



Guidelines for Coaches

Integrity Management Toolbox
for Small Water Supply Systems



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The IM toolbox for small water supply systems is based on the methodology developed for the IM Toolbox for Kenyan Water Services Providers by cewas, WIN and GIZ in 2012, with major adaptations to meet the current realities of community groups that manage small water supply systems. We would therefore like to extend our gratitude to all stakeholders who participated in the overall development of the IM toolbox methodology.

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List of abbreviations

CBO	Community Based Organisation
IM	Integrity Management
MoU	Memorandum of Understanding
NGO	Non-Governmental Organisation
O&M	Operation and Maintenance
SHG	Self Help Group
SDC	Swiss Agency for Development and Cooperation
WASREB	Water Services Regulatory Board
WIN	Water Integrity Network
WRA	Water Resources Authority
WRUA	Water Resources Users Association
WSP	Water Services Provider
WUA	Water User Association

Preface

These guidelines for coaches are for the coach to facilitate the overall Integrity Management (IM) toolbox process. It provides recommendations on the key meetings and activities to carry out during the preparation phase, a step-by-step script on how to facilitate the IM workshop, and recommendations for activities to carry out during the implementation phase.

For more details on the rationale for the development of the IM toolbox, the general concept behind it and its theory of change, please refer to the methodology outline.

Generalities on the IM toolbox for small water supply systems

Who is involved in the process?

The IM toolbox requires:

- **A coach**, to steer the process and provide overall guidance. This can be a staff member from the county government, the Water Services Provider (WSP) or a Community Based Organisation (CBO) / Non-Governmental Organisation (NGO) etc.
- **A counterpart**, to be the direct link to the community and provide day-to-day coaching to the community group. This can be a staff member from the county government or the WSP, able to link the community group to the immediate oversight institutions and guide the group towards an appropriate management model. If necessary and relevant, there can be two counterparts: one from a government institution and one from a CSO/NGO;
- **A change agent**, to represent the community group, ensure that the other group members implement the agreed actions, and coordinate with the counterpart.

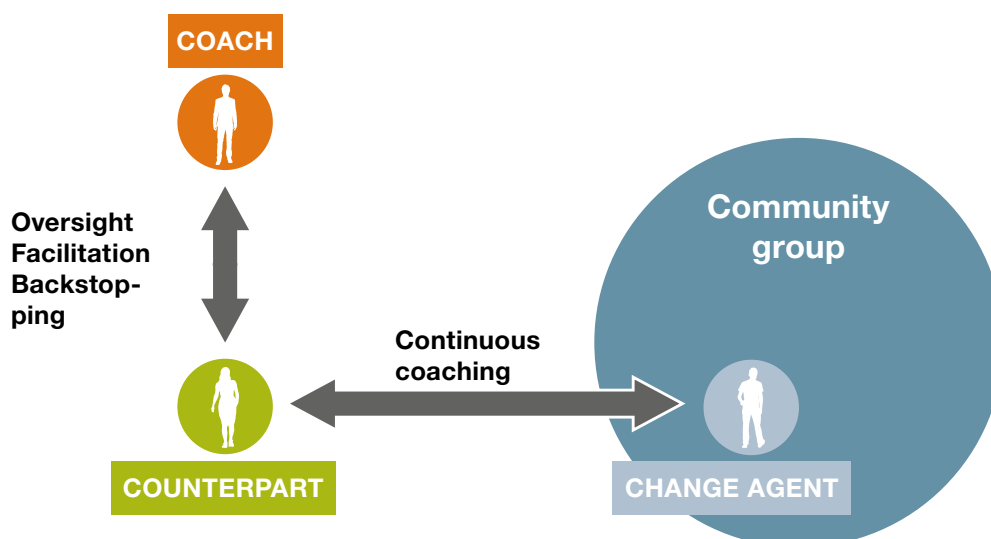


Figure 1. Relationship between coach, counterpart and change agent.

Target group

The IM toolbox targets community groups fully or partially engaged in the management and operation of a small water supply system. These water systems are mainly located in marginalised areas: these can be in rural or peri-urban areas.

In these guidelines:

- **The committee** refers strictly to the group that is managing the water system, more or less actively, often calling themselves water management committee.
- **The community group** refers to the committee, including its staff (operator, kiosk attendants, mechanics etc.), and community representatives.

The IM workshop and the progress review workshops target the community group (called also the 'group' for purpose of simplicity), not only the committee. The participation of the staff and some community representatives is key as they bring another perspective of the water system, the problems faced and what could help improve the quality of services provided.

How does the IM toolbox work?

The IM toolbox is a long-term process and has three main phases:

1. **The preparation phase**, to analyse the context, secure buy-in from governmental institutions, as well as mobilise the community group and the community as a whole to ensure ownership. **Duration:** From one to three months.
2. **The IM workshop**, during which the community group carries out a self-assessment of its compliance status and of the problems that they have faced so far in managing the water system and in providing quality water services to the customers. From there, the community group agrees on actions to move towards an appropriate management model and selects integrity tools to help them manage the water system better. **Duration:** Two to three days.
3. **The implementation phase**, during which the community group implements the tools selected and the actions agreed upon, with coaching from the coach and the counterpart (on site and remote) and progress review workshops. **Duration:** From six to nine months.

The process for one community group takes between seven months and one year depending on how much coaching is required to put in place the appropriate management model and how well the community group is organised and performing.



Figure 2. The IM toolbox process and its phases.

What is inside the IM toolbox?

For each step, these guidelines refer the coach to the relevant materials to use to help him/her facilitate the overall process. This includes factsheets, meeting guidelines or questionnaires (all called M&E sheets), cards and sheets, infocards to support the facilitation of the workshops and the sharing of information with the group, and infosheets and templates. Annex 1 provides a detailed list of what is inside the IM toolbox



The preparation phase is key for understanding the context, securing buy-in from the government institutions responsible for water services provision and water resources management, as well as ensuring community ownership.

Duration: between one and three months.



Preparation phase

The preparation phase

Note: The preparation phase can start once the coach is identified. In case she/he is not yet familiar with the process, it is important that she/he receives an initial training/brief on the regulatory framework, the purpose of the IM toolbox and what to do in the preparation phase. A training for coaches and counterpart(s) will also be organised once the counterpart(s) is identified.

Duration: between one and three months.

Step 1. Securing buy-in from the governmental institutions

During the preparation phase, the coach organises a number of meetings with the county government and/or the WSP in order to:

- Understand the county's strategy and plans to improve rural water services delivery, the prescribed management models for small water supply systems and their actual capacities to support community groups;
- Secure high level buy-in from the county government and/or the WSP and align the interventions with the county's strategy;
- Agree on a collaboration framework; and identify the counterpart(s).

Note: If the county government is not interested to implement the IM toolbox or the county government and the coach cannot agree on the collaboration framework, then the process stops here.

Step by step checklist

When	Activities	Expected outcomes
Month 1	Identification of the coach and, if required, initial training of the coach.	<ul style="list-style-type: none"> • The coach is familiar with the regulatory framework; • The coach is clear about the purpose of the IM toolbox and what to do in the preparation phase.
	High level meeting(s) with the county government <i>Use the county government factsheet and meeting guidelines.</i>	<ul style="list-style-type: none"> • The coach clearly understands the county's strategy and plans to improve rural water services delivery and, more specifically, the prescribed management models for small water supply systems and the current capacities allocated by the county government to support community groups; • The county government perceives the IM toolbox as a tool that aligns with the county's strategy and that support them in fulfilling their mandate; • The county government takes concrete county-wide measures to improve regulation of small water supply systems; • The collaboration framework is agreed upon and a Memorandum of Understanding (MoU) is signed.
	(if relevant and as commissioned by the county government) High level meeting(s) with WSP <i>Use the WSP factsheet and meeting guidelines.</i>	<ul style="list-style-type: none"> • The coach clearly understands the WSP's plans to increase their coverage and reach out to rural and marginalised groups; • The WSP perceives the IM toolbox as a tool in line with the WSP's strategy and that support them in fulfilling their mandate; • The WSP provides clear guidance on management model options for small water supply systems within their services provision area; • The collaboration framework is agreed upon and a MoU is signed.
Month 2	Induction workshop with county/sub-county director and officers, and WSP staff. (It is recommended that it includes a workshop on the implication of the Water Act 2016)	<ul style="list-style-type: none"> • The counterpart(s) is identified and commissioned; • The county representatives and/or WSP staff are fully aware on the collaboration framework agreed upon including the rules of engagement; • The county representatives and/or WSP staff understand how the IM toolbox fits in the county's strategy and what their roles and responsibilities for its implementation are; • The county representatives and/or WSP staff, together with the coach, develop an action plan.

Securing high level buy-in and alignment with the county's strategy and plans

The county government has a clear mandate to provide water services to rural and marginalised areas. Shifting the focus to these areas is the last mile towards the realisation of the right to water for all.

To secure buy-in from the county government, it is important to start engaging the county government at highest level, if possible at governor's level. From there, she/he can direct the coach to the relevant county ministry (CEC) for more technical meetings.

