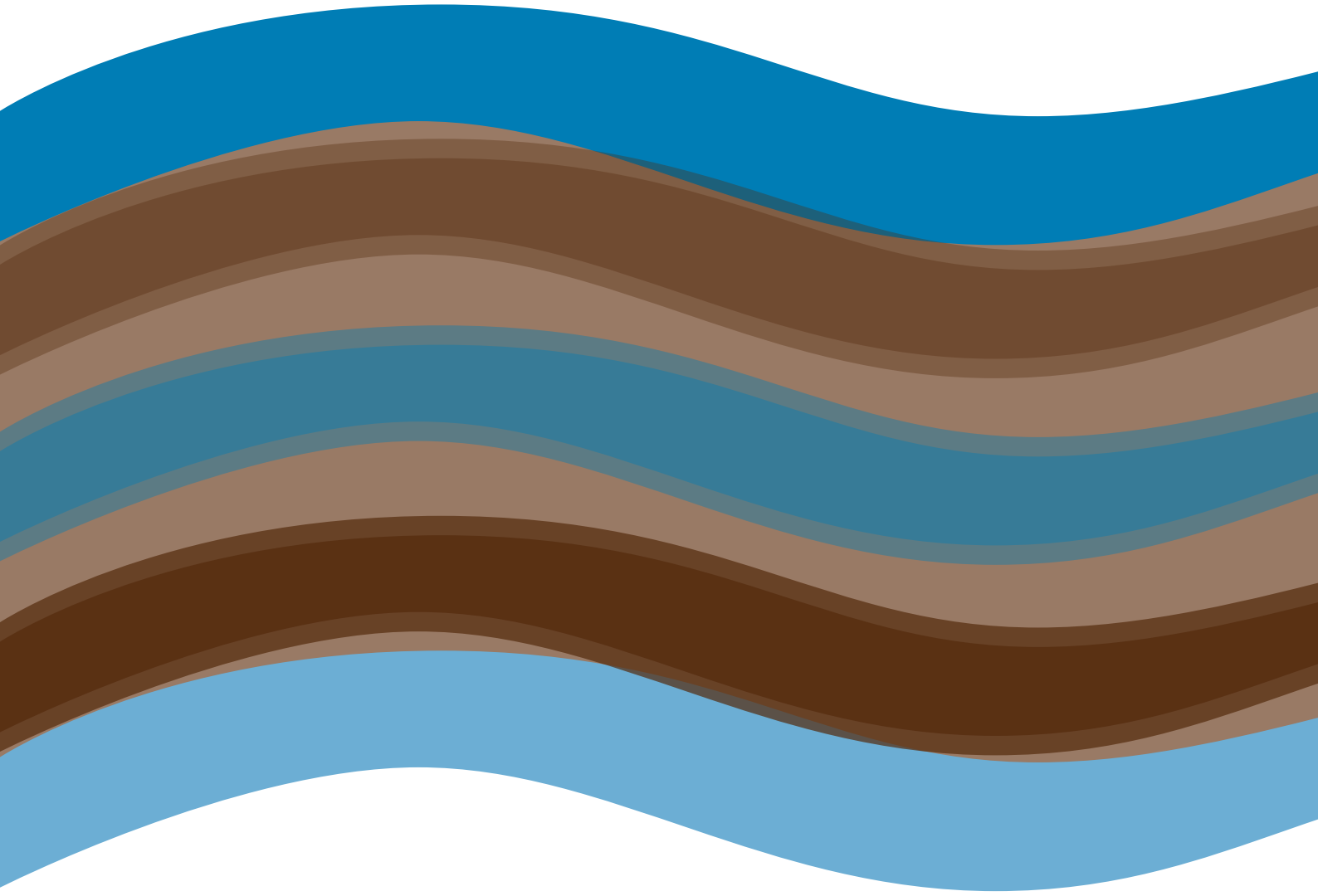
Developing capacities for water integrity:

Reflective review of approach and impact of training courses
Water Governance Facility Report No 6



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Acronyms and abbrevations

AMCOW	African Ministers' Council on Water
Cap-Net UNDP	International Network for Capacity Building for Sustainable Water Resources Management United Nations Development Programme
EAC	East African Community
ECOWAS	Economic Community of West African States
GIZ	German Agency for International Cooperation
ICT	Information and Communication Technology
LA-WETnet	Latin American Water Education and Training Network
LVBC	Lake Victoria Basin Commission
MENA	Middle East and North Africa
SADC	Southern African Development Community
Sida	Swedish International Development Cooperation Agency
SIWI	Stockholm International Water Institute
UNCAC	United Nations Convention against Corruption
UNESCO-IHE	UNESCO Institute for Water Education
UNDP	United Nations Development Programme
WASH	Water, Sanitation and Hygiene
WGF	The Water Governance Facility
WIN	Water Integrity Network
WOGP	Water and Ocean Governance Programme

Executive summary

Lack of capacity is one of the contributing causes to poor governance and corruption in the water sector. As a response to increased awareness of the detrimental effects of corruption in the water sector, a number of capacity-development initiatives aiming at improving water integrity – the opposite of corruption – have been launched and implemented in recent years. This report reviews the approach and impacts of some of these programmes, notably having trained a large number of individuals.

Although still too early to assess the long-term impact of these training initiatives, the report takes stock of the lessons learned in promoting and implementing capacity development for water integrity to date. The report builds on a review of pertinent literature, surveys among water integrity experts and alumni of training courses, along with the authors' own experiences of designing and conducting water integrity training programmes.

The majority of respondents in the alumni survey claimed to have used integrity-related knowledge and also shared it with other persons and institutions. More than half of those who responded claimed that transparency and accountability improved at their organizations; still, tangible impacts from the trainings are difficult to pinpoint.

The difficulties in ascertaining the medium- and long-term results of the trainings relate to a lack of meaningful benchmarks to follow-up on, which in part reflects the complexity and qualitative nature of the capacity- development process. Impact assessments need to include new and innovative ways to complement quantitative figures by also capturing qualitative results in terms of behaviour change and changes in water governance practices.

Capacity development is about change. Intended outcomes of a capacity development programme consist of the extent to which people perform their jobs differently. The process itself builds on a range of activities for an effective transfer of knowledge to specific targeted groups. It goes beyond training per se and includes enhanced abilities at the individual, institutional and societal levels. Recognizing that capacity development is more than a technical process, which involves social change, the report looks at the prerequisites needed to ensure long-term changes on the ground.

Behaviour changes, especially related to integrity, must be seen in a long-term perspective. Yet the programmes and projects intended to create these changes rarely run beyond a couple of years. Capacity development ought not to be treated as ad-hoc or isolated activities but rather as a process cycle, starting with assessing the current situation, planning, implementing and above all following up and supporting the intended new capabilities and behaviours which are, eventually, the substance for subsequent monitoring and evaluation. The success of capacity development initiatives relies to a large extent on their ability to be relevant and to respond to the capacity needs of the target group, and to understand the political and institutional context.

Finally, continued capacity development, including training, but also putting greater emphasis on the institutional and societal enabling environment to promote water integrity, is crucial. It remains a challenging task partly because of lacking effective tools for understanding where the gaps are, and even how to instil and measure the desired behavioural changes. Whereas new skills are needed to build systems that provide fewer opportunities for corruption, behaviour change towards greater integrity involves changing values, beliefs and practices. This will not happen overnight. Corruption is not isolated to one sector alone but part of the social fabric of a society. To be effective, anti-corruption efforts at the sector level need to be aligned with broader anti-corruption programmes at the national level.

Introduction

Lack of capacity is often mentioned as one of the causes of poor governance, in general, and as a driver for corruption, in particular (WWAP, 2015; Stålgren, 2006). Drivers of corruption include need, greed and/or opportunity (Bauhr & Nasiritousi, 2011; Cressey, 1973). Lack of capacity, including insufficient understanding of roles and responsibilities, can lead to blurred lines of accountability and to procedures being captured by corrupted interests (UNDP Water Governance Facility, & UNICEF, 2015). In the water sector, where decision-making often is dispersed across many political and administrative boundaries and agencies, the corruption risk may be even greater, with dire consequences for people and the planet (SIWI et al, 2009).

Water integrity – the opposite of corruption – can be understood as the adherence of water actors and institutions to the water governance principles of transparency, accountability, and participation, based on core values of honesty, equity and professionalism. Ultimately, water integrity is one of the most important means for achieving a world resistant to corruption. Water integrity is also about change, as it requires a shift in people's perspectives and actions. Capacity development is a key force for driving such changes as it helps governments, civil society and the private sector understand and apply measures to improve integrity and accountability.

Capacity development regarding anti-corruption is considered an important element in the global fight against corruption. As stated in Article 7.1 of the United Nations Convention Against Corruption (UNCAC), "education and training programmes to enable civil servants (and where appropriate, other non-elected public officials) to meet the requirements for the correct, honourable and proper performance of public functions and that provide them with specialized and appropriate training to enhance their awareness of the risks of corruption inherent in the performance of their function" (UNODC, 2004). Anti-corruption training and policy analysis has also been identified as one of the preferred instruments for introducing anti-corruption issues into sector work (Luijken, 2014).

As a response to increased awareness about the detrimental effects of corruption in the water sector, along with the recognition by the international donor community of the need to address corruption specifically at the sector level (UNDP, 2014), a number of capacity development initiatives aimed at improving water integrity have been implemented in recent years. (See boxes 1 and 2). These initiatives have followed different modalities with different target groups, delivery modes, timeframes, content and been implemented in different regions of the world. But they all share one overarching objective: to respond to demands articulated by water professionals and capacity developers and institutions (water agencies, water utilities, water boards, civil society organizations, among others) who want to increase their capacities to promote and improve water integrity.

Box 1 - Regional Capacity Programme on Water Integrity in sub-Saharan Africa

During the 2011–2014 period, the Regional Capacity Programme on Water Integrity in sub-Saharan Africa trained 579 water stakeholders in Western, Eastern and Southern Africa, attending 20 training sessions and workshops on methodologies and tools to identify and reduce integrity risks in their home institutions.

Participants held a range of responsibilities, up to the level of minister, and from the areas of regulation, control, planning, policy development and decision-making. Stakeholders less directly involved in water management but with key roles in strengthening or demanding accountability, e.g., media, water users associations and advocacy organizations were also trained.

On April 29–30, 2014, the first African Water Integrity Learning Summit, hosted by the government of Zambia, marked the end of the first phase of the programme. Summit participants issued a statement calling on the political leaders of AMCOW to recognise integrity as a core element of good and sustainable water governance. On May 30, 2014, AMCOW's General Assembly did so by adopting a resolution. (ref. General Assemblies' decisions).

