

ANNOTATED WATER INTEGRITY SCAN (AWIS) USER'S MANUAL



**Sustainable WASH for ALL (SuSWA)
(A Facilitator's Guide)
October, 2023**



AWIS TRAINING/WORKSHOP GUIDE FOR THE FACILITATORS

Objective: The overall objective of the document is to enhance capacity of facilitators to conduct AWIS training/ workshop at different level.

The specific objectives are;

- To guide to present AWIS introduction and process
- To Facilitate the AWIS scoring and annotations
- To Facilitate gap identification as per the annotations
- To make follow up plan and facilitate to implement the agreed plan

Required Time: One Day

Material Needed: Presentations, copy of scoring sheet, marker, Braun paper, stickers etc

Table 1 AWIS training module

Session Time	Session Agenda/Content	Key Tools	Exercise / Methodology
30 Minutes	Opening, Introduction, Objectives	Presentation on objective, Meta card	Self-introduction, presentation
60 Minutes	Introduction of AWIS (definition, concept, Importance, use)	PPT Presentation, Examples	Presentation, Discussion, Conclusion
60 Minutes	Key Governance Risk areas / indicators	PPT Presentation, Examples, scoring sheets	Presentation, Discussion, Conclusion
30 Minutes	Indicators, Scoring levels / annotation process	PPT Presentation, Examples, scoring sheets, examples	Presentation, Discussion, Conclusion
90 Minutes	Scoring and Annotation	Scoring sheet, checklist/key indicators sheet	Exercise/ compilation/ presentation
60 minutes	GAP identification and follow up plan	Planning format, examples	Group discussion/ compilation/ presentation
15 minutes	Queries and clarity	List of pull agendas	Open discussion and conclusion
30 minutes	Training Evaluation and wrap up	Training evaluation checklist/ questionnaire	Individual exercise, evaluation and presentation

(Note: Detail session plan of each content is presented bellow in the part 2 of the manual)

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List of Abbreviations and Acronyms

ACF	Anti-Corruption Framework
ACM	Anti-Corruption Measures
AWIS	Annotated Water Integrity Scan
FG	Federal Government
LG	Local Government
NGO	Non- Governmental Organization
PG	Provincial Government
SUSWA	Sustainable WASH for All
TAP	Transparency, Accountability, Participation
TAP-I	Transparency, Accountability, Participation, Inclusion
WUSC	Water Users and Sanitation Committee

ANNOTATED INTEGRITY WATER SCAN (AWIS)

1. Introduction

SUSWA project is co-financed by the government of Nepal and Finland in 2021-2027, with delegated financing from the EU starting in 2022. The project is a continuation of the financial and technical support that GoF/EU has been providing to the development of the WASH sector in Nepal since 1989. The project municipalities are main implementors of SUSWA and participate in the project cost.

Access to the safe drinking water is the fundamental right of the citizen according to constitution of Nepal 2072. SUSWA intends to establish efficient and transparent WASH governance at the municipal level that can ensure safe, sustainable, inclusive WASH services and conditions for all through internalizing the concept of life time services (and costs) of water systems.

Water integrity is an important to ensure good water governance and sustainability in the WASH sector. The Annotated Water Integrity Scan (AWIS) is part of a set of water integrity tools to help water sector organizations around the local government engage stakeholders, assess their issues and needs, and create action plans for better water management. It is a means to quickly assess the integrity situation in the water sector at local level, through a participatory workshop, during which stakeholders score identified risk areas in terms of levels of transparency, accountability, participation and inclusion.

Assessing the water integrity through the AWIS tool and ensure capacity building of the local government and its WASH unit is an important aspect of the project intervention. The way of the concept is to develop trainers to capacitate the WUCs and stakeholders. The concept walks inline to assess the water integrity through developing trained assessors in the national, province and local level.

SUSWA introduces the AWIS tool for water integrity in the project area. To materialize the concept, the project organized a ToT for the WASH advisors to enhance the facilitation/assessment capacity for AWIS and conducted AWIS assessment in two LGs to know the water integrity situation, scoring, identify gaps and developed a follow up plan. Based on the learning of the events and exercises, SUSWA updated the AWIS manual for to implement in the working LGs and disseminate learning in a wider range in the sector in Nepal. The manual aims to conduct AWIS workshop to know the water integrity status in the WUSC, LGs and other stakeholders of the WASH sector. This manual includes about AWIS tool and facilitation process at operation level.

This document also contains concrete guidance on how to design and prepare an AWIS workshop, how to anchor it in broader processes, and how to design the follow-up activities accordingly. This updated tool has introduced gender and social inclusion considerations for the different phases and activities. Overall, it is designed in a flexible way to allow the user to adapt the tool to the specific, concrete context.

The first part of this document incorporates introductory information on the AWIS tool. Its methodology and scope. The second part of the document is a guiding for facilitators for planning of AWIS implementation of the AWIS workshop/practical exercise. And third part of the manual is to make necessary preparations and session plan of the AWIS workshop.

A. AWIS Manual

The Water Integrity Network (WIN) has developed and applied a set of integrity assessment and management tools to increase integrity and reduce corruption in the water sector. Partners and other water sector organisations are now increasingly interested in applying the tools more widely in new projects.

The tool can be used to initiate integrity initiative or to prioritise risks and actions to address corruption risks in the water and sanitation sector, in a particularly manner. AWIS is a tool for actors interested in exploring and improving integrity and governance in the water and sanitation sector, includes staff from government institutions, civil society, WUSCs and other related sector stakeholders. It can be implemented at national, regional and local level as per the interest to improve water integrity and reduce corruption risks.

This AWIS manual is one of the parts of SUSWA capacity building tools for good governance and sustainability of the water and sanitation project and sector as well. This manual includes the course agenda, session and reference materials of implement/ facilitate the AWIS training and workshops at different level. As such it serves as source material, for *future use for capacity building on sustainability of the water and sanitation schemes through common effort of the sector entities. It will be of use to trainers/facilitators in the planning and presentation for AWIS.

B. Purpose

The purpose of the manual is to present a facilitation package on application of AWIS tool for the AWIS facilitators to make aware and enhance capacity on AWIS exercise for sustainability and good governance of the water sector. This manual includes mainly the understanding the AWIS tool, Facilitation methods and implementation/ conduct event with different level of stakeholders.

C. Objective

The overall objective of the document is to enhance capacity of facilitators to conduct AWIS training/ workshop/exercise at different level. In additions, the specific objectives are, to guide to conduct AWUS training / workshop with introduction and process, to make able to facilitate the AWIS scoring and annotations, to facilitate gap identification method as per the annotations, and to facilitate to make follow up action pan with committed implementation of the agreed plan. At the same time the training manual/ guide is prepared to disseminate knowledge and learning documents in the water sector.

