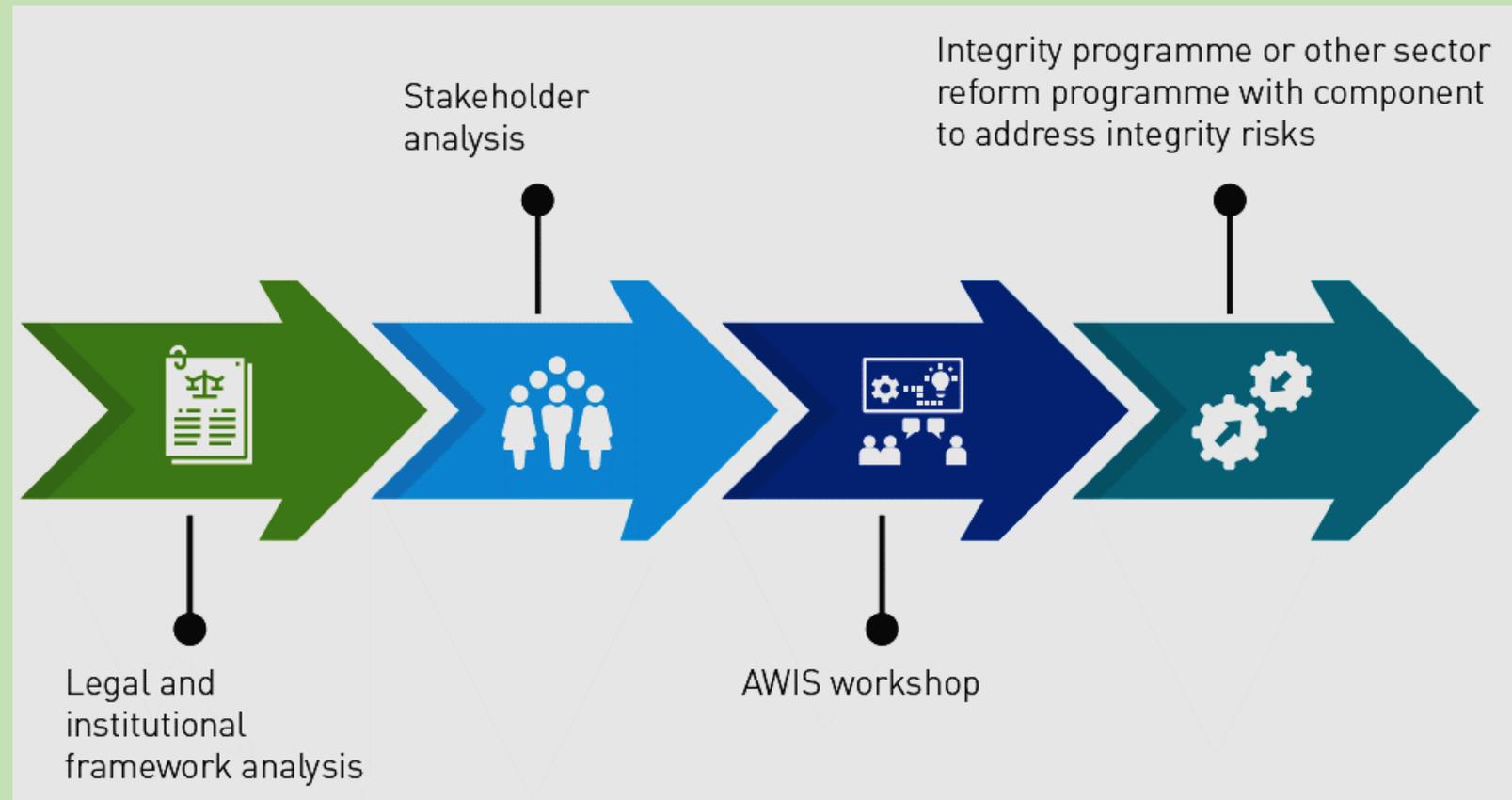
## AWIS PRINCIPLES

**AWIS enables a concrete and constructive discussion around integrity. It is highly adaptable and particularly useful as a starting point for programme planning, as it requires limited time investment.**

AWIS is based on four principles:



# *Using AWIS in a sector change process*



# DEVELOPMENT AND BACKGROUND

AWIS was developed by WIN in response to the conclusions of the Global Corruption Report 2008: Corruption in the Water Sector (Transparency International, 2008), which pointed to the need for participatory and qualitative tools to analyse corruption in, and enhance the integrity of, water resources management, water supply, and sanitation service development and delivery. It was meant as a tool to raise awareness and facilitate discussions with the aim of quickly identifying vulnerabilities and priorities for action. It is based on the Transparency and Integrity in Service Delivery in Africa (TISDA) project of Transparency International (TI). It has been applied at the municipal, district, regional, and national levels in different water sub-sectors.