To reach scale, the 'intervention' should fit into the country's efforts towards the realisation of the right to water and the implementation of the Water Act 2016. The county government needs to perceive the IM toolbox as a tool that can support them in fulfilling their mandate, rather than a one-off NGO intervention. If not yet in the county's plans, the coach can support the definition of county-wide measures to improve regulation of small water supply systems.

Example of county-wide measures

Examples of county-wide measures include carrying out a mapping campaign of all small water supply systems in the county, sensitising on the need for community groups managing a water system to become legal entities (through county-wide circulars), organising water awards to encourage community groups to perform better, organising campaigns in rural areas to explain the role of the county government and the support that it can provide in terms of water supply services delivery, activating platforms for citizens' participation etc.

Agreeing on the collaboration framework with the county government

The collaboration framework needs to be discussed and agreed upon at governor or county ministry level (CEC). It should include:

- The scope and duration of the collaboration;
- The expected roles and responsibilities of each party in terms of expertise and financing;
- The concrete tasks and the communication lines;
- The rules of engagement i.e. whether per diem is paid and if so, at which rate and who caters for logistics (transport) costs.

This might require more than one meeting.

Selection of the counterpart

Once the collaboration framework is clear and agreed upon, the high level county official (CEC or governor) can officially commission the relevant county government representatives (county/sub-county directors or officers) for operational aspects, including the 'counterpart(s)'. She/he may also refer the coach to the relevant WSP.

Who is best placed to be the counterpart(s) varies with the context. It can either be a representative from the county government or a staff member of the WSP, or both. It is however important that the coach gives some guidance to select the counterpart, considering the tasks that he will perform. Criteria to consider include:

- Knowledge of the area and ideally, of the different community groups;
- Familiar with the local language;
- Available to provide weekly support over the coming 9–12 months;
- Ideally, at director level.

The official commissioning of the counterpart(s) by the high-level county official is key to ensure the counterpart's commitment and motivation. Implementing the IM toolbox should be perceived as part of her/his official tasks rather than a voluntary/unofficial assignment. The collaboration framework agreed upon also needs to be clearly outlined to the counterpart(s).

Getting the technical staff from the county government and/or WSP on board

Other technical staff from the county government needs to be on board. The induction workshop with county representatives (county / sub-county director and officers) and WSP staff is a good platform to have a joint discussion on the need to regulate small water supply systems, introduce the IM toolbox and clarify the collaboration framework. During this workshop, selection criteria for the water systems where the IM toolbox will be implemented can be agreed upon. Once the county government and/or the WSP avails a list of possible sites, the coach and the counterpart(s) plan for a joint technical assessment.

In case the county government commissions the WSP as the main contact for the implementation of the IM toolbox, it is still important to keep the minister (CEC) and the relevant departments involved in the process. The Water Services Regulatory Board (WASREB), the Ministry of Water and Irrigation or other relevant governmental institutions can organise a workshop on the Water Act 2016 and its implication for the mandate of the county government and WSP. The coach can support the organisation of such a workshop.

How best to initiate the discussions on rights holder / duty bearer with the county government?

In Kenya, the county government is the most important level of government for realising the human rights to water and sanitation. The *Making Rights Real* package¹ was developed to guide WASH professionals in the discussions with local government to make human rights something closer to their reality and relevant to their work.

Step 2. Ensuring community ownership

Once the counterpart(s) is selected, the coach and the counterpart(s) proceed to the field visits and meetings with the community to:

- Select the water systems where the IM toolbox will be implemented;
- Understand the dynamics within the community i.e. who the gate keepers and the disadvantaged groups are, and the legitimacy of the committee; and
- Get a first insight into general customers' perception of the way the system is managed and the quality of services provided; and
- Ensure that the community is motivated and willing to take a leading role to improve the quality of services provided to customers.

¹ WASH United, WaterAid, Institute for Sustainable Futures – University of Technology Sydney, End Water Poverty, UNICEF and RWSN, *Making Rights Real* guide, available at www.righttowater.info/making-rights-real.

Step by step checklist

When	Activities	Expected outcomes
Month 2	Technical assessment of the water systems. <i>Use the water system factsheet.</i>	<ul style="list-style-type: none"> The coach and the counterpart(s) (including, if necessary other staff from county government and/or the WSP) make a first selection of the water systems to implement the IM toolbox based on technical criteria assessed during field visits.
	Initial meeting(s) with community leaders.	<ul style="list-style-type: none"> The community leaders approve the process; The coach and the counterpart(s) have a prior understanding of existing power dynamics within the community including who the gate keepers and the disadvantaged groups are; The coach and counterpart make recommendations on who should attend the IM workshop and take part in the overall process.
	Meeting(s) with the committee <i>Use the water system factsheet and the committee questionnaire.</i>	<ul style="list-style-type: none"> The coach and counterpart(s) get a first insight into how the committee manages the water system; The coach and the counterpart(s) agree on the final selection of the water systems based on the motivation of the community group.
	Discussions with community / customers – BASELINE – <i>Use the household survey questionnaire and the guidelines for focus group discussions with the community.</i>	<ul style="list-style-type: none"> The coach and the counterpart(s) appreciate the general customers' perception of the services provided and their level of participation in key decisions regarding the water system.

Selection of the small water supply systems to implement the IM toolbox

The definition of selection criteria for small water supply systems should be the result of a consultative process with the county and/or WSP. In addition to technical criteria, the county government and/or the WSP might want to consider other criteria such as location of the water system. Another important criterion to take into account is the motivation and eagerness of the community group to change and to improve the services provided to the customers.

During the technical assessment, the coach and the counterpart(s) (including, if necessary other staff from county government and/or the WSP) assess the technical 'status' of the water system (type of system, construction quality, capacity, current functionality status etc.). The final selection of the water system is done after having met with community leaders, the committee and the community as a whole. If, as a result of the different meetings, it seems that the process will be hindered by lack of motivation (e.g. if the first meeting is not well attended, if the community leaders put conditions for supporting the process such as financial compensation etc.), it is recommended to reconsider the selection of this water system.

The key role of community leaders

Community leaders i.e. village chief and village elders, are the gatekeepers of the community. Before visiting the water system or organising any other meetings, the coach and the counterpart(s) should first introduce themselves to either the village chief or the village elders and explain the purpose of the visit. The community leaders can then direct the coach and the counterpart(s) to the committee managing the water system.

Understanding who the influential people are in a community and securing their buy-in is an essential step to ensure high acceptance and legitimacy of the process. Broader than just the community leaders, influential people (or also called opinion leaders) in a community include religious leaders, politicians or business people. Getting influential people on board might require more than one visit.

To ensure ownership, community leaders should be the ones to assign who should be part of the IM workshop. To facilitate this and ensure an inclusive representation, the coach and counterpart(s) can suggest mapping out the different interest groups within the community, including the disadvantaged groups, and advise the community leaders accordingly.

The community group on the driving seat

Communities are used to receiving support that does not require much investment from their side. The way that the coach and the counterpart(s) interact with the community during the initial meetings will highly influence the level of ownership of the community. It is important that the community realises that the IM toolbox process is different and it requires that they sit in the driving seat.

The coach and the counterpart(s) can introduce the purpose of their visit by mentioning that they want to understand how the committee is managing the water system. They can congratulate them on their achievements so far before to ask if they would be interested to receive some coaching to manage the water system better. If they show interest, the coach and counterpart(s) can briefly explain the process and highlight that they will be the ones to steer it. The rules of engagement also need to be made clear from the start.

This first meeting with the committee can already give an idea to the coach and the counterpart on how the committee is working and the challenges faced.

Meeting the community is also key to cross check the legitimacy of the committee and get a first insight into customers' satisfaction with the quality of services provided.

Step 3. Involving water resources management institutions

Once the community groups are selected, the coach and the counterpart meet with the Water Resources Authority (WRA) sub- regional office to get information on the specific water resources management conditions in the area and inquire about the existence of active WRUAs. If there is an active WRUA, they should also be engaged in the process and linked to the community group.



IM Workshop

The IM workshop is for the community group, that is the committee, its staff and community representatives. During the IM workshop, the community group carries out a self-assessment of the committee's compliance status and of the problems that they have faced so far in managing the water system and in providing quality water services to the customers. From there, the community group agrees on actions to move towards an appropriate management model and selects integrity tools to help them manage the water system better. The IM workshop follows a step-by-step process. The coach is the lead facilitator and is supported by the counterpart(s). The coach can refer to the *Tips for facilitation infocard*.