PART 1

2. AWIS Introduction

2.1. The AWIS tool in a brief

Good governance is a crucial part for the safe and clean water. Corruption and poor integrity in the water and sanitation sectors ruins plans, endanger life, and threaten the entire sustainable development agendas. Improving integrity is a proactive and positive means to improve service delivery and sustainability of the WASH sector.

Water integrity is the use of powers, authority and resources ethically and honestly for the provision of sustainable and equitable water and sanitation services. Integrity is implicit in the human rights obligations, explicit in the administrative justice laws of many countries, and operationalised in the governance principles of transparency, accountability, participation and anticorruption. It refers to the integrity of people and institutions governing water and sanitation.

Increasing transparency, accountability, Participation and inclusion in the WASH sector are very important for water integrity and better service delivery from any stakeholders. The Annotated Water Integrity Scan (AWIS) is a tool to quickly assess the integrity situation in the water sector at different level and build common understanding among partners. Its main way of materialization is a participatory workshop, score identification in the risk areas in terms of level of transparency, accountability, participation and inclusion.

AWIS focus on identifying weaknesses in the governance framework and checks and balances and find places to reduce risks and opportunities for corruption. It has the advantage of being flexible and participatory dialogue and discussion on the issues.

Annotated Water Integrity Scan (AWIS) is a qualitative tool to perform a quick scan assessing the integrity situation in the water and sanitation sector at national or local level through a participatory workshop during which stakeholders score identified risk areas in terms of levels of transparency, accountability, participation and inclusion. The AWIS tool was developed by the water integrity network to quickly scan the integrity level of a country's water sector. This is also can be use at national, local government and WUSC level as per the context and situation.

Target of the AWIS tool

The AWIS tools is used for policy makers, local government officials, Civil society organization and water user representatives. It can be used in the preliminary phases of a reform process on integrity change programme to raise awareness, identify potential corruption risks and identify priority areas for action. The AWIS assessment need to develop common understanding of the integrity situation in a specific sub-sector.

Expected results

- Strengthened dialogue to sustain change process to reduce the risk of corruption
- Coherent input to water policy through engagement with key water sector stakeholders
- Support for evidence-based advocacy efforts at national and global levels.

2.2. AWIS Concept and purposes

The AWIS helps to improve integrity by facilitating constructive dialogue between different water sector stakeholders on issues related to transparency, accountability, and participation (TAP), as well as the existing anti-corruption framework (ACF) and anticorruption measures (ACM). This dialogue may help policy-makers, local government officials, utility staff, regulators, private sector providers and consultants, civil society organisations, international development agencies, and representatives of the water user communities to establish priority actions which enhance water integrity and governance. The AWIS does not measure corruption directly, but rather sheds light on systemic weaknesses in the governance framework which leave the water sector vulnerable to corruption.

The AWIS serves three purposes, which are especially important in contexts of economic poverty, poor water governance and precarious water service delivery:

1. Identify state of integrity

An AWIS process establishes an overview of the state of integrity in different sub-sectors of the water sector which will highlight the potential risks of corruption that exist.

The AWIS facilitates:

- Exchange and documentation of knowledge on the state of TAP- - I in different water sub-sectors.
- Verify levels of expert knowledge, different perspectives and lack of communication
- AWIS brings the views of a small but diverse group of experts together to provide an annotated overview of the integrity situation in the respective subsector.

2. Identify area of follow up action

As per the annotation and scoring, the exercise find out the gaps in the water integrity and good governance. It identifies priority areas for action according to the gaps, in order to enhance integrity.

An AWIS is helpful for:

- Identify and analyse the challenges to integrity in water governance
- Recognises that water supply encounters and different challenges to sanitation
- Identify specific area of improvements
- Links to different stakeholders, groups to neutralize bias and eliminate incorrect annotations

3. Increases Awareness of the state of water integrity

An AWIS process It increases awareness of the state of water integrity and stimulates action among sector stakeholders.

The results of the AWIS needs:

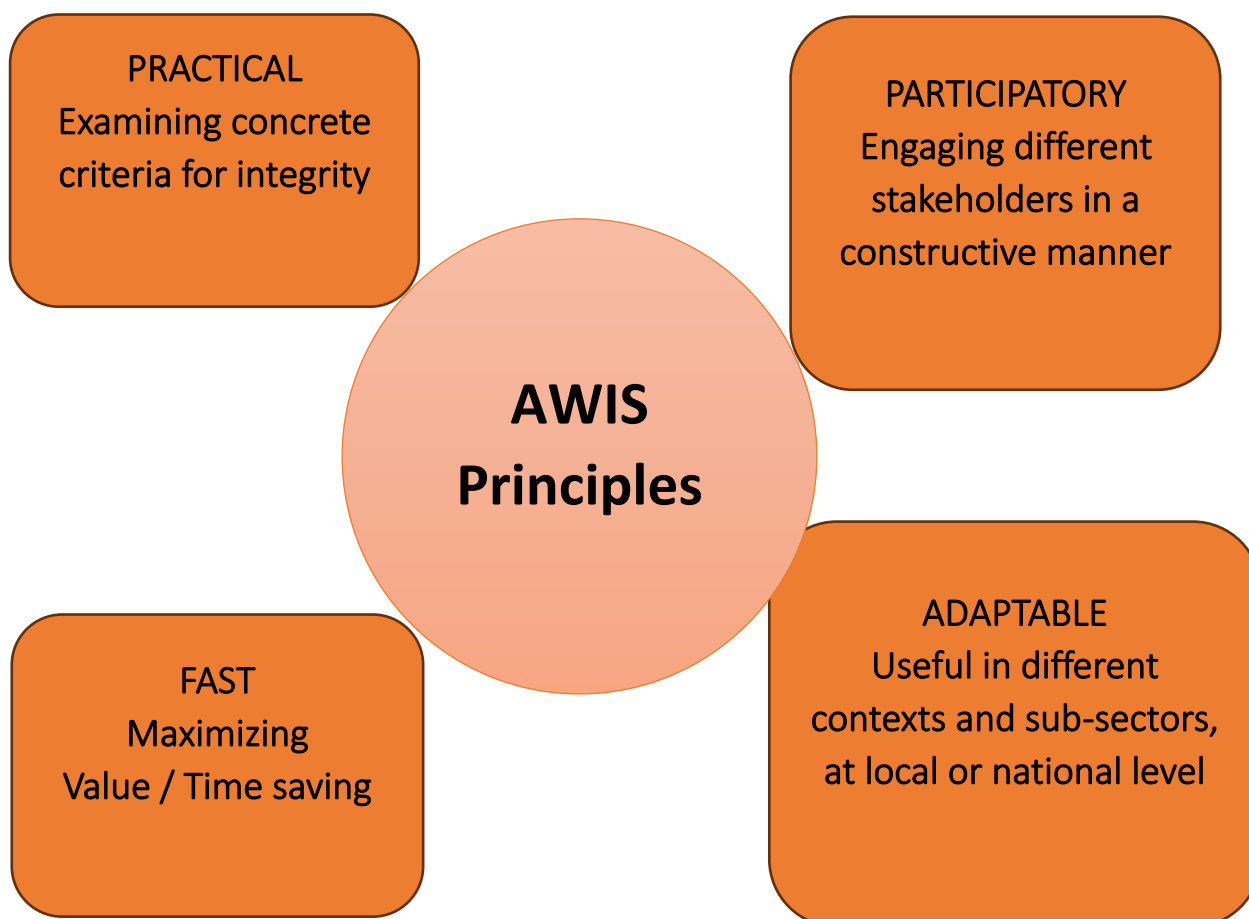
- Documented and shared the knowledge among the different stakeholders
- Validate the findings and initiate action
- Ensure results are discussed among the stakeholders
- AWIS is a part of initiatives and strengthen the stakeholder through raising awareness among the different groups

