

ABSTRACT VOLUME

World Water Week
in Stockholm

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Water for Development

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Workshop 8:
(Re)thinking governance

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Workshop: (Re)thinking governance

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Addressing governance and integrity challenges in community-managed water systems, Kenya



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Keywords: Integrity, Water Supply, Community-based, Regulation, Performance

Introduction and objectives

In Kenya, rural water supply is largely managed by community groups operating outside the regulatory system. Poor governance, failures in O&M and cost recovery often lead to poor services and non-functional infrastructure shortly after the supporting agency exits. There is thus a need to address integrity issues to improve water services in rural communities. The 'Integrity Management Toolbox' developed by WIN, CEWAS and GIZ proved to be a useful approach for formal urban companies. The simplified methodology presented in this paper shall enable community managed rural water systems to improve performance by managing integrity risks and formalising operations

Methodology approach

Caritas Switzerland and WIN are developing an Integrity Management Toolbox for community-managed water supply systems that is inspired from the process developed for urban water service providers. In a first step, key governance and integrity challenges to be tackled were identified in a regulatory assessment study of rural water services that took into account the current decentralization process and water sector reforms in Kenya. Based on the assessment and Caritas Switzerland field experience, the methodology was fundamentally adapted and simplified for community groups with low literacy level. It is currently being piloted in Kenya with community managed groups.

Analysis, results, conclusions and recommendation

The regulatory assessment as well as Caritas field experience showed that, integrity challenges in community-managed water supply systems largely arise from the informal nature of their operations. Besides not having a legal status as organisations, they are also not embedded within the regulatory framework that would compel them to adhere to certain standards of governance, service provision, tariff setting and cost recovery, O&M reporting and quality management. Therefore, the toolbox will also support communities to become compliant with the regulatory framework and to professionalise their operations. Thus, the approach fosters both upward accountability to oversight authorities, as well as downward accountability to the community served.

The toolbox is composed of a series of three workshops. During this first workshop, the main integrity risks and possible solutions to address them will be identified in a participatory and innovative way. Participants gain understanding of the governance framework in which they operate an awareness that being linked to the legal and regulatory framework is an enabling rather than a disabling factor – and that this would professionalize the way the water systems are operated, enhance accountability, ethical practices and transparency, and sustainability of the water systems. The following two workshops will review the progress of implementing the solutions. Once an integrity risk is addressed, next risks and

its respective solution can be considered and implemented.

The overall methodology, as well as large parts of the integrity risks and solutions can be replicated to any community-managed water systems. Regarding the specific steps on increasing compliance with the regulatory framework, the current toolbox is specific for the Kenyan Context. Adapting the toolbox to a new country would require an assessment of the regulatory framework.

The presentation will introduce the approach and share insights of the piloting process, which will have been finalised by then.

Multi-Stakeholder Platforms for Inclusive Economic Development

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Keywords: Multistakeholder, platforms, public, private, water

Introduction and objectives

No actor alone has the ability to solve the world's water problems alone, but by working together, developing and implementing strategies, policies, plans and programs, much more can be achieved. The 2030 Water Resources Group (2030 WRG) brings transformative change to water resources planning by convening national multi-stakeholder platforms and facilitating structured processes – including key public decision-makers, concerned private sector champions and civil society representatives – who catalyse sustainable, rational, economics-based solutions to closing the water supply demand gap. The Group's work approach is to raise awareness through analysis, triggering momentum through convening and enabling transformation by others.

Methodology approach

2030WRG is an innovative public-private-community platform for collaboration at the global as well as national and local levels. It mobilises stakeholders from public and private sector, civil society, centres of academic expertise and financing institutions to engage in fact-based, analytical water security approaches and coalition building.

2030WRG supports governments in their long-term development and economic growth plans by catalysing sustainable water sector transformations and accelerating reforms. 2030WRG was initiated in 2008 by multinational companies, donors and development banks. After incubation within the World Economic Forum, it became part of the World Bank Group (International Finance Corporation) in March 2012.

Analysis, results, conclusions and recommendation

Integrated water resources management projects are inherently cross-sectorial in nature, and require the active participation of many different types of organisations from the public sector, private sector and civil society to be effective.

By bringing together all these different types of organisations and high-level political leaders, multi-stakeholder platforms can deliver socially transparent, legally effective and institutionally fair solutions. Close and constructive collaboration overcomes water related conflicts that hold back development. Clear and transparent prioritisation of projects means that funds are spent effectively, benefitting host societies and alleviating water stress.