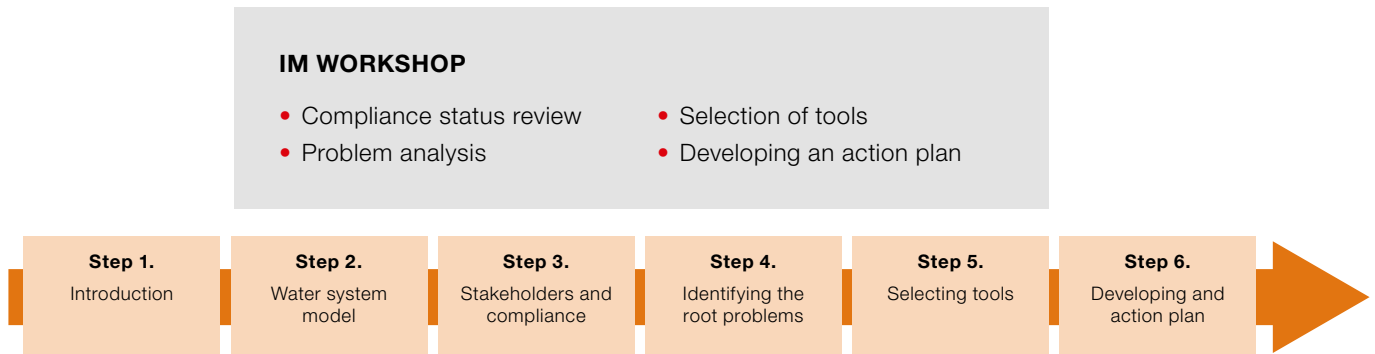


Figure 3. The different steps of the IM workshop.

Duration: Two to three days.

How to prepare for the IM workshop?

To prepare for the IM workshop, the coach needs to adapt the content of the IM toolbox to the the management model options, the type of water system and the way it is managed, as well as the literacy level of the group. The adaptation can include:

- **In Step 2:** In case the committee manages a water point rather than a water system, it is possible to organise the IM workshop for more groups at a time. The mapping of the water system can be changed to a broader mapping exercise including elements of the surrounding environment such as chief house, rivers, mountains, community meeting point, etc.;
- **In Step 3:** Stakeholders cards mentioning stakeholders that are not relevant or too complicated for the community group can be removed. It is better to focus on the most important ones. Some stakeholders name can also be adapted to the specific context. For example, the actual name of the designated WSP or the NGOs that are operating in the area can be used;
- **In Step 3:** Only the management models that are applicable should be presented to the community group to avoid confusion;
- **In Step 3:** If there is an active WRUA in the area, the coach and the counterpart need to mention to the group that they can become members of the WRUA and take part in the discussions on water management for the whole watershed.
- **In Step 4:** Problem cards that are not relevant can be removed. Same for the tool cards;
- **In Step 4:** It is recommended that either the coach or the counterpart(s) speaks the local language.

Step 1. Introduction

This step serves as an icebreaker and aims to introduce the concept of integrity and how working with more integrity can help improve the quality of services provided to the customers.



Duration: 1:30

Learning objectives for the group:

- To understand what 'integrity' means;
- To realise that working with more integrity can help improve the quality of services provided as well as the committee's reputation, leading to increasing customers' satisfaction.

Outputs:

- The good news and bad news that the community group would want or not want to hear about 'their' water system.

Key messages from the coach to convey in this step

1. Clarifying the objective of the IM workshop and the overall process in simple terms:
The IM toolbox aims to help the community group to work with more integrity in order to improve the quality of services provided to the customers. The IM workshop guides them to select tools and agree on actions to address their specific problems. After the IM workshop, the community group will receive coaching to implement the actions agreed upon.
2. Definition: Integrity = Transparency + Accountability + Participation (WIGO, 2016)
 - This creates a barrier against corruption.

Transparency: Transparency is about openness and public access to information. This includes among others transparency on decision-making processes and financial transparency.

Accountability:

- (Upwards) Accountability towards the sector's institutions i.e. knowing their mandate and the rules and regulations they set, and comply with them;
- (Downwards) Accountability towards the customers i.e. operating in a professional and efficient way, and receiving and addressing their complaints.

Participation: Participation implies that all interest groups in the community, including the disadvantaged, are meaningfully involved in key decisions linked to the water system.

Session 1.1. Opening of the workshop**– 00:15 –**

This session serves as an **introduction** and sets the principles of the IM workshop.

Material: IM workshop programme (annex 2).

- Introduce yourself and initiate the introduction of participants. Introduction can be done in an entertaining way: pair introduction, or asking a funny question that everyone should answer when they present themselves such as 'what is your favourite food?'.
- Define the workshop rules. Agree on time for starting, breaking and end of the day. Agree on the language and on how to capture the outcomes of the discussions. The best is if participants can do it themselves. If this is challenging, the coach or the counterpart can support.

Session 1.2. Impact of good news and bad news**– 00:45 –**

This session is a **discussion** on the good news and the bad news the group wants or does not want to hear about the water system and their work as a committee, and the potential impact of these news.

Material: *Good news and bad news cards* to be displayed next to each other on the wall.

- Start by asking the group from which channels they normally receive news about events happening in the area, or how news spread in the area (e.g. local radio station, chief's barazas, rumours).
- Ask the group the kind of news they would be happy to hear about 'their' water system or their work as a committee. Once ready, do the same for the news they would not want to hear. Let them write down one answer per card. Display the news either under the *good news card* or the *bad news card*.
- Divide the participants into two working groups: One working group discusses what will happen if good news are spread and the other one focuses on what will happen if bad news are spread. You can ask guiding questions such as: 'What impact would the news have on the reputation of the committee, the trust of the customers, your work?'.
- Once ready, ask a person of each working group to present the results of their discussions and write them down on a flip chart. Leave enough time for comments.
- Indicate that the process will help them hear more good news than bad news and clarify the objective of the IM workshop and the overall process.

Tip: Depending on the group and the literacy level, you can decide to skip session 1.3

Session 1.3. What is integrity?**– 00:20 –**

This session is a **discussion** that further introduces the concept of integrity and how working with more integrity can help the group improve the quality of services provided to the customers.

Material: *What is integrity infocard*.

- In plenary, ask the group whether they know what integrity means. Leave time for reflection.
- Distribute the *What is integrity infocard*. Ask the group what transparency, accountability, and participation mean. Once the definitions are clear, ask them to give examples of what they could do for the committee to work more transparently, be more accountable, and for the customers to participate more actively in the key decisions related to the water system.
- Use the back of the *What is integrity infocard* to explain how working with more integrity can help improve the quality of services provided to the customers.

Summarise Step 1**– 00:10 –**

Ask the group what they have learnt in this step and confirm that they are still eager

Step 2. The water system model

This step aims to prompt discussions between customers and committee members, by making the link between how the water system works, the way the committee manages it and the quality of services provided to the customers.



Duration: 3:00

Learning objectives for the group:

- To understand how the water system works and how the water flows from source to users;
- To reflect on the way the committee manages the water system and the quality of services provided to the customers

Outputs:

- The water system model, to be displayed during the IM workshop and the progress review workshops.

Key messages from the coach to convey in this step

1. What does 'quality' of water services mean?

Using the *water system model* as a visual base for discussion, the coach guides the community group to look at water services from a different angle. The *Quality of water services infocard* helps participants realise that providing water services is more than only ensuring that water arrives at the kiosks. It does so by reflecting on aspects of coverage and inclusion, accessibility, water quality, technical and financial sustainability, affordability, and customers' participation and complaint mechanisms. The *right to water infocard* supports the discussion by displaying the national standards for the right to water. As representatives from the community are also present during the IM workshop, the committee can also get direct feedback on the quality of services provided from the customers' point of view.

2. What is a human right? A human right is a right inherent to all human beings, regardless of race, sex, nationality, ethnicity, language, religion, or any other status (according to the United Nation).

Session 2.1. Developing the water system model**– 1:45 –**

This session is an **exercise** for the group to better understand how ‘their’ water system works.

Material: *Water system cards, arrow cards, blank cards, scissors and tape, brown paper.*

- Ask the group to visualise ‘their’ water system by using the pre-drawn cards. The *arrow cards* show how the water flows. More cards can be drawn if needed. Do not intervene too much. If necessary, guide them with questions such as: What is the source of water? Do you have storage facilities, kiosks, etc.? Is the water system serving institutions?
- Once ready, ask one person to explain the *water system model* as displayed. Leave enough time for discussion and for further improvement of the water system model.

Tip: Make sure that the group does not waste too much time on discussing hardware details and trying to make the water system model too complex. In case of a water point rather than a water system, the mapping of the water system can be replaced by a broader mapping exercise including elements of the surrounding environment. The most important is to have a visual base for the discussions.

Session 2.2. Assessing the quality of services provided**– 1:00 –**

This activity is a **reflection** around the water system model, on the way the committee manages the water system and the quality of services provided to the customers.

Material: *Quality of water services infocard, money in and out cards, red flag cards, The right to water infocard, Constitution of Kenya infocard.*

- Use the *Quality of water services infocard* as a guide to ask questions to the group. After each question, leave enough time for discussion and for adjusting the *water system model* if necessary.
- If a problem pops out during the discussions, ask the participants to indicate it on the water system model using a *red flag card*. Similarly, ask the participants to place the *money in / money out cards* on the water system model to pinpoint the sources of income and the costs to run the water system.
- Capture the outcomes of the discussions on a flipchart.

Tip: Depending on the group and the literacy level, you can decide to stop session 2.2. here and skip the discussion on the right to water.

