

# The Annotated Water Integrity Scan

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# The challenge

Corruption is draining resources from the water sector



It needs to be fought through collective action of multiple stakeholders. The AWIS can help to facilitate this

# The AWIS tool

- » Was developed by WIN to establish an overview of the checks and balances that are in place to help ensure integrity in the water sector
- » The tool identifies 'hot spots' for action by tapping collective knowledge of seasoned professionals with different backgrounds in a one day workshop

# The underlying principles

- » Analysis of the mechanisms that govern relationships between sector actors by looking at three pillars Transparency, Accountability and Participation (TAP) defined to provide a clear basis for scoring
- » Qualitative assessment through guided dialogue among a small group of actors who know the sector and the anti-corruption legislation

## Main definitions used in AWIS

<b>Integrity</b>	Practices impeding corruption and promoting respect for rule of law
Transparency	Clear roles and responsibilities of actors exist in writing
Accountability	Procedures are applied and actors hold each other accountable
Participation	Information is accessible to third parties with possibility to file complaints and influence

## AWIS assessment in five risk areas

<b>P&amp;L</b>	TAP of official <b>policy and legislation</b> in place for sub-sector under review
<b>R</b>	TAP of application of <b>regulations</b> and institutional control
<b>SI</b>	TAP of <b>sector investment</b> and institutional control
<b>SP</b>	TAP of <b>service provision</b> and institutional control
<b>ACL</b>	TAP of <b>anti-corruption legislation</b> and its application in sub-sector

AWIS does not look at individual actor relations, but at governance mechanisms that control them

# Implementation of AWIS

*An AWIS workshop is comprised of 3 main steps*

1. Annonymously scoring TAP
2. Jointly developing annotations around the average scores
3. identify integrity risks (hotspots) and define follow-up

# Scoring TAP

- » To score TAP we identify three main scenarios (levels) using a few indicators that relate to key aspects of the areas under review
- » Three scoring levels 1, 2, and 3 but you can score in between (1,5 and 2,5)  
Scoring is anonymous
- » The scores provide a first insight into the perception of TAP by different stakeholders and serve as the basis for the qualitative annotation process



# Integrity level of policy/legislation

## PILLAR

## DESCRIPTION OF MAIN LEVELS

### T

- 1 = P&L not existing / not clear
- 2 = P&L partly developed but with important gaps
- 3 = P&L well established (pro-poor and gender sensitive)

### A

- 1 = P&L hardly/not applied (few institutions fulfilling role)
- 2 = P&L applied reasonably but limitations (weak institutions)
- 3 = P&L largely applied (institutions implement role and have Anti-Corruption measures in place)

### P

- 0 = Stakeholders have little / no access to information
- 1 = Stakeholders have access to information but perhaps not independent and can complain
- 2 = Stakeholders are consulted (pro-poor and gender sensitive) and are represented in decision making bodies

