Accountability for Water: *How to put the last first*
SIWW Showcase: Thursday 29 August 16:00 – 16:45 Room M1
Session objectives and structure

1. Country perspectives on accountability for water and future priorities
   Tseguereda Abraham, Head of Sector Strengthening, WaterAid Ethiopia
   Peter Njaggah, Director WASREB, Kenya

2. Preliminary findings on the global evidence review
   Nick Hepworth, Water Witness International

3. Input and engagement in the Accountability for Water Research Programme
   Martin Atela, Partnership for African Social and Governance Research
Accountability for Water-how to put the last first

Strengthening Accountability Systems

Tseguereda Abraham

Head of Sector Strengthening/ WaterAid

29/08/2019
Context

Ethiopia

- Accountability key to improve WASH service delivery, quality and sustainability
- New leadership introducing political and economic reforms with openness to citizen participation and opening up the political space
- Increasing communal conflicts
Social Accountability

Enhancing Accountability & Regulation

- working with local government to set up woreda-level social accountability platforms.
- These are open spaces where community members, government officials and service providers work together to assess performance of the water services.
- Community groups discuss first independently and then in an interface meeting.
Social Accountability

Customer Forums

- Bridging Utility together with customers
- Engaging in customer complaints resolution
- Maintaining transparency and equity on service delivery
- Mobilizing resources for the poorest community groups to get access to drinking water supply
- Engaging in leakage control, water safety plan and water quality control
- Functioning as check-and-balance for water utility

Urban - Utility Platforms

Town Level

Kebele

Sub-kebele

Sub-kebele

Sub-kebele

Sub-kebele
Future priorities

Sustained accountability systems

Understand Accountability blockages & motivators
- Clarify roles and responsibilities vis-à-vis mismatch with national policy.
- Understand what motivates people in government and track over time.
- Measure local government responsiveness and links to the political process.
- Strengthen incentives for local government officials and service providers.
- Identify critical capacity gaps and invest via systems strengthening plan.

Make Accountability part of Utility performance KPIs
- At national level reward utilities based on user feedback
- Customer forums part of national performance monitoring in the ONE WASH Program
- Generate learning to support design and formation of an effective water regulator
Regulator led accountability: lessons from Kenya

BY

ENG. PETER NJAGGAH

WATER SERVICES REGULATORY BOARD
Constitution and Primary law (Water Act)

- Accountability is well grounded in the constitution and the primary law
- Article 10: National values and principles of governance (transparency & accountability)
- Chapter 4: Bill of rights - right to safe and adequate water. Right to reasonable standards of sanitation.
- Chapter 6: Leadership and Integrity - Accountability to the public for decision and actions.
RATIONALE FOR STRONGER ACCOUNTABILITY

Pre-reform years in Kenya were characterised by:
- Deficiencies in water resources management & provision of WSS services
- Missing consumer orientation
- Consumers with no voice
- No pro-poor policy
  → Consumer discrimination, frustration and discontent

New Water Act in 2002 – Reforms
- Objective: improve governance, management & ultimately services
- Separation of roles, decentralization of mgmt. structures
- Monitoring role discharged through Regulator
GAP IN ACCOUNTABILITY

NB: neither WASREB nor WSBs provide services directly to the consumer
TOOLS USED

- FGDs
- Community Forums
- Public Hearings
- Community outreach/publicity campaigns
- Series of feedback/review meetings with WSPs, WSBs & WASREB
- Complaints form for documentation & structured follow-up

FGD in Kakamega
Customers submit feedback to portal with basic mobile phones.

A central web portal orders, tracks and escalates complaints.

Regulator generates reports for analysis on systemic sector problems for decision making and recommendation.

Utilities receive and resolve complaints through internal work flow; feedback to customers; WAGs monitor & periodically engage.
SUCCESSES & KNOWLEDGE GAPS

- Enhanced utility responsiveness/accountability
- Improved company-community relations
- Support to utilities in reducing NRW (esp. illegal connections)
- Aspect of volunteerism (How far? How much?)
- Resistance from line staff (suspicion, lack of cooperation)
- Logistical & capacity constraints in operations
- Sustainable funding mechanism required
- Maintaining political will
Accountability for Water global evidence review: preliminary results
Nick Hepworth, Water Witness International
Accountability is the **fulfilment** of **responsibilities, duties** and **commitments**, demonstrated through **monitoring** and **reporting**, **answerability** for performance, and the availability of **corrective measures** and **sanctions**.