- Ask the group to explain what a human right is and to give examples. Highlight that human rights are the same for everyone, even for woman, or vulnerable and marginalised group.
- Explain that one of the human rights is the right to water and that it is even part of the Constitution of Kenya. In case of questions on the content of the Constitution related to the right to water, refer to the *Constitution of Kenya infocard*.
- Go through the standards of the right to water using *The right to water infocard*. Highlight that these aim to protect customers. Mention that it is WASREB mandate to ensure that these standards are fulfilled.
- To make a transition to Step 3, explain the concept of duty bearers and right holders: The county government have the duty to ensure that water services are provided in their county, and people have the right to claim access to water services.

Summarise Step 2**– 00:15 –**

Ask the group what they have learnt in this step.

Step 3. Stakeholders and compliance

This step aims to guide the group to do a self-assessment of the committee's compliance status and agree on the steps to put in place an appropriate management model.



Duration: 4:00

Learning objectives for the group:

- To clarify their roles and responsibilities as a committee but also as individuals;
- To understand the mandates of the key stakeholders in the water sector and the support they can provide;
- To understand the importance of having an appropriate management model in place and to be clear on what options there are for 'their' water system;
- To understand the importance to register as a Water Users Association (WUA).

Key messages from the coach to convey in this step

Why is it important to put in place an appropriate management model as per the Water Act 2016?

To ensure progressive realisation of the right to water, the government aims to professionalise water services delivery in the whole country. In this step, the coach should highlight the added value of putting in place an appropriate management model:

- It protects customers' rights, as the quality of services is monitored as per the national standards;
- It protects the water resources, as the requirements linked to water resources management are monitored as per the national rules and regulations;
- It offers access to technical and financial support from the county government and/or WSP.

How to explain the rationale behind the management models options for a given water system?

The best is to refer to national policies: The county government (duty bearer) has the duty to ensure that, progressively, all people have access to water. For some areas closer to an urban centre, a WSP is assigned and is given the mandate to provide the water services on behalf of the county government. If this WSP exists, the committee needs to link with it. In areas where there is no WSP, the committee should link with the county government. Community management is still needed to provide water services to marginalised areas where the county government and/or WSP do not have the capacity and mechanisms yet to directly provide water services.

Why is it important to register as a WUA?

Registering as a WUA is required if the committee aims to retain some responsibilities over the management of the water system. It is key because it gives the committee the rights as a legal entity. This means they can enter into binding contracts, sue and be sued, acquire assets such as land, and access credits. A Self Help Group (SHG) or a Community Based Organisation is not a legal entity.

- To establish an appropriate management, a committee needs to sign an agreement with the county government and/or the WSP. Unless they hand over the management of the water system, the committee will first need to register as a WUA for the agreement to be valid.
- As a WUA, they should also fulfil the requirements of WRA by getting a water permit, monitoring water quality and reporting water quantity used.

Session 3.1. Our roles and responsibilities

– 0:45 –

This session is a **discussion** that aims to clarify the roles and responsibilities of the committee and its individual members.

Material: *Water management committee: structure and functions infocard.*

Mandate as a committee:

- Divide the participants into two working groups:
 - One working group formed by representatives of the community: ask them to discuss what their expectations are from the committee managing ‘their’ water system;
 - One working group formed by committee members and staff: ask them to discuss what the expectations of the community were when they were elected, whether they think they are meeting these expectations and why.
- Once ready, ask one person from each working group to sum up their discussions. As there can be different perceptions on how well the committee is working, make sure to leave enough time for discussion and moderate the debate in order to avoid conflict. Write down problems that come up on a flip chart or ask the participants to flag them in the water system model.
- Clarify by using the *Water management committee: structure and functions infocard*.

Individual roles and responsibilities:

- Ask each participant, including community representatives to reflect individually or in pairs on:
 - Their own roles and responsibilities regarding the management of the water system;
 - Their key achievements so far in fulfilling their roles and responsibilities; and
 - The challenges they have faced.
- In plenary, ask each participant to summarise its reflection. Invite them to indicate where she/he intervenes on the water system model. Invite other participants to comment. Take note of the challenges that some might face in fulfilling their functions, as this is key for the next steps.
- Clarify by using the *Water management committee: structure and functions infocard*.
- To conclude, mention that this process will support them to address some of the challenges mentioned.

Session 3.2. Stakeholders that are important for us and the rules and regulations they set – 0:45 –

This session is a **game** that aims to clarify the mandates of the different stakeholders of the sector.

Material: *Football pitch, stakeholder cards, blank yellow cards, Kenya water sector institutions infocard, Summary of stakeholders' mandate infocard.*

- Start by asking the group to reflect on who the stakeholders of in the water sector are, at national but also at local level. Leave enough time for discussion.
- Give the *stakeholder cards* to the group. The most important stakeholders are marked with a red dot on the *stakeholder cards*. Depending on the group, you can decide to hand out only the cards with red dots. Ask them to read the cards one by one and separate the stakeholders they know from the ones they do not know. They can write down on blank yellow cards the missing ones.

Tip: In case the distinction between teammates and opponents poses problems, let the group choose one goal and place the stakeholders more or less close to it, depending on how helpful they are to them.

- Place the *football pitch* on the floor. Ask the group to explain the rules of a football game: There are 'players' (teammates and opponents) and those who set the rules.
- Give the following guidelines one at a time:
 - Place on one half of the pitch the stakeholders that support you;
 - Place on the other half those who are not supportive or a threat;
 - Place outside of the pitch those who set the rules.Reassure the participants that there is no wrong answer. Leave enough time for discussion.
- Once ready, ask the group to explain why they placed the stakeholders the way they did. If there are some important stakeholders that the group does not know, ask the counterpart to clarify.
- To summarise, explain briefly the mandate of each stakeholder using the *Kenya water sector institution infocard* and the *Summary of stakeholders' mandate infocard*.

Session 3.3. Selecting the appropriate management model**– 1:00 –**

This session is a **discussion** that aims to help the group understand why it should establish an appropriate management model and what the options for 'their' water system are.

Material: *Management model infocards, Summary of management models infocard.*

- Start by explaining why the national government is keen to have appropriate management models in place and the added value for the committee and for the customers. If covered in Step 2, refer to the discussions on the right to water.
- Based on the information collected during the preparation phase, explain the management models applicable to the committee, using the relevant *management model infocards*. Add that the most appropriate management model also depends on how much responsibilities they want to keep over the management of 'their' water system. Leave enough time for the group to discuss among themselves and ask questions.
- For each management model, go through the recommended steps to establish the management model and the back of the *Management model infocards*. Highlight that for all management models, the committee needs to register as a WUA – except if they opt to hand over the management of the water system to the WSP or a private operator.

Tip: If the group decides to hand over the management of the water system, the IM workshop ends here. As next steps, the coach and counterpart will provide support until the official handing over.

Session 3.4. Registration as a WUA**– 00:40 –**

This session is a **discussion** that aims to take the group through the requirements to register as a WUA.

Material: *Registration as a WUA infocard.*

- Ask the group if they know why it is important to register as a WUA and what the requirements are. Leave enough time for discussion. Once ready highlight why it is important to be a legal entity.
- Using the *Registration as a WUA infocard*, go through the different requirements to register as a legal entity. Highlight that it is not that complicated and that they will receive support in the process to get the right documents and prepare the application.

Session 3.5. Requirements for water resources management**– 00:40 –**

This session is a **discussion** that aims to make the group understand the rationale behind the different requirements for water resources management.

Material: *Watershed infocard, Requirements for water resources management infocard.*

- Take the *Watershed infocard* and ask the group to describe what they see on the card. Once ready, clarify that it is a watershed: any drop of water falling in this area will arrive to the river downstream.
- Then, discuss with the group the possible implication of activities upstream on 'their' water system. Use the back of the *Watershed infocard* as a guide for the discussions. Highlight the importance to monitor water quantity and water quality.
- Recall the role of WRA as discussed in session 3.2. Explain that WRA needs to approve any new water systems based on criteria related to **water quantity** and water quality. This is done by the delivery of a water permit. Ask the group if they already have a water permit. Use the *Requirements for water resources management infocard* to go through the steps to get a water permit.
- Then, explain that WRA needs to monitor the water quality and the water quantity. Use the *Requirements for water resources management infocard* to go through the reporting requirements.
- Highlight that, depending on the management model, the county government and/or the WSP can support them (or even take the lead) to get the water permit and fulfil the **reporting requirements**. Confirm with the counterpart.
- Depending on the area and the information collected during the preparation phase, mention to the group that they can become members of the WRUA and take part in the discussions on water management for the whole watershed.
- To summarise, highlight that, through the process, they will receive support to get the documents required to register as a WUA and to connect with either the county government and/or the WSP.

Summarise Step 3**– 00:10 –**

Ask the group what they have learnt in this step and clarify if any point is not clear.

Step 4. Identifying the root problems

This step aims to guide the group to carry out a self-assessment of the problems faced so far in managing the water system and in providing quality water services to the customers.



Duration: 1:30

Learning objectives for the group:

- To discuss and pinpoint the problems faced so far related to the management of the water system and the quality of services provided to the customers, from the point of view of the committee but also that of the customers;
- To commit, as a group, to address three priority problems in the coming three months.

Outputs:

- Three priority problems placed on the *tools matrix*.