# MAIN AWIS CONCEPTS: GOVERNANCE RISK AREAS AND INDICATORS

During an AWIS workshop, participants, who should represent a wide range of stakeholders, are asked to anonymously score risk levels for Transparency, Accountability, Participation (TAP), and Inclusion, in pre-defined governance risk areas.

*Note: WIN applies four pillars critical to improving integrity in the water and sanitation sector: transparency, accountability, participation, and anti-corruption. For the purpose of AWIS scoring, the first three are selected as indicators, while anti-corruption is included as a risk area.*

# ***What is TAP-I in AWIS***

## ***INTEGRITY***

***Practices impeding corruption and promoting respect for rule of law based on honest performance of duties***

### ***TRANSPARENCY***

***Clear roles and responsibilities of actors exist in writing***

### ***ACCOUNTABILITY***

***Procedures are applied and actors hold each other accountable***

### ***PARTICIPATION***

***Third parties have the possibility to file complaints and influence decisions***

### ***INCLUSION***

***Traditionally-excluded groups meaningfully participate in activities and decision making***

# Key governance areas



- **Policy and legislation**  
*Official policy and legislation in place in the specific sub-sector*
- **Regulation**  
*Existence and application of concrete rules and active institutional control*
- **Finance and investments**  
*How financial resources are being spent and how the spending is being controlled*
- **Service provision**  
*How services are being provided and how institutions are being controlled*
- **Anti-corruption**  
*Specific anti-corruption legislation in place and its application*

## Typical Governance Risk Areas Used in AWIS

Policy and Legislation	Comprises the official policy and legislation in place
Regulation	Refers to the existence and application of formal rules and the existence of active institutional control
Finances and Investments	Concerns how financial resources are spent and how spending is controlled
Service Provision	Concerns how services are provided and the role of relevant institutions in service delivery
Anti-corruption Framework	Refers to anti-corruption legislation in place and its application

## Main Indicators Used in AWIS

Transparency	Existence of written procedures, agreements, and contracts that explain the roles and responsibilities of actors, as well as relevant data and information that is accessible to the public.
Accountability	Application of the written procedures and agreements and, where feasible, the potential compliance of actors (this is known as 'internal accountability').
Participation	Ability of the public, and the users or their representatives (including marginalised and resource-poor groups), to influence decision making, file complaints effectively, and be heard ('external accountability').
Inclusion <sup>1</sup>	Authentic involvement of traditionally excluded individuals and/or groups into processes, activities, and decision/policy making in a way that shares power.

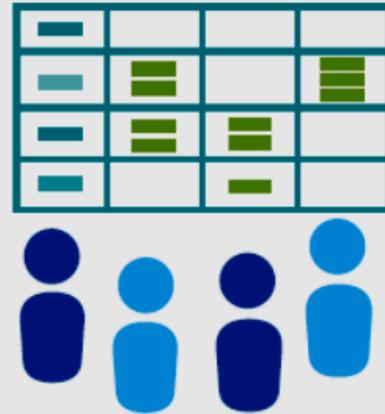
## FIGURE 1: THE AWIS WORKSHOP METHODOLOGY



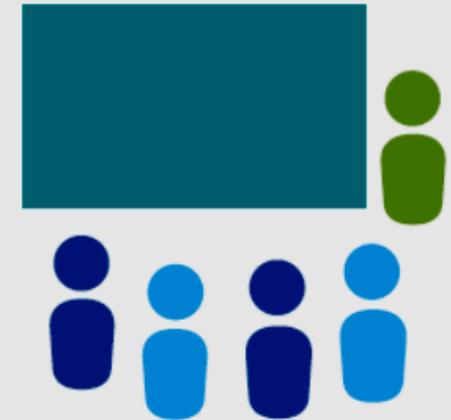
**1. AWIS workshop  
with key  
stakeholders**



**2. Anonymous  
scoring in key  
risk areas**



**3. Annotation and  
discussion of  
scores**



**4. Identification  
of priorities  
for action and  
follow-up**

# Scoring TAP-I

**TEMPLATE WORKSHEET** GENERAL SCORING SHEET FOR AWIS WORKSHOPS

This is an AWIS scoring sheet with concrete definitions of what each indicator (Transparency, Accountability, Participation, and Inclusion) refers to in each of the risk areas and how to score them. Participants use the last column to write their scoring and annotations.