The programme was implemented by UNDP Water Governance Facility at SIWI together with Cap-Net UNDP, the Water Integrity Network and WaterNet in partnership with three Regional Economic Commissions: the East African Community – Lake Victoria Basin Commission (EAC-LVBC), Economic Commission of West African States (ECOWAS) and the Southern African Development Community (SADC). The programme was funded by the Swedish International Development Cooperation Agency (Sida).

For further information, see **watergovernance.org/programmes/water-integrity/sub-saharan-africa-water-integrity-capacity-building-programme**

Box 2 - Regional Capacity Building Programme on Water Integrity for the Middle East and North Africa (MENA)

Building on the experiences from the programme in sub-Saharan Africa (Box 1), a similar programme is being implemented by WGF in the Middle East and North Africa (MENA) together with regional and national partners. It is implemented during the 2014-2017 period, also with funding from Sida.

The programme covers five countries (Jordan, Palestine, Lebanon, Morocco, and Tunisia) with national and regional activities, targeting civil society, operational staff and public officials.

Activities include National Water Integrity Assessments for each of the target countries; development of adapted training materials; Training of Trainers from the five target countries, as well as a set of national water integrity trainings targeting the different stakeholders involved in water resources management.

The capacity-building approach focuses on empowering each of the participants of the training to make a change for integrity within their own area of influence. To support them in this endeavour the alumni are supported by mentors while implementing their water integrity action plans. They are brought together in alumni workshops to enhance the interaction between different stakeholder groups. The programme combines bottom-up approaches with top-down policies for integrity in water resources management.

The programme has gained political support from the ministries responsible for water in the five programme countries, and in 2014 it was officially labelled by the 43 member countries of the Union for the Mediterranean.

For further information, **watergovernance.org/programmes/water-integrity/water-integrity-capacity-building-programme-in-mena**

While it is still too early to assess the long-term impact of these interventions, this report takes stock of intermediate outcomes and lessons learned in promoting the development of capacities for water integrity through these programmes, mostly in Southern Africa but also in Latin America, and some other related training initiatives by partners.

What is capacity development? | Capacity development is currently widely recognized, at least formally, as consisting of a range of dimensions, from the knowledge of individuals to that of organizations and the nature of the institutional frameworks and norms in which they operate. Fundamentally, capacity development is about change. Intended outcomes generally consist of the extent to which people perform their jobs differently. In order to enable them to do so they may need greater knowledge, bureaucracies or organizations that encourage them to do so, and changes in rules and informal norms that sanction changes in behaviour (Christoplos et al, 2014).

The standard definition of capacity development is the one suggested by OECD-DAC, where "'capacity' is understood as the ability of people, organizations and society as a whole" and "'capacity development' is understood as the process whereby people, organizations and society as a whole unleash, strengthen, create, adapt and maintain capacity over time. (OECD, 2006: p. 12; see also Carneiro et al, 2015). In line with this, UNDP also defines capacity development as the "process through which individuals, organizations and societies obtain, strengthen and maintain the capabilities to set and achieve their own development objectives over time" (UNDP, 2009a: p. 5).

Capacity development is a process of several dimensions and activities. These activities largely exceed the traditional approach of education and training only. It is about getting closer to and managing knowledge through different types of interventions that aim to foster the knowledge base and the capacity of individuals and institutions by creating learning opportunities and assisting with the generation and acquisition of new knowledge. These activities may range, for example, from preparatory activities, including capacity needs assessments and development of training and other types of learning material, to the actual transfer of knowledge to specific targets groups.

The knowledge transfer may take various forms as face-to-face or online trainings, and a wide array of experience-based learning (action learning and coaching, mentoring and apprenticeships within organizations), exposure visits and blended learning, and events for sharing knowledge and creating subject awareness. More complex organizational arrangements as focussed alliances, partnerships, and networks are also valuable systems for knowledge transfer. To close the cycle, actions oriented to the generation of new knowledge, as various forms of research and studies, are also part of capacity development, as they bring value to the knowledge base (Wehn de Montalvo & Alaerts, 2013).

While the various dimensions and levels that are crucial for capacity development are appreciated, in this report capacity development is primarily discussed in terms of trainings, as it is training courses for water integrity where most of the action has been so far.

Methodology and structure of this report | This report is a reflective review of several years of training and capacity development experiences. Apart from the authors' own involvement in the training programmes discussed, findings of this report largely build on three major sources of information and knowledge:

- A small "partner questionnaire" distributed to representatives from institutions and individual professionals with experience implementing water integrity capacity development activities. The questionnaire (attached as Annex 1) was completed by nine water integrity specialists from various regions.
- A larger survey to former participants of water integrity training courses in Africa and Latin America (distributed in May/June 2014). 142 alumni responded. The training courses held between 2010 and 2014, attended by the respondents are listed in Annex 2.
- In addition, a review of literature on both capacity development and water integrity was conducted to draw on the relevant research in the area.

Following this introduction with background discussion, definitions and summary of methodology, the next main section outlines the approach taken to water integrity capacity development. The analysis of the factors and approaches that either impede or support water integrity capacity development are woven into this outline, which also discusses aspects such as institutional change, knowledge management and institutional and context analyses.

It emphasizes the importance of understanding and being responsive to the needs of the beneficiaries of capacity development interventions and takes a look at who these beneficiaries are likely to be, both inside and outside the "water box", and especially discusses the need to include both women and men in the design and implementation of capacity development programmes. The different modalities for capacity development delivery relating to regional approaches, networks, and online trainings are introduced and discussed in relation to their innovation and effectiveness.

The third section discusses how to measure impacts from capacity development and presents the findings from the alumni survey relating to selected water integrity trainings in Africa and Latin America. The final section summarizes the conclusions from the review and presents a set of prerequisites for effective and sustainable capacity development programming.

Part I: Water integrity capacity development – outline and reflection on the approach

This section takes a critical look at the past years' efforts for water integrity capacity development in order to understand the factors that support and impede capacity development, the content that has been conveyed in trainings on water integrity and how knowledge obtained has been put into action.

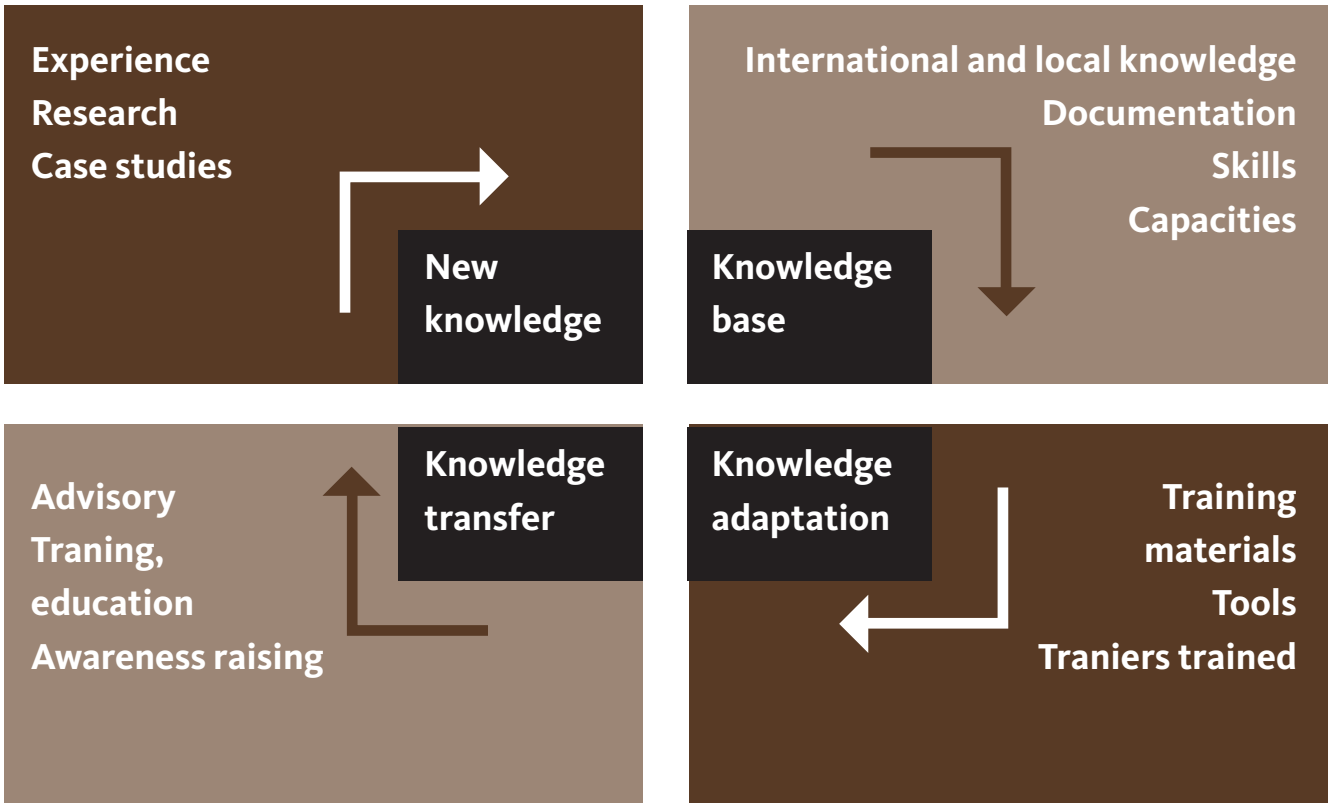
Throughout, it is important that capacity development is not seen as ad-hoc activities, but as a process cycle; starting with assessing the current situation, planning, implementing, and later monitoring and evaluating the impact. Ideally, this process should also generate new knowledge.

Appreciating the context and triggering demand | A very important part of the first phase – assessing the current situation – is to analyse the political and institutional context. A common risk associated with capacity development is that of "institutional bricolage", i.e., that people seldom simply implement reforms, but instead tend to integrate and interweave new ideas, procedures and norms into their pre-existing ways of working (Christoplos et al., 2014). To be effective, capacity development initiatives therefore need to invest in assessments to understand the organizational incentives that would either support or block reform, for example, by conducting Institutional and Context Analyses (UNDP Water Governance Facility et al., 2013). This also gives an opportunity for building on ongoing initiatives and reforms.