**A spectrum or ladder of accountability:** from individual, social, contractual, to legal and political accountability
Background to the evidence review

• Builds on analysis, discussions and collaboration in Stockholm since 2016, and the Accountability for Water Thinkshop 2018

• Priority questions facing practitioners, policy makers and donors identified

• Global review of evidence on accountability and advocacy to:
  i. Establish the current knowledge base
  ii. Validate Accountability for Water Research Programme design
  iii. Develop a comprehensive knowledge platform
  iv. Guide future research and support the growing community of practice and policy
Accountability for Water: Theory of Change

**ISSUE**
Poorly performing service delivery and governance drives water insecurity (WRM and WASH)

**INTERVENTIONS**

- Social accountability monitoring & initiatives
- Budget analysis, tracking and reporting
- Evidence-based advocacy
- Statutory accountability mechanisms

**What evidence is available on the outcomes of accountability and advocacy in the water sector and the factors which determine their impact?**

**IMPACT**

- Improved water, sanitation and hygiene services
- Improved water resource management

**Water security for poverty reduction, resilience and sustainable growth – Global Goal 6**
What is the evidence regarding accountability and advocacy in the water sector and the factors that determine their impact?

**Literature Records:**
7418

**Databases:**
Web of Science, Scopus, Science Direct, Econ Lit, Journal of Development Studies, 71 specialist websites
What is the evidence regarding accountability and advocacy in the water sector and the factors that determine their impact?

<table>
<thead>
<tr>
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<th>7418</th>
</tr>
</thead>
<tbody>
<tr>
<td>Duplicates</td>
<td>372</td>
</tr>
</tbody>
</table>

**Exclusion Criteria:**

- **Language:** English only
- **Date:** from 1999 only
- **Topic:** water sector
- **Intervention:** must explore accountability/advocacy mechanisms cited in ToC

6498
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**Duplicates:** 372

**Quality:** methods not fully described

**Total:** 6498
What is the evidence regarding accountability and advocacy in the water sector and the factors that determine their impact?

- Literature Records: 7418
- Duplicates: 372
- Total Discarded: 98.96%
- Exclusion Criteria:
  - Language: English only
  - Date: from 1999 only
  - Topic: water sector
  - Intervention: must explore accountability/advocacy mechanisms cited in ToC
- Databases:
  - Web of Science
  - Scopus
  - Science Direct
  - Econ Lit
  - Journal of Development Studies
  - 71 specialist websites
- Quality: methods not fully described: 471
- Final sample for coding and mapping: 77
- Final Sample: 1.04%
Accountability for Water – distribution of global evidence: final sample of papers for coding

https://waterwitnes.org/accountability-for-water-evidence-review
Accountability for Water: Theory of Change

ISSUE

Significant numbers of the global population face water insecurity – lacking access to sustainable, good quality, affordable, equitable hygiene, sanitation and water services; secure water tenure and protection against pollution, conflict, resource degradation, flooding and drought. This undermines health, wellbeing, livelihoods and economic opportunities. The root cause of these problems is poor governance rather than absolute scarcity or absence of technological solutions (UNDP 2006, Hepworth et al 2012).

