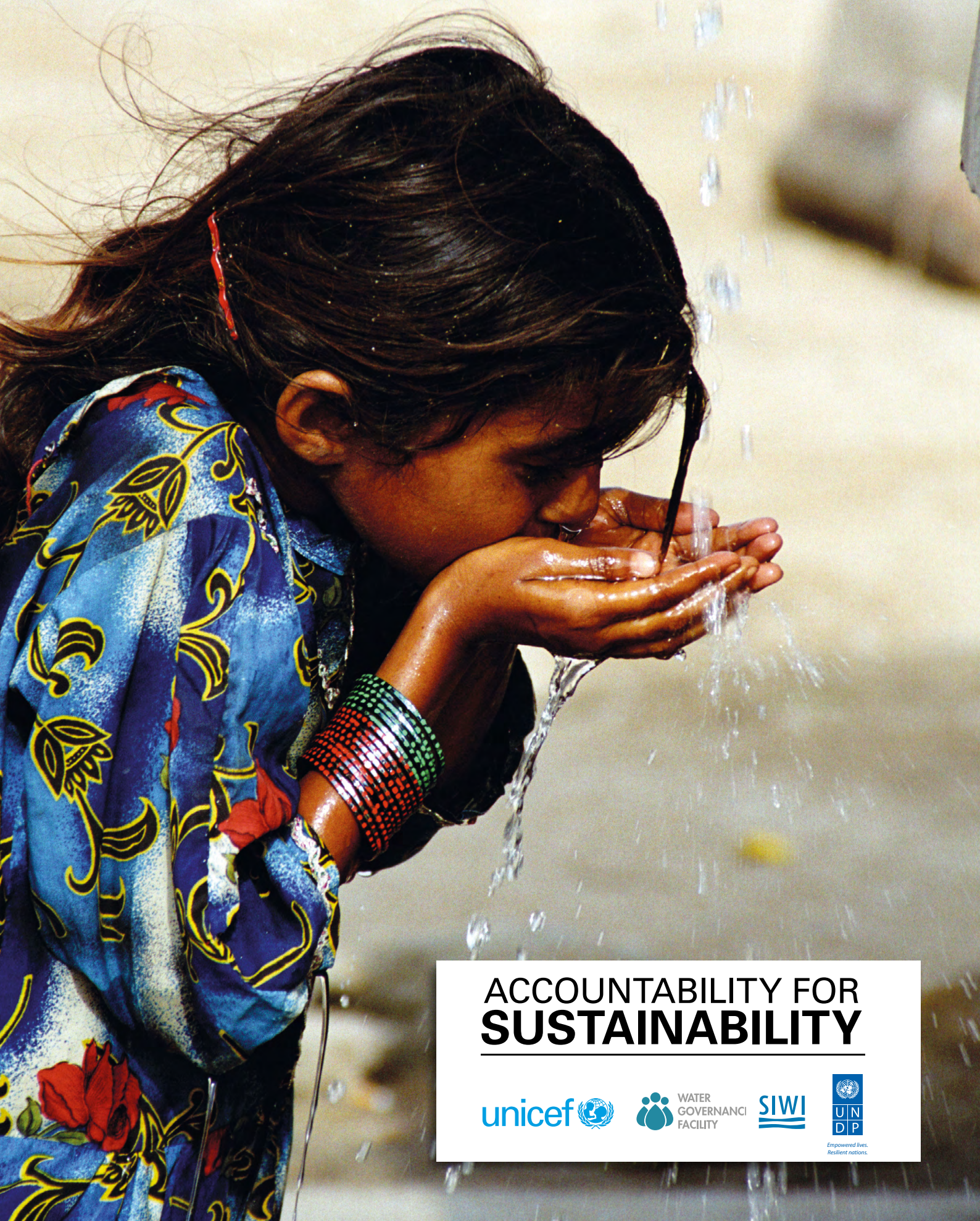


# ACCOUNTABILITY IN WASH

A REFERENCE GUIDE FOR PROGRAMMING



## ACCOUNTABILITY FOR SUSTAINABILITY



Empowered lives.  
Resilient nations.

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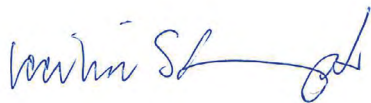
# FOREWORD

In spite of significant investments over the past decades in access to improved water supply and sanitation, long-lasting and reliable access to services remains a persistent challenge. It is well documented that WASH programmes too frequently fail to bring sustainable benefits to the people they seek to serve, with as much as 30-50% of WASH investments failing within two to five years. This lack of sustainability of water, sanitation and hygiene interventions has devastating consequences for individuals, economies and the environment, and poses a major obstacle to achieve universal access to services and maintain behaviours.

Recent studies also shows that technical aspects are often not the binding constraint, but rather it is the lack of good governance, transparency and accountability which compromises public-service delivery. Unless serious efforts are made to improve the governance of water and sanitation, problems of unequal, inappropriate, unaffordable, and poor quality services will continue.

In most countries, institutional arrangements for water service delivery are in place: policies, plans and institutions exist, but still; performance remains poor. In this context, accountability, seeking to instil responsibility and improving the quality of relationships between the different stakeholders in service delivery arrangements, is a key element to make these institutional arrangements function as intended. To address this, UNICEF and the UNDP Water Governance Facility at SIWI have partnered in a new programme - "Accountability for Sustainability" – which aims at increasing sustainability in WASH interventions through addressing accountability in the service delivery framework at national levels. This programme will provide resource materials and practical guidance for UNICEF and the wider WASH community, and collect experience and share knowledge of how accountability can be adequately reinforced within WASH programming.

We believe that enhancing accountability, and the related transparency and participation aspects in WASH programming, will systematically improve the sustainability of water and sanitation service delivery to those who need it the most and that this reference guide can be helpful in this endeavour.



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# ACRONYMS AND ABBREVIATIONS

BPD	Building Partnership for Development
CRC	Citizen Report Card
CSC	Community Scorecard
CSO	Civil Society Organisation
DFID	Department for International Development (United Kingdom)
ESA	External Support Agency
GWP	Global Water Partnership
IP	Integrity Pact
NGO	Non-Governmental Organisation
ODI	Overseas Development Institute
OECD	Organisation for Economic Co-operation and Development
PETS	Public Expenditure Tracking Survey
Sida	Swedish International Development Agency
SIWI	Stockholm International Water Institute
SNV	Netherlands Development Organisation
SWAp	Sector Wide Approach
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
WASH	Water, Sanitation and Hygiene
WGF	Water Governance Facility
WIN	Water Integrity Network
WPP	Water Partnership Programme
WSP	Water and Sanitation Programme
WSS	Water and Sanitation Services

# INTRODUCTION

Dear reader,

The aim of this document is to provide External Support Agencies (ESAs) with structured and concise information that can help programming support to accountability-related actions. ESAs very often play an instrumental role in starting some of these actions; however, too often this support has not been initiated after a systematic analysis on how the accountability relationships can be strengthened, how they fit the context, what are adequate roles of ESAs, and what can be learned from past experiences.

The Reference Guide for Programming contains guidance on existing mechanisms promoting accountability, illustrated by examples of how they are currently being operationalized in different contexts. The content of the Guide is the result of desk research. It is informed by a conceptual overview presented in the Concept Note, which unpacks the idea of WASH governance in relation to sustainability. The Concept Note was developed as background reading for UNICEF WASH personnel. It provides an overview of the key concepts used in the present Reference Guide, highlighting the particular importance of the quality of the relationships developing between stakeholders of the WSS delivery framework. It also identifies better accountability at the sectoral level as a high priority for improving the sustainability and effectiveness of WASH interventions.

To ensure a structured approach to accountability in the water sector, the guide is organized into three main levels of intervention and eight potential objectives. Under each objective, Action Sheets are presented to illustrate in a practical way the main aspects of these actions (see Table 1 at the end of this introduction). The three levels of intervention and related objectives are:

## RESPONSIBILITY

**Defining the roles and enabling cooperation in service delivery.** A precondition for accountability is that those in positions of authority (governments and service providers) have clearly defined duties and performance standards, enabling their behaviour to be assessed transparently and objectively. At the same time, users need to know their rights and obligations. Moreover, effective coordination mechanisms between different responsible parties need to be put in place.

Under this level three different objectives can be pursued:

- Objective 1: Enhance policy coherence.
- Objective 2: Clearly define responsibilities between stakeholders.
- Objective 3: Put coordination mechanisms in place.

## ANSWERABILITY

**Informing, consulting and including stakeholders in all stages of service delivery.** A second level of intervention requires that timely, and accurate information is made available about several aspects of service provision, such as the current status of services, the performance of service providers, the decisions about financial allocations, etc.. Moreover, not only must the information be available, but the spaces for interaction between users and service providers and government need to be created, where decisions can be explained, questioned and/or justified. Under this level we present three main objectives:

- Objective 4: Enhance the flow of information and use of consumer feedback.
- Objective 5: Improve consumers' access to information.
- Objective 6: Create spaces for stakeholder participation.

## **ENFORCEABILITY**

**Monitoring performance, supporting compliance and enforcement.** A third level of intervention is aimed at putting mechanisms in place that monitor the degree to which public officials, service providers and institutions comply with established standards, impose sanctions on officials and companies who do not comply, and ensure that appropriate corrective and remedial action is taken when required. Under this level we present two main objectives:

- Objective 7: Support the establishment or functioning of a regulatory function.
- Objective 8: Strengthen external and internal control mechanisms.

Under each objective, we have developed one or more Action Sheets that describe typical instruments or actions that contribute to the fulfilling of the objective. We have kept Action Sheets to a reasonable number (19), and brief in extent (2 pages). They should be practical and oriented to how ESAs can support greater accountability in the national setting. The Action Sheets also include “conditions for success” as learnt from previous exercises, and references for further reading.

We recognize that more Action Sheets could be added and/or that options for action could be grouped differently. However, we believe that the structure given makes it manageable for ESAs WASH officers. Finally, we are aware that any action, particularly when it comes to accountability, needs to be adapted to the context where it is going to be rolled out. Hence the contents of this guide need to be used as an inspiration and reference for programming and not as a fixed recipe.



**TABLE 1: ACTION SHEETS GROUPED BY OBJECTIVE AND LEVEL OF INTERVENTION**

Primary accountability objectives	Levels of Intervention	Objectives	Action Sheets
<b>RESPONSIBILITY</b>	<b>Defining the roles and enabling cooperation in service delivery</b>	Objective 1: Enhance policy coherence	1 A Definition/revision of sectoral policies
		Objective 2: Clearly define allocation of responsibilities between stakeholders	2 A Instruments to clarify roles and responsibilities of users and service providers 2 B Instruments to clarify the delegation from governments to service providers
		Objective 3: Put coordination mechanisms in place	3 A Supporting sector coordination and sector reviews
<b>ANSWERABILITY</b>	<b>Informing, consulting and including stakeholders</b>	Objective 4: Enhance the flow of information and use of consumer feedback	4 A Real time monitoring of water and sanitation services 4 B Citizen report cards 4 C Community scorecards
		Objective 5: Improve consumers' access to information	5 A Informal mechanisms for information dissemination 5 B Disclosure of information by State agencies and service providers
		Objective 6: Create spaces for stakeholder participation and influence	6 A Public expenditure tracking surveys 6 B Participatory budgeting 6 C Community based monitoring 6 D Spaces of dialogue and interaction on water and sanitation services
<b>ENFORCEABILITY</b>	<b>Monitoring performance, supporting enforcement and compliance</b>	Objective 7: Support the establishment or functioning of a regulatory function	7 A The regulatory body, a central policy and oversight body for water services 7 B Water Watch Groups
		Objective 8: Strengthen external and internal control mechanisms	8 A Civil society oversight tools 8 B Institutional mechanisms for oversight and checks and balances 8 C Utilities' complaint and grievance mechanisms 8 D Integrity Pact for Procurement

# STRUCTURE OF THE ACTION SHEETS

## ACTION SHEET

Action Sheet number

Level of intervention

RESPONSIBILITY

OBJECTIVE

Primary accountability objective

### NAME OF THE ACTION

**Description:** Summarizes the main characteristics of the action. Emphasis is put on link(s) between actors and institution which are addressed in priority.

state

users/  
communities

service  
providers

### TARGET GROUP

### EXTERNAL INPUT

### EXTERNAL INVOLVEMENT

**Target groups:** narrows down the key partners who are pivotal to each action. ESAs can choose to channel assistance and build the capacities of national or local governments, service providers, users, civil society organisations, the media or regulatory agencies.

**External involvement:** provides an indication of the minimum time to which ESAs need to commit in order to support activities leading to strengthened accountability processes. This does not refer to the full length of the action. Three ranges of timeframes are proposed: Short term (below 1 year), Medium (1 to 2 years) and Long (more than 2 years).

**Accountability triangle:** Summarizes the relationships within the water and sanitation service delivery framework that are likely to be strengthened by the action. For more information on WASH accountability relations, please refer to part 3 of the Concept Note.

**External input:** The cost range refers to the approximate cost to be borne per year by ESAs for supporting the action. It does not encompass the total expenses for pursuing the action in the long run. Three cost ranges are proposed: Low (below 100,000 USD), Medium (between 100,000 and 250,000 USD) and High (above 250,000 USD).

## DESCRIPTION

Describes the main characteristics of the action.

## EXPECTED OUTCOMES

Accountability actions included in the Reference Guide for Programming share the common long-term objective of creating sustainable improvements of water and sanitation services for all. Each action has expected intermediate outcomes more directly linked to the specificities of the tool. These intermediate outcomes belong to three major categories: influence on levels of transparency, on accountability links and on degree of participation of stakeholders in the service provision framework. Expected non-accountability efficiency gains are also listed.

## POTENTIAL ROLE FOR EXTERNAL SUPPORT AGENCIES

The presence and role played by ESAs can be decisive in shaping the scope and capacity for domestic accountability. This category sets out a range of methods and programming entry points for external support agency practitioners to best support accountability actors and processes at play for each accountability tool. We have structured the information in two main categories: support to the enabling environment and support to agents.

## PARTNERS AND INTERNAL CAPACITIES NEEDED

This category lists the important factors internal to the stakeholders that experience shows are decisive in shaping impact opportunities.

## CONDITIONS FOR SUCCESS

The likelihood of an accountability action having an effect on the intermediate outcomes depends on a number of factors. Conditions for success are normally part of the country context; sometimes these factors fall outside the direct sphere of influence of the partners and ESAs and need to be assessed before planning the action.

## EXAMPLE:

Illustrations on how the use of the actions has led to enhanced accountability are taken from documented case studies, showcasing examples which are replicable and practical.

## REFERENCES

The description of each tool provides sources used to compile the Action Sheet and includes references as a starting point for readers interested in exploring further.

# ACTION SHEET 1A

## RESPONSIBILITY

Defining the roles and enabling cooperation in water delivery

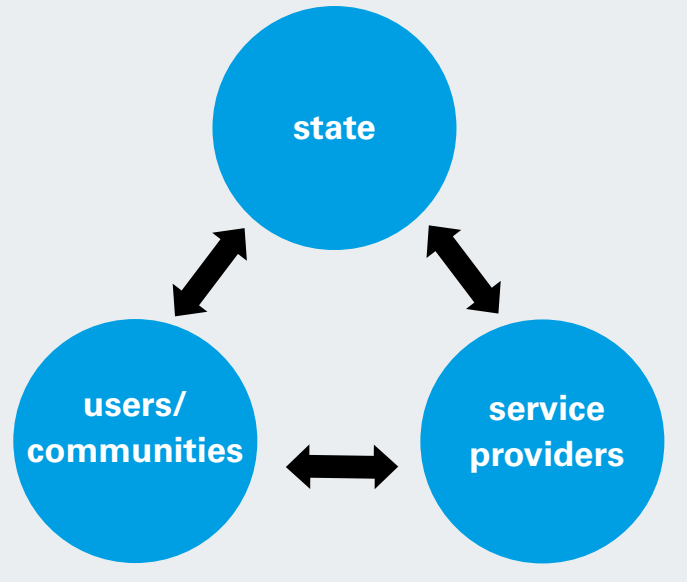
## OBJECTIVE 1:

Enhance policy coherence

### DEFINITION/REVISION OF SECTORIAL POLICIES

A clear allocation of responsibilities is one of the key conditions for accountability relationships to function: each actor involved needs to know what their obligations are and those of the others. A coherent definition of policies and related documents (decrees, guidelines, etc.) is a first step in this direction.

TARGET GROUP	Government
EXTERNAL INPUT	Medium (100,000 - 250,000 USD)
EXTERNAL INVOLVEMENT	Long (beyond 2 years)



## DESCRIPTION

Policies are general documents that describe how a specific sector is being organized. They can be read as “statements of intent” or guidelines for how roles and responsibilities within the sector are allocated. Policy differs from law (in its different forms: Acts, Decrees, etc..). While law can compel or prohibit behaviours and its infringement can be subject to sanctions, policy merely guides actions for the stakeholders involved. Policies are normally followed by a number of acts and related decrees that formalize the guiding principles included in the policy.