Key messages from the coach to convey in this step

1. Problems should be solvable

The coach should guide the group to select problems that they can address themselves. For example: if the group writes down the following problem: 'people do not have money to pay for water'. This is typically a problem that cannot be solved. The coach should then try to understand what they mean exactly by this and could ask the following: 'No one has money in the village or some have and some do not have?' In which case, the problem is rather that 'some people cannot pay for water'. A pro-poor tariff structure could be a tool to address this problem. The coach could also ask 'people cannot pay or people do not understand why they should pay as the water from the river is free?' In which case, the problem should be reformulated to 'people do not understand the added value of the water from the water system' and a tool could be to sensitise the community on the health risks related to drinking water from unsafe sources.

2. Prioritisation of problems

The support provided by the coach to prioritise the 'root problems' is key. A root problem is a problem that, when solved, contributes to solving other related problems.

Session 4.1. Identification of problems

– 1:00 –

This session is an **exercise** that aims to guide the group to do a self-assessment of the problems they have faced so far in managing the water system.

Material: Two sets of *problem cards*, *blank red cards*.

- Introduce this step by mentioning that, as the committee will retain some responsibilities over the management of the water system, it is important that they increase their performance.
- Go with the group to the water system model and ask them to summarise the problems that already popped up:
 - During the development of the water system model – flagged with a *red flag card*;
 - During the discussions on the roles and responsibilities of the committee and individual members – summarised on the flip chart.

Tip: For the two working groups, you can decide to divide the participants as follow: women/ men or customers/ committee members.

- Divide the participants into two working groups and ask them to brainstorm on the main problems they have faced so far in managing the water system and in providing quality water services. They can write them down on *blank red cards*.
- Distribute a set of *problem cards* to each working group. Request that one person from each working group reads the *problem cards* one by one to the other group members. Explain that each working group should select the five problems that they think are most affecting the good management and operation of their water system. Clarify the problems that are not clear. Leave enough time for discussion.
- In plenary, ask one person from each working group to show the five problems selected (10 in total) and to explain why they selected them. Ask her/ him to place the selected *problem cards* in the water system model, in the area most affected by it. Leave enough time for discussion.
- There will be 10 problems selected in total. Some problems might be shared between the two working groups and others might be linked to each other. To facilitate the next session, cluster the problems in the water system model or on the brown paper.

Session 4.2. Prioritising the problems

– 00:20 –

This session is a **discussion** that aims to help the group prioritise the three problems to address first.

Material: The *tools matrix* to be displayed on the wall.

- Clarify that this session aims to prioritise the problems selected. Not all problems can be addressed at the same time and it is important to focus on the problems that should be addressed first (in the coming three months). The other problems can be addressed at a later stage.
- In plenary, ask the group to discuss and agree on the three problems that they want to address first. Amongst the 10 problems previously selected, one problem might be the cause of another problem. Help them recognise these 'root' problems and understand why these problems should be addressed as a priority. Leave enough time for reflection and to come to a consensus.
- Once ready, ask everyone to confirm that they agree with the three priority problems selected and that they are willing to address them. Display the three problems in the *tools matrix*.

Summarise Step 4

– 00:10 –

Ask the group what they have learnt in this step.

Step 5. Selecting tools

This step aims to guide the group to select adequate tools to address the three priority problems identified in Step 4.



Duration: 2:00

Learning objectives for the group:

- To select and agree on the tools to put in place in the coming three months to improve the management of the water system and the quality of services provided to the customers.

Outputs:

- The completed and agreed upon *tools matrix*, displayed on the wall for further references in Step 6 and in progress review workshops.

Key messages from the coach to convey in this step

1. Before introducing new tools, the priority is to build on the tools that the group has already in place and support them to implement them better.
2. It is important to focus on tools that can be implemented realistically within the coming three months. More tools will be selected later on in the process.

Session 5.1. Selection of tools

– 1:30 –

This session is an **exercise** that guides the group to select tools to address their three priority problems.

Material: Three sets of *tool cards*, *tools matrix*.

- Explain the purpose of the activity: to select tools to address the three priority problems. Some tools might already be in place but can be improved, and others might be new.
- Divide the participants into three working groups and give one problem to each working group. For their specific problem, ask them to brainstorm on the following:
 - What they are currently doing to address this problem;
 - Whether it is working or not, and if not, what they could do better;
 - What else they could do to address this problem.
 Leave enough time for discussion.
- In the meantime, take the three sets of tools cards: One set will be used for each problem. For each set, extract the tools that can help address the specific problem. The back of each problem card indicates the relevant tools to extract. The coach can also remove tool cards that are not applicable to the group. In case the group have selected problems that were not in the *problem cards*, give them a full set of *tool cards* and guide them to select the most adequate tools.
- Once ready, give the relevant *tool cards* to each working group. Request that one person from each working group reads the tool cards one by one to the other group members. Ask each working group to classify the tools as follows (same category as the *tools matrix*):
 - Successfully implemented;
 - Implemented but needs to be improved or implemented more effectively;
 - Interesting new tool;
 - Not applicable or not relevant.
 Clarify the tools that are not clear. Leave enough time for discussion.
- Once ready, in plenary, ask each working group to place the tool cards in the *tools matrix* under the respective category and to explain why they have placed them the way they did.
- Congratulate the group on the tools that they have already successfully implemented. Mention that, as they can see on the *tools matrix*, there are many tools that can help them address their problems. Some tools can also help address more than one problem. Highlight that it is better to first focus on improving those tools that are already in place, before introducing new ones.
- Ask them to agree among themselves on the tools they would like to focus on for the coming three months (about five tools). Leave enough time for discussion.
- Explain that in the coming weeks, the coach and the counterpart will come back to provide more guidance on how to implement these tools.

Session 5.2. Reflecting back on the water system model and stakeholders

– 00:20 –

This session is a **discussion** that aims to link all steps of the IM workshop.

- With the group, go back to the water system model and ask them to identify the areas that will be improved or changed by implementing the selected tools.
- With the group, go back to the *football pitch* and ask them to pinpoint the stakeholders from which they will require support to implement the selected tools.

Summarise Step 5

– 00:10 –

Ask the group what they have learnt in this step.

Step 6. Developing an action plan

This step aims to guide the group to develop an action plan and pave the path for the implementation phase.



Duration: 2:30

Learning objectives for the group:

- To develop and agree on an action plan to implement the selected tools, to register as a WUA and to move towards an appropriate management model;
- To clarify what will happen during the implementation phase.

Outputs:

- An agreed upon action plan to be kept for further references during the implementation phase.

Key messages from the coach to convey in this step

Structure of an action plan: for each action, the following point should be clear:

- *By whom?* The person responsible to undertake the action;
- *By when?* The date when the action should be completed;
- *Where?* The location where the action should take place, if appropriate;
- *Resources required?* All possible inputs required to ensure the successful implementation of the action (e.g. staff, time, space, transport, material and equipment).

3. What will happen during the implementation phase? The coach and counterpart will provide coaching to the group for the implementation of their action plan. This will be through follow up trainings, regular contact by phone or visit, support for the negotiation process with the county government and/or the WSP, and progress review workshops. This might take up between six and nine months, until the committee has established an appropriate management model.

4. Clearly explain the expected role of the change agent and how the counterpart can support her/him. Refer to *coach/counterpart/change agent infocard*.

Session 6.1. Purpose of an action plan

– 00:15 –

This session is a **discussion** that aims to ensure that the group understands the purpose of an action plan.

Material: *Action plan sheet.*

- Display the *action plan sheet* on a wall and invite the group to stand in front of it. Ask them what an action plan is for and if they have already used one. Clarify if necessary and discuss the headings.
- Explain that the purpose of this step is to define which actions to undertake; and for each action, agree on who should take the lead, by when it should be executed, where does it need to happen and the resources required. Announce that the action plan is for a period of three months and will be reviewed during the implementation phase.
- Explain that, during this workshop, the group has agreed upon:
 - Actions to undertake (often documents to get) to register as a WUA and to move towards an appropriate management model (Step 3); and
 - Tools to implement to improve the way they manage the water system and the quality of services provided to customers (Step 5).

Session 6.2. Defining actions for compliance

– 1:00 –

This session is an **exercise** that aims to support the group to define the actions required to register as a WUA and move towards an appropriate management model.

Material: *Registration as WUA infocard, relevant management model card(s), action plan sheet.*

- Using the *Registration as a WUA infocard*, summarise the documents that they still need to collect. Ask them to discuss what they can manage to do in the coming three months. Leave time for discussion. Once ready, ask them to fill the action plan.
- Based on the management model selected, ask the group to discuss the next steps to start the negotiation process with the county government and/or the WSP. Once ready, ask them to fill the action plan. If the management model to put in place is not yet clear, one action might be to consult the whole community and get their feedback. If so, ask them to indicate this in the action plan.
- Using the *Requirements for water resources management infocard*, define the actions that can be executed in the coming three months to get the water permit (unless the county government/WSP will take care of this).



Session 6.3. Defining actions to implement the tools**– 00:45 –**

This session is an **exercise** that aims to support the group to define the actions required to implement the tools selected.