The 2030 WRG's convening initiatives are a central component of its engagement process, bringing together public, private, and civil society stakeholders to help create broader awareness, momentum, and to trigger actions. It is through our platforms and structured dialogue processes that stakeholders identify and agree on key priorities and activities, and to help forge trust-based partnerships towards transformation.

The 2030WRG recognizes that a structured and sustained multi-stakeholder dialogue process that has

the commitment of government is a significant step forward in countries in which 2030 WRG engages. Multistakeholder platforms are a key governance structure for inclusive development and fair deals. They can be constructed in various forms: as formal locally established multi-stakeholder platforms, as structured and ongoing dialogue processes, or even integrated into already existing entities, structures, and processes. 2030WRG is fostering effective compacts that foster the fair use of water for people, the environment and sustainable economic growth.

New-wave interventions to transform water governance and integrity: evidence from Africa



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Keywords: Water stewardship standards, social accountability, integrity, private sector, Africa

Introduction and objectives

Across Africa the implementation of progressive water resource policy and law has stalled and IWRM processes are stagnating. Their promise of better governance to coordinate water use for growth, ecosystems and livelihoods has been frustrated by a range of factors. ‘Explicit’ barriers include data, capacity and sector investment, but behind these lie a set of less well-aided ‘tacit’ constraints associated with incentives, authority, integrity and political economy. This paper reports on new civil-society led interventions which navigate these constraints and can unlock progress towards water security: social accountability monitoring, budget analysis and advocacy; and water stewardship standards and a global ‘integrity framework’.

Methodology approach

Two interventions by Water Witness International and partners are reported, along with initial outcomes and insights about scalability.

1. Uhakika wa Maji is the first systematic social accountability monitoring in WRM globally. With financial support from DFID and Scottish Government, communities facing pollution, conflict, drought and flood impacts or lack of entitlement are facilitated to activate water institutions and statutory duty bearers. Responses are tracked and combined with parallel budget analysis to diagnose sector performance and inform evidence-based advocacy.

2. The Alliance for Water Stewardship’s Standard has been implemented for the first time in Africa at a major coffee production site in the Ruvuma Basin, alongside an Integrity Framework. The implications, costs and benefits for the site, local communities, the basin and WRM institutional performance are reported.

Analysis, results, conclusions and recommendation

Both interventions show positive results for improved institutional functioning for water security at community, catchment and national level, with particular benefits for vulnerable communities. They also have potential for scaling, albeit with important conditions.

1. Since 2013 Uhakika has yielded:
 - a. Social accountability monitoring across ten case-studies and 50 activations of improved water security for 240 000 people, providing compelling evidence of the importance of functional WRM for poverty reduction and growth.
 - b. In some cases positive action is now underway to address issues including uncontrolled pollution, and to issue water use permits. Where action has not been forthcoming, barriers have been traced to inform ‘constructive advocacy’ targeted

- at public, policy makers and practitioners. New action can be traced to address systemic challenges flagged by the cases.
- c. Budget and resource analysis of the sub-sector highlights: a disproportionate spend on consultancy, compensation and allowances vs operational WRM; unaccounted spend masks 10% of expenditure; unit costs such as establishing Water User Associations can be unexpectedly high.
 - d. The analysis also reveals: that basin offices responsible for WRM have between 20% and 50% of the staff needed to operate effectively; that operational budgets are inadequate and arrive late; that self-financing appears unviable, and 1:9 ratio of government to donor investment on WRM. This new public oversight of sector expenditure is reported to be a significant factor in reducing fiduciary risk, improving integrity and aid efficacy.

Third party evaluation will verify achievements and explore impact in 2015, however it appears that locally-led social accountability monitoring has potential as a low-cost, high-impact intervention to activate WRM institutions, incentivise duty bearers in government and improve water security. Challenges include ensuring adequate gender inclusion, conflict mitigation, strong local ownership, and navigating the difficult landscape of fragmented/ungrounded WRM interventions, and the associated circus of workshops and per diem culture. Scalability seems contingent on freedom to constructively challenge government performance and the 'Uhakika approach' in more oppressive state regimes will be challenging.