2.3. AWIS Principles

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

AWIS is based on four principles as per figure 1 bellow

Figure 1 AWIS Principles



A concrete and constructive discussion around integrity

The core of AWIS is the creation of collective dialogue. Using AWIS makes it possible to discuss a potentially controversial and sensitive topic in the water and sanitation sector: corruption and poor integrity. It does so by avoiding the discussion of abstract concepts, inviting participants to instead examine concrete and practical criteria linked to four integrity pillars: Transparency, Accountability, Participation and anti-corruption.

Adaptable

The AWIS methodology has proven adaptable to a wide range of contexts- urban and rural level, level – national and local, and subsectors- drinking water, provision, waste water management and WASH in school. The tool is very much flexible, having a constructive dialogue method, less time taking and a participatory way of scoring so this is highly adoptable and easy to implement.

Limited time investment

The AWIS workshop is typically a single intervention of one day. The short time needed is a big advantage because in many contexts, participating stakeholders have limited time availability, especially when the exercise involves high level officials. The limited duration combined with the dynamic methodology of AWIS helps keep the interest and attention of participants throughout the discussion.

Useful as a starting point

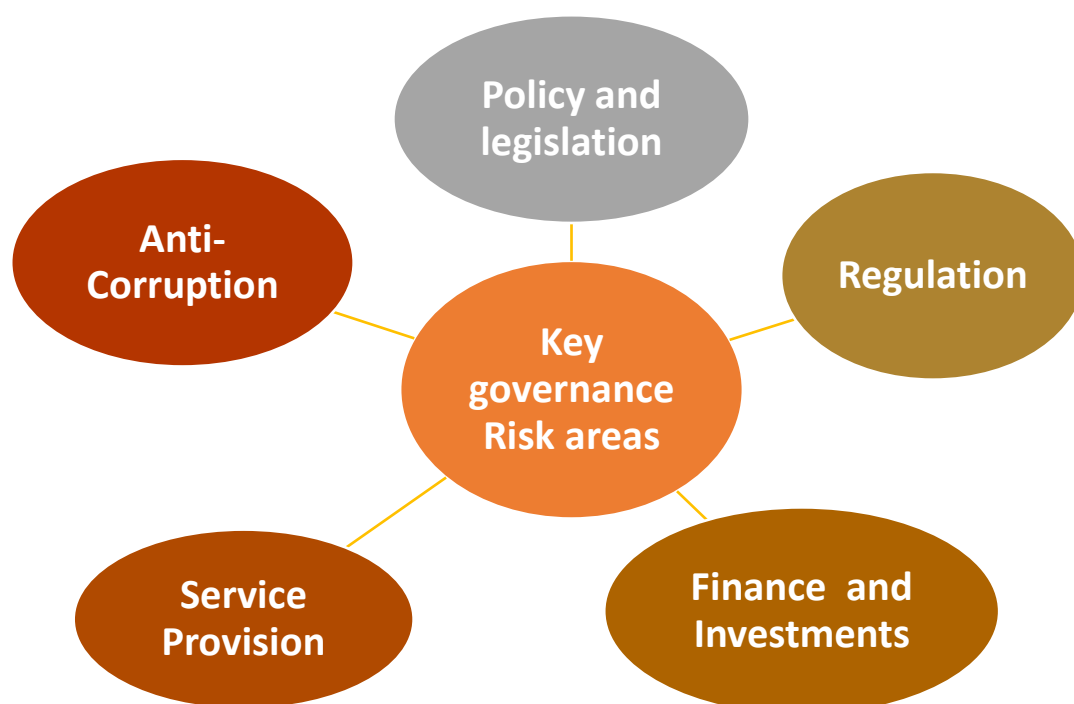
AWIS is most valuable, however, as part of a higher process, and it is an especially useful starting point during the design of a project or strategy to ensure that integrity is built in. IN such a setting, there are ideally resources available and there is willingness to combine AWIS with other tools, use for the result, and pursue stakeholder engagement processes it can provide important insight into how governance works in a particular context, and what is the best way to engage, while already starting to build dialogue with key stakeholders. During project implementation phase, the AWIS tool can still be used to perform a reality check and foster project adoption. Sometimes, AWIS is not stand-alone tool as this can be combined with other tool as per the context, stakeholder, and type of the project and its interventions.

2.4. Governance risk areas and indicators

AWIS exercise focused on the major governance risk area during the workshop. Participants, who should represent a wide range of stakeholders are asked to anonymously score risk levels for Transparency, Accountability, Participation, and Inclusion in pre-defined governance risk areas.

The five governance risk areas typically examined in an AWIS workshop are shown in the figure bellow:

Figure 2 Key Governance Risk Areas



Typical governance Risk areas used in AWIS

Table 2 Key governance risk area

Policy and legislation	Comprises the official policy and legislation in plan for the WASH governance
Regulation	Refers to the existence and application of formal rules and the existence of active institutional control by the level entities of WASH sector ie federal and province government, LGs, WUSCs
Finance and Investment	Concerns how financial resource are spent and how spending is controlled
Service Provision	Concerns how services are provided and the role of relevant institution in service delivery at all level of WASH sector for water integrity
Anti-Corruption Framework	Refers to anti-corruption legislation in place and its application

The main indicators used to score risk-area integrity levels are shown in the bellow table

Table 3 Indicators

Transparency	Existence of written procedures, agreements, and contracts that explain the role and responsibility of actors, as well as relevant data and information is accessible to the public
Accountability	Application of the written procedures and agreements and where feasible, the potential compliance of actors (internal accountability)
Participation	Ability of the public, and users or their representatives to influence decision making, file complaints effectively and be heard by the concerns/
Inclusion	Authentic involvement of gender/ caste ethnicity and excluded individuals and or group into processes, activities and decision/policy making in a way that shares power.