Although important, knowing the political context is no guarantee for smooth implementation of water integrity capacity development. In Kenya for example, where an Annotated Water Integrity Scan exercise was carried out and endorsed by the Ministry of Water and Irrigation the new Water Act has been awaiting approval for almost three years (WIN/TI Kenya 2011). In such a policy void no commitments can be made and keeping the momentum for a water integrity initiative is therefore difficult (Partner questionnaire).

Investing in preparatory activities to foster local ownership is also about investing in sustainability. According to Ogiogio (2005), the real success of an intervention in capacity development is the ability to develop local skills and institutions, which

Figure 1 - Cap-Net UNDP knowledge management cycle for capacity development for sustainable water management



Source: Cap-Net UNDP (2013). Strategy 2014–2017 "Water knowledge for all, moving beyond the enabling environment." (Figure 2.5: Cap-Net, managing knowledge for sustainable water management, page 12)

can effectively generate reforms in policies and programmes, guide a development process and draw on global information and knowledge to address national development problems. For this to happen, policy makers and water practitioners must own, adapt and internalize water integrity knowledge in order to apply it at the legal, policy and institutional levels.

Assessing the political context is also an opportunity to identify change agents and potential allies for the envisioned change (Christoplos et al., 2014). The importance of identifying allies cannot be overestimated. A common challenge in anti-corruption work is that the beneficiaries (in this case institutions or individuals to be trained) feel indirectly accused of corruption, which may lead to a reluctance to participate. To overcome this challenge, a non-confrontational approach rather than finger-pointing or naming and shaming has proven successful. Such an approach focuses on prevention through risk identification and mitigation which builds trust between implementing partners and beneficiary institutions and is much more likely to address the underlying causes of the integrity risks at hand (Authors' observation). Indeed, the "integrity" approach aims to be positive and does not go into naming and shaming (SIWI et al., 2009).

Another important part of the preparatory activities is raising awareness among key stakeholders as a way to identify change agents and to trigger demand to concretely engage with integrity issues, including capacity development. It is equally important to engage with the management of the beneficiary institution at an early stage to assess their support for the "integrity cause". If the necessary support is there, the management should ideally also be involved in identifying change agents to be trained. This process ensures that trainees have a mandate to apply skills acquired in their home institutions that can serve as a starting point of much more complex and complete capacity-development activities.

At times, initial demand can also be prompted by events such as corruption scandals. There is also a risk that the dependency of many water sector institutions on donors can create perverse outcomes, such as using capacity development for "window dressing" by beneficiary institutions to avoid acting on real corruption issues or integrity risks.

However, capacity-development initiatives should ideally be driven by local demand and internal pressure which then can be supported by international development cooperation programs and organisations.

Assesing capacity development needs | The success of capacity-development initiatives relies to a large extent on their ability to be relevant and to respond to the capacity needs of the beneficiary. Naturally, capacity development needs and strategies differ depending on the target groups and the geographical scale (local, national, regional and international) of the activity (Tsegai & Ardakanian, 2013). In order to be as effective as possible, all capacity-development interventions need to be based on assessments of capacity needs and a solid understanding of the integrity risks in the given context. These assessments typically provide: (i) entry points at target institutions as well

as stakeholders and their capacity needs; (ii) an understanding of objectives and impacts related to the interventions and (iii) baselines for capacity-development interventions to enable future monitoring and evaluation (See Box 3).

While this may seem obvious, many capacity development interventions are based on vague supply-driven expectations that a new method or training package will solve the problem, without clearly defining what the problem or what the theory of change is, and without a comprehensive understanding of the expected outcomes and impacts to which it should contribute (Christoplos et al, 2014).

Capacity development on water integrity, here discussed mostly in terms of trainings, can be designed in many different ways. Anti-corruption trainings at the sector level typically aim to supporting public officials in the development of skills to (i) identify and understand problems of corruption and corruption risks in a specific sector; (ii) design anti-corruption strategies and tools to address these risks; (iii) respond to personal exposure to corruption issues, such as how to react when they suspect that someone is involved or when they are offered a bribe (Luijken, 2014). Increasingly, also non-public officials are targeted in these initiatives as well. Trainings also aim at raising awareness about the forms, causes and consequences of corruption, how it flourishes in a given context and provide information on tools and problem-solving skills to address corruption challenges in practice (Chêne, 2013 cited in Luijken, 2014).

These components also form the backbone of water-integrity trainings. However, since water integrity is such a broad concept, in addition to anti-corruption tools and approaches, water-integrity trainings tend to include sessions on water governance more broadly, and particularly how governance principles such as transparency, accountability and participation (the TAP approach) can be put into practice.

It is important to link capacity-development initiatives to broader national development strategies (Wehn de Montalvo and Alaerts ,2013). However, creating these linkages is easier said than done, particularly since many of the capacity-development initiatives are dependent on external funding.

Targeting beneficiaries – whose capacities to develop? | It is now commonly accepted that knowledge and capacity need to be conceived and addressed at several distinct, yet interconnected, levels, including both individuals (with their knowledge, experience, skills and attitudes), organizations (operating through procedures, routines, knowledge management and incentive systems) and sector institutions and the "enabling environment" (the legal, fiscal, policy and administrative frameworks) and civil society (Wehn de Montalvo and Alaerts, 2013).

The water sector, as any other sector, is to a large extent governed by national institutions and subject to the same regulations as other sectors in a country. This dependency on the national context has implications for water integrity and for capacity-development initiatives in this field. In a country with pervasive corruption levels, creating sectoral "islands of integrity" without addressing underlying structural problems is doomed to fail in the long run. Sometimes the cause of corruption in a particular sector can be traced back to weaknesses in the "National Integrity System" (Transparency International, n.d.).

To avoid this, it is also important to look outside the "water box", adopting a political economy perspective (i.e., analysing the power and interests of the various actors), to understand the roots of the integrity risks in the sector and who the actors are that make up the National Integrity System in a given country. This is important when designing capacity-development interventions, both in terms of content as well as target group.

Important water-integrity stakeholders include anti-corruption agencies, law enforcement agencies, water user groups, pressure groups, social and environmental organizations and media. Local media can also play a crucial role in disseminating good approaches and thus multiplying the effects of capacity-development initiatives. Acknowledging the need to include non-water stakeholders, the implementer of the regional capacity-development programmes in southern Africa, WaterNet, added anti-corruption commissions to the set of river basin organizations, civil society groups, media, local authorities and water utilities (Partner questionnaire). This also highlights the

Box 3 - Assessing the capacity needs on water integrity

Mapping of Integrity and Accountability in Water Resources Management and Relevant Capacities in Latin America

An example of capacity-needs assessment is a study entitled "Mapping of Integrity and Accountability in Water Resources Management and Relevant Capacities in Latin America", commissioned by UNDP Water Governance Facility at SIWI, LA-WETnet, and Cap-Net (Indij & Hantke Domas, 2013). The study was the first step towards developing a larger capacity-development programme in the region, parts of which are now being implemented (See **watergovernance.org/programmes/water-integrity/latin-america-capacity-building-programme**).

The objective was to identify entry points for capacity development in order to promote integrity and transparency in water management, as well as to identify available skills or capacity needs among specific target groups. Thus, the report did not attempt to reveal corrupt areas, practices or levels, but rather to describe the regional setting and highlight favourable aspects, institutions, mechanisms and stakeholders capable of contributing to greater transparency.

A similar approach was used to inform the capacity-development programmes on water integrity in southern Africa (Earle et al., 2008). These assessments have been essential for the subsequent setting up of the implementation programmes.

importance for capacity-development providers to be flexible and responsive to the needs on the ground.

While it is important to include non-sector stakeholders, it is equally important to have a holistic approach within the sector itself. Most capacity-development initiatives have focused on water services while issues like water resource management and sanitation largely have been neglected.

Another lesson learned is the importance of linking sector anti-corruption efforts at national government level with similar efforts at the district/local/consumer levels to ensure maximum impact. According to one of the informants to the Partner questionnaire, the lack of inter-sectoral work leads to duplication of efforts and to over-burdened public servants trying to coordinate it all, exacerbated by the fact that the WASH sector itself is fragmented. Experience suggests that success is more likely when training is provided as part of a broader anti-corruption programme (OECD, 2013; Luijken, 2014).

The gender dimension | Despite the important role women play in water management, and the way they are particularly vulnerable to the consequences of corruption (Boehm and Sierra, 2015; UNDP, 2013), women are often underrepresented in decision-making related to water management and services. This imbalance has also been reflected in capacity-development initiatives. For example, in the Regional Water Integrity Programme in sub-Saharan Africa 27 per cent of the participants were women and 73 per cent were men. Not only have women been underrepresented in numbers but women also tend to play a less active role during trainings than men who tend to dominate discussions (WGF, 2014).

Given these gendered dimensions of corruption it becomes even more important to include a gender perspective to capacity development. This includes having gender-sensitive trainers and involving both women and men in identifying gender-specific aspects of corruption and in the development of anti-corruption strategies. Recognizing this, SIWI and LVBC, as part of the Regional Water Integrity Capacity Building Programme in sub-Saharan Africa, organized two trainings on gender and water integrity in Burundi and Kenya respectively.[1] The training in Burundi, which only had two male and the rest female participants, saw a very active participation of all participants regardless of gender. In the training in Kenya, the gender balance was more mixed but with a focus on discussing gender issues in relation to water integrity. There, it was clear that the men were uncomfortable discussing gender issues. This shows the importance of providing platforms to discuss gender issues and also the benefits of considering the gender balance in trainings, as subsequently also carried out in the MENA Water Integrity Capacity Development Programme.

Delivering training and capacity development | During the implementation phase, there are important practical issues that need to be considered to ensure effectiveness. In a training session, the selection of participants is very important. Identifying individuals who have the necessary basic capacities, available resources and the mandate to later apply acquired knowledge[2] is a time-consuming but important exercise (See above). It is the authors' experience that those who are identified to participate in the trainings are not necessarily linked to the persons who later attend the training courses. This means that identification of target group/beneficiaries or whom to train is a process rather than a one-off exercise.

Most of the week-long trainings that were conducted were organized around the Training Manual on Water Integrity (See Box 4). Nonetheless, each training endeavour requires its own design and thought process. Several shorter trainings or awareness-raising events included only a selection of concepts and issues.

Moreover, for the implementation, the Water Integrity Capacity Building in Sub-Saharan Africa built a network of some 20+ integrity trainers across the continent (being one of the more important contributions of the programme, see external evaluation by Cross, 2015). Similarly, the training courses for the capacity-building programme for MENA has been implemented wholly by local partners that conduct the trainings in the various countries.