2. WWI and partner support for implementation of the AWS standard and Integrity Framework at Olam International's Aviv site provides the following early insights:

- a. Implementation of the standard is a cost-effective methodology for a site and company to flag and respond to priority water risks at the site and catchment level, and to demonstrate this through third-party verification.
- b. The standard can perform well in driving equitable water use and improved governance within challenging basin contexts where water is contested among disparate water users and institutions under-performing and poorly resourced.

The standard and framework are potentially important drivers for integrity, accountability and greater water security, and the management of operational, reputational, regulatory and financial risks across global supply chains. Their wider uptake requires increased demand from supply chain managers, financiers and consumers and this is where immediate efforts for scaling should be focused.

Mis-streaming Gender in Water Governance



Author: Dr. Sara Ahmed, Gender and Water Alliance, India

Keywords: gender, governance, agency, equity, sustainability

Introduction and objectives

Gender analysis while critical to the knowledge base for water decision-making, has largely been 'mis-streamed' or reduced to a technical check-list. Moving attention to gender and social equity beyond disaggregated numbers remains a challenge both in terms of practice, measurement and policy influence. How, for example, do you measure a transformative agenda for water governance, or understand the complexity of women's agency and empowerment in water management? How has the enabling environment changed in the 21st century and what does this imply for access to safe and sufficient water for women and marginalised communities?

Methodology approach

Using reflexive analysis, the paper draws on structured, in-depth interviews and content analysis from diverse water-society environments (for example, rainfed agriculture to aquaculture) to understand the contours and challenges of a gender transformative water and livelihoods agenda in South Asia. The paper seeks to assess the role of leadership - from elected representatives to NGOs, donors and government at different levels, in facilitating gendered water governance in the context of economic change and climate uncertainty.

Analysis, results, conclusions and recommendation

Not surprisingly, despite the evidence, social equity and gendered analysis are often the last recourse or consideration when building institutions. Women leaders, particularly from socially marginally communities, face the double challenge of 'voice' and time for participation in environments where male outmigration is growing (the middle hills of Nepal) or decades of conflict have affected male demographics (Sri Lanka). Technologies that reduce women's water-related drudgery or provide income generating opportunities are critical, but not sufficient in moving towards a transformative agenda.

Governance, reform and aid - understanding what can go wrong



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Keywords: Reform, Aid, Donor, Development, Social capital

Introduction and objectives

The presentation addresses the challenges of implementing successful water sector reforms in fragile and aid dependent developing states. The various typical reform actors and their respective roles in supporting or undermining the various stages of the reform process are discussed. In particular, some of the controversial dilemmas that are associated with donor funded initiatives are explored with the aim of explaining reform failures and informing future aid interventions and strategies.

Methodology approach

The presentation draws on a completed PhD research project. Based on a case study approach, the research examines the water sector reform in Lebanon using quantitative and qualitative methods. The various chronological phases of the reform were outlined and evaluated. 43 key informants spanning the various institutional actors groups were interviewed and their views on the reform were analyzed. Furthermore, a donor funded survey was conducted on 1000 households across Lebanon to provide a quantitative statistical representation of water consumption and spending patterns, attitudes towards water conservation, public utilities, and the reform process.

Analysis, results, conclusions and recommendation

The study reveals a number of significant local and foreign actors and articulates their various roles in the different phases of the reform process, from formulation to implementation. The qualitative analysis of the transcribed key informants' interviews highlighted the complex interactions between the donors and the policy makers, and the resulting impact on the reform design and implementation phases. The survey results reflected the level of awareness of the general public about water issues and the reform.

The analysis reveals a number of shortcomings resulting from the donor pushed reform. Particularly with the attempt to implant packaged IWRM principles without fully taking into consideration the level of institutional maturity and the capacity of the actors to implement, the research indicates that that resulted in further weakening the existing institutional landscape as well as the overall measures of sustainability. This institutional landscape is further complicated by the various socio-political divides that segregate the various communities and weak law enforcement, making the management of any shared resource even more difficult.

The household survey also revealed, in addition to the significant water related socio-economic cost, a lack of public awareness of the ongoing reform and the issues it is trying to address. It also demonstrated a low level of trust in the public institutions.

The recommendations highlight the importance of customizing aid funded reforms that are based on global development guidelines and trends such as IWRM to the local landscape and specific country priorities. Social capital in its various dimensions also emerges as a critical success factor, and building this capital ought to be considered a priority in any development aid strategy regardless of the sector.