# Integrity level of policy/legislation

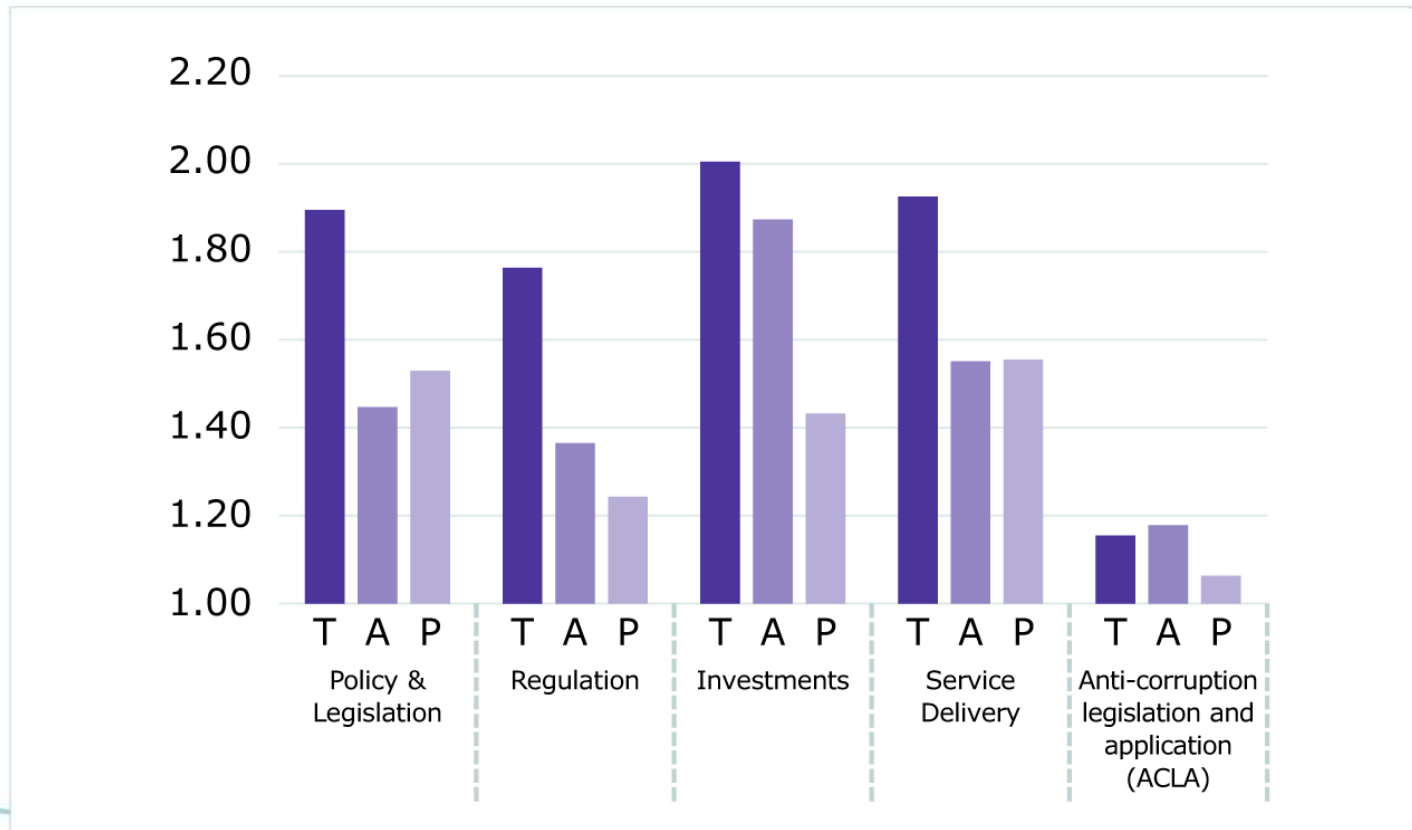
## PILLAR

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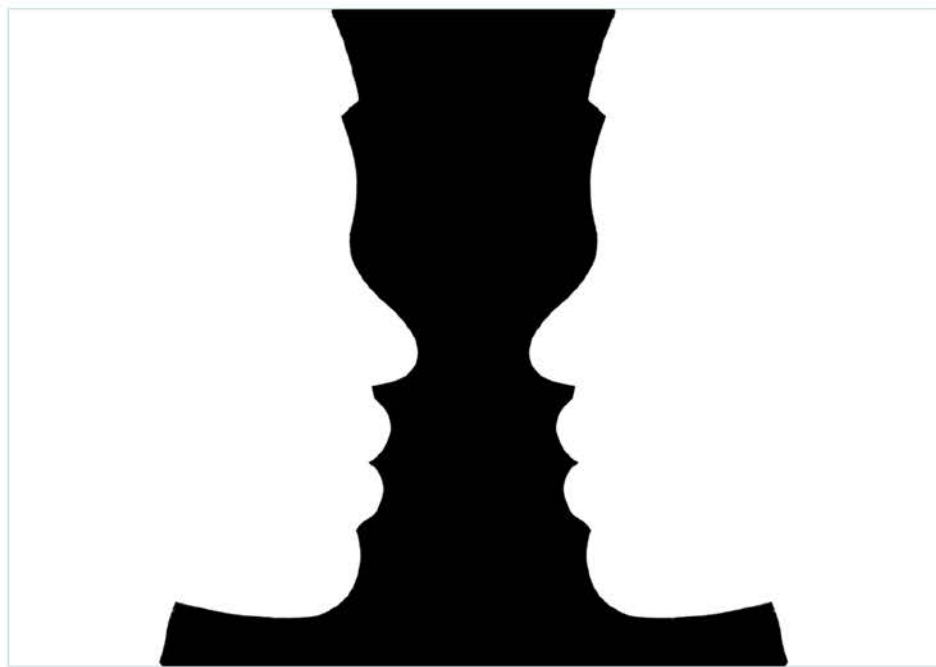
**T**