Material: *Tools matrix, action plan sheet.*

- Divide the participants into three working groups and distribute the *tool cards* selected in Step 5 among the three working groups. Ask each working group to discuss for each of their tools: what concrete actions are required to implement it, who should take the lead, by when it should be executed, where does it need to happen and the resources required. Leave enough time for discussion.
- Once ready, in plenary, ask each working group to summarise their discussions and to fill the action plan. For each action, ensure that there is a consensus between all participants and that the person assigned as the lead for one action is well aware of it and confirms willingness to do so.

Tip: For the working groups, you can keep the same groups that have already sorted the tools per problem (Step 5). You can also cluster the tools per 'topic' and ask participant to choose the topic they are more interested to discuss.

Session 6.4. Preparing for the implementation phase**– 00:20 –**

This session is a **discussion** that aims to further explain to the group what will happen during the implementation phase.

Material: *Coach/counterpart/change agent infocard.*

- Once ready, ask one person to summarise what is written in the action plan. For each action, ask the group to confirm that everyone agrees with it.
- Explain that the group will get support from the coach and the counterpart. Explain who the coach and the counterpart are, if not yet clear, and the role that each person will play in the implementation phase, by using the *Coach/counterpart/change agent infocard*.
- Mention to the group that, to ensure the overall implementation of the action plan, once person from the group needs to steer the process. This is the 'change agent'. Clarify the expected role of the change agent. Leave enough time for the group to decide who the change agent is.
- Keeping the material safe: Mention to the group that the *water system model*, the *tools matrix* and the *action plan* will be the basis for assessing progress in the coming months and it is therefore important to keep this material safe. Ask whether the change agent can do that.
- Fix the date of the next visit during which the counterpart and the coach will provide more guidance on how to implement the selected tools using the infosheets and templates. Exchange contact details with the change agent.
- Take a photo of the tool matrix and the action plan for digitalisation and for distributing it to the group after the workshop.

Summarise Step 6 and close the IM workshop**– 00:10 –**

- Ask the group what they have learnt during the IM workshop and if it is clear what comes next.
- To end the workshop, ask everyone's permission to take a photo with all the participants.
- The counterpart keeps the IM toolbox bag.





Implementation phase

During the implementation phase, the community group implements the selected tools and actions agreed upon with coaching from the coach and the counterpart. This coaching consists of:

- A follow-up training to provide guidance on how to implement the selected tools;
- Regular contacts by phone or through follow-up visits;
- Additional capacity building trainings for all or some members of the community group to help them perform better their functions (If identified in the action plan);
- Facilitation of the negotiation process between the community group and the county government and/or the WSP for the establishment of the management model selected;
- Progress review workshops, during which the community group will carry out a self-assessment of the progress, identify new problems and select new tools.

The implementation phase

It is during the implementation phase that the actual work for the community group starts. The community group implements the tools selected and the actions agreed upon, with coaching from the coach and the counterpart.

Duration: Between six and nine months.

Adapting the coaching to the needs of the group

Depending on how the IM workshop went, how well the community group is organised and performing, and the management model selected, the coaching process might need to be adapted. The table below provides recommendations on how to adapt the coaching process depending on different scenarios.

Scenarios	How to adapt?
The group opted to be taken over by the WSP (or the private sector).	There is no need to focus on the implementation of tools. The coaching process should focus on: <ul style="list-style-type: none">• Establishing direct contact between the group and the WSP;• Facilitating the 'handing over'.
During the IM workshop, the community representatives requested to elect a new committee.	Provide coaching for the election of the new committee (see infosheet and template on "Organise committee elections"). Once the new committee is in place, the IM workshop can be organised again.

Checklist for activities during the implementation phase

When	Activities	Expected outcome
Month 3	IM workshop	Selection of tools and agreeing on actions.
Month 4	Follow-up training to provide guidance on how to implement the selected tools	The community group is clear on how to implement the selected tools.
Month 3–9	Regular contact between counterpart and change agent through phone calls or monthly visits.	The counterpart provides tailor-made coaching. The community group implements the tools and the actions agreed upon during the IM workshop.
Month 3–9	Facilitation of the negotiation between the community group and the county government and/or the WSP	The community group and the county government/WSP have established a direct contact and have agreed on the conditions of the management model.
Month 6 + Month 9	Progress review workshops	The community group carries out a self-assessment of the progress, identifies new problems and selects new tools. The community group gradually improves the way they manage the water system and their compliance status.

Follow-up training on the tools selected

Shortly after the IM workshop, the counterpart, and if possible the coach, go back to the community group to provide them with more guidance on how to implement the selected tools. For each tool selected, the coach and the counterpart use the infosheet and template as a guide. The coach and the counterpart should adapt the content to the context and specific needs of the group and convey the information in the local language. Not all tools concern all group members. Therefore, not all group members need to attend the whole follow-up training.

Regular contact between counterpart and change agent

The counterpart proactively maintains contact with the community group through weekly phone calls to the change agent and visits to the group at least once a month. These visits can be quite informal. The community group should feel comfortable enough to address any challenges encountered while trying to implement the agreed actions and to ask for advice. Of course, progress can also be assessed by phone call but meeting face to face makes it easier to discuss on challenges and how best to address them. It also helps the community group to keep the momentum and feel that they are not left alone in the process.

For the monthly visit, the counterpart can use the *monthly visit factsheet* as a guide for the discussions and to record progress. It helps keeping track of the actions the group has undertaken in the past last month, the challenges encountered on the way and the advice given to overcome these challenges.

At least once every two months, the coach accompanies the counterpart on a visit to the community group to ensure that the process is going in the right direction.

In case the counterpart does not have sufficient knowledge and experience on how to implement the tools in practice, it is recommended that the coach takes a more active role in coaching the community group and takes part in the monitoring visits as much as possible.

Facilitating the negotiation process toward an appropriate management model

If requested, the counterpart can support the group in a community or leaders' consultation meeting to discuss the different options for the management model.

After establishing a direct contact between the community group and the county government and/or the WSP, the coach and the counterpart can facilitate the negotiation process to establish the management model selected. This includes discussions on respective roles and responsibilities including technical support and financial flow.

Depending on the management model selected, more than one meeting between the community group and the county government/ WSP might be required.

Progress review workshops

The progress review workshops are a more formal platform to review the progress made in the last three months. During this workshops, the community group reflects on changes observed in terms of integrity and agree on what more can be done to continue improving the way they manage the water system. For that, the coach and the counterpart provide guidance:

- To carry out a self-assessment of the progress made so far, and discuss how to address the challenges encountered on the way;
- To agree on action to better implement the tools previously selected (If required);
- To identify new problems to address, select new tools to implement; and agree on actions;
- To agree on the next actions regarding the establishment of the appropriate management model.

A progress review workshop is planned to last between **one and two days**. The number of progress review workshops required can vary. A minimum of two progress review workshops is recommended. To facilitate the progress review workshop, the coach and the counterpart use the IM toolbox bag.

When does the process end?

Towards the end, the community group will have established stronger links with the oversight institutions such as the county government, WASREB, WRA, and, depending on the context, the WSP assigned to provide water services in the area.

For the coach from the CSO/NGO, the process ends when the community group has moved to an appropriate management model. In case the county government and/or the WSP are not 'ready' to sign a contract with the community group, the coach should at least accompany the group until it registers as a WUA, fulfils the requirements for water resources management, and starts implementing the tools selected through the process.

For the counterpart(s) from the county government and/or the WSP, they can continue using the IM toolbox with this group to further strengthen their capacity.

The duration and intensity of the coaching to reach this depends on the needs of each community group, the engagement of the county government and the management model selected.



ACTION PLAN
WHAT?
TOOLS
NO TOOLS

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What are the main issues?	What are the main issues?	What are the main issues?	What are the main issues?	What are the main issues?

No support from local government
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No support from local government

The progress review workshops – Step by Step

How to prepare for the progress review workshops?

The IM toolbox bag and its content are required for good facilitation of the progress review workshop. Below are a few recommendations for the coach to ensure that the content is complete:

- Check that all infocards are in the IM toolbox bag.
- For the two sets of problem cards: some cards are missing from both sets after the IM workshop. Make sure that the 10 problems identified are removed from both sets. Both sets of problem cards should be the same.
- For the three sets of *tool cards*: Based on the new problems selected, the corresponding tool cards indicated in the back of the problem cards can be taken from any of the three sets.
- Draw another *tools matrix* and *action plan sheet* and add it to the IM toolbox bag. In some cases, if the group directly wrote on the action plan, it is easier to start on a new one.



Step 1. Introduction

This step serves as a **recap** of what was learned and agreed upon during the IM workshop and a reflection on the changes observed since the IM workshop.

Duration: 1:00

Learning objectives for the group:

- To understand the purpose of the progress review workshop;
- To recall what integrity means and why working with more integrity can lead to improving the quality of services provided as well as the committee's reputation, leading to increasing customers' satisfaction;
- To reflect on the changes in terms of integrity that can be already observed.

Note: The change agent should display all key outputs produced during the IM workshop. This includes the *water system model*, the *tools matrix* and the *action plan*.

Key messages from the coach to convey in this step

1. Objective of the progress review workshop: To assess the progress made so far and agree on new action to continue the progress.

Session 1.1. Opening of the progress review workshop

– 00:30 –

This session aims to reflect on what has changed since the IM workshop.