2.5. Indicators and scoring levels

After setting of the key governance area and indicators, scoring is a major exercise in AWIS. This is an AWIS scoring sheet with concrete definitions of what each indicator (Transparency, Accountability, Participation and inclusion) refers to in each of the risk areas and how to score them. Participants use the last column to write their scoring and annotation

Table 4 Indicators and scoring level

Policy and legislation

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

Regulation

Indicator	Scoring Levels	
Transparency Score	1: No or few regulations and institutions in place.	Annotations:
	2: Regulations and institutions are fairly well established but important gaps and weaknesses exist.	
	3: Regulations and institutions are well established (pro-poor and gender-sensitive). Only a few improvements may be needed.	
Accountability Score	1: Regulation not or hardly applied, institutions partly established but weak, and few anti-corruption measures in place.	Annotations:
	2: Regulations are applied with limitations by more or less independent institutions, with partial internal control mechanisms and anti-corruption measures.	
	3: A comprehensive set of regulations is quite actively applied by institution(s) with considerable autonomy and credible internal control and anti-corruption measures. Only a few improvements may be needed.	
Participation Score	1: Stakeholders have very little access to complaint mechanisms.	Annotations:
	2: Stakeholders (including women and marginalised groups) are informed and can express their views and submit complaints.	
	3: Stakeholders are actively consulted (pro-poor and gender-sensitive) and/or represented in decision-making bodies. Only a few improvements may be needed.	
Inclusion Score	1: Regulations do not protect the rights of marginalized communities to water and sanitation.	Annotations:
	2: Regulations protect the rights of marginalized communities to water and sanitation, but those rights are rarely monitored and enforced.	
	3: Regulations protect the rights of marginalized communities to water and sanitation, and those rights are actively protected and enforced.	

Finance and investments

Indicator	Scoring Levels	
Transparency Score	1: No or few (possibly unclear) rules are available for project design, procurement, and financial audits.	Annotations:
	2: Rules for project design, procurement, and financial audits are fairly well established but have important gaps and few anti-corruption measures are developed.	
	3: Rules are well established (poverty- and gender- sensitive); independent audits requested and bench marking envisaged. Only a few improvements may be needed.	
Accountability Score	1: Design and procurement rules and technical and financial audits are not or poorly applied; controlling institutions and anti-corruption measures are very weak.	Annotations:
	2: Design and procurement rules and technical and financial audits are applied but with limitations, institutions are partly active, and anti-corruption measures are partly applied.	
	3: Rules and audits are actively applied, results are compared (benchmarked) by independent institutions, and anti-corruption measures are applied. Only a few improvements may be needed.	
Participation Score	1: Stakeholders generally have very little access to complaint mechanisms.	Annotations:
	2: Stakeholders (including women and marginalized groups) are informed and can express their views and complain.	
	3: Stakeholders (GESI) can file complaints, and are consulted (GESI sensitive) and/or represented in decision- making bodies. Only a few improvements may be needed.	
Inclusion Score	1: During the planning and design of water and/ or sanitation projects and programmes, no GESI data collected and desegregated and no clear specific outcomes and indicators on these population groups are included.	Annotations:
	2: The planning and design of water and/or sanitation projects and programmes include the collection of gender-disaggregated data and data on marginalized communities, as well as some specific outcomes and indicators on these population groups. But important gaps in information and/or indicators still exist.	
	3: The planning and design of water and/or sanitation projects and programmes include the collection of gender-disaggregated data and data on marginalized communities, as well as clear specific outcomes and indicators on these population groups.	

Service Provision

Indicator	Scoring Levels	
Transparency Score	1: No or few (possibly unclear) written rules are available concerning SP and the rights and duties of suppliers, users, and other key actors.	Annotations:
	2: Rules for SP are established but have important gaps; anti-corruption measures also show limitations.	
	3: Comprehensive rules are in place, including adequate anti-corruption measures. Only few improvements may be needed.	
Accountability Score	1: No or few rules, audits, and water/sanitation delivery (quality) are applied, and no complaint mechanism exists.	Annotations:
	2: Rules, including technical and financial audits, are applied but with important limitations. This is also true of the application of anti-corruption measures.	
	3: Rules including audits and anti-corruption measures are applied to all providers and results are compared (benchmarking). Only few improvements may be needed.	
Participation Score	1: Stakeholders have little or no access to complaint mechanisms.	Annotations:
	2: Stakeholders (including women and marginalized groups) are informed and can express their views/ complain.	
	3: Stakeholders can file complaints and are consulted (gender-sensitive and pro-poor), and/or represented in decision-making bodies. Only a few improvements may be needed.	
Inclusion Score	1: No measures are in place to supply water and sanitation services to marginalized communities, and to both male- and female-headed households.	Annotations:
	2: Some measures are in place to supply water and sanitation services equally to marginalized communities, and to both male- and female-headed households. But some of the most vulnerable people are still not served.	
	3: Measures are in place to supply water and sanitation services equally to marginalized communities, and to both male- and female-headed households.	

Anti-corruption Framework and application

Indicator	Scoring Levels	
Transparency Score	1: No or very limited (possibly unclear) ACL in place.	Annotations:
	2: ACL is in place but has important gaps or may only partly apply.	
	3: ACL is well established and comprehensive. Only few improvements may be needed.	
Accountability Score	1: ACL is barely or not applied in the sub-sector, and responsible control institutions are weak.	Annotations:
	2: ACL is applied but with important limitations, and a limited number of cases are brought to justice. Civil society plays a limited role.	
	3: ACL is effectively applied by independent institutions, civil society is actively engaged, cases are actively prosecuted, and whistle-blowers are protected. Only a few improvements may be needed.	
Participation Score	1: Filing of corruption cases is complex/difficult and does not receive support.	Annotations:
	2: Some cases of corruption are reported but press, civil society, and whistle-blowers face difficulties.	
	3: Active anti-corruption movement with effective influence, pressure of the press, and whistle-blower protection. Only a few improvements may be needed.	
Inclusion Score	1: No information on discrimination by sex, ethnicity, or culture experienced by male and female members of the community is collected, and complaints are not addressed.	Annotations:
	2: Information on discrimination by gender, ethnicity, or culture experienced by male and female members of the community is collected, but records are not kept secure and complaints are rarely addressed.	
	3: Information or records on discrimination by sex, ethnicity, or culture experienced by male and female members of the community are available, and complaints are addressed.	

2.6. Annotations

Annotations is a justify statement of scoring that interacts with a text to enhance the readers understanding. It is a key piece of text and making notes to make understand the logic of scoring. It is a note with comments and explanations. Annotations are very important in AWIS exercise to understand the water integrity status, identify gaps and develop follow up plan of action.

After the scoring on the assigned indicators, participants will write annotations of their scoring.

The example of the annotation is as following.