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# Example of AWIS results



# What is our perspective?



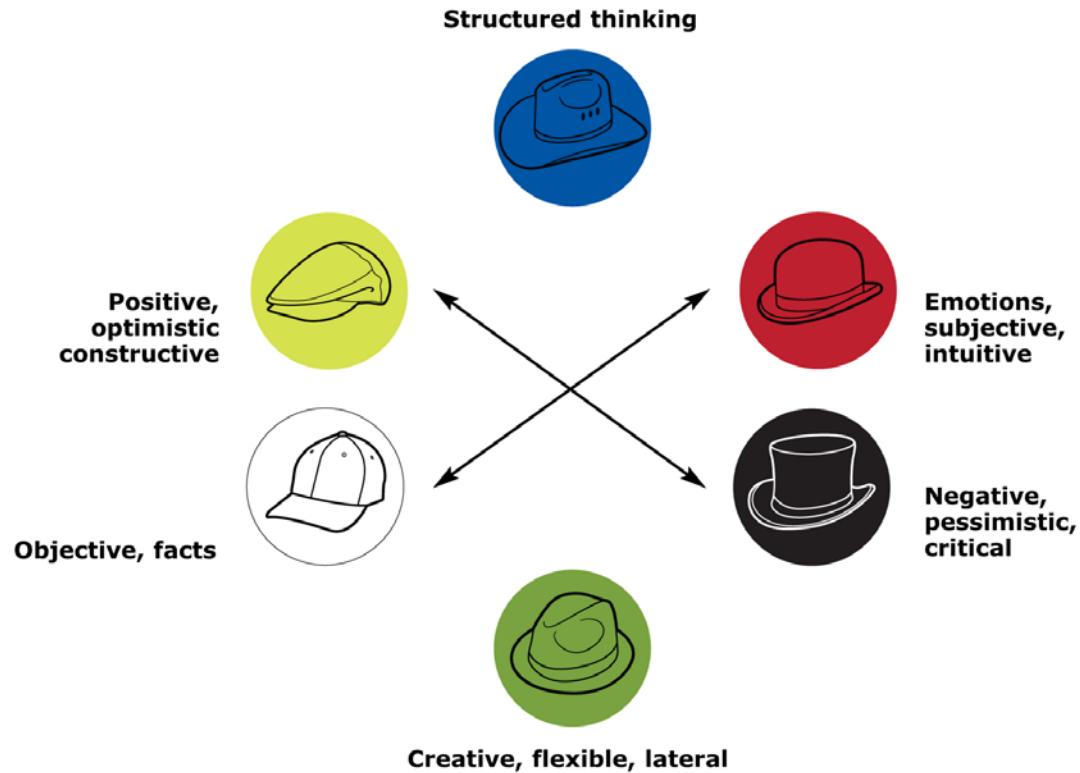
# What is our perspective



# Annotation process

- » Is based on the idea of Bono: in a group you can avoid confrontational discussions and adopt dialogue if you all put on 'the same hat'
- » Together participants first establish arguments for the level above the actual score and then for the level below the score

# Different perspectives (Bono hats)



# Annotation for ACL: obtained score 1.7

LEVELS	ANNOTATION
<b>Below 1.7</b> 1 = No ACL in place	<ul style="list-style-type: none"><li>» Only general ACL in place not specific to water sector</li><li>» Fines are dated (very low)</li><li>» No freedom of information act</li></ul>
<b>Above 1.7</b> 2 = ACL partly in place	<ul style="list-style-type: none"><li>» General ACL is quite good and applies to all government staff</li><li>» No specific legislation in place for private sector;</li><li>» Freedom of information act exists but not yet signed</li></ul>



# Envisaged overall approach

1. Establish AWIS organizing group
2. Collect data (performance and funding)
3. Workshop with key participants with sector and legal knowledge
4. Develop annotated scores
5. Brief report (with feedback participants)
6. Share report with sector leaders and agree on possible action
7. Repeat (bi) annually to check progress

# Reflection on experience

- » Tool to obtain a quick overview of the situation but needs to be part of an improvement process
- » Anonymous scoring works (and even surprises participants)
- » Good methodology for structured discussion
- » Annotation of different levels gives good overview and creates dialogue instead of debate but requires facilitation

## Reflection on experience (continued)

- » You need a good mix of participants to ensure that a fair picture is being established
- » Review of the report helps to fine-tune annotations
- » Results can be presented to wider group and be used for priority setting and action

# Ideas for follow-up

*Several ideas emerged in the workshops:*

- » sharing results with wider audience to help improve sector performance
- » Use in national event
- » Use for cooperation and performance benchmarking
- » Establish a training programme covering different application modalities
- » Apply the tool for other sub-sectors