Material needed: *What is integrity infocard*.

- Introduce the workshop's objective. Go through the workshop's rules, programme and timetable.
- Ask the participants to discuss in pairs what was the most important lesson they learned during the IM workshop. Once ready, ask each participant to summarise what his/her pair said.
- **If the group did not go through session 1.3. during the IM workshop:** Ask them to discuss the news that they heard about the water system in the last three months and whether there were more good news than bad news. Then, if possible, use the *what is integrity infocard* and let them reflect on what integrity means (refer to session 1.3. of the IM workshop).
- **If the group went through session 1.3. during the IM workshop:** Ask the group if they remember what integrity means and how working with more integrity can impact the quality of services provided as well as the committee's reputation. Refer to the *what is integrity infocard*.

Session 1.2. Feedback on the support received during the past three months

– 00:30 –

This session is a **reflection** on the changes observed so far and the support received in the last months.

- In plenary, ask the following questions and leave enough time for discussion between each question:
 - Have you observed any changes so far?
 - Do you feel you have received enough support in the process? What can be improved?

Note the feedback on a flip chart and ensure that it is copied for documentation.

Step 2. Assessing progress on compliance and defining new actions

This step aims to review the actions agreed upon for the registration as a WUA and for putting in place an appropriate management model.

Duration: 2:00

Learning objectives for the group:

- To agree on actions to progress in the registration process as a WUA;
- To be clear on the management model to put in place and agree on (new) actions to put it in place.

Outputs:

- A reviewed action plan (regarding compliance).

Key messages from the coach to convey in this step

Please refer to key messages from Step 3 of the IM workshop.

1. The coach needs to remind the group that registering as a WUA is the first step if they want to retain some responsibilities over the management of 'their' water system and be able to sign a contract with either the county government or a WSP.
2. In this step, it is important that the group does not feel that the coach and the counterpart are forcing them to take actions. If they have not implemented one action, let them explain why and advise accordingly or re-explain why this action is important.

Session 2.1. Assessing the progress on compliance and agreeing on new actions – 2:00 –

This session is a **discussion** to review the progress made in terms of registration as WUA, in linking with the county government and / or the WSP and in the negotiation process to establish the management model.

Material needed: *Registration as a WUA infocard, action plan.*

- Referring to the action plan, ask the group to explain the status of the actions related to **registration as a WUA**. In case the group did not undertake some action, let them explain why. If necessary, re-explain the rationale for this action or advise accordingly. Use the *Registration as a WUA infocard*.
- Referring to the action plan, ask the group to explain the steps made to **link up with the county government and / or the WSP** to establish the appropriate management model. If necessary, re-explain the rationale for this point or advise accordingly.
- Referring to the *action plan*, ask the group to explain the status of the actions related to water resources management requirements and getting a **water permit**. In case the group did not undertake one action, let them explain why. If necessary, re-explain the rationale for this action or advise accordingly. See *Requirements for water resources management infocard*.
- Ask the group to update the action plan according to any new actions agreed.

Step 3. Assessing progress on performance and defining new actions

This step aims to guide the group to carry out a self-assessment of the progress in implementing the tools selected during the IM workshop, and agree on new actions to continue improving the way they manage the water system.



Duration: 3:30

Learning objectives for the group:

- To review the progress in the implementation of the tools selected;
- To come up with new actions for existing or new tools.

Outputs:

- A reviewed action plan (regarding the implementation of the tools).

Session 3.1. Assessing the progress in implementing the tools

– 00:45 –

This session is a **discussion** during which the community group presents the progress made to date on the implementation of the tools selected during the IM workshop and the extent to which it has helped solving the prioritised problems.

Material needed: *Water system model, action plan.*

- With the participants, go in front of the *action plan*. Ask the change agent to present the progress made so far, action by action. The change agent can also ask the group members responsible for one action to give an update on the progress. Congratulate the group for its achievements.
- With the participants, go in front of the *water system model*. Request one participant to take the group through the *water system model*. Then ask the group to explain and show on the *water system model*, what has changed since that they have started to take action and why. Leave enough time for discussions.
- Ask the participants to mention the three priority problems they had identified and ask them to discuss whether they consider that these problems have been addressed.

Session 3.2. Agreeing on new actions**– 2:00 –**

This session is a **discussion** that aims to define new actions to improve the way the community group manages the water system. These actions will either relate to existing tools or new tools.

Material needed: *Water system model, two sets of problem cards, three sets of tool cards, blank red cards, blank green cards, tools matrix, action plan.*

Case 1: All tools were implemented successfully and all three priority problems were addressed.

- Start by congratulating the community group for its achievements.
- Go back to the *water system model* where the other seven problems (not selected as priority) were placed and ask the participants to remove the problems that are not relevant anymore (It can be that, by implementing some tools, other problems have been addressed at the same time).
 - Then ask the participants to select three new problems to address. They can either decide to take the problems already selected and displayed in the *water system model*, select new problems from the set of *problem cards*, or come up with their own problems. New problem can be written on blank red cards. The problem selection can be done in working groups or in plenary.
- Follow the same process as for Step 5 of the IM workshop for the selection of tools, using the sets of tool cards and the *tools matrix*.
- Once ready, ask the group to agree on actions to implement the newly selected tools and put these actions into the new *action plan*.

Case 2: All tools were implemented successfully but the three priority problems are not fully addressed

- Start by congratulating the community group for its achievements.
- Go to the *tools matrix* and ask the participants whether there are tools, either on the *tools matrix* that they had not prioritised, or other tools that they might think of, that could help address the selected problems. New tools can be written on blank green cards. Leave enough time for discussion.
- Once ready, ask the group to agree on actions to implement the newly selected tools and let them put these actions into the new action plan.

Case 3: Not all tools have been implemented and the priority problems are not fully addressed

- Start by congratulating the community group for its achievements.
- For the tools that were not fully implemented, ask the group to explain why this has not happened. Re-explain why it is important and ask the group to agree on the best way forward.
- Once ready, ask the group to agree on actions to successfully implement the tools selected during the IM workshop and let them put these actions into the new *action plan*.
- In case they feel that they need to implement more tools to fully address the priority problems or if they want to address new problems, facilitate this process but ensure that all actions in the *action plan* can realistically be completed in three months.

Closing of the workshop**– 00:15 –**

- Ensure that there is a consensus on the new action plan;
- Confirm that the change agent is still motivated and willing to fulling her/his role for the coming three months;
- Summarise the improvements that were suggested regarding how best the change agent and the counterpart can support the community group;
- Clarify the next steps;
- Ensure that you take a photo of the new action plan and that all workshop materials are safely stored.

House with individual connection

2nd Kiosk SCHOOL

2nd Kiosk HEALTH CENTER



Annex 1. What is inside the IM toolbox?

Annex 2. Template programme for the IM workshop and the progress review workshop

Annex 3. List of problems and tools that address them

Annex 4. Translation of key terms

Annexes 1–4

Annex 1. What is inside the IM toolbox?

Factsheet for M&E

- M&E sheet 1. *County government factsheet and meeting guidelines*
- M&E sheet 2. *WSP factsheet and meeting guidelines*
- M&E sheet 3. *Water system factsheet*
- M&E sheet 4. *Committee questionnaire*
- M&E sheet 5. *Household survey questionnaire*
- M&E sheet 6. *Guidelines for focus group discussions with the community*
- M&E sheet 7. *Monthly visit monitoring factsheet*

Cards and sheets

- Good news and bad news cards
- Money in and money out cards
- Red flag cards
- Water system cards
- Stakeholder cards
- Football pitch
- Tool matrix sheet
- Action plan sheet
- Blank, pink, green and yellow cards

Infocards, for facilitation and information sharing with the community group

- Infocard 1. Tips for facilitation
- Infocard 2. What is integrity?
- Infocard 3. Quality of water services
- Infocard 4. Water management committee: structure and functions
- Infocard 5. The right to water
- Infocard 6. Constitution of Kenya
- Infocard 7. Summary of stakeholders' mandate
- Infocard 8. Kenya water sector institutions
- Infocard 9. Summary of management models
- Infocards 10–01 to 10–06. Management model
- Infocard 11. Registration as a WUA
- Infocard 12. Watershed
- Infocard 13. Requirements for water resources management
- Infocard 14. Coach/counterpart/change agent

Infosheets and templates for all 31 tools

- Organise community audits
- Sensitise the community on their rights and responsibilities
- Organise external audit
- Set up regular meetings with customers
- Organise regular meetings as a committee
- Install water meter at every water point and individual connection
- Set up transparent tariff structure
- Set up simple billing system
- Set up contract for individual connections and for institutions
- Establish customer complaint mechanisms
- Improve the water quality at the source
- Develop and sign a constitution
- Clarify roles and responsibilities of committee members
- Develop simple code of conduct
- Organise simple bookkeeping training
- Set up simple bookkeeping system
- Record payments at water points
- Open a bank account or use mobile banking
- Set up simple procurement and financial procedures
- Develop a simple budget for the system
- Organise committee elections
- Replace a committee member
- Agree with local government on technical and financial support
- Carry out hygiene and sanitation promotion campaigns
- Discuss and tackle gender issues around water, hygiene and sanitation
- Agree on simple hiring criteria for each position
- Issue employment contracts for each staff
- Assess market price for labour and materials
- Organise O&M training for committee members and staff
- Develop simple O&M manual
- Develop checklist to supervise the work of contractors

Additional facilitation materials

- Pens, scissors, brown paper, etc.