In many cases, policies are lacking, outdated, incomplete or contradict other national policies. Hence, support for policy update is a first step in the clarification of responsibilities,

which is a condition for accountability.

There are many approaches to policy making. One of the most widely supported is the **Evidence-based** policy making, which refers to a policy process that helps planners make better-informed decisions by putting the best available evidence at the centre of the policy process; this contrasts with what has been called as “opinion based” policy making, where not enough information was available and thus discretionary decisions were more likely to happen. However, it is important to bear in mind that policymaking is neither objective nor neutral, with a variety of interests into play.

## EXPECTED OUTCOMES

TRANSPARENCY	PARTICIPATION	EFFICIENCY
Increased evidence on the current state of policy implementation and/or the sector, which informs policy debate. Through policy debate, it becomes clearer what are the obligations and rights of all stakeholders in the service delivery process.	As a participatory process, policy making is a way of forging dialogue and improving the relationships between different stakeholders.	Clear guidance (and eventually coordination) for sector work can overcome duplication and ensure coherence and synergies between actors.

## POTENTIAL ROLE FOR EXTERNAL SUPPORT AGENCIES

### SUPPORT TO ENABLING ENVIRONMENT

- Sharing international best practice and lessons learnt from other countries that can inspire the policy progress.
- Ensuring that a real debate takes place around policy making, by facilitating (technically and financially) activities such as background studies (collection of evidence), consultations among stakeholders, workshops, etc...
- Supporting dissemination of the policy and capacity building about it.

### SUPPORT TO AGENTS

## PARTNERS AND INTERNAL CAPACITIES NEEDED

- Specialised partners/consultants can be needed to make first draft of policy documents, and present experiences and best practices from other countries.
- Recognised partners at national level, perceived as impartial (with no particular vested interests in the process) might be required to facilitate dialogue among stakeholders, particularly in countries with a highly politicized debate around water.

## CONDITIONS FOR SUCCESS

- Policies must take into consideration the reality of the country: sometimes policies draw a picture that is too far from actual practice and possibilities of the country; any policy must be based on actual practices, and look for improvements that are achievable. When important changes of responsibilities are foreseen (ex: decentralization), a description of the transitional period should be part of the policy.
- Ensure government commitment to the policy and a real dialogue among stakeholders; otherwise policies might be formally approved, but no steps for implementation are taken afterwards.
- Policies must be accompanied by more practical/formal documents that provide further clarification and guidance: decrees, acts, laws, are needed to formalize the guidelines expressed in general policies.
- Policies need to be adequately disseminated to all stakeholders; it is often the case that policies take years to be known at local levels of government, or by end users. In the meantime, no improved accountability can take place.
- Policy making need to be followed by adequate financial allocations and capacity building; the responsibilities need to be coupled with enough capacity and resources to fulfil them. Too often policies in the water sector discharge responsibilities from the central level, but this is not followed by a proportional share of funds.

## EXAMPLE: FORMULATING A NATIONAL STRATEGY FOR EMERGING TOWNS IN LAO PDR

Although Lao PDR is essentially a rural country, the small towns are playing an increasingly important role in the country's economy as centres of marketing and agricultural processing in their largely rural districts, as economic links between rural, national and international markets, and as places offering non-farm employment to the rural poor. In 2007, it was estimated that piped water supply coverage in the small towns was only 21% compared to combined coverage of 70% in the five largest towns. UNDP GoAL WASH project in Lao PDR in collaboration with MEKWATSAN project of UNHABITAT wanted to address

this gap with the elaboration of a strategy for water supply and sanitation in small towns. This was developed through i) extensive background research on the legislative Lao framework, and potential options for addressing the gaps, ii) thorough stakeholder consultation, iii) dialogue with the government, iv) dissemination to relevant stakeholders. The policy development took almost two years; the strategy was approved by the Ministry of Public Works and Transport on 8 August 2013. Source: GoAL WASH final programme report, 2008-2013, Water Governance Facility, 2014.

## REFERENCES

- International Conference on Public Policy  
The role of monitoring and evaluation in evidence based policy making, UNICEF
- A Toolkit for Progressive Policymakers in Developing Countries, ODI, 2010

# ACTION SHEET 2A

## RESPONSIBILITY

Defining the roles and enabling cooperation in service delivery

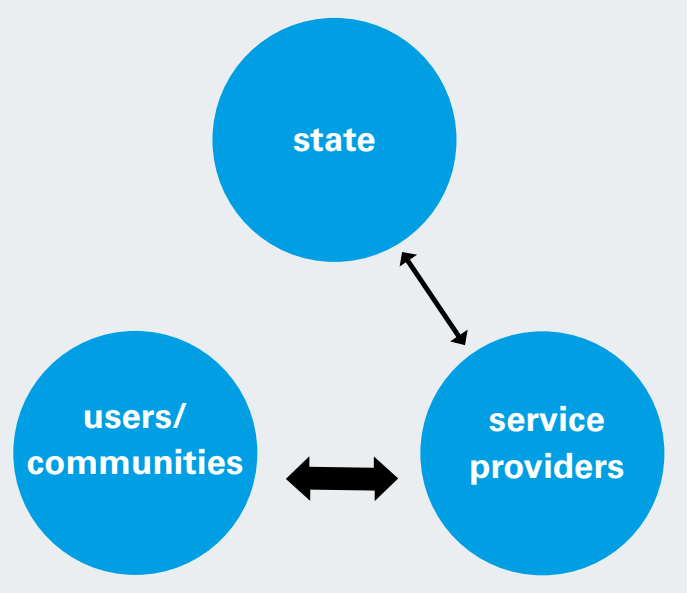
## OBJECTIVE 2:

Clearly define responsibilities between stakeholders

### INSTRUMENTS TO CLARIFY ROLES AND RESPONSIBILITIES OF USERS AND SERVICE PROVIDERS

Steps taken to clarify obligations and responsibilities of users and providers help strengthen both the demand for accountability - by building users' understanding and awareness about their rights and obligations, and defining options for grievance redress - and the supply side of accountability - by defining performance indicators and service delivery standards, and promoting a more customer-focused delivery.

<b>TARGET GROUP</b>	- Regulator - Service providers
<b>EXTERNAL INPUT</b>	Low (below 100 000 USD)
<b>EXTERNAL INVOLVEMENT</b>	Short to Medium (1 to 2 years)



## DESCRIPTION

One of the main reasons for the weak power of users to hold service providers to account is the ambiguity of relationships between stakeholders. This challenge can be successfully addressed by putting in place instruments that provide users with a clear picture of the standards of service delivery they should expect, the actual performance of their providers and mechanisms for grievance redress.

**A Citizen charter** is a written, voluntary declaration by a service provider making a public commitment to adhere to measurable service delivery standards. The mechanism involves setting and measuring service standards of water and sanitation services, feeding forward the information to

the citizens, and offering remedies when service guarantees are not met.

The development of **standardised contracts** between the providers of water and sewerage services and their customers helps to clarify and educate both parties on their rights and obligations, protect consumer rights and encourage more responsible behaviour with respect to the environment. The process for the preparation of the model can involve cooperation and consultation with all the concerned stakeholders. The contract typically contains information such as terms of service, fees and payments, metering, service interruptions and complaints handling.

## EXPECTED OUTCOMES

TRANSPARENCY	ACCOUNTABILITY LINKS	EFFICIENCY
Consumers better informed about their entitlements and about routine service provision; agreement between water users, government and service providers on service standards and entitlements.	Creation of a more professional and client-responsive environment for service delivery; decreased opportunities for corrupt practices; stakeholders are provided with benchmark to objectively monitor WSS delivery performance.	Increased revenues for utilities achieved with consumers' higher willingness to pay and less funding misappropriated.

## 2 A INSTRUMENTS TO CLARIFY ROLES AND RESPONSIBILITIES OF USERS AND SERVICE PROVIDERS POTENTIAL ROLE FOR EXTERNAL SUPPORT AGENCIES

### SUPPORT TO ENABLING ENVIRONMENT

Make sure there is an effective communication to inform about the action, and make sure that clear and simple language is used in the charter or contract.

### SUPPORT TO AGENTS

Efforts to secure the engagement of stakeholders at all stages of the process.

## PARTNERS AND INTERNAL CAPACITIES NEEDED

- CSOs' community connections and professional skills to participate in the development of the tools, and advocacy skills for holding service providers accountable.
- Service providers' willingness and staff capacity to reform.
- Recognition by service providers of the capacity of civil society to represent the voice of users, and recognition of providers' need for this expertise.
- Engagement of stakeholders at all stages of preparation and implementation of the action.

## CONDITIONS FOR SUCCESS

Self-regulation tools and standardised contracts should effectively:

- Reflect citizens' priorities.
- Be well communicated to both users and providers' staff.
- Have the support of senior management and staff.
- Include a well-functioning complaint redress mechanism and formal sanctions if the standards agreed upon are not met.
- Include realistic and measurable performance standards reflecting the capabilities of the service provider and constraints in the sector.

## EXAMPLE: ESTABLISHMENT OF MODEL CONTRACT BETWEEN SERVICE PROVIDERS AND CONSUMERS IN ALBANIA

Water contracts in Albania were integrated into neither the provisions of the country's consumer protection law nor those of the recently adopted water supply and sewerage code. In an effort to address these challenges, UNDP brought together stakeholders to develop a "model" contract between the providers of water and sewerage services and their customers. The standard contract that was developed by stakeholders covers all standard elements such as terms of service, fees and payments, metering, service interruptions and complaints handling in a way which is fully compliant with all applicable legislation. As a result of

the intervention, by the end of 2011, over 35,000 contracts based on the model had been signed (around 16% of all customers). The plan was that all customers should have formal agreements based on the model contract in three years' time.

Sources: [Mutual Rights and Shared Responsibilities in Water Service Management: Enhancing the User-Provider Relation](#). WGF Report No. 2, Water Governance Facility, SIWI, 2013 and Albanian Regulatory Authority performance monitoring.

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[Citizens Charter, Social Accountability e-guide, World Bank](#)

[Citizen's Charters—A Handbook, Ministry of Personnel, Grievances and Pensions, Government of India, Public Affairs Centre.](#)

[How to Note: Citizen Charters: Enhancing Service Delivery through Accountability, World Bank 2011](#)

[Mutual Rights and Shared Responsibilities in Water Service Management: Enhancing the User-Provider Relation. WGF Report No. 2, Water Governance Facility, 2013, SIWI, Stockholm.](#)

# ACTION SHEET 2B

## RESPONSIBILITY

Defining the roles and enabling cooperation in service delivery

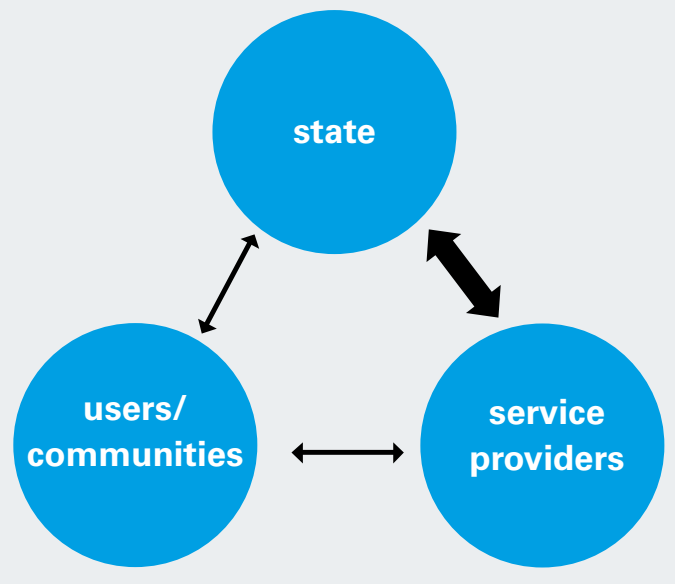
## OBJECTIVE 2:

Clearly define responsibilities between stakeholders

### INSTRUMENTS TO CLARIFY THE DELEGATION FROM GOVERNMENT TO SERVICE PROVIDERS

A clarification of the roles, responsibilities and regulatory mechanisms in the contractual relations for the provision of WSS enables local governments to hold service providers to account. Quality standards and performance indicators allow the government-client to measure, monitor and evaluate the performance of the provider-contractors in an objective and transparent way. Clear rules also ensure the government is doing its part to deliver services to citizens.

<b>TARGET GROUP</b>	- Regulator - Service providers
<b>EXTERNAL INPUT</b>	Low (below 100 000 USD)
<b>EXTERNAL INVOLVEMENT</b>	Short to Medium (1 to 2 years)



## DESCRIPTION

Support in standard-setting measures and in the preparation of contractual agreements are two types of accountability initiatives which help government and service providers identify, agree upon, document and commit to a framework of relationships and duties.

**Government standard-setting:** States should adopt and implement effective regulatory frameworks for all service providers. Standards help establish clear targets and procedures which guide the management of the utility, its service delivery objectives, and quality standards. Standard-setting for water service delivery includes the setting of tariff rules and the approval of tariff increases; setting norms for quality of service and environmental protection.

**Performance-Based Contracts (PBCs)** are negotiated legal agreements between governments and publicly or privately operated water utilities that deliver public water supply and sanitation services. PBCs focus on results, thus encouraging operators to be innovative and to find cost-effective ways of delivering services. Along with increased autonomy comes greater accountability for delivering the service outcomes, since performance is measured against some predetermined targets. Good performance is rewarded while poor performance is sanctioned. Performance-based contracts can be utilized not only to hold utility managers accountable for improving performance, but also to ensure that governments as owners do their part.

## EXPECTED OUTCOMES

TRANSPARENCY	ACCOUNTABILITY LINKS	EFFICIENCY
Service providers and consumers better informed of roles and responsibilities in water provision; providers' performance information is made accessible.	Clear standards confer rights to users (such as universal coverage, environmental standards, protection against monopoly abuse); the tool defines targets against which performance can be monitored.	Operational efficiency; improved billing and revenue collection.



## 2 B INSTRUMENTS TO CLARIFY THE DELEGATION FROM GOVERNMENT TO SERVICE PROVIDERS

### POTENTIAL ROLE FOR EXTERNAL SUPPORT AGENCIES

#### SUPPORT TO ENABLING ENVIRONMENT

ESAs can play a role in contributing to balance of power when it can be distorted in any one direction.

#### SUPPORT TO AGENTS

Working with governments through training packages, self-assessment tools, and support for planning processes can enable staff to better exercise their oversight function. When dealing with small/medium service providers, training and technical support at initial stages might also be required.

### PARTNERS AND INTERNAL CAPACITIES NEEDED

- National or local government should have the capacity to monitor implementation (or to outsource monitoring).
- The operator must possess the capacity to achieve the performance targets.
- Capacity-building may be required for civil society organisations to participate in monitoring when they lack experience of working together with government or private-sector entities.
- Local governments/municipalities must have the human and financial capacities to embark on PBCs, which can be rather complex, particularly where international operators are involved.

### CONDITIONS FOR SUCCESS

- Strong leadership and willingness of all stakeholders to co-operate in the clarification of roles.
- A conducive institutional and legal framework supporting agreements and effective standard-setting.
- An effective monitoring process of outcomes and deliverables.
- The standards and content of contracts should be concise and focused on SMART targets.
- Utilities and service providers must be incentivised to meet performance standards through rewards and bonuses that encourage good performance.
- Clear and accessible arbitration procedures have to be in place.

### EXAMPLE: THE USE OF PERFORMANCE CONTRACTS FOR INCREASING EFFICIENCY OF URBAN WATER SERVICES IN BURKINA FASO

Reforms in the water sector in Burkina Faso have mostly focused on improving the performance of the national water utility, ONEA, through internal reforms. Three-year performance contracts (Contrats plans) have been signed with the Government of Burkina Faso since 1993. The performance contracts set the targets for technical, financial, and commercial performance which ONEA is expected to deliver upon. The performance agreement specifies 34 indicators that are monitored regularly by an external technical auditor and a follow-up committee. The committee includes representatives from the government

as well as from ONEA and consumers. It meets thrice a year and submits a report to the Board of Directors on the performance of ONEA against the performance indicators. Up until now, the performance criteria of the contracts have largely been met. The utility has seen marked improvement in water supply coverage, water losses, collection efficiencies, metering, and cost recovery through all these initiatives.