It is important to build the capacity of local or regional trainers instead of depending on international experts that are both expensive and not always knowledgeable about the local context and sensitivities. Nonetheless, to maintain their capacity, local trainers should receive refresher courses to enhance their training skills and to deepen their knowledge about integrity topics. There is also an important component of collaboration between international and local experts in the joint creation of courses and training sessions.

Working with networks | Another modality for implementing capacity development on water integrity is to work with networks. Networks are important for delivering capacity development since they assemble skills and knowledge from and across many different disciplines; build a critical mass of skills and understanding, enabling people to take action; and rapidly develop, adapt and transfer knowledge.

By sharing knowledge and expertise through communication and collaboration, networks combine strengths, and each member becomes stronger. Networks operate as learning alliances, embracing and combining actors, and knowledge (global, regional, local). Through the work of capacity-development networks knowledge is made available and adapted to local needs, anchored in local institutions and transferred to target groups. (Indij, 2005).

Networks also play a key role in sustaining capacity development as sources of social capital, which is an important shaper of power and influence (Indij et al., 2013). When water integrity knowledge and changes begin to be part of this social capital, then networks operate as a framework for multiplying and generating an echo of these changes.

[1] Training on Water Integrity, gender and the role of civil society', Burundi, October 30 – November 2, 2013 and 'Training on Water Integrity and Gender', Kenya, March 10–12, 2014

A main principle of networks is that they are driven on a local ownership basis. Activities are planned on a demand responsiveness approach, based on needs assessments and an active involvement (including co-funding) of local members.

Online training | The widespread availability of Information and Communication (ICT) tools today offers many opportunities for capacity development, including online or virtual trainings that are becoming increasingly popular. Examples of online platforms that have provided water integrity trainings include campus.cap-net.org and the UNDP Virtual School (for Latin America and the Caribbean.) The rate of growth in connections worldwide and decreasing computer prices increases accessibility to ICT tools, making them socially inclusive and generating learning opportunities that were not possible before.

Online training concepts became popular in the course of granting access to education to a wider audience as well as to meet flexibility requirements of certain target groups (Young et al. 2012). The use of technology allows for public outreach, hence multiplying the effectiveness of training and increasing the number of beneficiaries.

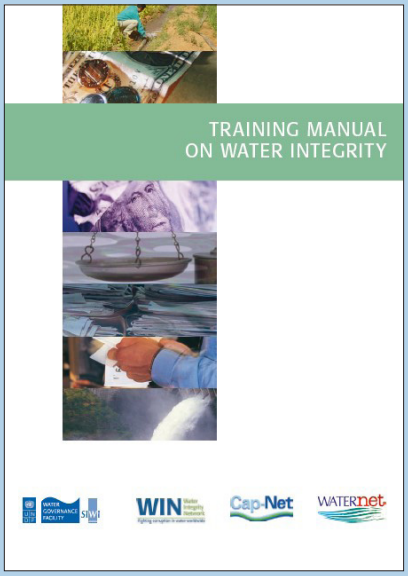
Today's platforms for virtual learning provide a variety of tools, including video, facilities for group conferences where speech and documents can be shared and worked on together, online forums and libraries along with guidance given by trainers, facilitators, and technical support.

Virtual platforms are beginning to be used in support to more traditional face-to-face trainings. Participants, facilitators, and partners involved in the organization and delivery of face-to-face trainings are interacting digitally before, during, and after the training through hundreds of e-mails, shared folders (through various platforms provided by social media), and documents posted on websites. This process can be largely facilitated and improved if the course is supported by means of a specific "virtual classroom", which offers the course a greater variety of supporting tools.

Post-training support | An area where many capacity-development programmes fall short is how to turn newly acquired skills through the programme into practice. In order not to lose momentum and to actually effect change, capacity-development activities need to be complemented with different types of follow-up support. Some of these measures are explained further below.

Mentorship | One form of post-training support is mentorship programmes. This means that mentors or coaches follow up on the implementation of action plans, tools and approaches and

Box 4 - The Training Manual on Water Integrity



For further information, see **watergovernance.org/resources/training-manual-on-water-integrity**

In order to initiate the Regional Capacity Programme on Water Integrity in sub-Saharan Africa, the work on developing a training manual was completed by the partners; UNDP Water Governance Facility at SIWI, WIN, Cap-Net and WaterNet.

Finalized during 2009, the manual highlights the "integrity capacity-building approach" by emphasizing the identification of integrity risks and the prevention of opportunities for corruption, thereby creating systems that are more robust in the face of unethical behaviors.
The Manual has seven sections that can be downloaded individually:
1. Water governance (AR, EN, FR)
2. Corruption in the water sector (AR, EN, FR)
3. Identifying corruption risks (AR, EN, FR)
4. Anti-corruption laws, institutions and instruments (AR, EN, FR) – Case study (EN)
5. Transparency and access to information (AR, EN, FR)
6. Accountability (AR, EN, FR)
7. Integrity in integrated water resources management (AR, EN, FR)

The full text is available in English, Spanish, French and Arabic.

During 2015, the manual provided the basis for an online Virtual Course on Water Integrity and Transparency -Part I: Principles and Concepts organized by UNDP Cap-Net, WGF and WIN.
The partners are currently discussing an update or review of the training manual

.

[2] For organizational change, the mandate to institute and drive change processes is crucial. Hence, where organizational change is the aim, more recent training endeavours tend to concentrate on imparting skills and impetus for change within one organization only, rather than the generalised courses for people from many different organizations (Editor's note).

provide technical backstopping to concrete project implementation. Coaches also assist alumni in identifying and overcoming barriers to change in their organizations. Adding a component of mentorship to training activities is becoming more and more common as a means to close the loop. For example, the Integrity Management Toolbox (See Box 5) views the coaching process as instrumental for keeping the momentum for change at the institutional level, and points at the need for regular follow-up and support after training interventions.

Despite the benefits, investing in mentorship requires continuity from the capacity developer. More often than not, training courses tend to be isolated interventions initiated on an ad-hoc basis, leaving little room for follow-up. Indeed, whereas mentoring has been an important part of the design of the Regional Water Integrity Programmes, its implementation has been very inconsistent.

Small grants | Another type of post-training support is financial support to implement pilot projects or proposed actions developed by course participants through a small grants programme. This could not only intensify the learning effect but may also ensure that the initiatives get a direct output. The small grants idea is yet to be implemented in any of the regional Water Integrity Capacity-Building programmes.

Alumni networks | Compared to the above, a relatively inexpensive option for post-training support is the creation of alumni networks made up of former course participants. Such networks can build strong communities, especially when used as platforms to present and discuss good practices or action plans which were developed in trainings to be implemented in the respective local context. To function effectively these networks do require resources in terms of having a person to moderate the discussions, keeping them active and updated. (See Box 3 on the SIWI Alumni Platform for more information.)

Knowledge management | Knowledge management is an essential part of capacity development which implies the transfer of new knowledge and capacity into a social system or action arenas. Since every social system already has its reservoir of competences (existing knowledge, rules, practices, collective memory, and so on.), any new knowledge must logically be operationalised and integrated before it adds value to that system (Mvulirwenande et al, 2013).

A knowledge management strategy is then needed as a roadmap. Cap-Net has designed a knowledge management strategy that builds on the four steps of knowledge management cycle (See Figure 1) in networks (Cap-Net, 2011). This cycle generates a mechanism for linking people, and enabling the interaction of explicit knowledge (information) with tacit knowledge (experience, skills and attitude). Phases of this cycle include access to global knowledge; adaptation to respond to specific needs and contexts; transfer to various target groups; and knowledge generation which becomes part of the global knowledge. It is a social cycle, where (action) knowledge to support effective changes in water management, as water integrity, is being created within a framework of interactions (Indij, 2005).

While water integrity capacity- development initiatives certainly have benefited from the growing knowledge base on the topic and the development of specific water integrity tools in recent years, there is still a lack of agreed upon governance "solutions", which makes training content in part based on a series of hypotheses and faith.

It is therefore important that capacity- development activities are underpinned with a theoretical foundation on the underlying integrity principles and mechanisms. Participants should

Box 5 - The Water Integrity Management Toolbox

The online toolbox is available on: **www.waterintegritynetwork.net/imtoolbox**

The Integrity Management Toolbox supports organizations in making integrity a part of their strategic plans, business models, and, most importantly, their daily practices to reduce integrity risks and improve performance. The Toolbox works with a business perspective of realizing performance opportunities and advantages that arise from improving integrity.

The idea of the Toolbox goes beyond training or the application of tools: It is a change management approach. It starts with assessing performance and describing the business model of the organization, thereafter identifying the most relevant integrity risks and choosing relevant tools for better managing such risks, to finally monitoring performance improvements. Undergoing such a process will require professional facilitation and first-hand expertise on integrity and change management

This is why the IM Toolbox was originally designed as a moderation kit for Integrity Management Coaches – the people who coach organizations undergoing this integrity change process. It contains all the workshop materials and background documents needed during the different phases and steps of the integrity change process.

be encouraged to think through their problems instead of receiving checklist approaches or best practices for replication. Case studies and participants' own experiences can be used to foster this understanding and discussing critically the factors that led to the success or failure in that particular case.

The regional approach | Capacity-development initiatives have been undertaken at multiple levels, each with its advantages. One promising approach is the regional approach; to bring water stakeholders outside their national context and have them share their experiences on water integrity (or the lack thereof) with their regional peers (WGF, 2014). The rationale behind this is that corruption in the water sector can be suitably addressed using a regional approach since the corruption encountered tends to be sector-specific but not necessarily unique to a single country. In addition, lifting people out of their national contexts may also allow them to speak more freely about sensitive issues like corruption.

Regional institutions and networks can also serve as leverage points for gaining political ownership manifested through policy harmonization, joint anti-corruption programmes, joint guidelines, as well as powerful platforms for exchanges of good practices and experiences related to anti-corruption. This is the reason for why the capacity development programmes being discussed in this report have taken a regional approach. Indeed, the WGF suggests that institutional capacity of various water-related institutions in Middle-East and North Africa, in sub-Sahara and Latin America has improved and that the programme has been politically endorsed (WGF, n.d.).

The lessons from sub-Saharan Africa is that the regional approach is a very useful platform for networking and learning and that regional institutions have an important role to play in terms of showing political leadership (WGF, 2014). Towards the end of the programme, the a First African Water Integrity Summit was held in Lusaka, from which a statement was produced and presented at the AMCOW's 9th General Assembly in Dakar, Senegal, in May 2014. As a result, AMCOW called for water integrity to be included in all future AMCOW events, the 7th World Water Forum, as well as in the consultations on the post-2015 development agenda (WGF, 2014).