Transparency in Policy and legislation

Above (strengths)

- Policy is sufficiently established to guide the development for the coming 10 years and covers pro-poor aspects.
- Legislation is sufficiently clear and does not require much change in the next 10 years

Bellow (weaknesses)

- Policy is in place but is not very well established and does not provide response to the risk of climate change.
- Legislation is not fully developed and not sufficiently independent.
- Board member of the water resource committee are selected and nominated by the lead person

Accountability in Policy and Legislation

Above (Strengths)

- Roles and responsibilities are well defined, and institutions are increasing doing their jobs
- New constitution/ rules transform citizens into rights-holders
- Water Users groups and or other support system is existing

Bellow (weaknesses)

- In 3 of the 16 water schemes/ policy and legislation are fully applied and are reported upon
- In the other schemes/groups in process to make policy and legislation.

Participation in Policy and Legislation

Above (Strengths)

- Communities, civil society, concern stakeholders, women group are consulted (meeting)
- Complaint mechanism exists which can be channelled through the LG/WASH unit.
- Complaints can be directed to the water resource committee

Bellow (weaknesses)

- The consultation process does not seem to lead to effective change and a better application of pro-poor measures, information can be accessed through the WASH sector authorities.

- There is problem with the complaint's mechanism and consultation process, which more focussed on awareness creation.
- Turnover of staff/ members is high, with new staff not being reconsulted or informed

Inclusion in Policy and legislation

Above (strengths)

- Policy and legislation include clear pro-poor and gender objective and commitments
- Clear commitment to fulfilling the human rights to water and sanitation which puts forward 'WASH for all'.

Bellow (weaknesses)

- Most water institutions lack female member/staff and representatives from marginalised group and ethnicities.
- Customary water right or local communities are often ignored by legislation

2.7. AWIS Methodology

The AWIS process go through the training to the facilitators and workshop for the particular lead entities of the WASH sector/WUSCs. The AWIS workshop consists of the four main activities as following.

a. Introduction

Individual introduction, objectives are the first step of AWIS workshop. The sector leader welcome to the participants and encourages for their effective participation in the workshop / exercise. The facilitators explain the AWIS objective, concept, methodology and scoring process of the AWIS.

b. Scoring

Participants are asked to give scores as per the indicators on the key area of assigned governance area of the WASH sector confidentially and individually. After the scoring, the facilitator processes the scores and make a graph with average score for further input in the workshop.

c. Annotations

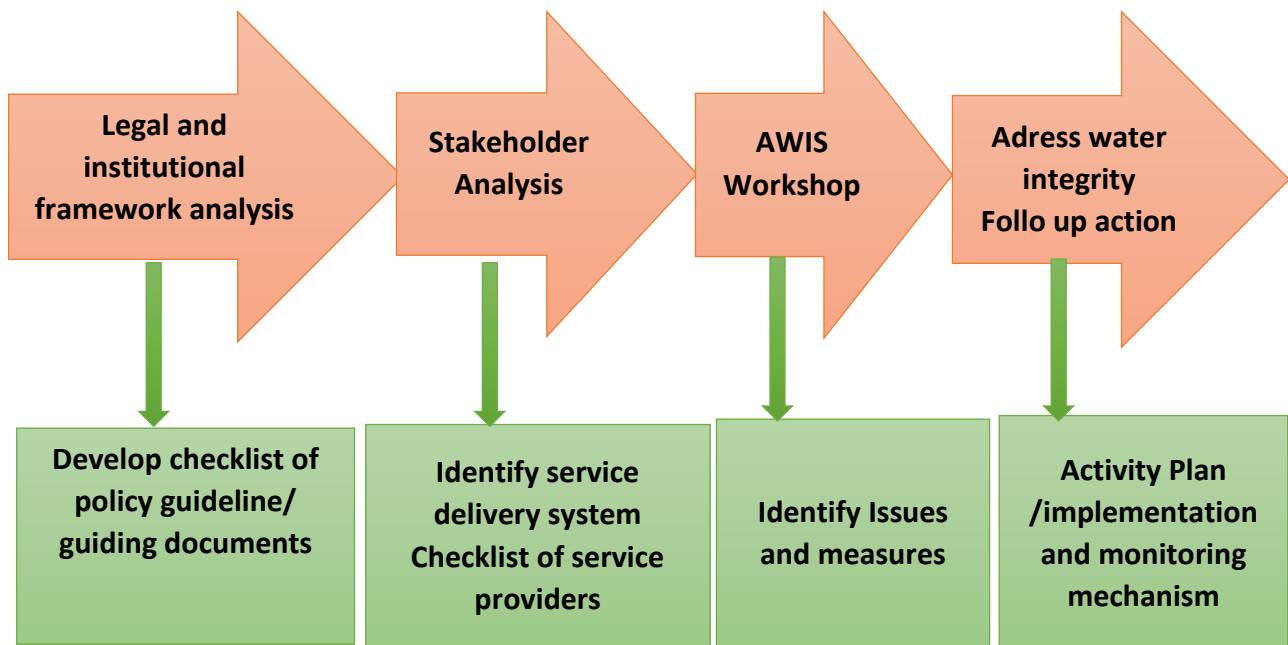
Annotations are the key information to obtain during the workshop. They include the key positive and negative aspects of the current situation in each key area of integrity. Annotation process is designed to avoid defending their own positions on a particular issue. All participants are asked to their reasons that why the scores on the issues are higher or lower. They put the arguments through the annotations from different perspective.

d. Discussion of the results and follow up plan

After the scoring and annotation, there is a common understanding on the gaps in the sector. The participant will list the gaps and follow up action plan. The participants make a list of action to measure the issues according to the soring and annotations. The action points should be format into an action plan with proper monitoring and support mechanism to improve the water integrity and water governance.

2.8. Implementation of AWIS

Figure 3 AWIS Implementation model



The starting point of the AWIS is to analyse the legal and institutional frame work to have a sector knowledge and information related to the law and act, policy and guideline of the WAHS sector. The checklist on the related documentations will be helpful to score the water integrity status and annotations. The second stap is to analysis the WASH sector stakeholder to identify the service providers and service delivery mechanism. The stakeholder's analysis will support to develop an action plan and monitoring mechanism. The third step is to conduct AWIS workshop based on the previous two study steps. And the Implementation of the follow up action plan is one of the major parts of the AWIS, that develop an activity plan, implementation and develop monitoring mechanism with intermittent review and reflection.

PART 2

3. Planning and implementation of AWIS

3.1. Secondary information collection

AWIS need some secondary information before hand to conduct AWIS workshop with the particular stakeholder/ entities. The local lead organisation or a project partners, start by collection and revieing secondary information on the sector/ sub-sector policy and programmes. This is useful approach for the beginning the AWIS process and getting a better understanding of the current policy environment. Analysis of the legal and institutional framework relating to governance and integrity, are part of this review and take place before the AWIS workshop.