Source: [Enhancing Water Services through Performance Agreements WSP, 2009.](#)

### REFERENCES

[Guidelines for performance-based contracts between water utilities and municipalities – lessons learnt from Eastern Europe, Caucasus and Central Asia – OECD, 2011](#)

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[Performance Improvement Planning – Enhancing Water Services through Performance Agreements WSP, 2009](#)

# ACTION SHEET 3A

## RESPONSIBILITY

Defining the roles and enabling cooperation in service delivery

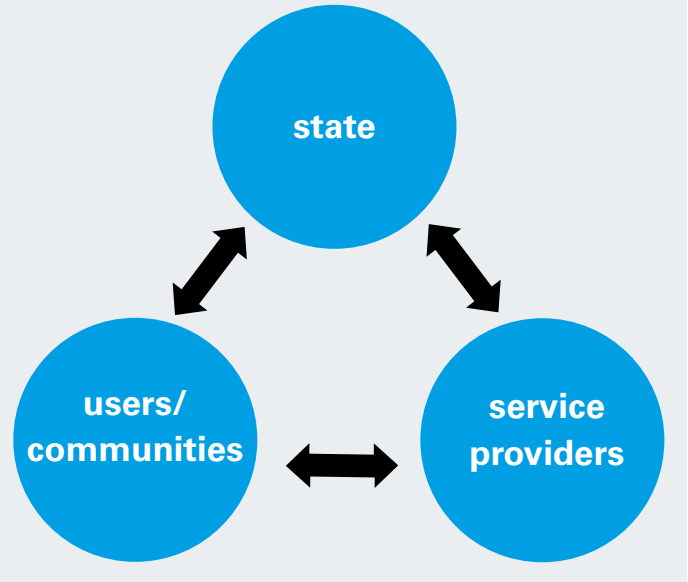
## OBJECTIVE 3:

Put coordination mechanisms in place

### SUPPORTING SECTOR COORDINATION AND SECTOR REVIEWS

Coordination mechanisms for the sector establish the basis for improved stakeholder collaboration and set the ground for a shared vision of the situation of the sector, roles and responsibilities, and challenges ahead. To be effective, these processes need to be inclusive, regular and anchored with national ownership.

<b>TARGET GROUP</b>	- Government - Regulator
<b>EXTERNAL INPUT</b>	Medium (100 000-250 000 USD)
<b>EXTERNAL INVOLVEMENT</b>	Long ( More than 2 years)



## DESCRIPTION

A **sector-wide approach** (SWAp) can be defined as “a pragmatic approach to planning and management in the sector, which: 1) identifies interrelated sector constraints and opportunities; 2) addresses sector constraints and opportunities which require coordinated action across actors and sub-sectors; and 3) strengthens linkages between the sector policy, budget, activities and results”

SWAps have been implemented in many sectors since the late 1990s, especially in health and education. Poverty reduction strategies became an overarching framework for donor support and SWAps were often seen as a mechanism to implement them.

SWAps implementation has been different across countries, but common features include a) the development of national policies and plans for the sector (if needed), b) development of a single sector budget linked to the plans, c) Establishment of multi-stakeholder regular coordination (including government, main donors, main implementing agencies, some CSO, etc.), sometimes organised in working groups by topic; and d) an annual Sector Review Workshop where a more comprehensive review of progress is presented (through a Sector review report), and challenges and commitments for next period/year discussed.

## EXPECTED OUTCOMES

TRANSPARENCY	ACCOUNTABILITY LINKS	PARTICIPATION	EFFICIENCY
The presentation and discussion of sector performance issues at joint sector reviews have improved in general sector reporting. The process of sector review and the production of sector budgets have encouraged greater external scrutiny.	A clearer overview of institutional roles and responsibilities, and better coordination across different stakeholders, is at the heart of this process.	SWAps involve a greater involvement of civil society and private sector in sector discussions.	A closer linkage between planning and finance is expected, together with better donor coordination, leading to a clearer shared understanding of the sector as a whole.

## POTENTIAL ROLE FOR EXTERNAL SUPPORT AGENCIES

## SUPPORT TO ENABLING ENVIRONMENT

Support the processes that lead from the evidence shown in sector reports to specific decisions/modifications of the Sector Plans; ESAs should show long term commitment to the process as such to avoid losing momentum in difficult times, but try to build national ownership to it; support to periodical review meetings.

## SUPPORT TO AGENTS

Provide capacity development at governmental level: provide technical support at the initial stages, especially for the preparation of the first sector reports; support in-depth studies or relevant aspects to the sector, e.g. financial viability, sustainability of water services, etc. support plurality through the inclusion and meaningful participation of CSO and private sector.

## PARTNERS AND INTERNAL CAPACITIES NEEDED

- Specialized partners/consultants can be needed to make sector reports at the initial stages.
- Qualified human resources to participate in the strategic discussions of the sector working groups.

## CONDITIONS FOR SUCCESS

- Willingness of ESAs to coordinate and pool resources (rather than to divide & rule).
- Balance long-term and short-term objectives so that stakeholders see the impact of the coordination efforts.
- Ensure that links with other ministries can happen when the challenges ahead are beyond the sector ministry (E.g. decentralisation).
- Showcase the benefits of cooperation, especially within the government, since lack of incentives for cooperation is hindering the effectiveness of SWAp.
- Develop a performance management framework that can be measured every year to allow for evaluation of progress over several years.
- In the case of water, where many ministries are normally involved, the definition of water should not be over-ambitious, to keep the SWAp manageable.

## EXAMPLE: THE JOINT SECTOR REVIEW IN UGANDA

Joint Sector Reviews (JSRs) have been held since 2000 in Uganda. Significant advances in the development of a sector investment plan occurred in 2003. At the same time, a performance monitoring system was launched and became operational in 2004. Until now, the sector-wide approach has expanded to include urban water supply and sanitation, water for production and water resources management. From 2007, all donors joined a single sector programme support vehicle that provided sector budget support as well as capacity building through a basket fund known as the Joint Partnership Fund. Hence JSRs,

supported by working groups and a comprehensive sector performance report, have helped link decision-making to a balanced set of indicators including access; functionality; equity; and value for money. However, more emphasis should be placed on implementation monitoring, a point that is recognised and is being addressed by the government.

Source: [Study of SWAP in the Water Sector. Tools and Methods Series, Reference Document 16, 2011 Europe Aid.](#)

## REFERENCES

- [Rethinking Health Sector Wide Approaches through the lens of Aid Effectiveness, McNee, A, 2012](#)
- [Sector-wide approaches \(SWAps\) in health: what have we learned? Health Policy and Planning 2012; 1–7, Peters, D.H., Paina, L. & Schleimann, F, 2012](#)
- [Financing of the water, sanitation and hygiene sector in Uganda, WaterAid and Development Finance International, 2012](#)

# ACTION SHEET 4A

## ANSWERABILITY

Informing, consulting and including stakeholders

## OBJECTIVE 4:

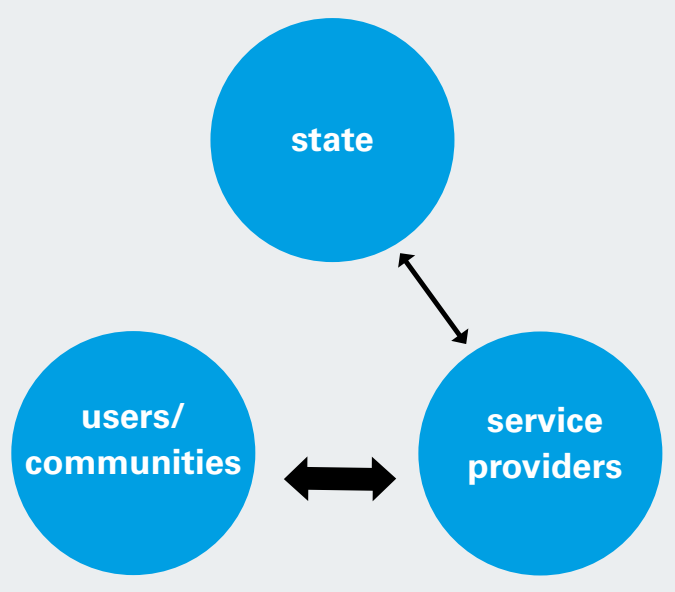
Enhance the flow of information and use of consumer feedback

### REAL TIME MONITORING OF WATER AND SANITATION SERVICES

The primary accountability benefits for using real time monitoring are to strengthen users' voice in water supply and sanitation accountability systems and to increase transparency. Real time monitoring requires the participation of end users in the collection of data.

User generated information can be used as medium for monitoring, education, advocacy, and awareness on social and political matters involving water supply and sanitation development.

<b>TARGET GROUP</b>	- Government - Regulator - Service providers
<b>EXTERNAL INPUT</b>	High (+ 250 000 USD)
<b>EXTERNAL INVOLVEMENT</b>	Long (over 2 years)



## DESCRIPTION

**Mobile applications** can be used in information campaigns on water issues, for mobile payment and information sharing on sector funds, for two-way communication between citizens and water service providers, to facilitate data collection and monitor the status of water sources and consumer feedback through online platforms.

The most popular crowd-sourcing tool used in the WSS sector is real time **Water or Sanitation services mapping**. Using software and web hosting, water users can report

daily on issues such as service hours, illegal connections, water tariff, water leaks and water quality. The results are linked to a database and then published. The visualisation tool enables national authorities and/or donors to follow their infrastructure investments, allows transparent tariff settings that reward good performance and highlight inefficiencies. The method also provides for a potential two-way communication that utilities may not have had before, and has a great potential to help local government support and oversight community-based services.

## EXPECTED OUTCOMES

TRANSPARENCY	ACCOUNTABILITY LINKS	PARTICIPATION	EFFICIENCY
A new picture of the service level is provided; improved information for service delivery decisions and clear inputs into decision-making processes.	Real time user feedback reduces space for corrupt practices; users gain a fuller understanding of their entitlements, of their current service situation and the range of possibilities for policy and service delivery.	Local users groups gain knowledge and data that can be used to demand improved services.	Improvement of government and service providers' information systems, increased equity in service delivery, increased users' willingness to pay for services, increased efficiency of resources.

## POTENTIAL ROLE FOR EXTERNAL SUPPORT AGENCIES

### SUPPORT TO ENABLING ENVIRONMENT

Secure organisational support that focuses on linkages between actors and how these can be strengthened and sustained; support so that the information generated can be an input to planning and decision-making processes at local government level, and support capacity development if required; long-term funding commitments are essential.

### SUPPORT TO AGENTS

Actions to strengthen the capacity of WSS providers and governments to respond to and act upon user-generated data (training, tailored advice from consultants or external experts, etc.).

## PARTNERS AND INTERNAL CAPACITIES NEEDED

- Water service providers need to have the capacity, willingness and the mandate to respond to and act upon the information generated.
- Users need to have access to mobile phone network coverage even outside country capitals, and the costs of mobile data transfer should be reasonable.
- Government buy-in: Linking the mapping exercise to existing policy and planning processes demonstrating the potential increase in efficiency can help to gain this support.
- Willingness and capacity of key stakeholders (operators, civil society organisations, government institutions etc.) to work in partnership – stakeholders need to have the institutional capacity (including human resources), the commitment, access to funding, and clear responsibilities to sustain the tool over time.

## CONDITIONS FOR SUCCESS

- Real time monitoring initiatives need to be institutionalised in and aligned with government structures - and not compete with or undermine them.
- Feedback from users needs to be clearly recorded and acted upon; otherwise users' fatigue will make the system cease to function very soon.
- Communication strategy to inform about the initiative; and show the responses and impact of people's participation.
- Measures to encourage participation of women must be taken, taking into account their reduced access to mobile technology.
- Issues around privacy and security must be addressed.
- To sustain citizen mobilisation in the long run, interaction is vital as well as visible impacts.

## EXAMPLE: MOBILE FOR WATER (M4W) IN UGANDA

M4W aims to improve functionality of rural water points using mobile phone technology. The project has two main components; 1) baseline data collection and, 2) problem reporting. Baseline data is collected on the location, current status, repairs, and service history of water points. The information created by the system is later used by the District Water Officer to update the district and central database. The system also allows water users to report problems with their water points by sending an SMS to a short code. The SMS is sent to the district and to the Ministry of Water and Environment after which a notification is sent to the Hand Pump Mechanic (HPM) responsible for the specific water point. After the notification, the HPM has 48hr to do an assessment of the problem using a form in the phone. When

the water point is repaired, a final form is sent to the district and ministry and a verification form in paper format is filled out and signed off by the water user committee.

Source: ['You Can't Cheat the Community Anymore' – Using Mobiles to Improve Water Governance](#). Hellström, J., Jacobson, M. In Niang, I., Scharff, C., (eds.) [Proceedings of 4th International Conference on M4D Mobile Communication for Development, 2014](#).

## REFERENCES

- [Mobile phones and water point mapping. Rural water supplies collaborative: quick read, issue no. 1; Kleemeier, Elizabeth; Kazadi, Joy - Washington, DC: World Bank, 2011](#)
- [Water Point Mapping in Liberia using FLOW Technology, WSP Project Summary](#)
- [Water Point Mapping – the experience of SNV in Tanzania, 2010](#)
- [WASH: Mobile Phone Applications for the Water, Sanitation, and Hygiene Sector, Misha Hutchings, Anurupa Dev, Meena Palaniappan, Dr. Veena Srinivasan, Nithya Ramanathan, John Taylor, Pacific Institute, 2012](#)

# ACTION SHEET 4B

## ANSWERABILITY

Informing, consulting and including stakeholders

## OBJECTIVE 4:

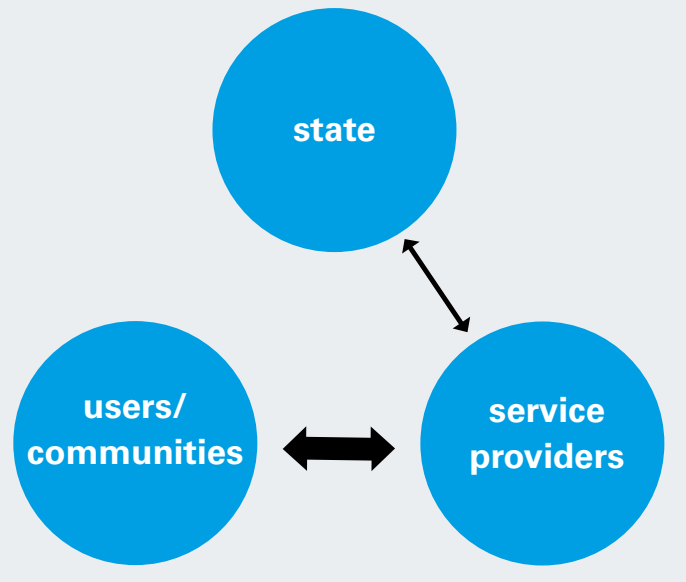
Enhance the flow of information and use of consumer feedback

### CITIZEN REPORT CARDS

Citizen Report Card (CRC) is a feedback mechanism which measures citizens' access to and satisfaction with services.

By systematically gathering, analysing and disseminating user feedback, the CRC provides the information needed for communities, civil society organisation or local governments to hold service providers to account. It also generates information needed by service providers to improve the delivery of water and sanitation services.

<b>TARGET GROUP</b>	- Service providers - CSOs/NGOs - Regulator
<b>EXTERNAL INPUT</b>	Medium (100 000 - 250 000 USD)
<b>EXTERNAL INVOLVEMENT</b>	Short (below 1 year)



## DESCRIPTION

**Citizen Report Cards (CRC)** is a survey tool which enables individual users to rate water service providers on their performance in an attempt to push them to improve.

The knowledge generated provides decision-makers with better information on citizen's needs and priorities and key service-delivery bottlenecks. Implemented regularly, CRC can be used as a benchmarking tool.

Citizen Report Cards is also an instrument for demanding public accountability through media coverage and civil society advocacy. The process informs citizens on norms and standards for service delivery. CRCs can be carried out by civil society organisations or independent regulatory bodies.

## EXPECTED OUTCOMES

TRANSPARENCY	ACCOUNTABILITY LINKS	PARTICIPATION
A new picture of the service level is provided based on consumers' feedback; low performance areas and incidents of corruption are identified.	Needs and concerns of current and potential users are brought to the attention of policy makers and service providers; legitimacy of civil society and users to participate in policy discussion is increased; users gain a better understanding of their entitlements; WSS issues are put on the political agenda; service providers gain information on consumers' expectations; the process contributes to multi stakeholder exchanges which can build trust over time.	The process and dissemination of results can facilitate linkages among actors and encourage engagement in WSS issues.

## POTENTIAL ROLE FOR EXTERNAL SUPPORT AGENCIES

### SUPPORT TO ENABLING ENVIRONMENT

Sustained follow-up and pressure may be required to translate CRC findings into actual reforms. Long-term support from donors can also encourage steps to institutionalise CRCs as a source of regular feedback on the performance of service providers.

### SUPPORT TO AGENTS

Building capacities of partners in survey methodology, including statistical analysis. ESAs can help facilitate the engagement of public institutions and providers by involving key actors in training events and preparatory sessions. Support dialogue for discussion of findings and way forward.