The experience from the Regional Water Integrity Programme in sub-Saharan Africa also showed that endorsing the programme at the regional level is one thing, but integrating the capacity-development approaches, tools and methodologies in programmes and projects of regional organizations is an aspect that is more complicated. To achieve impacts on the ground, it is therefore important that regional initiatives are linked to similar initiatives at the national and local levels (WGF, 2014). Indeed, the regional approach, using the Regional Economic Commissions as platforms, was innovative and useful for awareness-raising, and provided an entry platform to legitimize political dialogue on corruption. Yet, the weaknesses of these platforms limited impact (Cross, 2015).

Towards institutional change | Capacity development is ultimately about effecting change, both at the individual and institutional levels. Institutional changes, although harder to achieve, are more likely to lead to long-term impacts than individual behaviour change since institutional changes tend to force individuals to change and to comply with rules and regulations and anti-corruption initiatives. Because all institutions are made up of individuals who collectively contribute to institutional change, capacity development needs to focus on both. For institutional changes to be effective, clear regulatory frameworks and compliance mechanisms must be in place to observe rules and regulations. This can be developed at the sector level, but also at the organizational (company, ministry) levels.

However, institutional changes are often obstructed by mechanisms of path dependency, i.e., change is hampered by political and organizational costs due to decisions taken earlier. Or in

"Good practices are usually not critically discussed and much less seriously evaluated. Openly acknowledging this problem may also be a way to manage expectations of participants as there are no checklists, blueprints, or one-size-fits-all solutions that will solve the problem alone."

Dr Frédéric Boehm, Independent Researcher and Trainer, Partner questionnaire

Box 6 – SIWI Alumni Platform

To provide post-training support to the Regional Water Integrity Programme in sub-Saharan Africa, SIWI made use of an existing online alumni platform which had been created to support previous trainings on Integrated Water Resources Management (IWRM). The purpose of the platform was to facilitate discussion and learning between participants, as well as to provide technical support to the implementation of action plans.

Pages were created for each of the three sub-regions (western, eastern and southern Africa) and a discussion forum was established, led by a facilitator contracted by SIWI to generate and facilitate discussions and also to respond to queries from members. The platform has also been used to gather feedback on the courses.

even more simple wording – that "history matters" (Greener, 2005). Changes aimed at increasing levels of transparency and integrity may be even harder to achieve since they per default disrupt well-established flows of benefits within the institution and therefore may meet strong resistance (Christoplos et al., 2014). Because of the very nature of the topic itself the risk of failure is high; corruption remains a sensitive issue as it inevitably means challenging powerful actors with vested interests in maintaining their beneficial status quo. For pro-integrity changes to take root as a result of capacity development efforts; support from the top management who should also lead by example is paramount.

Even with support from top-management it might be difficult to sustain progress made in a particular sector when it is surrounded by a more corrupt environment. Although "islands of integrity" in a sector can have a positive influence on its environment through a spill-over effect, the opposite can also be true. A corrupt environment can work against the progress made in a sector. The establishment of a successful anti-corruption training programme has to rely on a thorough understanding of both the workings of a sector as well as its ties to its environment (Luijken, 2014).

In the area of water integrity a noticeable trend is the increased focus on institutional rather than individual capacity development. For example, both GIZ and UNDP Virtual School has observed an increased demand for capacity development from regional organizations as well as partners at national and local levels, e.g., water service providers such as agencies, water utilities, regulators and the private sector (Partner questionnaire). The shift to more targeted trainings for practitioners, including specific institutions has also been observed.

The approach to build the capacity of specific institutions is gaining momentum, or even for specific positions in that institution who are trained to apply water integrity tools "on the job". An example of this approach is the training of water utilities and small- and medium-sized enterprises in Kenya and Zambia on the Integrity Management Toolbox (See Box 5). One advantage with focusing on institutional rather than individual capacities is that it increases sustainability. Focusing on institutions does not mean that the role that individuals play is disregarded. In practice, capacity development is a multilevel process. Since individuals tend to change jobs it is important that teamwork and incorporation of the new practices and concepts takes places within institutions. This way when individuals leave, their jobs capacities remain. Working at the institutional level also requires more customized integrity tools that are tailored to the needs and interests of benefiting institutions. While this requires more preparation, it also increases the relevance, ownership and sustainability of the intervention.

"Initially the training activities were opportunity- driven (e.g., certain tools) and were realised around the available approaches to diagnose and approach anti-corruption in the water sector. Over time trainings were adapted more to the specific needs of target groups – e.g., to water service providers in the case of the Integrity Management Toolbox. This adaptation to the concrete context has resulted in increased demand for trainings, pilot projects and other support activities that enhance capacities of water sector stakeholders."

Janek Hermann-Friede, Water Integrity Network/Independent Consultant, Partner questionnaire

Part II: From training to behaviour change – assesing the impact

This section first addresses the difficulties and shortcomings relating to the impact assessments from capacity development and anti-corruption interventions, and thereafter presents findings from a follow-up survey relating to the regional capacity development endeavours discussed in this report.

Impact monitoring – an open field | In relation to capacity development the focus of monitoring and evaluation shifts away from assessing development changes in states or conditions of well-being, towards looking at changes in the behaviour, relationships, actions and activities of the people, groups and organizations with whom a development programme works directly (Cap-Net, 2009).

While there is broad consensus on the importance of fighting corruption at the sector level including capacity development, there is little evidence available on the effectiveness of these interventions (Luijken, 2014). The same applies for capacity development in other fields. According to a literature review and evaluation commissioned by Sida (Carneiro et al., 2015; Christoplos et al., 2014), monitoring and evaluation of capacity development has generally been extremely weak, largely due to the design of these interventions. Similar problems for impact monitoring are found in relation to DFID-supported technical cooperation (OPM, 2006).

These challenges partly have to do with the inherent difficulties in measuring impact but also with the difficulties of linking capacity-development activities with behaviour change, which is the ultimate objective of all capacity-development work. These difficulties can be explained by "(a) lack of realistic theories of change, and (b) the gap that exists between the activity focus on'tangible' indicators and the grand outcomes and impacts expected from modest inputs' (Christoplos et al, 2014). The difficulty in assessing the impact also has to do with how capacity development programmes are designed. While behaviour changes, especially related to integrity, must be seen in a long-term perspective the programmes and projects intended to create these changes rarely run beyond a couple of years.

Documenting and attributing impact resulting from capacity development is a challenge which nevertheless must be pursued. To start with, capacity development organizations need a profound understanding of what impact means, and how it can be captured. A common perspective for measuring impact is the positivist model (drawing on engineering systems models, as explained by Mvulirwenande, et al., 2014, page 2) for knowledge and capacity development, in which specific inputs are delivered (such as trainings) with the expectation that they will be transformed into outputs that lead to change and development impact. This perspective is mostly found in the logical framework analysis, but is criticized for simplifying an inherently complex set of processes. Within this model, we will find the more traditional "input-output-outcome-impact" logic, which commonly forms the basis for donor results reporting; and holding projects and programmes to account for producing outputs and contributing to outcomes and impacts, see Figure 2.

Seen from this model, capacity-development activities result in a number of outputs, such as number of trainings, number of participants, countries represented, and content. These outputs then are expected to produce a series of outcomes, such as the use of knowledge, scaling up of actions, and use of materials. Finally, the outcomes should lead to impact on the ground, such as revised water policies, new infrastructure development, expanded service delivery, or the further protection of water sources.

Another approach to capacity-development evaluation is found in the complex adaptive systems model. Evaluation models in line with the complex adaptive systems perspective draws on systems thinking and looks differently at the issue of cause and effect; it focuses on processes, patterns and relationships, in an effort to understand the effects of interactions. In essence, more context-related factors of the programme environment, as well as instructor experience and trainee qualifications, are given greater emphasis. Evaluations along this perspective also draw more on participatory approaches and focus more on relations and behavioural changes than on measures of performance enhancement. Tools like Most Significant Change and Outcome Mapping align with these models and perspectives.

An inherent problem in all evaluations is that in many cases, capacity-development activities will have an indirect impact, as actions are not directly implemented on the ground or directly aimed at policy changes, but rather oriented towards the strengthening of local institutions and stakeholder groups. This does not mean that these activities are not playing an important role in achieving specific impacts, but rather that impact is very difficult to measure. The outcomes of capacity development activities contribute to impacts as part of a much broader framework where multiple variables co-exist.

Monitoring and evaluation of capacity-development interventions in order to measure impact thus requires innovation. Beyond quantitative figures (e.g., number of courses, participants, gender balance, targets reached, countries, etc.), there is plenty of room to place more efforts in monitoring the actual outcomes and impacts at various levels – the individual, institutional, and societal – seen through effective changes in water governance practices. As discussed above, an important prerequisite for doing this is undertaking baseline studies and establishing appropriate monitoring and evaluating systems. Yet, establishing baselines only partially solves the inherent problems of attribution and complex cause-effect relations.

Outcomes from selected water integrity trainings | In light of the above, it may still be too early to assess the impact of the initiatives that have been implemented in recent years, and certainly presumptuous to try to capture all effects of such interventions. However, to provide some insights on the short- and medium-term effects of these, a survey was sent out to 565 alumni from 21 water-integrity capacity development

courses, held between 2010 and 2014, in Africa and Latin America. The survey put four questions to the respondents, based on the Cap-Net UNDP Monitoring, Evaluation and Learning Plan (MELP). The MELP is a set of guidelines and tools designed to monitor and evaluate the value of capacity development implemented by the Cap-Net programme and network partners (Cap-Net, 2009).