Policy and Legislation (PL)		
Indicator	Scoring Levels	Annotations
<b>Transparency Score</b>	1. Limited PL in place for the sector and it lacks clarity, or the information is not accessible to all. 2. PL partially developed but with critical gaps or important information that is not accessible. 3. PL well established (pro-poor and gender-sensitive) and information is accessible to all. Perhaps a few improvements are needed.	
<b>Accountability Score</b>	1. PL hardly or not at all applied, with few institutions fulfilling their role. 2. PL applied to a fair extent, but still with important limitations and (parts of the) institutions being weak. 3. PL applied to a large extent and institutions are fit for their role and have anti-corruption measures in place. At best, few improvements are needed.	
<b>Participation Score</b>	1. There is no complaint mechanism nor ways in which stakeholders can express their views. 2. Stakeholders (including women and marginalised groups) can express their views and submit complaints. 3. Stakeholders (including women and marginalised groups) are actively consulted (pro-poor and gender-sensitive), and/or represented in decision-making bodies. Only few improvements may be needed.	
<b>Inclusion Score</b>	1. PL does not include clear gender and social-inclusion objectives and commitments. 2. PL includes gender and social-inclusion objectives and commitments, but these have significant gaps or no effective mechanisms are in place to achieve them. 3. PL includes clear gender and social-inclusion objectives and commitments and effective mechanisms are in place to achieve them.	

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**SCORING SHEET**

Please write an "x" if you do not know how to answer.

Scoring levels for Policy and legislation		Scoring levels for Service Promise	
Indicator	Score	Indicator	Score
Transparency		Transparency	
Accountability		Accountability	
Participation		Participation	
Inclusion		Inclusion	

Scoring levels for Regulation		Scoring levels for Anti-corruption legislation and effectiveness	
Indicator	Score	Indicator	Score
Transparency		Transparency	
Accountability		Accountability	
Participation		Participation	
Inclusion		Inclusion	

Scoring levels for Budget and Expenditure	
Indicator	Score
Transparency	
Accountability	
Participation	
Inclusion	

- Scores provide insight into how TAP-I is perceived by the different stakeholders and serve as the basis for the qualitative annotation process
- 3 scenarios using a few indicators that relate to key aspects of the areas under review are used for scoring
- **Five** scoring levels: 1, 1.5, 2, 2.5 and 3
- Scoring is **anonymous**

# *Scoring guide*

## *Policy and Legislation Risk Area*

**T**

**1=** Limited policy and legislation in place for the sector and it lacks clarity

**2 =** Policy and legislation partly developed but with important gaps

**3 =** Policy and legislation well established, few improvements needed

**A**

**1 =** Policy and legislation hardly/not applied (few institutions fulfilling their role)

**2 =** Policy and legislation applied to a fair extent, but important limitations

**3 =** Policy and legislation largely applied

**P**

**1=** Stakeholders have little / no access to complaint mechanisms

**2 =** Stakeholders can express their views and submit complaints.

**3=** Stakeholders are actively consulted, and/or represented in decision-making bodies

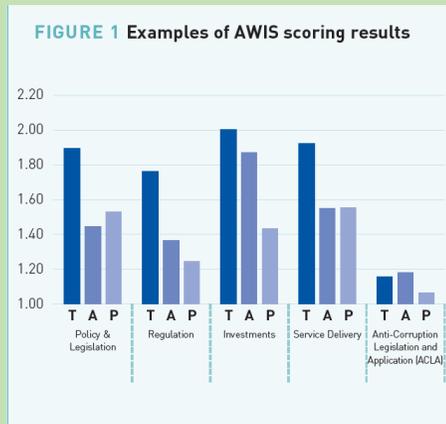
**I**

**1 =** Policy and legislation does not include clear gender and social inclusion objectives or commitments

**2 =** Policy and legislation includes gender and social inclusion objectives and commitments, but these have significant gaps or no effective mechanisms are in place to achieve them

**3 =** Policy and legislation includes clear gender and social inclusion objectives and commitments and effective mechanisms are in place to achieve them

# Annotations



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**FACTSHEET**

**EXAMPLE OF AWIS ANNOTATIONS**

**TAP for policy and legislation in integrated water resource management (IWRM)**

An Annotated Water Integrity Scan (AWIS) workshop was carried out at the national level in Kenya with the aim of assessing the integrated water resource management sub-sector. During the workshop, a key management area assessed was Policy and Legislation. The results of the annotation process are shown below.