## PARTNERS AND INTERNAL CAPACITIES NEEDED

- Universities / research groups / skilled human resources and a dedicated organisation to sustain the process.
- Openness of service providers to receive feedback.
- CSOs or user associations must be seen as credible and representative by all involved. In particular, they need to be able to retain a non-partisan position in their communication with service providers and in facilitating user engagement.
- Presence of an active and independent media and civil

society that is willing and able to use information to press for accountability and reforms.

- Reform-minded top public officials who are willing and able to use the information to implement changes in service provision.
- Team up to combine with other public services monitoring.

## CONDITIONS FOR SUCCESS

- Technical expertise in the design, implementation and analysis of the Citizen Report Card.
- Strong local ownership.
- Constructive dialogue - It is crucial that meetings between users and service providers remain constructive and focussed on the problem at hand.
- Political receptivity - Country contexts which are open to civil society/citizen advocacy and external pressure to

engender public service improvements.

- Combine scorecard strategies with strategies like the creation of an independent anti-corruption agency or ombudsman.
- Citizen report cards are more likely to succeed in contexts where there is perceived competition among service providers.

## EXAMPLE: CITIZEN'S REPORT CARD ON URBAN WATER AND SANITATION SERVICES IN KENYA

Citizens in three towns of Kenya (Nairobi, Mombasa and Kisumu) were assisted to directly access information on the quality of urban water and sanitation service delivery in their communities. This enabled quality dialogue between grassroots communities and service providers, strengthened civic engagement in the sector and led to new commitment by policy makers to institutionalise third party oversight and feedback. The lessons learnt from

the initiative suggest that building citizen awareness and investing in channels for participation between citizens and providers can enhance service transparency and lead to increased ownership of development processes.

Source: [Promoting voice and accountability in urban water and sanitation services – lessons on introducing demand-side accountability tools in Kenya, World Bank, 2011.](#)

## REFERENCES

[Citizen Report Card Manual , UNICEF Vietnam](#)  
[E-Learning Toolkit on the Citizen Report Card \(CRC\) methodology, online tool-kit for self-learning on CRC methodology, Asian Development Bank \(ADB\), Manila](#)  
[Citizen Report Card, UNDP Governance Assessment Portal, Fact sheet Citizen Report Card , Social Accountability e-guide, the World Bank](#)

# ACTION SHEET 4C

## ANSWERABILITY

Informing, consulting and including stakeholders

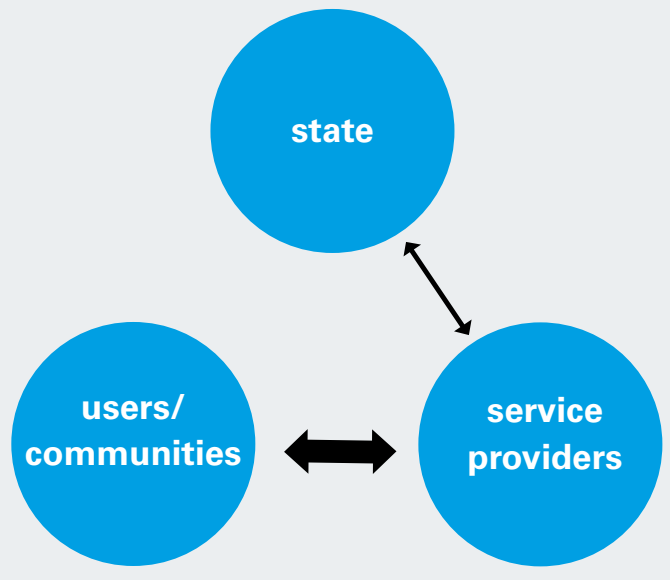
## OBJECTIVE 4:

Enhance the flow of information and use of consumer feedback

### COMMUNITY SCORECARDS

The distinguishing characteristic of the Community Scorecard (CSC) mechanism of demanding accountability is to include constructive engagement and dialogue between providers and users. CSC contributes to greater accountability of service providers to the users in three ways: it strengthens citizens' voice, helps providers to understand and respond to users' preferences as well as to chart their own performance and facilitates collective problem-solving by actors across the supply and demand side.

<b>TARGET GROUP</b>	- Water users - CSOs/NGOs
<b>EXTERNAL INPUT</b>	Medium (100 000 - 250 000 USD)
<b>EXTERNAL INVOLVEMENT</b>	Short to medium (1 year)



## DESCRIPTION

**Community Scorecards (CSC)** is a participatory, community-based monitoring and evaluation tool. The process combines the participatory quantitative surveys used in the Citizen Report Cards with community meetings. Citizens are participants: they provide the feedback on service providers, analyse the information, and directly express their concerns to service providers.

CSC are used to:

- inform community members about available services and their entitlements.
- solicit their opinions about the accessibility and quality of these services.
- using the CSC result as a basis for dialogue, enable users to voice their opinion and demand improved service delivery from service providers.
- formulate Joint Action Plans and collective responses to service-delivery gaps.

## EXPECTED OUTCOMES

TRANSPARENCY	ACCOUNTABILITY LINKS	PARTICIPATION
A more accurate picture of the service level is generated; users are informed about their rights and constraints faced by service providers; performance criteria for benchmarking the quality of services are generated; potential incidents of corruption are identified.	Inputs from users make service providers accountable for any lapse or poor condition of services; mechanism promotes communication and co-operation between users and service providers and creates a habit of engagement; confidence in the service provider is enhanced in the process.	Development of Joint Action Plans encourages inclusiveness, local problem-solving and consensus; development of mutual areas of rights and responsibility.



## POTENTIAL ROLE FOR EXTERNAL SUPPORT AGENCIES

### SUPPORT TO ENABLING ENVIRONMENT

ESAs can help strengthen communication and policy influencing, based on the evidence and information gathered by the CSC, targeting different stakeholders and using brokers.

### SUPPORT TO AGENTS

Build the capacities of stakeholders to ensure the process is prepared and implemented in a professional manner and meetings are facilitated effectively. ESAs can also support the process by making sure all stakeholders are included and by identifying key individual champions for the programme.

## PARTNERS AND INTERNAL CAPACITIES NEEDED

- Service providers/government officials who are receptive to the problems identified by users and their suggestions for change.
- The organisation facilitating the process must be a technically competent intermediary to broker constructive relationships between different stakeholders.
- CSO channelling user voices into the process must have the competencies and resources (technical and analytical)

- to interact with users, providers and other stakeholders, collate, interpret and communicate information. They must also have political skills and a good understanding of the local socio-political governance context.
- Championing of the process by high-level leadership has been identified as a key enabling factor.

## CONDITIONS FOR SUCCESS

- Participation/buy-in of the service provider and decision-makers.
- An action-oriented and constructive dialogue.
- Networking and building partnership for impact - Important that findings of the CSC are fed back at the local level and to senior officials and decision-makers, especially when service providers at the local level do not have the capacity or leverage to make decisions or implement change.
- Focus on the right key entry points, highlighting issues which communities themselves can address versus

issues which need action from state officials/service providers as well.

- Need for a strong public awareness and information dissemination campaign to ensure effective community participation.
- Coordinated follow-up to implement proposed solutions.
- CSC gain in usefulness when repeated consistently.
- Need for institutionalisation of the process- Externally driven CSC are often less sustainable than tools such as surveys unless they are adopted and acted on by the utilities themselves.

## EXAMPLE: COMMUNITY SCORECARDS IN UGANDA

A programme focusing on improving governance, transparency and communication in water service delivery in Wobulenzi (Uganda) aimed to engage communities in the Town Council to work in partnership with the service providers in order to improve the quality of water service delivery. The approach combined the use of citizen report cards (CRC) and community score cards (CSC) to create dialogue between users, providers and government and to promote civic participation in monitoring and improving the water service provision. The results of the 2008 and 2009 CRC surveys indicated that water provision in Wobulenzi

improved after the deployment of social accountability tools. Overall, the water programme significantly improved the relationships among Wobulenzi's various water sector stakeholders. Test results indicated that water quality had generally improved.

Source: [Improving governance in the water sector through social accountability, communication and transparency – process, experience and lessons using the community score card in Uganda, Cate Zziwa Nimanya, 2010.](#)

## REFERENCES

- [Community Scorecard Factsheet, Social Accountability e-guide, the World Bank](#)
- [Community Scorecard, UNDP Governance Assessment Portal.](#)
- [The political economy of community scorecards in Malawi, ODI 2012.](#)

# ACTION SHEET 5A

## ANSWERABILITY

Informing, consulting and including stakeholders

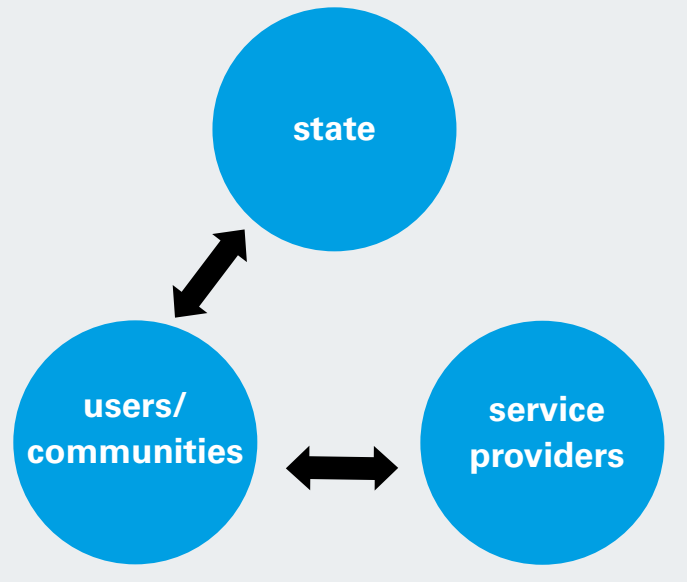
## OBJECTIVE 5:

Improve consumers' access to information

### INFORMAL MECHANISMS FOR INFORMATION DISSEMINATION

Informal information dissemination is a one-way information flow to the public where non-governmental actors or the media make a decision, at their own initiative, to exercise citizen's rights to obtain information on water services in instances where formal information mechanisms are insufficient or absent.

TARGET GROUP	- CSOs/NGOs - Media
EXTERNAL INPUT	Medium (100 000 - 250 000)
EXTERNAL INVOLVEMENT	Medium (1 to 2 years)



## DESCRIPTION

Civil society organisations and the media play an important role in proactively obtaining, analysing and disseminating information to water users. Informal information tools include information campaigns, dissemination of NGO findings, community education efforts of the media or NGOs, budget demystification or dissemination of public expenditure tracking and public monitoring results. Information dissemination by external non-governmental actors is voluntary and supposes government and utilities answer positively to their demands for information. Utilities and governments can also take the initiative to inform users even though they are not obliged to do so, and may use informal tools to do so. This type of outreach can be a first step to two-way dialogue and consultation.

- **Strengthening investigative capacities of the media** – the training of journalists and/or supporting the creation of expert journalist networks can be an option.
- **Using legal empowerment programmes for the poor to inform communities about water services** Community-based paralegals (legal counsellors) can educate whole communities about their rights to water and sanitation, increasing citizens' organisation and helping them demand more from their governments.
- **Support to budget literacy campaigns** - raising the levels of budget literacy and awareness of civil society organisations, parliamentarians and journalists is also an important input.

## EXPECTED OUTCOMES

TRANSPARENCY	ACCOUNTABILITY LINKS	PARTICIPATION
Enhanced consumer access to relevant information about services, entitlements and responsibilities.	Reduced opportunities for corruption; increased access to information about government and service providers' policies and actions contributes to empower citizens to act on it; capacity of local organisations to influence decision-making is enhanced.	Conditions are created for an enhanced engagement of water users in accountability mechanisms.

## POTENTIAL ROLE FOR EXTERNAL SUPPORT AGENCIES

## SUPPORT TO ENABLING ENVIRONMENT

One key step can be to strengthen legal and regulatory frameworks to enhance the freedom and plurality of information sources. ESA which work through or in close contact with governments can also play a crucial role by encouraging positive responses by the government to the demands for information of civil society. However, it is important at this stage to gain a fuller understanding of the relationships between transparency, access to information, capacity constraints and accountability. For example, laws promoting access to public budget information in Peru have not increased the oversight role of civil society because people do not understand the information or how to act on it.

## SUPPORT TO AGENTS

Building or strengthening CSOs' professional skills for analysis, communication and advocacy. Ensure that support to specific actors occurs within a wider systems approach (thus avoiding capacity imbalances and the scope for "capture" by dominant actors) and is inclusive.

## PARTNERS AND INTERNAL CAPACITIES NEEDED

- An active and independent media is a critical part of several of the successful cases.
- Civil society organisations need to be willing to use information to press for accountability and reforms.

## CONDITIONS FOR SUCCESS

- Information needs to be reliable, accessible, understandable and presented in a manner that allows citizens to engage.
- Improving consumers' access to information requires that the state and service providers are willing and able to share information with civil society, the media and citizens following their demands.
- Information for its own sake is not enough - the information needs to be used locally to empower communities and groups to improve their access to services.

## EXAMPLE: DEVELOPING THE MEDIA'S ROLE TO STRENGTHEN SOCIAL ACCOUNTABILITY IN WASH IN WEST AFRICA

The West Africa WASH Journalists Network (WASH-JN) was formed in late 2010 with the support of the Water Supply and Sanitation Collaborative Council and WaterAid in West Africa. Its objective is to leverage the voices of the poor and to influence policy change and accountability through the collective power of media in the region. WASH-JN members publish stories on past budgetary allocations to the WASH sector that have not yielded tangible results to increase access, and they raise public awareness on the ESAs Input and impact of corruption

in the sector. Some of the network's members organise training workshops for journalists on WASH budget tracking and monitoring to enable them to follow WASH funds. Through a "WASH story" competition, network members are encouraged to investigate and report WASH stories on transparency and accountability.

Source: [Mass Media to solve WASH challenges of the urban and rural poor, Case Information Sheet – West Africa – Water Integrity Network, 2012.](#)

## REFERENCES

- [Budget Literacy campaigns, Social Accountability e-guide, the World Bank](#)  
 Access to Information Monitoring, UNDP Governance Assessment Portal  
[Information campaigns, Social Accountability e-guide, the World Bank](#)

# ACTION SHEET 5B

## ANSWERABILITY

Informing, consulting and including stakeholders

## OBJECTIVE 5:

Improve consumers' access to information

### DISCLOSURE OF INFORMATION BY STATE AGENCIES AND SERVICE PROVIDERS

Formal public disclosure of information by water service providers and government is a transparency mechanism which is made obligatory or statutory. It allows water users to scrutinise the performance of government agencies and hold public and private utilities to account for their services.

#### TARGET GROUP

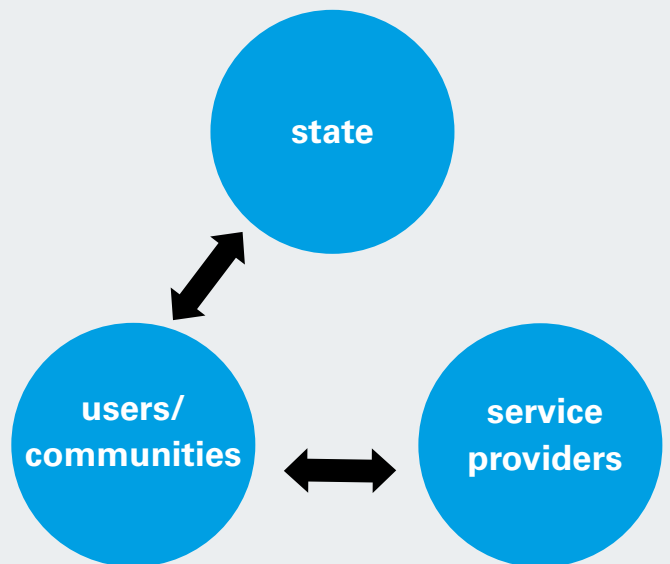
- Government
- Service providers
- Regulatory agency
- CSOs/NGOs

#### EXTERNAL INPUT

Medium  
(100 000–250 000 USD)

#### EXTERNAL INVOLVEMENT

Medium (1 to 2 years)



## DESCRIPTION

Formal or statutory information tools are publication of information conducted directly by utilities and governments, or indirectly through regulatory bodies, and backed by a legal obligation on the decision-makers to inform users and citizens. These can consist of:

- Transparency mechanisms to hold water service providers accountable detailed in legislation, stipulated in the contracts or as one of the powers of an independent regulator.
- Governments making information available on current and planned water and sanitation law, policies and programmes, allocation and implementation of public

resources or information about the current level of service (e.g. tariff systems, quality of water, financial information).

Supporting the establishment of **Citizen Service Centres** can help make the functioning of local bodies or service providers more transparent and citizen-friendly. Citizen Service Centres are one-stop-shop information and application windows where citizens can interact with public officials and obtain a clear understanding of their rights regarding licenses, permits and the delivery of services.