The four questions were the following:

I. Have you used the knowledge from the course to improve your own performance at work?

II. Have you shared the knowledge from the course with other people and institutions?

III. Has the course contributed in such a way that your organization has become more transparent and accountable?

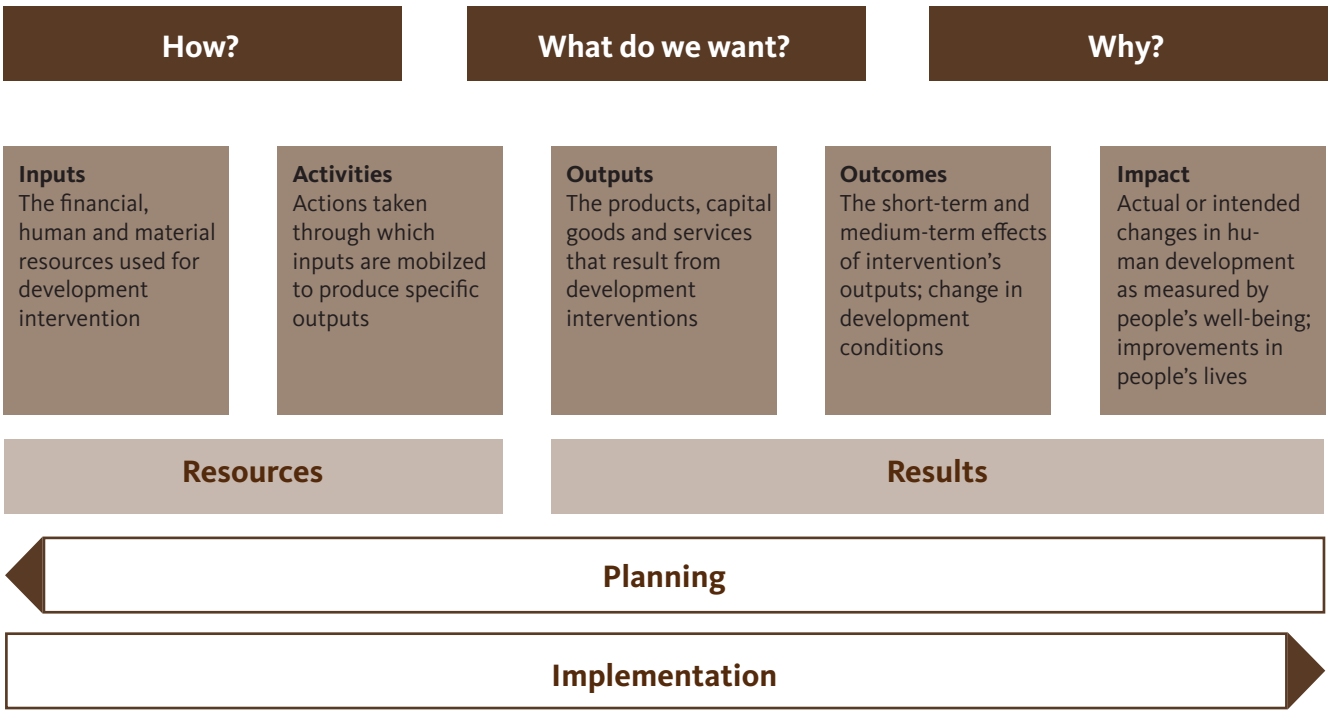
IV. Can you identify concrete changes of improved integrity in your local area which is a result of the course contribution?

This type of questionnaire notably fits best into the goal-oriented positivist perspective discussed above, with respondents expected to share information related to the outputs-outcomes-impacts spin off of the capacity development activity they took part in. Yet, respondents were also given the opportunity to expand on their responses, and room was thus left for a somewhat more complex view, one which may include relationships, interactions, and processes, as in the complex adaptive systems model. (See Box 7 on the MELP.)

A total of 142 persons (25 per cent response rate) completed the online survey. Compared with the number of responses of participants from other monitoring practices, for example from Cap-Net affiliated networks in various regions, this 25 per cent is a low level of answers.[3] The reasons for the relatively low response rate may be primarily that the participants that were approached took part in courses which in some occasions went as far back as four years. By the time these 565 alumni were contacted, many e-mails had changed, and many participants had changed their place of work. In any case, it can be expected that those who choose to respond to an evaluation questionnaire belong to the alumna with a reasonably positive view or experience related to the trainings. This may be a factor in the fairly high levels of reported use of knowledge and benefits from the trainings, as presented below. On the other hand, the in some cases as much as four years had passed since the trainings, which presents a highly desirable time-frame to capture longer-term outcomes and impacts.

The responses to the first question about using information and knowledge suggest that water-integrity training offer useful knowledge to participants and that these types of trainings fill a knowledge gap related to water-integrity concepts and practices: 77 percent (109) of the participants responding to the survey said they used the knowledge from the course to improve their own performance at work. Only 3 per cent (4) claimed not to have used this knowledge and 20 per cent (29) did not answer this question.

Figure 2 – The Result Chain



Source: UNDP (2009b). Handbook on Planning, Monitoring and Evaluating for Development Results; Figure 9 – The RBM Results Chain. Page 55

Answers from the 77 percent of respondents who replied affirmatively to the question on use of information, were grouped into different categories depending on how they had applied the knowledge acquired during the training. This categorization shows how many alumni have applied their skills in ongoing projects (31 responses, 28 per cent), and that they had used it for "professional strengthening" (24 responses, 22 per cent). Other responses include using the knowledge for awareness-raising and information- sharing (22 responses, 20 per cent); academic research and capacity-development delivery (16 responses, 15 percent); and another 16 responses (15 per cent) did not describe how they applied the acquired knowledge.

Quotes from alumni suggest that course information has been useful in supporting auditing procedures and coordination between departments in some organizations.

Similarly, with regard to the second question; 73 per cent of participants (104) claimed to have shared the knowledge from the course with other people and institutions. Only 5 percent (7) did not claim to have shared knowledge. 31 respondents (22 per cent) did not answer this question (See Figure 5). The fact that nearly three quarters of responding participants shared the acquired knowledge reiterates the professional value of the trainings and shows the willingness of a community of water practitioners and professionals (including capacity developers) to collaborate and work together. It also suggests an understanding of the integrated nature of water management and service provision, and the comprehension that water integrity requires change not only at the individual or organizational level, but in a much wider context.

Among the 73 per cent of participants who replied affirmatively, their responses were analysed according to different categories describing in which ways knowledge had been shared. Although responses to this question do not demonstrate any impact, they do show a great potential for a multiplier effect of trainings in the sense that the knowledge developed during the courses is stated to have reached many people who did not benefit directly from the intervention.

With regard to the third question, it seems to be more difficult to achieve results in terms of organizational change than in using knowledge individually or sharing it with colleagues. Yet, 57 per cent of participants (81) replying to the survey claimed that the course they attended indeed contributed to making their organizations more transparent and accountable. 20 per cent (28 participants) responded negatively and the remaining 23 per cent (33 participants) did not answer this particular question. The reasons for not responding are not known, but the issue related to the difficulty and challenges in achieving and measuring organizational change may affect the responses.

"A significant problem in the assessment of capacity development impact is that the activities reviewed in general did not involve exercises to benchmark capacity and capacity targets were not set. As a result, monitoring of capacity impact was either not built into the project monitoring and evaluation system or was not done so using a consistent analytical framework (for instance one that distinguished the wider institutional setting, the elements of organisational capacity, or individual staff capacities). The absence of such a systematic framework or focus on capacity development limits significantly the quality of the information on which judgements about capacity development impact can be based.

OPM, 2006: Developing Capacity? An Evaluation of Technical Co-Operation Synthesis Report

[3] For example, LA-WETnet began implementing this monitoring practice in 2012, and results in terms of response rates went from 24 per cent (2012), 39 per cent (2013), 66 per cent (2014), and 84 per cent (2015) (LA-WETnet 2015). The higher response rate is produced by good timing, advance information and probes or follow-up also via telephone.

Box 7 – Cap-Net Monitoring, Evaluation and Learning Plan

In order to improve learning from the Cap-Net programme, ensure adequate monitoring of the project and assist partner networks in their monitoring activities; a monitoring, evaluation and learning plan (MELP) was developed.

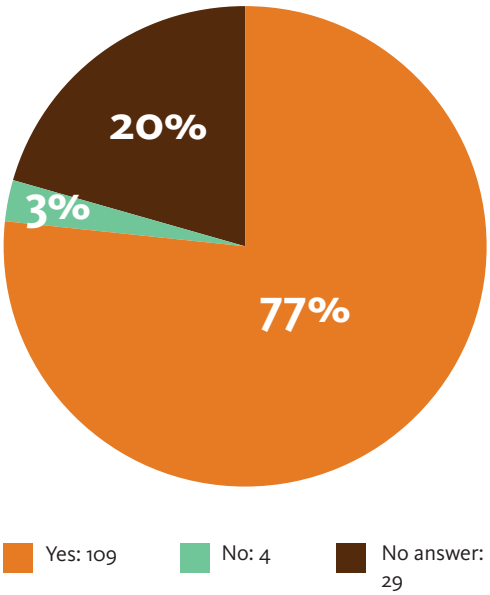
Cap-Net's Monitoring, Evaluation and Learning Plan (MELP) is taking the feasible, practical and necessary measures and methods into account to give a fair view of the value of the capacity building programme implemented by Cap-Net and the network partners.

To monitor training and education courses the recommended practice is that all participants should be followed up between 6 – 12 months after course completion to assess the outcomes and impacts of the training.

For further information, see: **www.cap-net.org/resources/network-management-tools.**

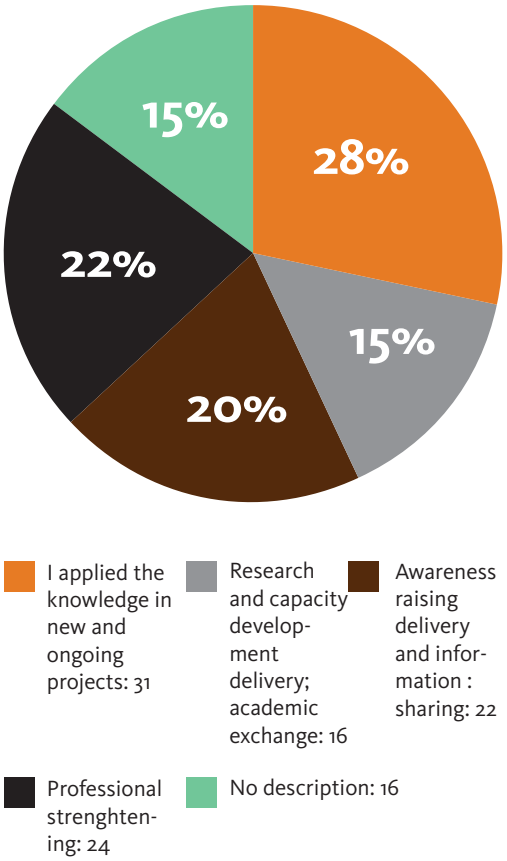
Source: Cap-Net UNDP (2009). Monitoring, Evaluation, and Learning Plan. Cap-Net, International Network for Capacity Building for Sustainable Water Resources Management (Figure 4: Overview of Monitoring and Evaluation plan, page 8).