On average, the group scored **transparency** in policy and legislation at 2.5. The score is therefore between level 2, in which policy and legislation is partly developed though with significant gaps, and level 3, where only a few improvements are needed and policy and legislation is basically well-established [pro-poor and gender-sensitive]. The following table provides the annotations collected by the group to explain and complement this scoring result.

Above score: this represents the **strengths**.  
Below score: this represents the **weaknesses**.

Annotations for average score on Transparency in Policy and Legislation	
Above (strengths)	Policy is sufficiently established to guide the developments for the coming 10 years and covers pro-poor aspects. Legislation is sufficiently clear and does not require much change in the next 10 years.
Below (weaknesses)	Policy is in place but is not very well established and does not provide response to the risk of climate change. Legislation is not fully developed and not sufficiently independent. Board members of the Water Resource Committee are selected and nominated by the president.

The average score of 2.2 for **accountability** in policy and legislation indicates that policy and legislation is applied to a fair extent but with significant limitations, and that [parts of the] institutions are weak. Some participants, however, felt that the situation was somewhat better than this, that policy and legislation is applied to a large extent, and that institutions are fit for their role and have anti-corruption measures in place. At best, few improvements are needed. The table below provides the annotations established by the group, which could serve as arguments for people to score accountability in policy and legislation higher or lower than 2.2.

- *Based on the idea that in a group you can avoid confrontational discussions and adopt dialogue if you all put on ‘the same hat’*
- *Together participants first establish arguments for the level above the actual score (strengths) and then for the level below the score (weaknesses)*

# Identifying priority areas for action & follow-up

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## SCORING SHEET

Please write an "x" if you do not know how to answer.

Scoring levels for Policy and legislation	
Indicator	Score
Transparency	
Accountability	
Participation	
Inclusion	

Scoring levels for Service Provision	
Indicator	Score
Transparency	
Accountability	
Participation	
Inclusion	

Scoring levels for Regulation	
Indicator	Score
Transparency	
Accountability	
Participation	
Inclusion	

Scoring levels for Anti-corruption legislation and application	
Indicator	Score
Transparency	
Accountability	
Participation	
Inclusion	

Scoring levels for Budget and Expenditure	
Indicator	Score
Transparency	
Accountability	
Participation	
Inclusion	

**TEMPLATE WORKSHEET**

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	2: PL partially developed but with critical gaps or important information that is not accessible.	
	3: PL well established (pro-poor and gender-sensitive) and information is accessible to all. Perhaps a few improvements are needed.	
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<b>Inclusion</b> Score	1: PL does not include clear gender and social-inclusion objectives and commitments.	Annotations:
	2: PL includes gender and social-inclusion objectives and commitments, but these have significant gaps or no effective mechanisms are in place to achieve them.	
	3: PL includes clear gender and social-inclusion objectives and commitments and effective mechanisms are in place to achieve them.	

# ***AWIS: Concluding Remarks***

- *Clean water needs clean governance. Corruption and poor integrity in the water and sanitation sectors ruin plans, endanger life, and threaten the entire sustainable development agenda.*
- *Improving integrity is a proactive and positive means to improve service delivery, sector management and coordination for sustainability.*
- *There are many ways water sector stakeholders can take action to increase transparency, accountability, and participation, and introduce anti-corruption measures to build integrity.*
- *To find the right path for action in different contexts, we need a better understanding of key risks and willing partners.*

# ***AWIS as Tool***

- ***The AWIS tool is a qualitative tool to perform a quick scan assessing the integrity situation in the water and sanitation sector at national or local level.***
- ***AWIS does not measure corruption directly, but rather focuses on:***
  - ***Identifying systemic weaknesses in the governance framework which leave the sector/ sub-sector vulnerable***
  - ***Identifying checks and balances which are in place to reduce risks and opportunities for corruption***
- ***AWIS has the advantage of being non-prescriptive and participatory, facilitating dialogue and discussion on the issues.***

## ***AWIS key to success***

- ***Positive approach looking at integrity and improvements (more open atmosphere than when focusing only on corruption)***
- ***Stimulating constructive dialogue***
- ***Not designed to accuse or critique but to build fuller picture of situation***
- ***Honest participation is essential to make the most of the workshop***

***Workshop evaluation***

***Thanks for your kind patience!***