## EXPECTED OUTCOMES

TRANSPARENCY	ACCOUNTABILITY LINKS	PARTICIPATION
<p>Enhanced consumer access to relevant information about services, entitlements and responsibilities.</p>	<p>Reduced opportunities for corruption; increased access to information about government policy and actions contributes to empower citizens to act on it; capacity of local organisations to influence decision-making is enhanced; regulatory credibility and predictability; increased trust and confidence between users, government and service providers.</p>	<p>Conditions are created for an enhanced engagement of water users in accountability mechanisms.</p>

## 5 B DISCLOSURE OF INFORMATION BY STATE AGENCIES AND SERVICE PROVIDERS

### POTENTIAL ROLE FOR EXTERNAL SUPPORT AGENCIES

#### SUPPORT TO ENABLING ENVIRONMENT

ESAs can support the development and use of access to information law, i.e. initiatives of citizens and citizen groups using the formal procedures of legislation to obtain information.

#### SUPPORT TO AGENTS

ESA can help governments improve transparency through programmes of capacity development for local leaders; support for the institutionalisation of transparent information and reporting mechanisms; support to communication strategies that ensure information in all relevant languages is easily accessible; broker partnerships with CSOs to channel information or optimise the implementation of e-government. ESAs' intervention can also focus on developing the capacity of service providers to make data useful for users, i.e. information that is presented locally in clear format with no jargon and with illustrations, to publishing regular performance data and to reaching a wide audience through direct and indirect mechanisms such as community outreach.

### PARTNERS AND INTERNAL CAPACITIES NEEDED

- CSOs and/or the media must have analytical skills to understand and analyse public WSS information as well as reports on revenues and expenditures.

### CONDITIONS FOR SUCCESS

- Information should be reliable, accessible, understandable and presented in a manner that allows citizens to engage; Information should be produced on a regular basis, and provide key performance indicators that allow for evaluation of progress.
- Public information sharing mechanisms need to be supported by a capacity to maintain information up to date and to ensure quality. Thus there is a need for a basic allocation of resources and appropriate communication channels.
- Information for its own sake is not enough: the information needs to be used locally to empower communities and groups to improve their access to services.
- To effectively influence administrative culture and bureaucratic routines, the use of information laws will require supportive political, economic, or socio-cultural environments, adequate bureaucratic and public education, training, and capacity building.

### EXAMPLE: USING INDIA'S RIGHT TO INFORMATION TO ENFORCE RIGHTS TO WATER AND SANITATION

Three days after submitting a right to information application, a leaking water pipe was replaced in part of the city (Pandav Nagar). The pipe had leaked since it was laid, but previous complaints had been to no avail. The residents asked in their application about the status of their earlier complaints, the names of officials dealing with those complaints, the contract for the laying of the pipeline, the completion certificate for the works, and names of officials who issued it. In another part of the city, a slum colony called Sundernagari in East Delhi, residents had struggled for 20 years to get sewers laid without success. As a result, people relied upon public toilets and women faced particular problems. In 2002, a social activist made an application under the Right to Information Act seeking

information on the sewer system and asking when it would be functioning in their area. Reminded that the earlier provision of false information could lead to deductions in their salaries, the officials reacted by undertaking the survey work, and after residents lobbied the chief minister (the head of Delhi state), armed with information at their disposal, expenditure for the sewage system was approved and contracts were awarded for the work.

Source: [Improving Transparency, Integrity and Accountability in Water Supply and Sanitation – Action, Learning Experiences, p. 93, Box 3.1 the World Bank, 2009.](#)

### REFERENCES

[The International Benchmarking Network for Water and Sanitation Utilities website](#)  
[Citizen Service Centres, Social Accountability e-guide, the World Bank](#)  
[Citizen Charters, Social Accountability e-guide, the World Bank](#)

# ACTION SHEET 6A

## ANSWERABILITY

Informing, consulting and including stakeholders

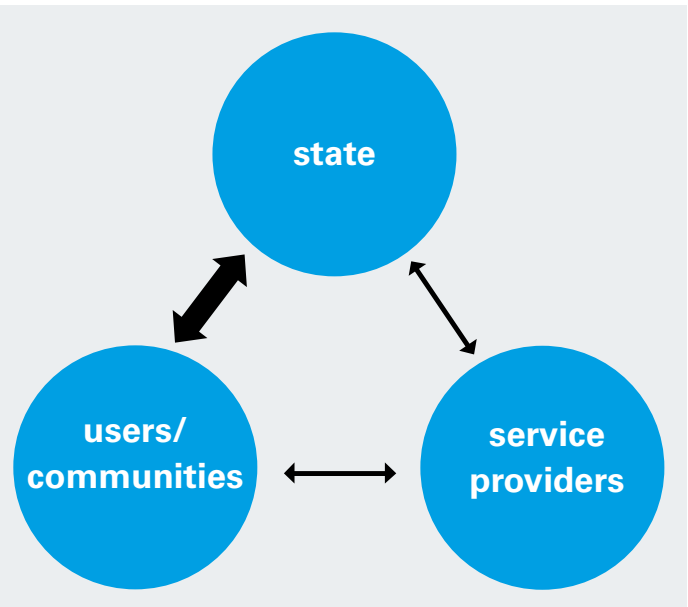
## OBJECTIVE 6:

Create spaces for stakeholder participation and influence

### PUBLIC EXPENDITURE TRACKING SURVEYS

Involving a broad range of actors in the tracking of public expenditure in the water sector can contribute to creating a space for all stakeholders to engage, on an equal footing, in informed policy debates on service delivery. Inclusive Public Expenditure Tracking Survey (PETS) processes enable users to assess performance in public service delivery and uncover information, which in some cases can lead to enforcing by citizen groups.

<b>TARGET GROUP</b>	- Government - CSOs/NGOs
<b>EXTERNAL INPUT</b>	Medium (100 000 – 250 000 USD)
<b>EXTERNAL INVOLVEMENT</b>	Medium (1 to 2 years)



## DESCRIPTION

A **Public Expenditure Tracking Survey (PETS)** is a methodology for tracking the flow of public resources through various levels of government to the end users, and identifying leakages. In the water sector, it measures the efficiency of public resources from the central government through the administrative hierarchy and out to frontline service providers such as municipalities or utilities providing water and sanitation.

As a participatory tool, PETS is used by civil society organisations to create a process, dynamics and attitude changes of stakeholders involved in the water delivery framework. Consultations, dissemination, and the feedback process help to create a platform for central and local authorities to cultivate trust and create the incentive for them to work towards a common goal. This in turn should lead to an increase of accountability and responsiveness of local governments and result in improved services.

## EXPECTED OUTCOMES

TRANSPARENCY	ACCOUNTABILITY LINKS	PARTICIPATION
PETS identify problems of bureaucratic bottlenecks, inefficiencies, corruption and leakages. They provide a baseline against which to monitor budget disbursements, through subsequent surveys. PETS findings illustrate areas where information asymmetries exist among agencies and external stakeholders.	PETS can stimulate citizens' demands to local decision-makers for transparency and performance (political oversight) and are likely to influence the attitude of civil servants to respond better to local needs and encourage more equitable spending; empower local decision-makers to hold their administrative bureaucracy to account (horizontal accountability); empower elected officials to demand better accountability from service providers in their locality (contractual oversight); and contribute to a better appreciation by citizens of the situation of service providers by providing clarity on the role and limitations of service providers (client-based oversight).	Access to expenditure data, consultations, dissemination, and feedback processes give stakeholders the ability to engage government on issues of public spending.

## POTENTIAL ROLE FOR EXTERNAL SUPPORT AGENCIES

### SUPPORT TO ENABLING ENVIRONMENT

Commitment to engage with local partners in an open and informed dialogue on the strengths and weaknesses of existing water service delivery systems; Support the use of generated information and make sure that it impacts on the processes that control and influence the management of public finance and service delivery; ensure adequate time and resources are set for completion, based on the scope of the PETS.

### SUPPORT TO AGENTS

Engage with government officials to obtain their support; Develop strategic partnerships between relevant ministries, universities and local research institutes and civil society to promote the impact.

## PARTNERS AND INTERNAL CAPACITIES NEEDED

- Reliable, knowledgeable and independent team to lead the survey effort (a specialised NGO, team of consultants, local university, etc.).
- Active involvement of citizens in collection of information (about services, entitlements and responsibilities) as much as possible rather than delegating the whole process to an NGO. In this approach, it is important to build capacity on budget issues in particular and to provide information about rights and accountability mechanisms. NGOs can support the process by providing relevant information and facilitating dialogue with other stakeholders. In cases

where accurate expenditure/transfer records may not exist, CSOs can play an important role in tracking transfers in collaboration with local level service providers and users. CSOs have also a key role to play in disseminating PETS findings.

- Strong government ownership and willingness from the public sector to support attempts to improve accountability. Actually addressing problems identified, or even accepting that they exist, depends first and foremost on the political will to deal with them.

## CONDITIONS FOR SUCCESS

- Policy impact of PETS processes is enhanced when they are part of a set of initiatives aimed at improving local awareness of entitlements and build a stronger demand for accountability from the bottom.
- Public availability and reliability of budgetary and expenditure information, and clear allocation rules.
- Strong country ownership, strategic partnerships and effective follow-up – PETS design should take into consideration accountability bottlenecks, potential resistance to change, policy questions, institutional framework and incentives. The goals need to be clearly

defined, to ensure usefulness and feasibility of results. Ensure that the data collection strategy is based on a combination of information from different sources. It is essential to involve the different stakeholders in the design of the methodology.

- Importance of dissemination and communication strategies – Tracking information and reports need to be fed back to officials at the level where the information is collected in order to empower decision-makers to hold their administrative bureaucracy to account.

## EXAMPLE: PETS USE IN THE WATER SUPPLY SECTOR IN ETHIOPIA

The Rift Valley Children and Women Development Organisation undertook an expenditure tracking survey in Zeway Dugda Woreda in 2009. The project aimed to track the water supply budget in the Woreda (an administrative division), to provide information about water budget utilisation and to identify bottlenecks for future improvement. The conclusions were shared with the local authorities and identified the following needs:

- Training of water committee members and concerned stakeholders about the financial management and quality service provision to avoid budget leakage.
- Better monitoring and technical support to solve problems using available local resources.

- Develop mechanism to timely and adequately address community needs and complaints.
- Build trust between communities and service providers by introducing real participatory planning, budgeting, and expenditure tracking systems.

Source: [case study #2, Social Accountability Guide – Public Expenditure Tracking Survey Ethiopia Social Accountability Program Phase 2, 2014](#)

## REFERENCES

[Public Expenditure Tracking Surveys Factsheet, Social Accountability e-guide, the World Bank Our money, our responsibility / a citizen's guide to monitoring government expenditures, the International Budget Project](#)

[Social Accountability Guide – Public Expenditure Tracking Survey Ethiopia Social Accountability Program Phase 2, 2014](#)

# ACTION SHEET 6B

## ANSWERABILITY

Informing, consulting and including stakeholders

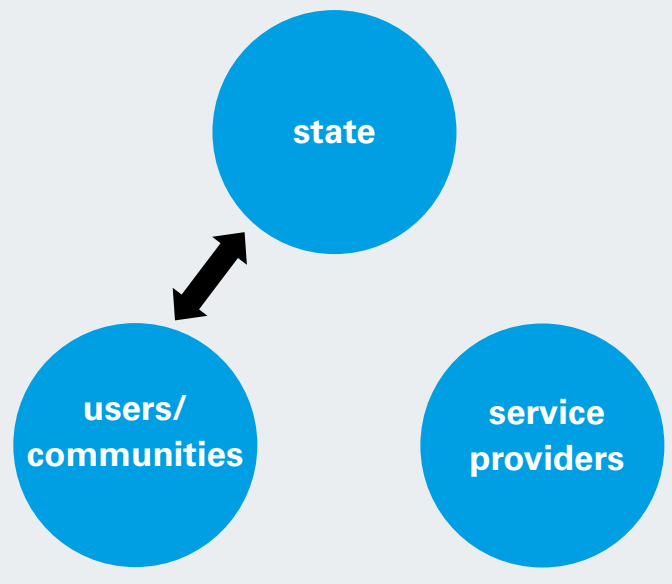
## OBJECTIVE 6:

Create spaces for stakeholder participation and influence

### PARTICIPATORY BUDGETING

Participatory budgeting promotes stronger accountability links between local government and citizens by permitting the continuous participation and open consultations of citizens on budgets and other issues, such as opportunities to raise complaints about irregularities and poor service delivery, verification of municipal financial accounts, transparent tendering and procurement, project monitoring and evaluation.

<b>TARGET GROUP</b>	- Government - Users - CSOs/NGOs
<b>EXTERNAL INPUT</b>	Low (below 100 000 USD)
<b>EXTERNAL INVOLVEMENT</b>	Long (more than 2 years)



## DESCRIPTION

**A Participatory Budget (PB)** is a mechanism through which local community representatives and local governments debate, analyse, prioritise, and monitor decisions made on the destination of all or part of the available public resources. Participatory budgeting enables citizens to get informed about available public resources, engage in prioritising the needs of their locality collectively, propose projects, investments and services and allocate resources in a democratic and transparent way.

Participatory budgeting can occur in three different stages of public expenditure management: budget formulation and analysis, expenditure monitoring and tracking or monitoring of public service delivery. Participatory budgeting creates forums and space for dialogue for stakeholders to meet, negotiate and take decisions together. It is guided by a set of rules at every step to ensure transparency and objectivity.

## EXPECTED OUTCOMES

TRANSPARENCY	ACCOUNTABILITY LINKS	PARTICIPATION
Increased access to information on public administration budget process and allocation.	Increased access to decision-making venues and expansion of civil society policy networks; mechanism to define and incorporate users' priorities in the public budget; trust and confidence among actors is built in the process; increased scrutiny reduces opportunities for corruption.	Fostered public literacy and awareness of budget issues enables citizens' involvement in budget process.



## POTENTIAL ROLE FOR EXTERNAL SUPPORT AGENCIES

### SUPPORT TO ENABLING ENVIRONMENT

Brokering experience from other countries and facilitating south-south municipal dialogue; providing financial assistance to initiate and manage the PB process; support the definition of legal framework that underpins PB processes.

### SUPPORT TO AGENTS

Building the capacity of stakeholders and awareness of the government throughout the first phase of implementation is important to make sure the PB initiatives are implemented on a systematic basis according to the established rules; building the capacity to CSO and consumers/users' groups.

## PARTNERS AND INTERNAL CAPACITIES NEEDED

- Well-structured, dynamic, strong, capable and legitimate civil-society organisations are necessary to carry out the process - CSOs need to have the capacities to access, analyse and disseminate budget information; conduct research to assess citizen needs and preferences, help citizens to organise, train and educate citizens and facilitate communication and relations between citizens and government authorities. CSOs also need to be willing to listen and engage other citizens and critique government officials.
- Political will - government should be prepared to delegate authority to citizens and willing to try to reform the local bureaucracy; government officials need to have the incentives to work with CSOs (election periods, national mandates); if PB programme subverts traditional patronage networks, the government must be ready to challenge them.
- Strong commitment by dedicated municipal staff - Significant commitment in staff time and resources is required for effective and smooth implementation.

## CONDITIONS FOR SUCCESS

- A conducive political environment and opportunities for engagement with the government; a stable multiparty political system and well-implemented decentralisation reforms are a key contextual factor.
- A legal and institutional framework enabling access to budget information.
- Sufficient overall level of literacy and interest in budget issues in the wider population.
- Sufficient discretionary funding to allow citizens to select specific public works.
- Carrying decision-making to the community level through popular voting is key to ensure inclusiveness.

## EXAMPLE: PORTO ALEGRE AND PARTICIPATION IN THE RUNNING OF A PUBLIC WATER UTILITY

Participatory budgeting originated and gained political momentum in Porto Alegre in Brazil. The public utility (DMAE) that supplies water and sanitation services in Porto Alegre is financed through a progressive tariff that generates a surplus of 15–25 percent each year. Citizens use participatory mechanisms to propose and vote on new investments to spend this surplus. They are also represented on a citizen's board that oversees the utility and its contractors, promoting accountability. Citizens are therefore involved in both planning and oversight of DMAE's water services. Since citizen participation increased, DMAE has kept up with population growth and expanded services

significantly. The percentage of dwellings with access to treated water rose from 94.7 per cent in 1989 to 99.5 per cent in 2002; the proportion with access to the municipal sewer network grew from 46 per cent in 1989 to 84 per cent in 2002; and the percentage of liquid waste that is treated went from 2 per cent in 1989 to 27.5 per cent in 2002.