Figure 4 – Have you used the knowledge from the course to improve your own performance at work?



n=142

Figure 4.1 – Ways in which knowledge from courses was used to improve performance at work



n=109

Alumni voices

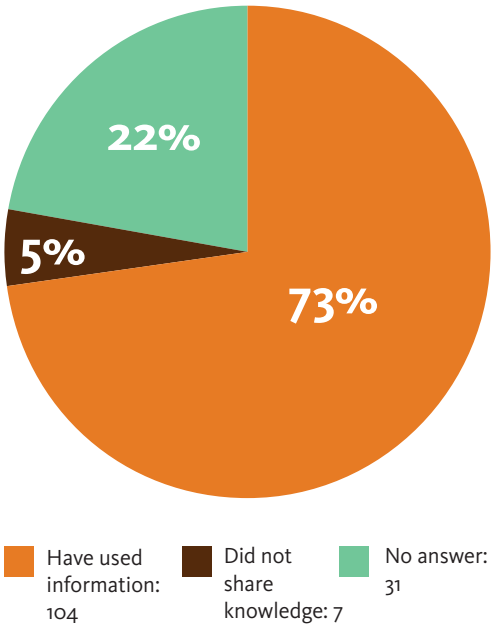
"The organization being funded from public funds, we have introduced the audit process where an independent examination of books is carried out to ensure prudent financial management."

Participant from "Strengthening Capacity of Local Authorities and Water Utilities to Enhance Integrity and Accountability in Water Service Provision," 29 July-2 August 2013, Johannesburg, South Africa

"The Department is able to consult line departments more widely. Planning / budgeting, contract awards and projects implementation are now being done in a more open manner. Other factors apart from the course may also have influenced the change of approach."

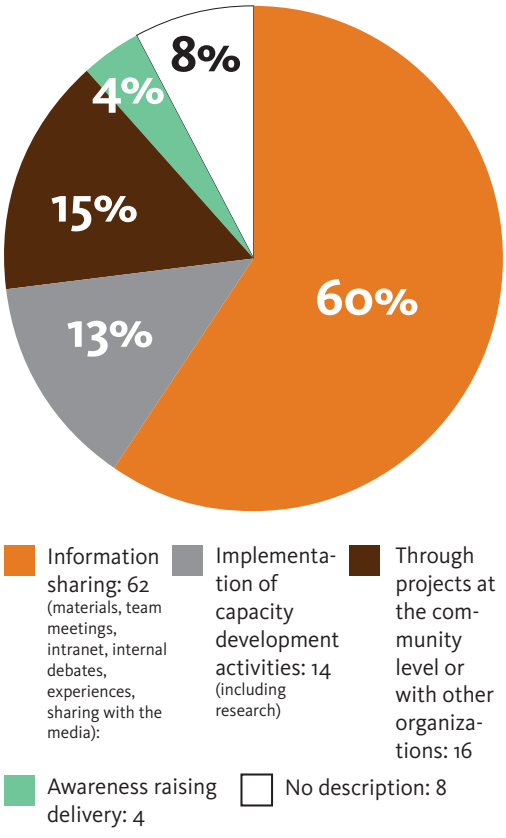
Participant from "Promoting Integrity and Accountability in River Basin Organisations," 8-12 April 2013, Johannesburg, South Africa.

Figure 5 – Have you shared the knowledge from the course to other people and institutions?



n=142

Figure 5.1 – Ways in which knowledge was shared with other persons and institutions



n=104

Alumni voices

"I have shared with colleagues from my institution the meaning of water integrity and how to improve the transparency and access to information and what actions are needed to be taken."

Participant attending the Regional Technical Meeting Review of Assessment Report on Development of Water Resources Management 18–19 December 2013, Kigali, Rwanda.

"Incorporating this theme in my courses in water resources management."

Participant from the Water Integrity Training of Trainers, 2014, (Cap-Net, LA-WETnet, WGF SIWI, UNDP Panama Regional Office), Brazil.

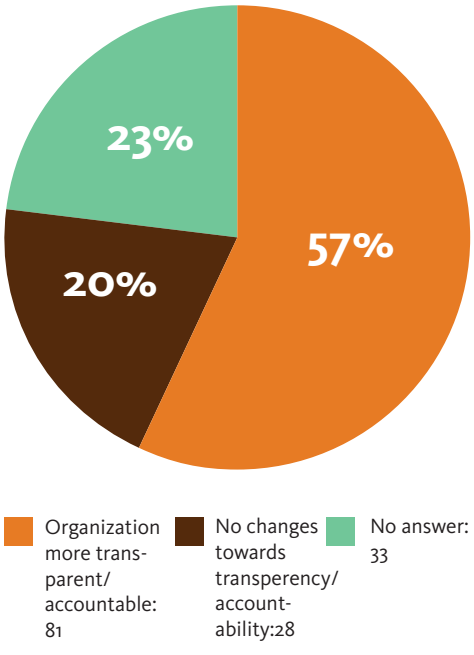
"We have made replicas of the courses received. In them we invited community leaders, representatives of non-governmental organizations and other government agencies."

Participant from a WI course, 3-6 May, 2011, Universidad Externado de Colombia, Colombia.

"Used the training manual to train women groups, neighbours and youth on water integrity."

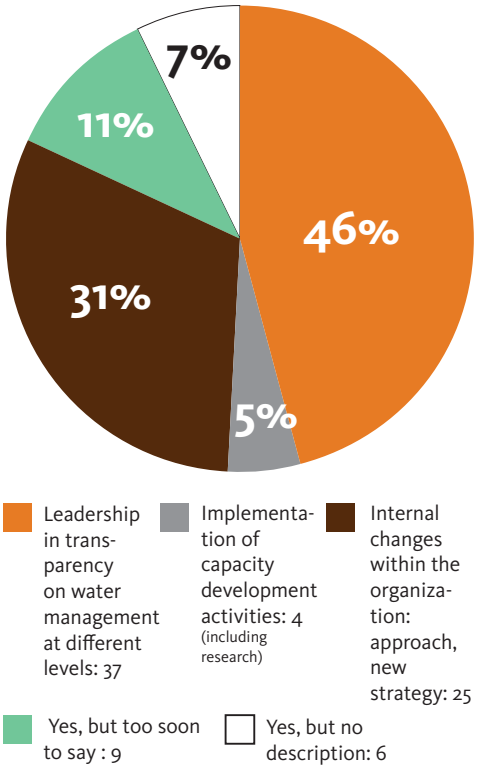
Participant from the course on Water Integrity, Gender and the Role of Civil Society Training, October 2013, Bujumbura, Burundi.

Figure 6 – Has the course contributed in such a way that your organization has become more transparent and accountable?



n=142

Figure 6.1 – Ways in which your organization became more transparent and accountable



n=81

Among the 57 per cent of participants who replied affirmatively, there are three major categories in which organizations are said to have become more transparent or accountable and incorporating water integrity principles. It is also interesting to see that for some participants the course is said to have contributed in this regard, even if it is "too soon to say", at least the perception of contribution is there.

Participants were finally asked if they could identify concrete changes of improved integrity in their local areas as a result of their participation in the course. Responses, based on participants own perceptions, are very positive: 53 per cent (75) participants replied "Yes" to this question, 25 per cent (36) said "No", and 22 per cent (31) did not answer. This could be an indication that a significant number of participants indeed find themselves as change agents, and that the courses they attended contributed to their performance and changes in their respective organizations.

Among the 75 participants who replied affirmatively, their responses were grouped into four categories of answers: strengthened academic sector, enabling transparency, project implementation, and regulations for transparency. In addition, a fifth category "no description" was created for respondents who said "it is too soon to say".

Qualitative responses indicate changes in attitudes and relations of improved communications between different professional groups and the community.

The participants' responses to these four questions speaks for a combination of the positivist model and complex adaptive systems discussed above. For example, in terms of whether knowledge was used by participants to improve their own performance at work, findings show various ways in which knowledge was used, bringing valuable outcomes under the view of a logical framework analysis. However, these uses are likely to generate more complex processes and interactions which will lead to other results in the longer run. Further monitoring will be then needed. Some participants' quotes suggest concrete and valuable impacts already, like in the incorporation of audit processes. Another impact expressed by a participant was that the course contributed to a more transparent and open consultation with departments in planning and budget.

A similar framework of results may be found in participants' responses to the other three questions in the survey. Responses have several implicit layers. At the surface, participants are active in sharing knowledge; developing new approaches internally within their organizations; and being proactive in efforts to promote concrete changes for improved integrity. There is a linear and direct consequence of an application of inputs for expected outputs. But for a comprehensive understanding of the impact, following up on those activities will be necessary to be closer to a complex set of processes where knowledge and capacity development interact with practitioners. These impacts will not be seen in short run, and will need other types of impact assessment studies, which in the best case scenarios, should have been designed from the early start of the intervention.

It also needs to be considered that 142 respondents to the survey, sent out to a total of 565 alumni who may or may not have been reached, may have been among those who experienced the greatest value of the training, and hence choose to contribute also to the follow-up on the training results. Among the non-responses, there may be those who have changed addresses and moved on to other things, but also people who have not appreciated or made the most out of the training that they participated in. Indeed, such consideration relates back to the discussion about targeting and selection above.

Alumni voices

"Just by including the anti-corruption clause in the organization's contracts it has enhanced the integrity of its dealings and continues to send a message to all stakeholders."

Strengthening Civil Society and Media's Role in Promoting Integrity and Accountability in the Water Sector, 20-22 May 2013, Johannesburg, South Africa.

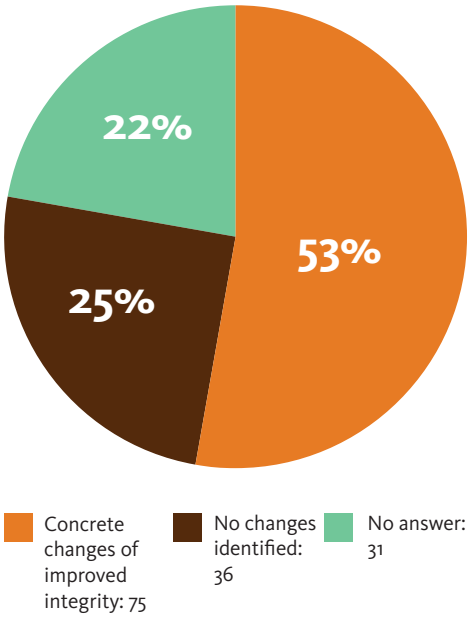
"Clear separation of responsibilities in procurement; Billing and revenue collection, oversight structure put in place."