This important to study of the relevant documents related the sector ie policies, strategies, guidelines and survey results. This might be helpful to make preliminary consultation and information collection related to water integrity and WASH governance. Sector specific information with desegregated GESI data/information are useful for the AWIS exercise. Number of related policies, guidelines, acts, regulations should be listed during this preparation phase of the AWIS workshop.

AWIS is ideally enabled in a wider process of sector change, and important from the beginning to secure the involvement and endorsement of key stakeholders which can later support or lead actions for improvement

3.2. Consultation

A consultation with different stakeholders and gather information and make common understanding to make prepare for the AWIS workshop and exercise. AWIS is ideally enabled in a wider process of sector change, and important from the beginning to secure the involvement and endorsement of key stakeholders which can later support or lead actions for improvement these stakeholders can help identifying the scope of the AWIS workshop. The implementation partner organises meeting and advisory committees for the purposes of increasing awareness on the importance of issues, presenting information onf objective and outcomes of the project to obtain endorsement of the AWIS exercise and follow up actions. The process will obtain advises for adapting the methodology to the context. This allows a collaboration to proceed the smooth AWIS exercises.

The higher authorities might be interested to know the result of AWIS but may not interested to participate in the workshop so this consultation will be helpful to connect all in the process of AWIS and implementation of the results. There should be organized an orientation program with different level of WASH related stakeholder for awareness raising activities and consultation meeting. The facilitation should encourage to the decision makers to participate in the process.

3.3. Stakeholder analysis

Identifying key stakeholders to participate in the AWIS process and make them responsible to implement follow up action for better state of the water integrity. An important process is stakeholder analysis to achieve the water integrity targets.

Stakeholder analysis enables to understand the major influential individuals and groups that should be involved in the decision and implementation of an AWIS initiatives. This analysis can prevent capture of the project by specific interest groups, increase ownership and ensure that all important stakeholder is included

A stakeholder analysis helps to identify all relevant actors who can influence the water integrity, understand the stakeholders' interests for engagement and communication, balance different interests and prioritize stakeholders in order to implement the follow up action- resource and capacity.

The major way out to make stakeholder analysis is to answer the following questions.

- Who are the people/group/ institutions interested to participate in the process?
- Who are the potential beneficiaries from whom?
- Who may impact the initiative?
- Who have power to influence?
- Who have the role and responsibility for investment?

The above stakeholder analysis will be helpful to conduct AWIS workshop smoothly and produce action-oriented results.

3.4. Selection of participants

Selection of potential and appropriate participants for an AWIS exercise is a crucial part of the success for better water integrity state in the country, province, local government and WUSC level. The project/partner will need to select the potential participants in light of the result of stakeholder analysis and in consultation with key institutions that may use the results to improve area with identified issues.

Consultation visits to the potential institutions, sharing information about the process is a way to initiate discussion and select the participants for AWIS workshop/exercise.

The number of participants should be smaller group ie 8-15 to conduct an AWIS workshop/exercise. Inclusive participation by gender/ caste/ethnicity is an important to ensure different perspectives and way of thoughts/ dialogue for concrete result and beneficial for all groups.

The appropriate participants at national or regional level are sector specialist and lead officials to conduct an AWIS exercise and organisations wise will be regulatory agencies, the private sector, NGOs and civil society.

At the local level, the potential participants are LG officials, Unit leads, WUSCs, social leaders and other related groups.

3.5. Conduct TOT for AWIS facilitators

Good facilitation is key to the success of the AWIS tool. Experienced and good trainer / facilitator is a very crucial part of the training/ workshop for its success and implementation of the results/outcomes. So, the first step of the and implementation of an AWIS workshop. Facilitators should have the skills to ensure the participation of both female and male participants, as well as participants from marginalised groups, who do not have the confidence to easily express their views. In particular, if there are only one or two women participants, they need to be given an opportunity to speak and share their views

A minimum of two facilitators should run this training/workshop/ AWIS Exercise, each taking turns to facilitate session and helping each other when one partner has difficulties. The trainers/ facilitators should have in-depth knowledge of AWIS, process and practical knowledge good governance and sustainability water related projects. H/she should have a good understanding of the fundamental of the training/workshop facilitation. Trainer/facilitator should be well experienced with in depth on Water integrity and WASH sector management.

To enhance the facilitation capacity on AWIS. A one-day training ToT will be conducted for trainers / facilitator. The trainer should be able to facilitate AWIS session in the different level of entities and the groups/ participants. AWIS is a qualitative assessment based on the scoring and judgments on annotation so strong mediation may need during dialogue among the participants.

3.6. Preparation and logistic

An appropriate venue and enabling environment is also an important part of the successful training. So, there is need a separate hall with projector and well sitting arrangements.

The space should be enough for the group work, ice-breaker exercise, presentation, and health environment.

The local partner/project should officially invite to the participants with ensuring the participation of the correspondents. The individual letter/ or communication should include a brief of an AWIS and the overall programme with an agenda of the workshop.

Addressing the relevant actors informally through consultation method might be useful to make the event effective. The communication procedure should be decided based on the experiences at local level. The secondary information collection and consultation might be helpful to make the better communication about the workshop

Sufficient stationary for individual and training/workshop exercise should be standby as per the recommended training materials by the training and as per needs.

In additions to the above the facilitating organisation/project prepare a copy of an workshop agenda, a clear description of the workshop objectives and a printout of the indicators, checklist of scoring and the scoring sheet. Some copies of the reading materials for interested participants.

PART 3

4. AWIS Training/ workshop plan

4.1. AWIS Training/workshop course structure

The course comprised the following:

Sission 1: Registration, introduction and objective

Sission 2: Introduction of AWIS- definition, concept, Importance, use

Sission 3: Key risk area and scoring level

Sission 4: Scoring indicators and annotation process

Sission 5: Scoring and Annotation exercise

Sission 6: GAP Identification and follow up Plan

Sission 7: Queries and clarity

Sission 8: Training evaluation and wrap up

Tips for a good Trainer

- **Be well organised, read the manual and prepare session plan before the training so that trainer / facilitator may be well prepared and know how to handle the sessions. Make sure the role and responsibility are clear among the trainer's team.**
- **Be friendly, make everyone feel comfortable and part of the group that encourages to increasing the participation.**
- **Ask Questions and encourage everyone to contribute.**
- **Be a good listener, show that the trainer is interested, rephrase what people say and ask follow up question**
- **Don't be satisfied with one answer, keep asking, what else? Who would like to add?**
- **Don't rush and find the pace that participants feel comfortable with.**
- **Equalize participation, draw out the silent and control the talkative**
- **Be aware in inclusiveness, encourage women, cast, ethnicity to be active in the discussions**
- **Watch the energy level; look for signs of tiredness or boredom. When people get tired, change the activity, introduce a song or energizer or take a break**
- **Keep changing the methods to maintain interest**
- **Be a good time manager, try to fit all the activities in within the agreed time**
- **Avoid jargon, don't use big technical words that confuse people**
- **Avoid criticism, don't say that's working, and instead say "does anyone have another idea"?**