Source: [Improving Transparency, Integrity and Accountability in Water Supply and Sanitation – Action, Learning, Experiences, the World Bank Institute and Transparency International, 2009.](#)

## REFERENCES

- [Participatory budgeting, Social Accountability e-guide, the World Bank](#)
- [Participatory Budgeting Project \(website\)](#)
- [Participatory Budgeting in Africa – a Training Companion Municipal Development Partnership for Eastern and Southern Africa, in partnership with UN-HABITAT](#)

# ACTION SHEET 6C

## ANSWERABILITY

Informing, consulting and including stakeholders

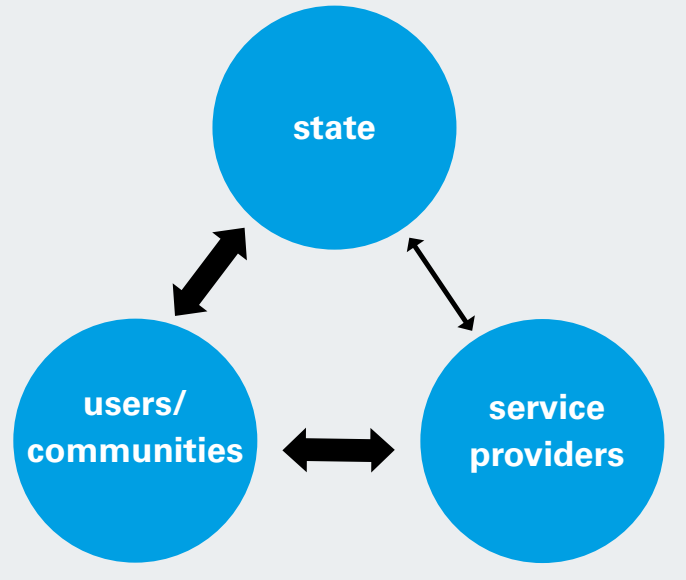
## OBJECTIVE 6:

Create spaces for stakeholder participation and influence

### COMMUNITY-BASED MONITORING

Community-based monitoring refers to tools used to measure, understand, report and ultimately improve the use of public resources, with the active involvement and participation of the primary stakeholders. It consists of an open and participatory review of official reports of works and expenditure. Information is used as a basis for involving the public and service providers in making changes to improve the service.

<b>TARGET GROUP</b>	- Government - Service providers - Users - CSOs/NGOs
<b>EXTERNAL INPUT</b>	Low (below 100 000 USD)
<b>EXTERNAL INVOLVEMENT</b>	Short (6months to 1 year)



## DESCRIPTION

Social audit is an open and participatory review of official reports of works and expenditure. Information on public resources for water and sanitation services is collected, analysed and shared publicly in a participatory manner. Citizens/clients can conduct audits on the State or on WSS providers, for example to make them more responsive to the poor and corruption-free. The scope of monitoring and audit tools goes beyond the oversight of performance (outputs) and includes the integrity of the process that leads

to the performance and the impact of such performance (outcomes): financial management, efficiency, access to information, transparency and accountability, participation.

Another type of community-based monitoring is **civil society procurement monitoring**, a participatory procurement mechanism through which local communities are engaged in public procurement processes.

## EXPECTED OUTCOMES

TRANSPARENCY	ACCOUNTABILITY LINKS	PARTICIPATION
Access to information on the use of resources and respect of policy implementation, including physical and financial gaps between needs and resources available.	Better awareness of entitlements to water and sanitation; increased prominence for the priorities of the poorest and most vulnerable groups raised by communities can lead to more informed policy design; reduced opportunities for corruption or mismanagement of public funds; improved responsiveness of service providers to customer needs and priorities; policy-makers better informed about the devolution of public service delivery and local governance.	Increased practice of active citizenship through social audits can help build budget literacy among citizens, the media and legislatures, thereby strengthening the capacity of stakeholders to exercise oversight and encouraging participation in social accountability mechanisms.

## POTENTIAL ROLE FOR EXTERNAL SUPPORT AGENCIES

### SUPPORT TO ENABLING ENVIRONMENT

Developing media alliances - key relationships with the media is vital in providing access to information and in evoking strong citizen support that ultimately pressures service providers and the State to deliver on their obligations.

Initiating social audits - ESAs are rightfully stakeholders in initiating social audits under the WSS framework since they provide technical assistance and funding support. Their role can be that of a rights holder (can claim accountability for the use of funds) or a duty bearer (as they are accountable to their legislature and the poor and marginalised in country of operation) in the WSS delivery framework.

### SUPPORT TO AGENTS

Strengthening statistical capacities of local stakeholders; the capacities of agents such as elites in local communities also need to be built so that elite capture of audit processes is minimised; encourage change in service-providing agencies so that they inculcate a culture of accountability to citizens/clients. This can be done through regular forums to meet with stakeholders, a published calendar of when information will be released; and using information and communication technologies (ICTs) for optimal reach.

## PARTNERS AND INTERNAL CAPACITIES NEEDED

- Receptive and accountable State apparatus and service providers make access to records easier and also encourage officials to take corrective measures whenever discrepancies are discovered.
- A highly developed and capacitated civil society is crucial in cases where citizens/clients not only conduct, but also

initiate and facilitate social audits or assist the State and service providers in conducting audits.

- Experience and skills in initiating, facilitating and conducting audits is required and/or needs to be strongly supported during the process.

## CONDITIONS FOR SUCCESS

- Enabling laws and corresponding policy frameworks – legislation such as the right to information and complementary policy frameworks such as decentralisation aid in facilitating the process of audits and in holding various stakeholders accountable.

- Availability of data about contracts /expenditures down to village/community level is of key importance.

## EXAMPLE: USE OF SOCIAL AUDITS BY A SMALL FARMERS' ASSOCIATION IN ECUADOR TO CURB CORRUPTION IN THE LOCAL AGENCY IN CHARGE OF ALLOCATING WATER TITLES

Since April 2006, Ecuador law has permitted social organisations to conduct a social audit of government entities. In the province of Chimborazo, a six-member board was formed in 2005 including representatives from civil society, academic and users' organisations, and the board initiated a social audit under a process managed by a special government committee. The social audit consisted of the inspection and analysis of all documents in the office

of the provincial Water Agency, a government organisation that distributes water use rights to individual and collective water users. After the audit report was presented in June 2007, several illegally issued water rights to big landholders were discovered and annulled.

Source: [Fighting Corruption in the Water Sector – Methods, Tools and Good Practices, UNDP, 2011.](#)

## REFERENCES

- [Social Audit, Social Accountability e-guide, the World Bank](#)  
[A Practical Guide to Social Audit as a Participatory Tool to Strengthen Democratic Governance, Transparency and Accountability – UNDP, 2011](#)  
[The Role of Civil Society Organizations in Auditing and Public Finance Management, Vivek Ramkumar and Warren Krafchik, Working Paper 06.2](#)

# ACTION SHEET 6D

## ANSWERABILITY

Informing, consulting and including stakeholders

## OBJECTIVE 6:

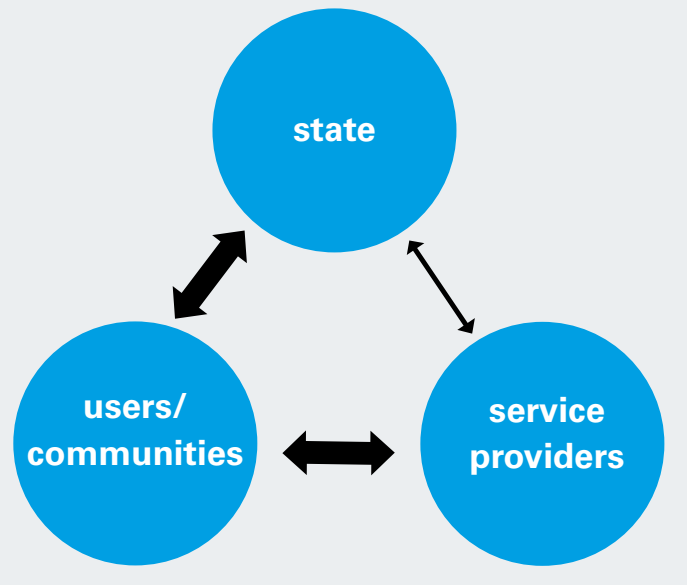
Create spaces for stakeholder participation and influence

### SPACES OF DIALOGUE AND INTERACTION ON WATER AND SANITATION SERVICES

Opening spaces for dialogue and interaction that bring together different actors and organisations is a powerful way to support the emergence of accountability systems that involve a range of organisations working to demand and deliver accountability in water service delivery.

By focusing on the linkages among actors and how these can be strengthened over time, dialogue and interaction enhance mutual accountability links between users, policy-makers and service providers.

<b>TARGET GROUP</b>	- Government - Service providers - Users - CSOs/NGOs
<b>EXTERNAL INPUT</b>	Low (below 100 000 USD)
<b>EXTERNAL INVOLVEMENT</b>	Long (more than 2 years)



## DESCRIPTION

- **Public hearing** – a formally advertised meeting designed to ensure that citizens are informed about relevant issues, can comment on them, and can find out how their comments were considered. Public hearings are conveyed by government or service providers to actively seek and listen to users’ opinions on an issue or to address stakeholder grievances. There may be a legal requirement to hold public hearings or the provider or government may itself decide to consult, or civil society or organised users may demand an opportunity to voice their views. Hearings are mostly consultative.
- **Citizen juries** – This is a direct method for obtaining informed citizens’ input into policy processes. The jury questions expert witnesses who present information or advocate positions on a policy issue. The jury uses this information to challenge and/or hold decision-makers to account.
- **Municipal/district water boards/commissions** – these are regular meeting spaces (with different degree of formalisation) for the interaction and discussion between

stakeholders (including government and a representation of citizens, and sometimes also service providers) around service delivery issues and plans.

- **Community water and sanitation mapping** – a technique used to provide citizens and local governments with information and arguments to demand improved services. By collecting information on the WSS situation in their settlement, community members come to understand their situation better and can conceptualise a process of change within it. Participatory mapping is one step within a wider and long-term engagement with the view of influencing policy.
- **User membership in decision-making bodies** – citizens are given a formally sanctioned position in an oversight panel or an agency that makes decisions about policy, regulations or service provision.
- **User membership in consultative bodies** – provides regulators with a source of non-binding and non-exclusive advice.

## EXPECTED OUTCOMES

TRANSPARENCY	ACCOUNTABILITY LINKS	PARTICIPATION
Information on water and sanitation service delivery process and outcomes is made accessible to the public.	Increased users’ awareness and understanding of their roles and increased understanding by local governments of the need to consult citizens and ways to do it; links between accountability actors are strengthened; enhanced levels of trust; habit of engagement is created; better-informed decision-making; increased responsiveness to consumers’ needs; identification of local solutions to accountability gaps and deficits.	Adequate representation of a diversity of social groups/consumers in the consultation. Participants are able to reflect on the views of others who are affected in a similar way.

# 6 D SPACES OF DIALOGUE AND INTERACTION ON WATER AND SANITATION SERVICES

## POTENTIAL ROLE FOR EXTERNAL SUPPORT AGENCIES

### SUPPORT TO ENABLING ENVIRONMENT

Strengthening the legal and regulatory frameworks to enhance the freedom and plurality of information sources can strengthen the creation of platforms of dialogue; to strengthen the policy impact of dialogues by making them more binding, but support strategies must be underpinned by a sound and politically-informed analysis of the local context.

Realism is required, both about the reform space for accountability in each country and the longer timeframes involved in realising changes in relationships.

### SUPPORT TO AGENTS

Funding the dialogue process is potentially more powerful than supporting actors in isolation; support capacity of users group and CSO to actively be part of a Public Hearing, or a Jury; provide initial funding for Community Water and Sanitation Mapping, and support advocacy capacity. ESA should actively support the recruitment and training of new actors in civil society to reach out to the unorganised majority, the vulnerable and marginalised groups.

## PARTNERS AND INTERNAL CAPACITIES NEEDED

- Social (communication and participation) capacities of agents. Communication is a challenge and a necessity to enter into a constructive dialogue.

## CONDITIONS FOR SUCCESS

- Inclusiveness - Open up new spaces for participation. It is important to reach out to marginalised groups;
- Ensure a clear link between the dialogue process and official decision-making processes.
- Resources to carry out the dialogues - dialogue tools are often time- and resource- intensive.
- Important to manage the expectations of dialogue participants.

## EXAMPLE: CONSULTATIVE MEETINGS ON WATER AND SANITATION SERVICES IN THE PHILIPPINES

In the Philippines, Localised Customer Service Codes (LCSCs) have been developed through participatory processes with service providers and their customers in village settings. The LCSC is a document which formalises the social contract between water users and water service providers. Based on feasibility studies and consultative meetings, different service options and cost levels are discussed in a series of consultations, aiming to determine the appropriate level of services and tariff. The results of the consultations are written into the LCSCs which are signed by providers and community representatives, and witnessed by whole communities. The LCSCs are

supported by Local Government Units (LGUs), forming an integral part of their work to support citizens' rights to access safe water. Self-assessments indicate that the LCSCs have helped achieve more reasonable tariffs and conditions, improved collection efficiency, and several cases of upgrading of water services. Yet the procedures for renewing and evaluating the effects of the LCSCs need to be instituted.

Source: [Mutual Rights and Shared Responsibilities in Water Services Management – Enhancing the User-Provider Relation, Water Governance Facility, 2013, WGF Report No. 2, SIWI, Stockholm.](#)

## REFERENCES

[Public Hearings Fact Sheet, Social Accountability e-guide, the World Bank](#)  
[Mapping for better accountability in water service delivery – ODI, 2007](#)

# ACTION SHEET 7A

## ENFORCEABILITY

Monitoring performance, supporting enforcement and compliance

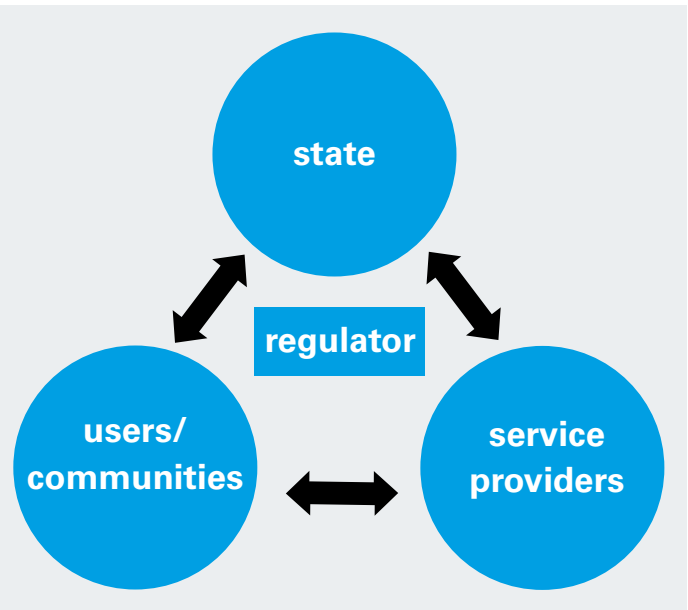
## OBJECTIVE 7:

Support the establishment or functioning of a regulatory function

### THE REGULATORY BODY– A CENTRAL POLICY AND OVER- SIGHT BODY FOR WATER AND SANITATION SERVICES

Setting up or modernising water regulatory agencies can help reinforce multiple accountability relationships within the water and sanitation sector by clarifying expectations, strengthening client power, and holding service providers and government to account.

<b>TARGET GROUP</b>	- Regulator - Government - Service provider
<b>EXTERNAL INPUT</b>	Medium (100 000 – 250 000 USD)
<b>EXTERNAL INVOLVEMENT</b>	Long (over 2 years)



## DESCRIPTION

Independent or autonomous water regulatory authorities are installed to provide a sector oversight. They are mandated to protect the interests of consumers, promote good governance in the sector and to establish incentives to improve sector performance.

**Regulatory agencies** can be given a variety of responsibilities, including:

- Compiling and publishing information on service provider and sector performance.
- Establishing and changing rules (in particular structure

of tariff, setting performance standards).

- Monitoring implementation of rules (e.g. monitoring service levels and performance).
- Enforcing the rules (e.g. ensuring compliance with licences).

Conflict resolution is a crucial element of their operations. A regulator can impose fines and sanctions for breach of rules, or it may have to apply to a different agency to have its decisions enforced.

## EXPECTED OUTCOMES

TRANSPARENCY	ACCOUNTABILITY LINKS	PARTICIPATION	EFFICIENCY
Performance of the water and sanitation service provider is monitored and publicised; Regulatory decisions are shared with all stakeholders.	Additional pressure is put on governments to meet their obligations towards service providers and on service providers to respect the terms of their contract with State entities; realisation of the rights to water and sanitation is mainstreamed in policy planning; universal access goals are adequately reflected in public budgets and part of the regulatory obligations of water service providers; interests of consumers are better protected; better understanding of users' rights and obligations.	Informed debate can take place.	Improved credibility of regulation, which facilitates private sector participation in the water sector; better institutional framework for the fulfilment of the human right to water and sanitation.