OUTCOMES

Improved water, sanitation and hygiene services: a) availability; b) accessibility; c) quality; d) affordability; e) sustainability; f) equity

Improved water resource management: access to adequate water for health, livelihoods, economy and ecosystems, sustainable resource use, pollution control, reduced conflict, droughts and flood events

Shared water security for poverty reduction, resilience and sustainable economic growth - Global Goal 6: Ensure availability and sustainable management of water and sanitation for all

INTERVENTION

Social accountability monitoring & initiatives:
- Citizen report cards
- Social audit
- Rights activation
- Community scorecards
- Participatory situation analysis/community mapping
- Strengthening citizen voice

Budget analysis, tracking and reporting:
- Public Expenditure Tracking Surveys
- Participatory budget processes
- Participatory budget analysis and expenditure review

Evidence-based advocacy:
- Research and analysis
- Freedom of Information Campaigns
- Media campaigns
- Lobbying
- Public hearings, debate and dialogue processes
- Integrity audits

Statutory accountability mechanisms:
- Public complaint & grievance mechanisms
- Citizen oversight panels
- Formal audit and disclosure
- Ombudsman services
- Customer service charters
- Public interest litigation

INSTITUTIONS

Process change
Plan or program change
Organisational performance change
Policy or law change
Political recognition/will
Operation, maintenance, monitoring reporting change
Enforcement & compliance change
Representation & inclusion change
Informal institutions/social capital change
Infrastructure & investment change
Access to data, information, knowledge change

Material change in water use, behaviours, environment etc
Outcomes associated with accountability and advocacy interventions: frequency in literature and nature of effect

http://egmopenaccess.3ieimpact.org/evidence-maps/accountability-water-evidence-review-outcomes-and-impacts?type=share
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**Outcomes**

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<th>Process change</th>
<th>Plan or program change</th>
<th>Organisational performance change</th>
<th>Policy or law change</th>
<th>Political recognition /will</th>
<th>Operation, maintenance, monitoring reporting change</th>
<th>Enforcement &amp; compliance change</th>
<th>Representation &amp; inclusion change</th>
<th>Informal institutions / social capital change</th>
<th>Infrastructure change</th>
<th>Access to data, information, knowledge change</th>
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**Intervention**

- **Social accountability monitoring & initiatives:**
  - Citizen report cards
  - Social audit
  - Rights activation
  - Community scorecards
  - Participatory situation analysis/community mapping
  - Strengthening citizen voice
- **Budget analysis, tracking and reporting**
  - Public Expenditure Tracking Surveys
  - Participatory budget processes
  - Participatory budget analysis and expenditure review
- **Evidence-based advocacy**
  - Research and analysis
  - Freedom of Information Campaigns
  - Media campaigns
  - Lobbying
  - Public hearings, debate and dialogue processes
  - Integrity audits
- **Statutory accountability mechanisms**
  - Public complaint & grievance mechanisms
  - Citizen oversight panels
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**Issue**

- Significant numbers of the global population face water insecurity – lacking access to sustainable, good quality, affordable, equitable hygiene, sanitation and water services; secure water tenure and protection against pollution, conflict, resource degradation, flooding and drought. This undermines health, wellbeing, livelihoods and economic opportunities. The root cause of these problems is poor governance rather than absolute scarcity or absence of technological solutions (UNDP 2006, Hepworth et al 2012).

**Determinants/Factors**

- Constructive approach
- Strong evidence/science base
- Approach to public engagement & communication
- Human resources, motivation & skills
- Strategic design/model
- Gender sensitivity/equity
- Longevity
- Donor support (approach)
- Collaborative/partnership approach
- Low public awareness
- Funding & financial resource
- Leadership & champions
- Community capacity
- Trust & legitimacy
- Community, culture and power dynamics
- Scale of engagement
- Government alignment
- Decentralisation
- Political perception
- Shrinking CS space
- Media quality/performance
- Environment & water use context
- Rates of literacy/education
- Ambiguous institutional responsibilities
- Inter-agency accountability
- Presence of standards, sanctions, clear rules
- Government capacity

**Impact**

- **Improved water, sanitation and hygiene services:** a) availability; b) accessibility; c) quality; d) affordability; e) sustainability; f) equity
- **Improved water resource management:** access to adequate water for health, livelihoods, economy and ecosystems, sustainable resource use, pollution control, reduced conflict, droughts and flood events

Shared water security for poverty reduction, resilience and sustainable economic growth - Global Goal 6: Ensure availability and sustainable management of water and sanitation for all
Factors influencing accountability & advocacy interventions: frequency of discussion in literature and nature of effect