4.2. Agenda and training contents

Table 5 Agenda and training content

Date/ Day	Time	Activities	Methodology	Facilitation
Day 1	30 Minutes	Registration and Introduction/ Objectives	Self-introduction, presentation	Organizer/ project lead
	60 minutes	Introduction of AWIS (definition, concept, Importance, use)	Presentation and Discussion	Facilitator/ co- facilitator
	15 Minutes	Tea break		Organiser
	60 Minutes	Key Governance Risk areas / indicators	Presentation and Discussion	Facilitator/ co- facilitator
	30 Minutes	Indicators, Scoring levels / annotation process	Presentation and Discussion	Facilitator/ co- facilitator
	90 Minutes	Scoring and Annotation	Individual scoring and compilation	Facilitator/ co- facilitator
	60 Minutes	Lunch Break		Organiser
	60 Minutes	GAP identification and follow up plan	Group exercise and compilation	Facilitator/ co- facilitator
	30 Minutes	Queries and clarity	Open discussion and conclusion	Facilitator/ co- facilitator
	15 Minutes	Tea Break		Organiser
	30 Minutes	Training Evaluation and wrap up	Individual exercise and presentation	Facilitator/ co- facilitator

(Note: The time schedule for breaks can be finalized after discussion with the participants. Overall training/Workshop schedule can be adjusted as per the context and situation)

5. Session plan of the workshop

Session 1: Registration, Introduction/ Objectives

Overview

To start the training/workshop smoothly, Participants need to feel comfortable with each other and be at affluence in the learning environment. Opening activities help to set the right tone for the duration of the training and beyond. Major objective of the opening session is got to know each other, explain their expectations and fears about the training/workshop, understand the training agenda and objectives and agree on ground rules for the training/workshop.

Objective: To create an enabling environment for the training, present an objective, introduction and registration

Time: 30 min

Materials; Handouts of agenda, meta card, Marker

#	Title	Content
1	Objective of the training	The presentation explains the objective and expected result of the training.
2	Remarks from the project personals	The speech from the senior person from the project is to encourage to the participants and create learning environment in the training periods.

Introduction

There are many methods and ice breakers to run the introduction session. Facilitators can use one of the methods and or introduce the participants with their name, address, organisation, role and responsibility and other information as per the need and context.

Expectations

Ask participants about the workshop/training

- What do you expect from the workshop?
- What is your fears about the training/ workshop?

Conduct a short brainstorming and collect the expectations and post it in a Braun paper to check the at the end of the workshop.

Objective: Present the objective of the workshop, ask question for clarity and make conclusion.

Agenda: Present agenda of the workshop and ask question for clarity and make conclusion

Parking lot: Post a Braun paper in a wall of the training hall to write the special queries of the participant which need to discuss separately

Ground rules: Discuss about the ground rule of the training/workshop

Session 2: Introduction of AWIS (definition, concept, Importance, use)

Overview

After an opening and introduction session, the first session of the workshop is to know about the AWIS definition, concept, importance and implementation of AWIS. The AWIS is a tool to analyse the strengths and weakness in the water integrity situation with identifying gaps and set the follow up action. Introducing about the AWIS basic and its methodology is a starting point for the participants to understand the topic and its applications so they can participate in the next exercises for water integrity and WASH governance. The session presents a basic introduction of AWIS and exercise methodology.

OBJECTIVES

By the end of the session, participants will be able to know about the AWIS, principles, concepts and purposes of the AWIS exercise and be prepared for the exercise.

TIME; 60 min

MATERIALS; PowerPoint presentation about the subject, flip chart, marker, etc

STEPS AND METHODOLOGY

- Start the session with relevant game or story about the topic
- Link the previous session to continue the second session of AWIS
- Ask questions about water governance, existing situation, water integrity as a preliminary discussion
- Write the participants view in the white board and conclude the discussion
- Make a presentation about AWIS and principles
- Ask question for clarity if any
- Make clarity on the queries with discussion and conclude the session
- Link the topic with next session to make the continuations of the next related topic

Session 3: Key Governance Risk areas / indicators

Overview

After the session on the AWIS basic introduction and principle, the workshop will be continued with the presentation of key governance risk areas and indicator. Water integrity and WASH governance is based on the governance vectors and anti-corruption frame work. Indicator wise analysis on the water integrity helps to identify the existing situation, gaps and set the further action plan to improve it. So, the participants should know the key governance risk areas and its indicators for further scoring and annotations. The session will help to the participants to prepare for the AWIS scoring effectively. The session presents the key governance risk areas and indicators with examples.

OBJECTIVES

By the end of the session, participants will be able to know about the key governance risk areas and its indicators for further preparation to have in-depth understanding about an AWIS process.

TIME; 60 min

MATERIALS; PowerPoint presentation about the subject, flip chart, marker, etc

STEPS AND METHODOLOGY

- Start the session with relevant game or story about the topic
- Link the previous session and review the topic to link with the next session.
- Ask questions about water governance, and key governance risk areas as a preliminary discussion
- Write the participants view in the white board and conclude the discussion
- Make a presentation about Key Governance risk areas and indicators
- Ask question for clarity if any
- Make clarity on the queries with discussion and conclude the session
- Link the topic with next session to make the continuations of the next related topic

Session 4: Indicators, Scoring levels / annotation process

Overview

After a discussion on the key governance risk areas and indicator, the next session will be the indicators and scoring levels with annotation. This is an important session to move into the scoring and scoring practical exercise. Before the scoring exercise, the participants should be clear about the indicators and scoring level. There are 3 levels of scoring in each indicator of the key risk areas. Participants will write an annotation to each score to explain the fact situation in the next row of the scoring. The session will help to make the participants clear that how to score and write annotations to explain why they score the number in the indicator and levels. The session presents the 4 indicators of individual risk areas and 3 levels of scoring in each indicator.

OBJECTIVES

By the end of the session, participants will be able to know about the indicators, scoring levels and annotation process/ method and will be prepared for AWIS exercise.

TIME; 30 min

MATERIALS; PowerPoint presentation about the subject, flip chart, marker, copy of scoring sheet etc

STEPS AND METHODOLOGY

- Recap the previous session and link up with next session
- Start the session with relevant game or story about the topic
- Ask questions about key governance risk areas and indicators as a preliminary discussion
- Write the participants view in the white board and conclude the discussion
- Make a presentation about indicators, scoring levels and annotations
- Ask question for clarity if any
- Make clarity on the queries with discussion and conclude the session
- Link the topic with next session to make the continuations of the next exercise

Session 5: Scoring and annotation (Exercise)

Overview

The previous 3 sessions are mainly preparatory part of the AWIS exercise. The sessions make the participants understand about AWIS concepts, process, risk areas, indicators and scoring and annotation process through theoretical discussion. Once the participants are clear on the AWIS and ready to go for the scoring and annotation exercise, an individual scoring session will be conducted. In this session participants will put the score in a scoring sheet according to the governance risk areas, indicators and scoring levels. At the same time, the participants will also write annotations to explain their scores. This is an individual and confidential process. After the scoring and annotation, the facilitator will compile and present the situation as per the average score of the indicators of the risk area. The result of the scoring exercise, all will realize the current water integrity and WASH governance status. During this session the facilitator will support the participants to make clear the confusion on the indicators and annotation process. This session will finally present the existing picture of water integrity in the particular level.