China's Role in Developing Mekong River Basin: Governance, Development, Sustainability



Author: Prof. Suzanne Ogden, Northeastern University, United States

Keywords: Mekong, China, hydropower, development, governance.

Introduction and objectives

As the Mekong's uppermost riparian, China has had few incentives to share costs imposed by its hydropower and natural resource development on the Lower Mekong River Basin (MRB); but China's approach to the Upper Mekong's natural resource and hydropower development has not necessarily differed from the Lower MRB countries' approach. Nor has China's development always been detrimental to them. With the creation of the Greater Mekong Subregion (GMS) concept, which is conceptually, geographically, and economically broader than just the MRB, China has more reasons to share in the costs/benefits of development and sustainability for the subregion.

Methodology approach

Study includes findings from field research in MRB. It examines costs/benefits associated with developing MRB and broader GMS. It focuses on the context affecting China's policy, institutional, and economic development and governance of MRB/GMS, including problems of environmental sustainability in a rapidly changing environmental, ecological, economic and political context. Tensions between Yunnan Province and Beijing on developing and distributing Yunnan's Mekong hydropower are contextually significant. Comparing China's and other five MRB states' approach to natural resource and hydropower development, study focuses on major challenges MRB states confront in sharing costs/benefits of basin development, and difficulties of carrying out regionally-based IWRM.

Analysis, results, conclusions and recommendation

The GMS Economic Cooperation Program has expanded the benefits of cooperative development among its six countries and is, arguably, leading China to share more of the benefits, and costs, of developing both the MRB and the GMS in a sustainable manner. China's efforts to develop Yunnan Province as the centerpiece of the GMS has led to its recognition of the benefits emanating from the subregion's growing interdependence in trade, transportation, tourism, and the need to cooperate on issues like human smuggling and drug trade.

The conceptual reasoning of the GMS, rather than that of IWRM, may provide the critical framework for moving China toward more cooperative, non-zero-sum thinking about controlling the Upper MRB. This could result in agreements concerning the sustainable development and security (national, food, energy, water) of the MRB/GMS countries.

The inability of stakeholders even within their own respective states to agree on defining 'the problem' illustrates the fundamental challenge of managing the MRB, as without agreement on 'the problem,' agreement on 'the solution' will be illusive. Even the meaning of "environmental protection" and how development is framed within the context of "environmental sustainability" is contested by NGOs, INGOs, governments, hydropower companies, and other stakeholders, in China and throughout the MRB.

China's most powerful stakeholders favor the developmental approach, with poverty alleviation in Yunnan Province as part of its "develop the West" strategy that began in 2000. Indeed, the debates over means, ends, and impacts are just as fierce within China itself as between China and downstream Mekong riparians. Understanding how politics, political values, economic necessities and the market, and social and cultural attitudes and values affect water management is essential. So, a multidisciplinary approach that integrates the social, political, and economic context/concerns with science is fundamental to better managing the MRB's complexities and sharing costs/benefits.

Social Accountability as Driver for Sustainable Development

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Keywords: social accountability, budget tracking, transparency

Introduction and objectives

Simavi uses different social accountability strategies at community level to give voice to the voiceless. Social accountability is an interactive process that aims to increase citizen influence (voice) and to strengthen the response of the local WASH providers and decision makers. It breaks social and systematic barriers in a context where national policies seem to be adequate, but where, in reality, these policies are insufficiently implemented and where inequality prevails. Ultimately it aims to realization of structural improvement in availability of equitable WASH services for communities. Our strategies used in Bangladesh, Tanzania and Kenya will be presented.

Methodology approach

In all the social accountability strategies used by Simavi and its partners, the citizens are mobilized and capacitated to understand their Right To safe Water and Sanitation. Knowing their rights and being capable of voicing their demands to the right stakeholders, and having a platform to interact, helps communities to hold the government and service providers accountable for provision of equitable WASH facilities. Our "Public WASH Budget Tracking", in Bangladesh, "Community Engagement" in Tanzania and "Citizen Report Cards" in Kenya will be presented as successful approaches which facilitated meaningful dialogue among stakeholders and led to increased equitable WASH services.