## 7 AT THE REGULATORY BODY, A CENTRAL POLICY AND OVERSIGHT BODY FOR WATER SERVICES POTENTIAL ROLE FOR EXTERNAL SUPPORT AGENCIES

### SUPPORT TO ENABLING ENVIRONMENT

Support the development of legal framework for the creation of regulatory function, with sufficient financial and technical independence from the regulated institutions; promoting stakeholder participation in the regulatory process; support the connection between consumers associations and regulator.

### SUPPORT TO AGENTS

Capacity development (both human and in physical resources) for the adequate functioning of the regulator; support the establishment of adequate tools and processes for the regulator to fulfil its functions, especially in the access to and analysis of information.

## PARTNERS AND INTERNAL CAPACITIES NEEDED

- Consumers need to understand their rights and obligations under the relevant regulatory framework, as well as the role of the regulatory agency and the avenues for interacting with the agency. The impetus for the creation and functioning of water regulatory authorities should be provided by articulated public demand for such legal and institutional reforms.
- Allowing users membership of and/or voting rights on regulatory bodies is a mechanism to ensure that consumer interests are adequately represented in major decisions on water service delivery.
- Political support is required in cases when the lack of sanctions reduces the ability of the regulator to put pressure on water providers' management.
- Integrity of regulatory bodies' members.

## CONDITIONS FOR SUCCESS

- Clear mandate (legislative authority) within the regulatory framework and a broad scope of regulation.
- Acceptance and understanding of the regulatory process by the consumers and other stakeholders and broad institutional support for the regulatory body.
- Efficiency and professional skills - RBs must have the capacity to collect and interpret information received from the utilities, act with sufficient expertise, and a record of accomplishments.
- Accountability and independence – regulatory authorities have to be accountable through a continuing dialogue with Parliament and with public opinion. It is essential that the regulator is sufficiently independent from the government and the service providers.
- Transparency and due process – information on the activities of regulator must be readily available to the public and procedures fair, accessible and open.
- Avoid one-size-fits-all-approach – adopt for example a modular approach which leaves room for flexibility to accommodate the different stages of development of the specific water sector.
- Equity and integrity- The consequences of non-compliance must be disclosed. An efficient system of appeals has to be designed.
- Financial autonomy – RBs should be paid from revenues raised from the regulated water utility or by local government.
- Culture of Compliance- willingness by sector to be regulated.

## EXAMPLE: THE WATER SERVICES REGULATION AUTHORITY IN ENGLAND AND WALES

The purpose of the United Kingdom's Office of Water Services (OFWAT) is to guarantee quality service at a fair price from the ten regional companies in charge of water and wastewater management in England and Wales, and to ensure their long-term viability. This must be balanced with its own objectives of protecting the interests of its customers, which implies keeping bills for consumers as low as possible, monitoring and comparing the services the companies provide, scrutinising the companies' costs and investment and encouraging competition where this

benefits consumers. Necessary actions, including legal steps such as enforcement actions and fines, can be taken in case of non-compliance. The direct regulation of water companies in England and Wales is complemented by two other regulators, one responsible for environmental affairs and the other for drinking water quality, to protect public health.

Source: [Water Governance in OECD Countries A multilevel Approach, OECD Studies on Water, 2011.](#)

## REFERENCES

[The Governance of Water Regulators OECD Studies on Water, OECD Publication, Paris, 2015](#)

[Fact sheet Citizens/Users membership in decision making bodies, Social Accountability e-guide, the World Bank](#)

# ACTION SHEET 7B

## ENFORCEABILITY

Monitoring performance, supporting enforcement and compliance

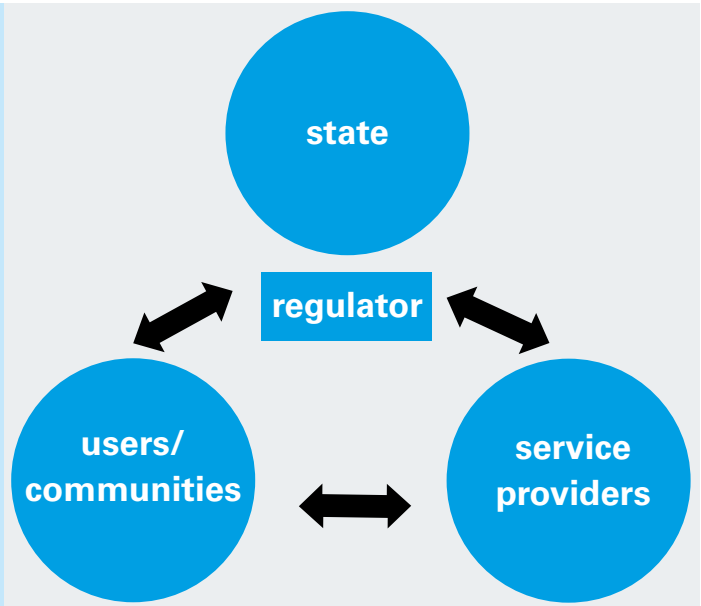
## OBJECTIVE 7:

Support the establishment or functioning of a regulatory function

### WATER WATCH GROUPS

Water Watch Groups are an alternative tool to formal litigation for managing small-scale disputes between consumers and WSS providers. They contribute to improving the responsiveness of service providers by conveying consumer grievances to the regulator in a constructive, detailed and collaborative way.

<b>TARGET GROUP</b>	- CSOs/NGOs - Regulator
<b>EXTERNAL INPUT</b>	Low to medium (below 100,000-250,000USD)
<b>EXTERNAL INVOLVEMENT</b>	Medium (1 to 2 years)



### DESCRIPTION

**Water Watch Groups** (or Water Action Groups) are local groups of consumers created by regulatory bodies and given delegated powers to support their work. Their functions are to:

- Represent the interests of consumers in the Water and Sanitation Sector.
- Monitor (on behalf of the regulator) the effect of national policies at the local level, as well as water quality, interruption

of service and billing.

- Manage disputes between communities and service providers or act as arbitrators in on-going conflicts and follow up unresolved consumer complaints.
- Inform the public and create spaces of dialogue between consumers and service providers.

### EXPECTED OUTCOMES

TRANSPARENCY	ACCOUNTABILITY LINKS	PARTICIPATION	EFFICIENCY
Information about the service level is generated; first-hand information on consumer grievances and problem areas is conveyed to the service provider and the regulator receives feedback on public opinion.	Consumers' rights are protected; improved communication and relationships between consumers and providers; improved consumer confidence in the service; smaller scale disputes managed in a non-adversarial fashion; heightened presence of the regulatory body in low income areas serviced by water utilities; improved responsiveness of service providers and improved access; creation of awareness among consumers of their rights and responsibilities as well as the role and functions of the regulator; information provided to the regulator is adequate to enable it to adjust regulation according to the requirements of the sector.	Customers from service areas participate in providing the required checks and balances to water providers.	Enhanced willingness to pay and reduction of vandalism; change of attitude of utilities towards customers; improved quality of service of the regulator and the service providers; speedy complaint resolution.



## POTENTIAL ROLE FOR EXTERNAL SUPPORT AGENCIES

### SUPPORT TO ENABLING ENVIRONMENT

Advocating for the use of WWG, by showing experiences from other countries to demonstrate the effectiveness of involving final users in a service's regulation; supporting a supportive policy and legislative framework for WWG.

### SUPPORT TO AGENTS

Build the capacity of members of Water Watch Groups to represent the interest of consumers in a professional way; broker international contacts; support the regulatory agency financially during the inception phase and give assistance to identify sustainable resources for its functioning in the long term.

## PARTNERS AND INTERNAL CAPACITIES NEEDED

- Awareness among water utilities' staff.
- Capacity of members of WWG to perform their duties.

## CONDITIONS FOR SUCCESS

- The public needs to be informed about the existence of the Water Watch Groups.
- Supportive political environment.
- Regulator's willingness to engage water users in non-conventional way.

## EXAMPLE: THE WATER WATCH GROUPS IN ZAMBIA

In Zambia, the National Water and Sanitation Council (NWASCO) has created several Water Watch Groups (WWGs) throughout the country to monitor the effect of national policies at the local level, as well as the service level and billing on behalf of the Council. WWGs are voluntary associations whose members are recruited and trained by the regulator, who also funds their operations. They are directly accountable to the regulator. They foster dialogue between consumers and service providers by following up on consumer complaints and even acting as arbitrators in on-going conflicts. In cases where the WWGs fail to

resolve the dispute, they refer the matter to NWASCO, who assesses the complaint and, if necessary, either penalises the service provider or publicises the infraction. The WWGs succeeded in managing over 50,000 complaints between 2004 and 2005 alone. Reports indicate a much-improved relationship between service providers and consumers.

Source: [Mapping of Integrity and Accountability in Water Activities and relevant Capacities in the SADC-Region, SIWI, 2008, pp. 26-27.](#)

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# ACTION SHEET 8A

## ENFORCEABILITY

Monitoring performance, supporting enforcement and compliance

## OBJECTIVE 8:

Strengthen external and internal control mechanisms

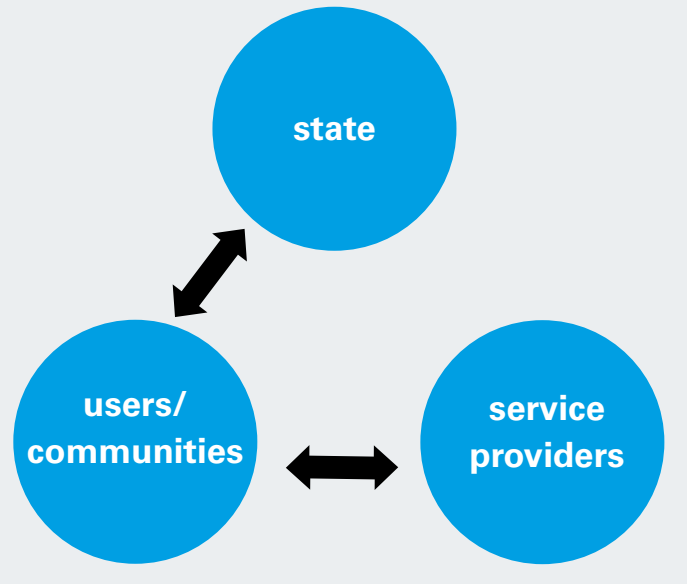
### CIVIL SOCIETY OVERSIGHT TOOLS

Civil society organisations and organised users play a key role in social accountability mechanisms that are put in place to complement and enhance conventional “internal” mechanisms of accountability.

Consumers’ associations can contribute to enhance citizen information and oversight in relation to water and sanitation service delivery, budgets, expenditures, decision-making processes and/or the general performance or behaviour of public actors and service providers.

An increasing range of tools is being developed to monitor performance, to demand and enhance accountability and to expose government failures and misdeeds.

<b>TARGET GROUP</b>	- CSOs/NGOs
<b>EXTERNAL INPUT</b>	Medium (100 000 – 250 000 USD)
<b>EXTERNAL INVOLVEMENT</b>	Long (over 2 years)



## DESCRIPTION

Civil society oversight tools include:

- **Citizen Oversight Committees** - can be created at any level of government (but are most frequently formed at the community or municipal level) to guide and oversee government activities or to act as a watchdog over public services.
- **Public Litigation** - involves citizen groups taking legal

action against government actors or institutions for violations of rights or other illegal acts or misdeeds. This stimulation and aggregation of demand for redress is especially important if rights consciousness is not well-developed in a society.

- **Provision of legal and quasi-legal support** to marginalised individuals and groups.

## EXPECTED OUTCOMES

TRANSPARENCY	ACCOUNTABILITY LINKS	PARTICIPATION
Users and other stakeholders gain access to information on water provision-related issues; the irregularities can become known to the wider public if legal actions are taken.	The possibility and capacity for users to undertake legal actions is a powerful incentive for government and service providers to fulfil contracts; the responsiveness towards citizens demands increased accountability; even where litigation is unsuccessful, its impact, combined with civil society advocacy, can exert pressure on policy makers and can lead to policy changes.	Citizen engagement in water provision issues is promoted and supported. Other related effects: increased capacity of local CSO and individuals in legal/regulatory aspects of water services; use of and improvement of national legal and juridical systems; local ownership of processes.

## 8.A.THE ROLE OF CONSUMER ASSOCIATIONS IN HOLDING STATES AND SERVICE PROVIDERS TO ACCOUNT

### POTENTIAL ROLE FOR EXTERNAL SUPPORT AGENCIES

#### SUPPORT TO ENABLING ENVIRONMENT

Support the development of an adequate legal framework to allow for citizens to organise, file complaints and adopt legal actions; encourage the development of strategic partnerships within the sector that include civil society.

#### SUPPORT TO AGENTS

Improve consumer organisations' own internal transparency and accountability; enhance their ability to work collectively, improve skills in advocacy, and enhance access to and understanding of sector information. Avoid unbalanced support to a few actors only, which tends to further increase disparities in capacity and influence across the wider accountability system, creating situations where stakeholders are competing against one another for donor funding rather than co-operating to support change.

### PARTNERS AND INTERNAL CAPACITIES NEEDED

- Credibility - To be perceived as credible, legitimate and representative by all involved, CSOs or user associations must demonstrate independence, transparency, accountability, integrity, professional skills and expertise.
- Inclusiveness - CSOs must be aware that true participation requires pro-active measures that reach out to un-served people, i.e. even people who have limited voice in collective mechanisms or who lack access to information or redress tools.
- Willingness to listen and engage other citizens and critique government officials - CSOs must be prepared and willing to participate, to work closely with government officials and to negotiate with citizens.

### CONDITIONS FOR SUCCESS

- Quality relations between civil society and other stakeholders of the WSS delivery framework, including the executive and legislative arms of government, suppliers and regulatory body.
- Presence of public officials who are catalysed by the poor performance of the sector and willing to work for reform.
- Importance of making coalitions 'multi-disciplinary', encompassing not only users from all classes but also various NGOs and academic institutions.
- Demand-side oversight mechanisms require a receptive political and economic climate to function effectively - freedom of information, freedom of expression, openness to civil society/citizen advocacy, feedback and external pressure to engender public service improvements.
- Free press.

### EXAMPLE: CIVIL SOCIETY HOLD THE CITY OF BUENOS AIRES ACCOUNTABLE THROUGH LITIGATION ON ACCESS TO WATER IN AN INFORMAL SETTLEMENT

In 2007, an organisation of residents of a shanty town known as Villa 31 bis sued the government of Buenos Aires after it ceased delivering water to the community in container trucks. Citing General Comment No. 15, as well as the principles of progressive realisation elaborated in General Comment No. 3, the Court recognised the right to water as a human right, arguing that it forms part of the rights to life, autonomy, human dignity, health, well-being and work. The court held that "it has been demonstrated that the right to water is an operative right that must be complied with without

delay..." The Court ordered the city to continue providing the neighbourhood with water via container trucks, but also to begin work on expanding and improving the piped water network in that area. As of 2010, it was reported that the City had recently awarded a contract to begin constructing water infrastructure in the area.

Source: [On the Right Track – Good Practices in Realising the Right to Water and Sanitation - UN special rapporteur on the Human Right to Safe Drinking Water and Sanitation, 2011, p. 195.](#)

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# ACTION SHEET 8B

## ENFORCEABILITY

Monitoring performance, supporting enforcement and compliance

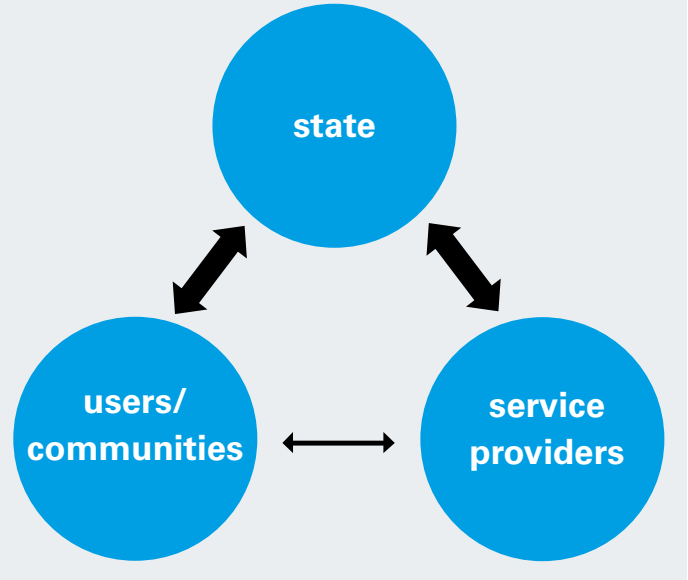
## OBJECTIVE 8:

Strengthen external and internal control mechanisms

### INSTITUTIONAL MECHANISMS FOR OVERSIGHT AND CHECK AND BALANCE

Supporting the capacity of institutional mechanisms outside the water sector for oversight can play a lead role in making the State more responsible and responsive to its citizens.