INTERNAL FACTORS

- Training, human resources, skills, motivation, and professionalism
- Collaborative/ partnership approach
- Public communication, engagement, and outreach
- Strategic design/implementation model
- Approach to external/donor support
- Gender sensitivity
- Convening and dialogue process
- Longevity
- Strong evidence/science-based
- Constructive/no malice

Legend:
- Enabling
- Constraining
- Both
- Undefined
Factors influencing accountability & advocacy interventions:
*frequency of discussion in literature and nature of effect*

**BOUNDARY FACTORS**

<table>
<thead>
<tr>
<th>Factor</th>
<th>Enabling</th>
<th>Constraining</th>
<th>Both</th>
<th>Undefined</th>
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</thead>
<tbody>
<tr>
<td>Community, cultural, and power dynamics</td>
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<td></td>
<td>20</td>
<td></td>
</tr>
<tr>
<td>Trust and legitimacy</td>
<td>10</td>
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<td>5</td>
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<tr>
<td>Community capacity-incentives</td>
<td>15</td>
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<td>5</td>
<td></td>
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<tr>
<td>Alignment with govt systems and protocols</td>
<td>15</td>
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<td>5</td>
<td></td>
</tr>
<tr>
<td>Funding and financial resource</td>
<td>12</td>
<td></td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Decentralisation</td>
<td>10</td>
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<td>Scale of engagement</td>
<td>12</td>
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<td>3</td>
<td></td>
</tr>
<tr>
<td>Low public awareness/interest</td>
<td>8</td>
<td></td>
<td>6</td>
<td></td>
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<tr>
<td>Leadership/champions</td>
<td>7</td>
<td></td>
<td>7</td>
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</tbody>
</table>

*Legend:*
- Enabling: Light green
- Constraining: Red
- Both: Yellow
- Undefined: Blue
Factors influencing accountability & advocacy interventions: *frequency of discussion in literature and nature of effect*

EXTERNAL FACTORS

http://egmopenaccess.3ieimpact.org/evidence-maps/accountability-water-evidence-review-factors?type=share
Conclusions: *the state of the evidence*

- Relatively limited in volume, geography and quality.
- Limited focus on WRM (21) and agricultural water management (1).
- More work needed to look at attribution of impact to interventions.
- Some big gaps (gender, media, budget work) and knowledge is formative but some very useful insights.
- Validates and focuses the need for additional research.
Conclusions: what does the evidence tell us?

• Insights on enabling factors can lead to stronger intervention designs and guide effort to strengthen accountability. e.g.
  ➢ Institutionalizing accountability mechanisms
  ➢ Closing the accountability loop - ensuring an ongoing iterative cycle of monitoring, reporting, action
  ➢ Frequency/tenacious application of these mechanisms
  ➢ Unambiguous institutional responsibilities

(WaterAid, 2014; Public Affairs Foundation, 2016; Laurie & Crespo, 2007; Nass, 2018)

• Much more to come...
Next steps:

• Finalisation of coding, review and synthesis report
• Launch of knowledge platform
• Webinar on key findings and implications
• Launch of Accountability for Water Research Programme to address gaps
Strengthening knowledge, policy and practice for accountability to improve water governance and service delivery, to accelerate delivery of SDG6

Martin Atela, Programme Manager, PASGR
Accountability for Water Research Programme

What is it?

• An initial investment by the Hewlett Foundation and others starting 2020
• Practitioner-research partnership to support and strengthen accountability across the water sector
• Collaborative: >50% southern partners
• Delivers on priorities of stakeholders and involves them
• Ensures a strong legacy of action and impact
Goal and objectives:

Strengthen knowledge, policy and practice for accountability in the water sector to improve governance and service delivery in order to accelerate delivery of SDG 6: Sustainable water and sanitation for all.

a) Knowledge generation: Address the priority knowledge needs facing stakeholders on accountability for water.

b) Outreach and uptake: insights and outputs valued and used by stakeholders at the local, national and international scale.

c) Programme legacy: researchers and practitioners better equipped and inspired to collaborate in the future.
Accountability for Water: Workstream 1 - Research

Community dynamics of accountability for water
1. What factors stimulate and sustain, or subdue and constrain citizens and communities?
2. How inclusive and equitable are accountability initiatives on water?
3. How do religious and customary groups interact with accountability on water, and what can be learned from ‘autonomous’ action?