Analysis, results, conclusions and recommendation

- Most people in the communities are neither aware of their WASH rights nor of the national policies. Therefore they are not holding their government accountable to provide or facilitate provision of WASH services.
- Lack of clarity and overlap of roles and responsibilities of different service providers is a major obstacle for communities to demand their WASH rights.
- Local government authorities often lack the political will, knowledge about the national policies, technical capacity and other resources to take communities demand into consideration and improve access to equitable water.
- Applying the "WASH Budget Tracking" method in Bangladesh resulted in improved transparency and 12-18% increase of local public WASH budget in less than two years.
- Facilitating "Community Engagement" in Tanzania, resulted in improved Water Governance, where local government is taking its responsibility to manage the water source properly; the private company recognizes the right of people to access the water source and all the water users pay their share to ensure proper operation and maintenance of the water source.
- Employing "Citizen Report Cards" in Kenya showed that 75% of the population did not receive water from the service provider company. This evidence was presented to different stakeholders including Kenyan Government and local water service provider. The service providers were held accountable and pushed to make progressive steps to ensure peoples adequate access to WASH service.
- Endorsement of "Right to Information" by countries is an important step to start meaningful

dialogues between different stakeholders, where communities can voice their demands and hold service providers accountable.

- Facilitating stakeholder dialogues, empowering communities and making them aware of their rights, ensuring access to information and using evidence base methods in advocating for equitable WASH services are necessary to realize increased transparency and improved WASH governance.

Can decentralisation improve water security and promote equitable post-2015 development?



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Keywords: Africa, decentralisation, water governance, water institutions, rural development

Introduction and objectives

Decentralisation of governance to sub-national levels is argued to promote transparency with improved and more equitable development impacts. We examine the process of decentralisation emerging in Kenya since 2010 through analysis of water governance in a coastal catchment with unprecedented demands from rural communities and new economic actors (mining, irrigated agriculture) under conditions of increasing climate variability. New technologies remotely and transparently monitor community water use, enabling a supra-communal model of maintenance service provision. Applying Ostrom's socio-ecological systems framework we examine the interactions and impacts on balancing water security, economic growth and poverty reduction within this new water governance regime.

Methodology approach

A mixed methods approach applies Ostrom's socio-ecological systems framework (2009) in evaluating Kenya's new decentralisation framework as well as interactions and impacts between national and local government, resource users (mining, irrigated agriculture, communities, the environment), and resource units (flows, storage, consumption). Transmitters installed in the handles of community handpumps record daily usage data and drive a professionalised maintenance service. Governance data are generated through a policy document review, key informant interviews from national and county government, local and economic actors. Two rounds of longitudinal household surveys (n=3,000) are supported by focus group discussions with Water Resource User Associations.

Analysis, results, conclusions and recommendation

Kenya's new decentralised planning and implementation framework allows for the integration of new institutions and information flows, user participation and accountability mechanisms. We examine whether the reform can improve water service delivery for disadvantaged rural communities and promote more equitable and effective water resource management.

This study arrives at four conclusions. First, the three-year transition period involves uncertainties that are only partially addressed through Kenya's new Water Bill in terms of distribution of functions. Second, Kenya's devolution enables the integration of two institutional developments; devolution of water services to the county, and the creation of a countywide maintenance service provider for rural water sources. At county level new rural water service models lead to improved and reliable drinking water access through real-time information flows on handpump performance. At the national level, these data enable monitoring and regulation of the rural water sector. Thus, the combination of new institutions and high-quality information can contribute to improved governance at both local and national levels.

Third, participatory research with Kwale's Water Resource User Associations (WRUAs) demonstrates that although the devolved institutional structure of the water sector enables WRUAs to monitor large-scale water abstraction and manage conflicts, their agency in reconciling upstream and downstream demands is limited due to capacity and information asymmetries, which need to be overcome through reliable financing and training.

Fourth, the longitudinal analysis of 3,000 households over the first phase of decentralised governance demonstrates improvements in water access and development. However, it also demonstrates a disconnection between water users and their water resource institutions with only a small minority knowing their local WRUA.

In conclusion, results establish linkages between decentralisation reforms and water security, how improvements in water services are distributed and the extent to which they benefit the poor and vulnerable.

STOCKHOLM INTERNATIONAL WATER INSTITUTE

The Stockholm International Water Institute (SIWI) is a policy institute that contributes to international efforts to combat the world's escalating water crisis. SIWI develops and promotes future-oriented and knowledge-integrated policies, towards sustainable use of the world's water resources leading to sustainable development and poverty eradication.

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