Promoting Integrity and Accountability in River Basin Organizations, 8-12 April 2013, Johannesburg, South Africa.

"Transparent award of contracts, beneficiary sites selection and implementation of projects."

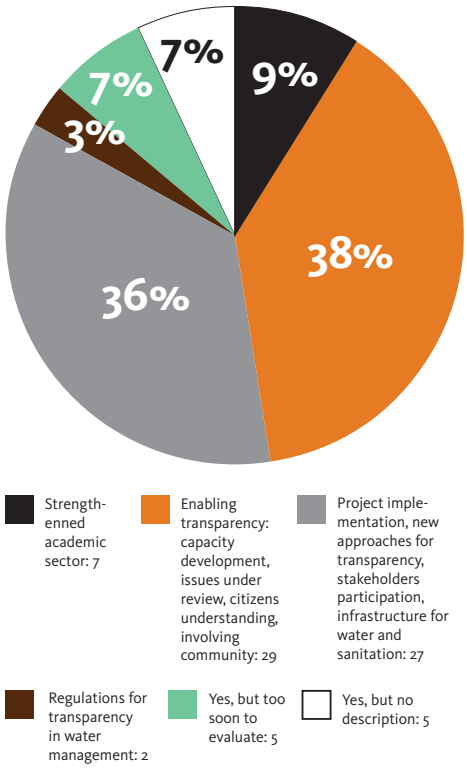
Promoting Integrity and Accountability in River Basin Organizations 8-12 April 2013, Johannesburg, South Africa

Figure 7 – Can you identify concrete changes of improved integrity in your local area which is a result of the course contribution?



n=142

Figure 7.1 – Concrete changes of improved water integrity in your local area which are a result of the course contribution



n=75

Alumni voices

"Attitudinal change on what constitutes corruption. People in my local community now see and understand corruption in its different dimensions as a disincentive to human development..."

WIN/UNDP Virtual School Course on Improving Transparency, Accountability and Participation in the Water Sector, 29 April -24 July, 2013.

"There is pro-active community participation towards the proper management of water facilities."

Regional Water Integrity Workshop, 5-9 August 2013, Monrovia, Liberia.

"We now speak to water board staff and enlighten them on issues of importance to improving performance in water services to the public."

WIN/UNDP Virtual School Course on Improving Transparency, Accountability and Participation in the Water Sector, 29 April-24 July, 2013.

Conclusions

Enhanced water integrity is primarily about changing values. It is a process that takes time and is intrinsically linked to larger processes in society. Corruption is never isolated to one sector alone but part of the social fabric of a society. To be effective, sectoral anti-corruption efforts need to be combined and aligned with broader anti-corruption programmes to work against the interests behind corruption, from the national level all the way out to the local level.

Capacity development regarding water integrity is one important element in the global, national and local fights against corruption and an equally important means towards good water governance. At the same time, it is also a challenging task with high risks of failure unless capacities and capacity constraints are initially well-understood and benchmarked (both to understand where the gaps are and how to measure change). This presupposes a solid understanding of the political and institutional context and a well-developed theory of change.

Women are generally underrepresented in decision-making related to water management and services. This gender imbalance has also been reflected in capacity-development initiatives, not only in numbers but also in the level of participation where women tend to play a less active role. Since women also have different experiences of corruption, capacity-development programmes on water integrity must actively involve women and men in a meaningful way. Hence, greater gender balance needs to be achieved along several axes: in numbers, in space and contribution at trainings, and in terms of thematic contents that more equally represent everyone's experiences.

An inherent problem with regard to tracking, measuring and showing meaningful results is that in many cases, capacity development activities will only have an indirect impact: Target actions are not such that they can be directly implemented on the ground or directly aimed at policy changes, but rather oriented towards the strengthening of local institutions and stakeholder groups. This does not mean that these activities are not playing an important role in achieving specific impacts, but rather that impact and specific contributions are very difficult to measure.

Given the difficulties in measuring the impact of capacity-development interventions, monitoring and evaluation of capacity-development interventions requires innovation. Beyond quantitative figures there is plenty of room to place more efforts in monitoring the actual outcomes and impacts at various levels: the individual, institutional, and societal, seen through effective changes in water governance practices. Monitoring and evaluations of water integrity capacity development activities need to go beyond merely looking at outputs, outcomes, and impacts as results of given inputs and also expect more complex and unpredictable results, in the framework of processes, patterns, and relationships.

Finally, for capacity development to be sustainable, emphasis should be placed on long-term learning. This requires coordination and looking beyond organizational boundaries, documentation and knowledge management, a dedicated post-training support and a robust monitoring system. If expectations are realistic, efforts aligned, and failures – not only success stories – are shared openly, learning will improve for the benefit of all.

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http://watergovernance.org/programmes/water-integrity/
http://www.cap-net.org/
http://www.escuelapnud.org/campusvirtual/
http://www.transparency.org/whatwedo/nis

Annex 1 – Questionaire distributed to partners

Assessing the Impact of Water Integrity Capacity Development Initiatives

1. Personal information

Organisation
Name
Type of organisation
Coverage (local, regional, global)
Web site
Contact details of the person responding the questionnaires
Name
Position
Telephone
E-mail
Skype

2. How and when did water integrity begin to be a theme of relevance within your organisation?

Please complete your response in this box - max. 250 words

3. Please describe the programme/s that your organisation has implemented in the last 6 years as capacity development for water integrity? Please describe target groups and outcomes.

Please complete your response in this box - max 500 words

4. Please describe the main target groups of these activities.

Activities
Academia
Private sector
General public
Water professionals
School education
Advocacy towards public policies
Specific projects or organisations
Civil society
Others (please describe)

5. Are water integrity activities stand alone programmes, or has water integrity also being included in regular delivery of capacity development for water management?

Please complete your response in this box - max 250 words

6. Has your organisation followed demand for capacity development on water integrity in these last 6 years? Have there been any changes?

Type your answer in this box please - max 250 words

7. What has been the main content of your programme/activities?

Type your answer in this box please - max 250 words

8. Has your organisation carried out impact assessments for the capacity development activities which were implemented? Yes / No. If yes, please describe how your programme has performed in relation to its goals, outcomes and impacts

Please complete your response in this box - max 500 words

9. Please describe the main challenges you have faced when implementing water integrity capacity development activities. What factors support and impede this work?

Type your answer in this box please - max 250 words

10. Please share any good practises resulting from your capacity development activities, for example cases where it has positively influenced water governance in a particular location, or examples of institutional change (codes of conducts, principles, values)?

Type your answer in this box please - max 250 words

11. What are your main recommendations for designing future water integrity capacity development activities?

Type your answer in this box please - max 250 words

Thanks very much!

Experts and Partners that responded to Partners' Questionnaire

Boehm, F. 2014, Independent Researcher and Consultant
Bueno de Mesquita, M. 2014, Centro de Estudios Regionales Andinos "Bartolomé de las Casas", Coordinator of the Water Management Program and Postgraduate Courses
Hermann-Friede, J. 2014, WIN, Programme Coordinator
Lungu, G. 2014, TI Zambia, Executive Director
Nimanya, C. 2014, Water for People, Country Director
Notz, A. 2014, GIZ, Project Manager
Potter, A. 2014, IRC Wash, Africa Regional Manager
Valdivieso, C. 2014, UNDP VS, Partnerships Officer
Janek Hermann-Friede, Water Integrity Network
Dr Frédéric Boehm, Independent Researcher and Trainer

Annex 2 – List of integrity training courses (for alumni survey)

Promoting Integrity and Accountability in River Basin Organizations 8-12 April 2013, Johannesburg, South Africa.

Regional Technical Meeting Review of Assessment Report on Development of Water Resources Manage 18–19 December, 2013, Kigali, Rwanda

Regional Water Integrity Workshop,5–-9 August 2013, Monrovia, Liberia

Strengthening Capacity of Local Authorities and Water Utilities to Enhance Integrity and Accountability in Water Service Provision, 29 July–2 August 2013, Johannesburg, South Africa

Strengthening Civil Society and Media's Role in Promoting Integrity and Accountability in the Water Sector, 20–22 May 2013, Johannesburg, South Africa

Water Integrity training course, 3–6 May, 2011, Universidad Externado de Colombia, Colombia

Water Integrity Training of Trainers (Cap-Net, LA-WETnet, WGF SIWI, UNDP Panama Regional Office), Brazil 2014.

Water Integrity, Gender and the Role of Civil Society Training, October 2013, Bujumbura, Burundi.

WIN/UNDP Virtual School Course on Improving Transparency, Accountability and Participation in the Water Sector, 29 April–24 July, 2013.

WIN/UNDP Virtual School Course on Improving Transparency, Accountability and Participation in the Water Sector, 29 April–24 July, 2013

Water Governance Facility Reports – Available http://watergovernance.org/resources/

Water Governance Facility Report No 1 (2012)
Human rights-based approaches and managing water resources: Exploring the potential for enhancing development outcomes.

Water Governance Facility Report No 2 (2013)
Mutual Rights and Shared Responsibilities in Water Services Management: Enhancing the User-Provider Relation.

Water Governance Facility Report No 3 (2013)
Groundwater Governance in India: Stumbling Blocks for Law and Compliance.

Water Governance Facility Report No 4 (2014)
Mainstreaming Gender in Water Governance Programmes. From Design to Results.

Water Governance Facility Report No 5 (2015)
Vulnerability Reduction and Portfolio Approach - Key Aspects for Assessing Effective Water Adaptation

Water Governance Facility Report No 6 (2016)
Water Integrity Capacity Development – Reflective Review of Approach and Impact of Training Courses

Developing capacities for water integrity:

Reflective review of approach and impact of training courses
Water Governance Facility Report No 6

This report on Developing Capacities for Water Integrity provides a reflective review of the approach to training and capacity development as a contribution to improved water governance and reduced risk of corruption in the water sector. It draws on the experience gained from implementing several Regional Water Integrity Capacity Development Programmes primarily in Sub-Saharan Africa and Latin America.

The outline of the approach highlights lessons learned relating to the importance of appreciating and understanding the context and getting the right participants, along with the importance of follow-up activities and support to alumni. A major trend is the shift from a focus on individuals towards one of institutional change, focussing increasingly on organizational change processes.

The report builds on the authors' extensive experience in organizing capacity development for water integrity, review of capacity development literature and two surveys; one among experts (partners) and one among previous course participants. In spite of a limited number of responses to the alumni survey, it showed that the knowledge gained has been shared, and that training activities have contributed towards instilling greater transparency or changes towards improved integrity in course participants' organizations.

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