Duty-bearer dynamics of accountability for water
1. What factors stimulate and sustain, or subdue and constrain government mechanisms and responsiveness?
2. How equitable and inclusive are government mechanisms and responses?
3. What are the optimal strategies and tactics for working with government?
Accountability for Water: Workstream 1 - Research

Enabling and sustaining accountability for water
1. What works in different contexts and what determines performance?
2. Methodologies and metrics to support, deliver, measure and evaluate impact?
3. How can legitimacy and adequate resourcing be secured and how should we respond to the ‘closing space’?
4. How can ICT be best harnessed to support practice?
5. What forms of collaboration, knowledge and external support are most useful to stimulate sustained action on accountability for water?
Workstream I output summary:

- Overarching report
- Country and thematic reports
- Journal papers
Workstream II: Driving outreach and uptake

1. Country level convening and learning
2. Regional events and peer-to-peer learning
3. Practice papers, methodological guidance and case studies
4. Global communications and knowledge sharing
Workstream III: Ensuring legacy

1. Country, Regional and Global Accountability for Water strategies

2. Research group and learning network

3. Curriculum development
Potential structure/architecture of the research programme

TIMELINE

Yr. 1 Inception and planning
RF training & development

Yr. 2 Research and field deployment
(Learning retreat)

Yr. 3 Outputs and uptake
(Regional conference/learning event)

Enabling environment

Government dynamics

Community dynamics

Tanzania  Ethiopia  Kenya  Zambia  Region

15 Research fellows (and PhDs tbc)

OUTPUTS

1. Overarching report/paper
2. Country and theme reports
3. Nat, Reg and Global Accountability for Water Strategies
4. Research uptake/policy engagement effort
5. RFs, PhDs and research group
6. Capacity & curriculum

ROLES

Global Advisory Group – National Advisory Groups

Management team: Grant Management (PASGR) and Technical support team (WWI), Mentoring (IDS)
Delivery team, partners, roles and responsibilities

Global Advisory Group
8 partners and country representatives: WaterAid, Oxfam, WIN, Shahidi wa Maji, KeWASANET, ESAP, AMCOW (tbc)

Programme management, coordination, administration and technical support

PASGR (Grant leadership, financial administration and accountability, quality assurance)

WWI (Technical leadership & learning, knowledge management)

IDS (Research Fellow support, mentoring and PhD supervision)

Tanzania
Lead partner: Shahidi wa Maji
Government partner/anchor: MoW, EWURA-CC
Research Fellows: From: CSO, Community representative, Government, Research/academic community
National Advisory Groups: From: CSO, Community representative, Government, Research/academic community, donors/development community

Kenya
Lead partner: Kewasanet
Government partner/anchor: WASREB
Research Fellows: From: CSO, Community representative, Government, Research/academic community
National Advisory Groups: From: CSO, Community representative, Government, Research/academic community, donors/development community

Ethiopia
Lead partner: ESAP (tbc)
Government partner/anchor: Water Development Commission
Research Fellows: From: CSO, Community representative, Government, Research/academic community
National Advisory Groups: From: CSO, Community representative, Government, Research/academic community, donors/development community

Global/Regional learning and impact partners: AMCOW, IUCN, IHE Delft, Watershed, World Bank, DFID, CapNet, INBO, GWOPA, GPSA, SIWI, ELI, IWMI, OHCHR, UN-Water, ActionAid, SWA, Agenda for Change ++
Guiding questions

• How can we make the knowledge platform most useful to you? – what would you use it for?

• What key questions do you want the evidence review to examine?

• Will Professional Research Fellowships be an effective vehicle?

• How can this new action research best serve your needs?

• How would you like to interact/be involved?
  – Operational partner
  – Advisory Group
  – Learning Partner
  – Other?