OBJECTIVES

By the end of the session, participants complete the scoring and annotation on the indicators of governance risk areas, compiled and presented the existing water integrity situation.

TIME; 90 min

MATERIALS; flip chart, marker, copy of scoring sheet etc

STEPS AND METHODOLOGY

- Recap the previous session and link up with next session
- Start the session with relevant game or story about the topic
- Explain the task of scoring and annotation. Provide the exercise sheets to the participants
- Facilitate the individual exercise and support to make them clear
- Collect all individual sheets and compile the scoring and annotations
- Prepare a graph or diagram and present the existing water integrity situation
- Facilitate short discussion with participants to verify the result of the scoring
- Ask question for clarity if any
- Make clarity on the queries with discussion and conclude the session
- Link the topic with next session to make the continuations of the next related topic/exercise

Session 6: Gap Identification and follow up action plan

Overview

The scoring and annotation are a first step of the AWIS exercise that envisions the existing situation of the water integrity in the project/ organizations. After the compilation of the scores and annotation statements, Gaps will be listed in each risk areas and discuss among the participants. Based on the gaps there will identify concrete follow up actions and activities to improve the water integrity situation in the WASH sector. During the session there will be listed the area wise activities and resources. There will be identified the potential stakeholders (internal and external) to implement the follow up action plan. This session is a group exercise. The participants will identify the capacity gaps, list of the major activities, potential contributors and develop an action plan for implementation.

OBJECTIVES

By the end of the session, participants will prepare an action plan and implementation strategy to improve water integrity and WASH governance in the particular project / organization / agency.

TIME; 60 min

MATERIALS; flip chart, marker, copy of planning sheet etc

STEPS AND METHODOLOGY

- Recap the previous session and link up with next session
- Start the session with relevant game or story about the topic
- Form task groups for the exercise according to the number and level of participants
- Explain the task of gap identification and list out the potential action points.
- Provide the exercise sheets to the participants
- Facilitate the group exercise and support to make them clear and select group leader to lead and present the findings
- Facilitate to the leader to make presentation and discussion
- Collect all the presentation for reporting
- Ask question for clarity if any
- Make clarity on the queries with discussion and conclude the session
- Link the topic with next session to make the continuations of the next related topic/exercise

Session 7: Queries and clarity

Overview

After all the exercises and action plan, there might be some queries and questions of the participants. All the confusions and queries should be cleared before closing of the workshop. The session will ensure the commitment of the concerns to implement the follow up action plan and monitoring. This session will also address the issues of the parking lot which was not addressed during the sessions. During the discussion, facilitator will verify whether expectations of the participants are addressed or need further discussion on the relevant topics. Ending of this session will lead the workshop evaluation and wrap up of the entire workshop.

OBJECTIVES

By the end of the session, participants will be clear about all aspects of AWIS process and make common understanding on the remaining confusions and issues of the parking lot.

TIME; 30 min

MATERIALS; flip chart, marker, etc

STEPS AND METHODOLOGY

- Recap the previous session and link up with next session
- Start the session with relevant game or story about the topic
- Form task groups for the exercise according to the number and level of participants
- Explain the task of gap identification and list out the potential action points.
- Provide the exercise sheets to the participants
- Facilitate the group exercise and support to make them clear and select group leader to lead and present the findings
- Facilitate to the leader to make presentation and discussion
- Collect all the presentation for reporting
- Ask question for clarity if any
- Make clarity on the queries with discussion and conclude the session
- Link the topic with next session to make the continuations of the next related topic/exercise

Session 8: Training Evaluation and wrap up

Overview

After all the sessions and exercise, there is need of training/ workshop evaluation. The evaluation compressed the most liked and need to be improved in terms of contents, facilitation, exercise, logistic and other important aspects of the workshop. The evaluation will also ensure the enhanced capacity of the participants. The evaluation will be helpful to make the exercise better in the future. In this session the facilitator will provide a checklist/ questionnaire for the evaluation. The individual participant will response the questionnaire as per the experience and enhance knowledge and skill. This is the last session of the workshop so the closing events will be conducted. After the workshop evaluation the organizer will close the workshop with encouraging words to the participants.

OBJECTIVES

By the end of the session, participants will evaluate the workshop and training will be ended with commitment for implementation and further collaboration to improve the water integrity situation

TIME; 30 min

MATERIALS, flip chart, marker, copy of evaluation sheet, etc

STEPS AND METHODOLOGY

- Recap the previous session and link up with next session
- Start the session with relevant game or story about the topic
- Share the evaluation questionnaire to the participants
- Facilitate on the exerciser in case of any confusions in the questionnaire.
- After the completion of the time, answer sheet will be collected
- Process the answer sheet by categories and type of the answers.
- Organise a formal or informal closing session
- Ask to the participants to say something about the exerciser and commitment to implement the follow up action – 2 participants (GESI)
- The organiser/ project leader will deliver encouraging words to the participants and close the training/ workshop

6. Conclusion

This training manual is one of the capacity building tools of the SUSWA Project, working in the WASH sector in Karnali Province of Nepal. The project envisions a sustainable water facility for all through water integrity at all level of stakeholders and service providers. AWIS is a tool to know the existing water integrity status in the WASH sector. The tool is a quick assessment in the WASH sector with participatory way and constructive dialogue among the participants. This tool gives a picture of the existing good governance and anti-corruption state in the WASH sector. The exercise provides a way out to find gaps and the follow up action after scoring and annotation.

Proper facilitation is a crucial for the successful of any events and its results. This manual is a part of users guide to conduct AWIS workshop at different level. This AWIS training manual/ module is an example for an orientation on application of AWIS workshop at different level of WASH actors. The trainer/ facilitator needs to be well equipped with the materials and methodology of training / workshop. Guideline and session plan might be helpful to guide the trainers for similar project in the future. This guideline is a template to prepare any other similar training manual/ module for better understanding of the facilitator to produce better result from the training / workshop. Formal training / workshop needs to follow the basic of the methods from the starting to end to make it effective.

This manual includes basic introduction of the AWIS exercise, scoring exercise, training /workshop plan, methodology and session plan with necessary steps and material needed. This is a guide only for the facilitator and the facilitator may needs additional study, generate ideas to make the workshop effective and collect additional material to update the knowledge and skill.