<b>TARGET GROUP</b>	- Government
<b>EXTERNAL INPUT</b>	Medium (100 000 – 250 000 USD)
<b>EXTERNAL INVOLVEMENT</b>	Medium (1 to 2 years)



## DESCRIPTION

Institutional control mechanisms are formal institutions that function under the auspices of government for internal oversight or watchdog roles which have come to assume an important role in ensuring accountability in public service delivery. These include:

- **State audit institutions** which detect anomalies (if any) in public expenditures and by doing so, ensure cost-efficiency and integrity in the management of resources in the public sector.
- **Ombudsmen** - an independent special office or person who offers a mechanism for hearing complaints and handling requests for investigations from users.
- **Anti-corruption agencies** - a permanent agency, unit or department established by a government that has the mandate of providing centralised leadership in one or more of the areas of anti-corruption – prevention, public outreach and awareness raising, policy coordination, investigation and prosecution. It has

the authority— formal or informal—to demand explanations or impose penalties on State actors.

- **Public prosecutor** – officer of a State charged with both the investigation and prosecution of crime.

Depending on the degree to which they are independent from government, such mechanisms can:

- Review legislation, policy and programmes to ensure their consistency with rights agreements.
- Investigate complaints and ensure adequate redress and resolution of issues and concerns for genuine complaints.
- Monitor compliance with national legislation and service standards.

## EXPECTED OUTCOMES

TRANSPARENCY	ACCOUNTABILITY LINKS	PARTICIPATION
Critical instances of government mismanagement that hinder public service delivery are identified. Policy-makers are provided with information regarding the effectiveness of their policies.	Public is protected from private abuses or administrative neglect. By publicising how grievances are resolved, the mechanisms can help build trust between citizens and government/ service providers and improve credibility and performance of public institutions; a good level of observance of and adherence to right to safe and clean drinking water and sanitation is obtained; fraud and corruption are deterred.	Through the mechanism for hearing complaints and handling requests for investigations from users, the public accesses a new channel for involvement in the water-management process.

## POTENTIAL ROLE FOR EXTERNAL SUPPORT AGENCIES

### SUPPORT TO ENABLING ENVIRONMENT

- Support to the legal and policy framework that underpins these institutions for internal control.
- Ensures the transparency of aid commitments and disbursements for this purpose as well as donor coordination.

### SUPPORT TO AGENTS

Taking into account the specific political and social context of each country, building the capacity of official oversight institutions to carry out their responsibilities in an independent way; supporting wider awareness about the existence and functioning of these institutions to the wider public. However, it is important to move beyond focusing on individual accountability institutions to supporting the emergence of accountability systems, networks and links among actors that involve the whole range of organisations working to demand and deliver public oversight: raising awareness of inequities and lack of accountability amongst government officials and encouraging commitment to counter it.

## PARTNERS AND INTERNAL CAPACITIES NEEDED

- These bodies need to be independent and possess the power to enforce sanctions on public authorities and

service providers that have not upheld their public service mandates.

## CONDITIONS FOR SUCCESS

- Presence of a strong judiciary, i.e. courts to back up the constitutional authority of these institutions when prosecuting cases.
- Important that public oversight mechanisms offering a dispute resolution service are accessible to all users and enjoy the confidence of the general public.
- Awareness of the public, since the complainant must be pro-active in seeking the support of an ombudsman or

similar service.

- Oversight mechanisms are most effective when findings are made public and there are provisions for these to feed into processes of official public service evaluation and reform.
- Essential that “whistle-blowers” and ordinary citizens are protected from retribution.

## EXAMPLE: INPUTS FROM DISPUTE RESOLUTION SERVICES ENABLING WATER REFORM IN PERU

The Office of the Ombudsman in Peru (established 1996) has had several primary objectives in the water sector: to improve policies and regulations for the water and sanitation sector, to enhance the utilities’ sustainability, to expand the utilities’ coverage, to improve water quality, and to enforce fair and sustainable rate schedules. The mechanism allowed the ombudsman to not only receive and respond to citizens’ complaints but to use input from the public to improve national public policy and regulations. This way, it helped to bridge the disparate interests of service users, water suppliers, and the national regulator. Importantly, as financial shortfalls were preventing water and sanitation service providers from expanding coverage and improving water quality, the Office contributed to

help users understand that they must bear the costs of water services. As of 2009, twelve water and sanitation service providers in the eight regions under review by the Ombudsman had improved access to and quality of potable water and sewerage services, and instituted micro-metering, rate restructuring, and more effective bill collection.

Source: [Advocacy by the Office of the Ombudsman: Enabling Water Reforms Based on Citizens’ Feedback in Peru, Social Accountability Notes, World Bank Institute, 2010.](#)

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# ACTION SHEET 8C

## ENFORCEABILITY

Monitoring performance, supporting enforcement and compliance

## OBJECTIVE 8:

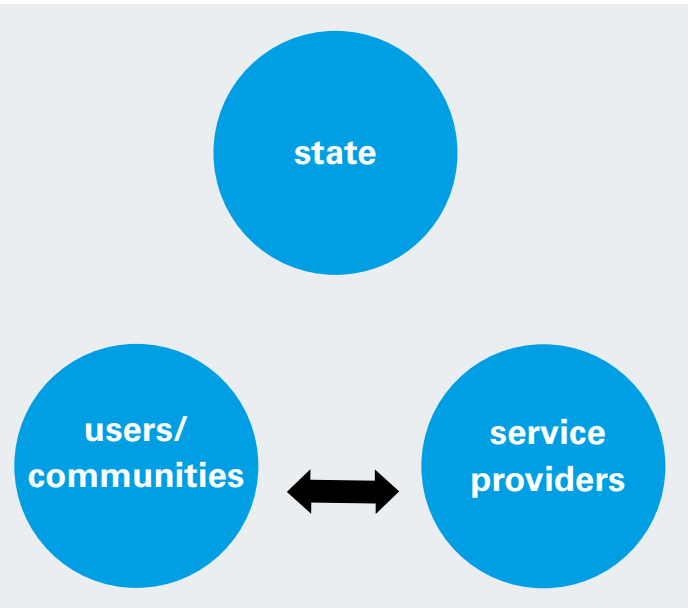
Strengthen external and internal control mechanisms

### UTILITIES COMPLAINT AND GRIEVANCE MECHANISMS

Complaint mechanisms are initiatives within the public or private WSS providers intended to enhance their accountability to citizens.

The benefit is two-fold: enabling users to demand equitable water services and enhancing the responsiveness of service providers.

<b>TARGET GROUP</b>	- Service providers
<b>EXTERNAL INPUT</b>	Low (below 100 000 USD)
<b>EXTERNAL INVOLVEMENT</b>	Medium (1 to 2 years)



## DESCRIPTION

**A complaint mechanism** is a formalised mechanism providing a safe, accessible and effective channel for individual users to bring problems quickly to the attention of relevant personnel.

The mechanisms provide a means for individual consumers to voice their concerns with WSS services being delivered (recourse) and enable them to obtain appropriate response (redress) if standards are not met. Complaint data analysis provides feedback to the provider on the satisfaction of customers on services.

There can be different entry points to submit a complaint: suggestion or complaint-handling boxes, on-line complaint

(dedicated mail boxes, email addresses, interactive websites), text messaging systems, 24-hour customer care phone lines, consumer feedback mechanisms such as surveys, office complaint windows, complaints handling officers, citizen centres etc. Complaining loudly publicly can also be a way for members of marginalised groups to hold service providers to account.

Complaint mechanisms can be set up in combination with citizen charters which lay out service delivery norms for basic services.

## EXPECTED OUTCOMES

TRANSPARENCY	ACCOUNTABILITY LINKS	PARTICIPATION
The tools provide an early warning system, where problems identified can be dealt with before they become more serious or widespread.	Consumers gain awareness of their entitlements and responsibilities; water users' needs and priorities brought to the attention of service providers in order to improve service delivery; service providers demonstrate that they recognise, promote and protect users' right to comment and complain on public service performance. Good relations, trust, transparency and dialogue are built between water providers and water users when complaints are dealt with in a satisfactory manner. This fosters a higher willingness to pay for services; fraud and corruption are prevented.	Increased user involvement in WSS provision.

## POTENTIAL ROLE FOR EXTERNAL SUPPORT AGENCIES

## SUPPORT TO ENABLING ENVIRONMENT

Beyond individual professional and technical training, the focus should be put on the organisational development of both local government and service providers in order to increase their understanding of the benefits of the mechanism. Leadership development programmes can be an important internal driver for change in this regard. Support the engagement of the regulator in developing requirements for responsiveness of service providers to complaints.

## SUPPORT TO AGENTS

Strategies to inform on the mechanisms and to empower citizens should take into account the most marginalised groups.

## PARTNERS AND INTERNAL CAPACITIES NEEDED

- The importance of good complaint handling should be understood and supported at all levels throughout the agency.
- Staff dealing with complaints need to be adequately trained and have sufficient status within the utility to resolve complaints effectively.
- The agency should possess the financial, technical and managerial capacity to act on the problem reported as well as good communication between those receiving complaints and those who must act on them.

## CONDITIONS FOR SUCCESS

- Formalisation: customer complaint mechanisms and how the utilities must deal with them, including redress, should be included in the regulation framework of the service provision with clear guidelines for it.
- Legitimacy: redress procedures within line agencies or providers should address issues concerning confidentiality and transparency of the process.
- Accessibility and equity: all consumers should be aware of the complaint mechanism and have equal access to it.
- Transparency: the mechanism must provide sufficient transparency of process and outcome.
- Authority: some of the most effective redress procedures grant significant discretion to officials to award money, impose penalties, offer apologies, and even change certain policies.
- Speed and responsiveness: complainants should be treated within clear and appropriate time limits.
- Effectiveness: a utility complaint mechanism should be backed up by a secondary external mechanism that can resolve consumer complaints that have not been resolved by the utility (such as an ombudsman office or a regulator) and a follow-up to check consumer satisfaction with the process.

## EXAMPLE: JOHANNESBURG WATER'S CUSTOMER CARE PROGRAMME

Johannesburg Water's (JW) customer care programme responded to (1) the Water Commission of the Republic of South Africa's finding of a direct link between non-payment for services with service levels not meeting community expectations, and (2) the Republic of South Africa's Municipal Finance Management Act stipulation that customers must have access to query, verify or appeal charges levied and to receive prompt corrective action by the municipalities when appropriate. JW operates two call-in centres (24 hours service, one for revenue-related complaints and the other for technical) and two walk-in contact centres, while also offering contact by mail and email to its customers. It

also maintains an open and transparent relationship with its customers and publishes a Customer Service Charter that declares the utility's commitment to provide the best possible service to its customers. JW has benefited enormously from maintaining good customer care and relations. By responding quickly and providing feedback, customers are more likely to inform the utility of service failures that can then be rectified quickly. In response, customers are satisfied and more willing to pay for the services.

Source: [Water Sector Governance in Africa volume 1, WPP, African Development Bank, 2010.](#)

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# ACTION SHEET 8D

## ENFORCEABILITY

Monitoring performance, supporting enforcement and compliance

## OBJECTIVE 8:

Strengthen external and internal control mechanisms

### INTEGRITY PACT FOR PROCUREMENT

An integrity pact (IP) for procurement is a transparency and accountability tool that strengthens the accountability relationship between the government (as a contractor) and the service providers (as bidders). It helps clarify the allocation of responsibility by setting agreed rules to be applied to procurement in public contracting of large-scale projects, enabling monitoring and defining sanctions in case of breaches of the contract. As it involves extensive and easy public access to all the relevant information at all stages of the process, an IP increases the capacity of users to hold all parties accountable

#### TARGET GROUP

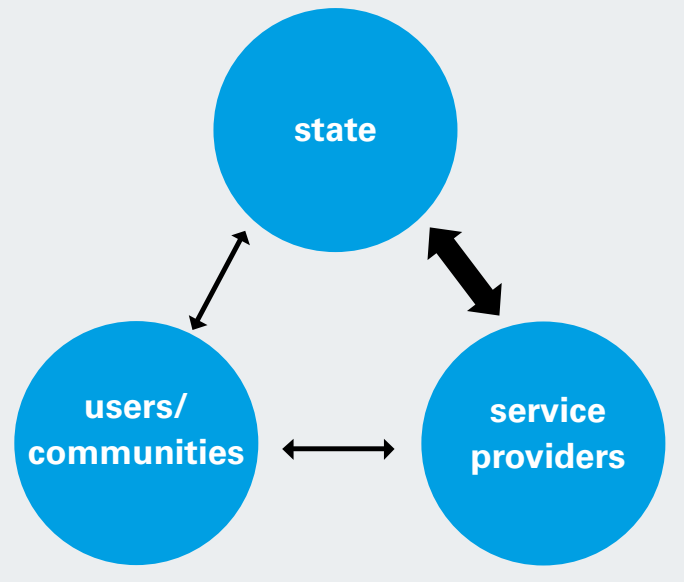
- Government
- Service providers

#### EXTERNAL INPUT

Low (below 100 000 USD)

#### EXTERNAL INVOLVEMENT

Medium (1 to 2 years)



## DESCRIPTION

An **integrity pact (IP)** is a binding agreement between a procurement agency (generally the government or a government department at the national, sub-national or local level) and all bidders for a public contract. IP can be used by government officials and agencies, private companies (the bidders) and civil society.

IPs typically have the following main features:

- A formal no-bribery commitment by the bidder.
- A corresponding commitment of the government or relevant procurement agency.

- Disclosure of all payments to agents and other third parties.
- Sanctions against bidders who violate their no-bribery commitment.
- Involvement of civil society in monitoring the bid evaluation, the award process and the implementation of the contract.
- The involvement of a third-party actor, such as Transparency International, can help coordinate and facilitate an agreement.

## EXPECTED OUTCOMES

TRANSPARENCY	ACCOUNTABILITY LINKS	EFFICIENCY
Enhanced access to information on public procurement in the water sector.	Increased trust and confidence between users and service providers/government, reduced opportunities for corruption.	Reduced cost of contracts, privatisation or licensing; increased competition is promoted for public contracts; IPs also participate to create a more hospitable investment climate.



## POTENTIAL ROLE FOR EXTERNAL SUPPORT AGENCIES

### SUPPORT TO ENABLING ENVIRONMENT

Involvement of a third-party actor can help coordinate and facilitate an agreement.

### SUPPORT TO AGENTS

Partner that leads the management of the IP process might have to be trained on procurement, checklists and manuals might need to be developed to carry out monitoring of the proper implementation of the IP. Training of journalists can also be an option. Legal expertise to be secured throughout the process.

## PARTNERS AND INTERNAL CAPACITIES NEEDED

- Leadership from government and top management of water-providing companies must be firm and enduring.
- Technical expertise within CSOs to carry out monitoring of the proper implementation of the IP.
- Interest of the media in reporting on the results of efforts.

## CONDITIONS FOR SUCCESS

- Clear commitments on the part of the government and financier.
- Access to timely and reliable information on the contracting process.
- Coordination with other national governance reforms.
- Close follow-up by media and civil society.
- Ethical commitment and motivation of all bidders.

## EXAMPLE: THE GREATER KARACHI WATER SUPPLY SCHEME IN PAKISTAN

In 2001 the Managing Committee of the Karachi Water & Sewerage Board decided that there was a need for transparency in its public procurement. Transparency International-Pakistan was brought in to devise and implement an Integrity Pact in the Greater Karachi Water Supply Scheme. The tender process for procurement contracts was completed in September 2003 and all major construction contracts were awarded at a total cost

of US\$740 million, an amount below initial department estimates of US\$880 million. The entire process, which to all intents and purpose was wholly transparent and in accordance with the spirit of the integrity pact, resulted in total savings of 16 percent.

Source: [Fighting Corruption in the Water Sector: Methods, Tools and Good Practices, UNDP, 2011.](#)

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Sustainability of WASH interventions is far below what is needed to achieve universal access to water and sanitation services. Improved governance, with clear roles and responsibilities of all actors involved, is critical for improving the sustainability of service delivery in the long run. Accountable actors of the service delivery framework provide and demand better water governance for better services. Supporting accountability within the service delivery framework is about improving the quality of relationships between stakeholders. Accountable States, service providers and users assume responsibility and answer for their actions – all key elements for breaking institutional inertia and making the institutional arrangements and systems for service delivery work for all.

The Reference Guide for Programming is a practical document providing tools and guidance on how to support accountability in programming for successful and sustainable water and sanitation service delivery.

This paper has been produced under the “Accountability for Sustainability” programme, a partnership between the UNDP/SIWI Water Governance Facility and UNICEF which aims to increase the sustainability of WASH interventions by enhancing accountability in the service delivery framework.

For further information, comments and feedback, please contact the UNDP Water Governance Facility at Stockholm International Water Institute.

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# ACCOUNTABILITY FOR SUSTAINABILITY



Empowered lives.  
Resilient nations.