Annex 2. Template programme for the IM workshop and progress review workshop

These programmes are meant as guides. It is recommended to organise these workshops in a community building.

IM workshop programme

The IM workshop programme is made for a three-days workshop. Based on the information that the coach will gather in the preparation phase, the duration of the IM workshop can be adjusted. It is likely that a community group in which most participants can read and write and/or communicate in English or Kiswahili would take about two and half days, while a community group where most participants cannot read and write or communicate in English or Kiswahili would require the whole three days.

Day 1	
09:00–10:30	Step 1. Introduction
10:30–11:00	Tea break
11:00–13:00	Step 2. The water system model (1)
13:00–14:00	Lunch
14:00–15:00	Step 2. The water system model (2)
15:00–15:30	Tea break
15:30–16:00	Summary of Day 1

Day 2	
09:00–09:30	Recap of Day 1
09:30–10:30	Step 3. Stakeholders and compliance (1)
10:30–11:00	Tea break
11:00–13:00	Step 3. Stakeholders and compliance (2)
13:00–14:00	Lunch
14:00–15:00	Step 3. Stakeholders and compliance (3)
15:00–15:30	Tea break
16:00–17:30	Step 4. Identifying root instead of integrity

Day 3	
09:00–09:30	Recap of Day 2
09:30–11:30	Step 5. Selecting tools
11:30–12:00	Tea break
12:00–13:00	Step 6. Developing an action plan (1)
13:00–14:00	Lunch
14:00–15:30	Step 6. Developing an action plan (2)

Progress review workshop programme

The progress review workshop programme is made for a one-day workshop. However, it can be recommended to do it in two half days as Step 3 is the core of the workshop and requires the participants to be fresh.

Day 1	
09:00–10:00	Step 1. Introduction
10:00–10:30	Tea break
11:00–13:00	Step 2. Assessing progress on compliance and defining new actions
13:00–14:00	Lunch
14:00–17:00	Step 3. Assessing progress on performance and defining new actions

Annex 3. List of problems and tools that address them

Nr	Problems	Tools
1	Some people refuse to pay	<ul style="list-style-type: none"> • Organise community audits • Sensitise the community on their rights and responsibilities • Set up regular meetings with customers • Install water meter at every water point and individual connection • Set up transparent tariff structure • Set up simple billing system • Set up contract for individual connections and for institutions • Improve the water quality at the source
2	Some people are unable to (fully) pay	<ul style="list-style-type: none"> • Organise community audits • Sensitise the community on their rights and responsibilities • Set up regular meetings with customers • Set up transparent tariff structure • Establish customer complaint mechanisms • Agree with local government on technical and financial support • Discuss and tackle gender issues around water, hygiene and sanitation
3	Some customers give bribes to get water without paying	<ul style="list-style-type: none"> • Organise community audits • Sensitise the community on their rights and responsibilities • Organise external audit • Set up regular meetings with customers • Organise regular meetings as a committee • Install water meter at every water point and individual connection • Set up transparent tariff structure • Develop simple code of conduct • Record payments at water points
4	Some customers give bribes not to get disconnected	<ul style="list-style-type: none"> • Organise community audits • Sensitise the community on their rights and responsibilities • Organise external audit • Set up regular meetings with customers • Organise regular meetings as a committee • Install water meter at every water point and individual connection • Set up contract for individual connections and for institutions • Develop simple code of conduct
5	Some customers do not trust the committee	<ul style="list-style-type: none"> • Organise community audits • Organise external audit • Set up regular meetings with customers • Install water meter at every water point and individual connection • Set up transparent tariff structure • Set up simple billing system • Set up contract for individual connections and for institutions • Establish customer complaint mechanisms • Clarify roles and responsibilities of committee members • Set up simple bookkeeping system • Record payments at water points • Open a bank account or use mobile banking • Develop a simple budget for the system • Organise committee elections • Replace a committee member

Nr	Problems	Tools
6	Customers do not know how to complain	<ul style="list-style-type: none"> • Organise community audits • Sensitise the community on their rights and responsibilities • Set up regular meetings with customers • Set up contract for individual connections and for institutions • Establish customer complaint mechanisms • Develop and sign a constitution • Clarify roles and responsibilities of committee members
7	Customers complains are not addressed	<ul style="list-style-type: none"> • Organise community audits • Sensitise the community on their rights and responsibilities • Organise external audit • Set up regular meetings with customers • Organise regular meetings as a committee • Establish customer complaint mechanisms • Develop and sign a constitution • Clarify roles and responsibilities of committee members
8	Customers do not know what the committee does with the money	<ul style="list-style-type: none"> • Organise community audits • Set up regular meetings with customers • Organise regular meetings as a committee • Set up transparent tariff structure • Set up simple billing system • Organise simple bookkeeping training • Set up simple bookkeeping system • Record payments at water points • Open a bank account or use mobile banking • Set up simple procurement and financial procedures • Develop a simple budget for the system
9	Customers are not consulted for key decisions about the system	<ul style="list-style-type: none"> • Organise community audits • Sensitise the community on their rights and responsibilities • Set up regular meetings with customers • Establish customer complaint mechanisms • Clarify roles and responsibilities of committee members • Develop a simple budget for the system • Organise committee elections • Carry out hygiene and sanitation promotion campaigns • Discuss and tackle gender issues around water, hygiene and sanitation
10	Women are not involved enough in the decisions about the system	<ul style="list-style-type: none"> • Organise community audits • Sensitise the community on their rights and responsibilities • Set up regular meetings with customers • Establish customer complaint mechanisms • Develop and sign a constitution • Clarify roles and responsibilities of committee members • Develop simple code of conduct • Organise committee elections • Discuss and tackle gender issues around water, hygiene and sanitation

Nr	Problems	Tools
11	Some people do not have access to the system	<ul style="list-style-type: none"> • Organise community audits • Sensitise the community on their rights and responsibilities • Set up regular meetings with customers • Organise regular meetings as a committee • Set up transparent tariff structure • Set up contract for individual connections and for institutions • Establish customer complaint mechanisms • Agree with local government on technical and financial support • Carry out hygiene and sanitation promotion campaigns • Discuss and tackle gender issues around water, hygiene and sanitation
12	Some people still use unsafe water sources	<ul style="list-style-type: none"> • Sensitise the community on their rights and responsibilities • Set up regular meetings with customers • Set up contract for individual connections and for institutions • Improve the water quality at the source • Carry out hygiene and sanitation promotion campaigns • Discuss and tackle gender issues around water, hygiene and sanitation
13	Some committee members or staff benefit from illegal connections	<ul style="list-style-type: none"> • Organise external audit • Establish customer complaint mechanisms • Develop and sign a constitution • Clarify roles and responsibilities of committee members • Develop simple code of conduct • Organise committee elections • Replace a committee member
14	Some committee members or staff abuse their power for private gains	<ul style="list-style-type: none"> • Sensitise the community on their rights and responsibilities • Organise external audit • Set up regular meetings with customers • Organise regular meetings as a committee • Establish customer complaint mechanisms • Develop and sign a constitution • Clarify roles and responsibilities of committee members • Develop simple code of conduct • Organise committee elections • Replace a committee member • Agree on simple hiring criteria for each position • Issue employment contracts for each staff
15	Some committee members do not respect the constitution	<ul style="list-style-type: none"> • Sensitise the community on their rights and responsibilities • Organise external audit • Set up regular meetings with customers • Organise regular meetings as a committee • Establish customer complaint mechanisms • Develop and sign a constitution • Clarify roles and responsibilities of committee members • Develop simple code of conduct • Organise committee elections • Replace a committee member • Agree on simple hiring criteria for each position

Nr	Problems	Tools
16	Some committee members are not active	<ul style="list-style-type: none"> • Sensitise the community on their rights and responsibilities • Organise external audit • Organise regular meetings as a committee • Establish customer complaint mechanisms • Develop and sign a constitution • Clarify roles and responsibilities of committee members • Develop simple code of conduct • Organise committee elections • Replace a committee member
17	Some committee members or staff steal money or assets	<ul style="list-style-type: none"> • Organise community audits • Organise external audit • Organise regular meetings as a committee • Install water meter at every water point and individual connection • Establish customer complaint mechanisms • Develop simple code of conduct • Organise simple bookkeeping training • Set up simple bookkeeping system • Record payments at water points • Open a bank account or use mobile banking • Set up simple procurement and financial procedures • Organise committee elections • Replace a committee member • Assess market price for labour and materials
18	Committee elections have not taken place for a long time	<ul style="list-style-type: none"> • Organise regular meetings as a committee • Develop and sign a constitution • Organise committee elections
19	Some meter readings are tampered with	<ul style="list-style-type: none"> • Sensitise the community on their rights and responsibilities • Set up regular meetings with customers • Organise regular meetings as a committee • Install water meter at every water point and individual connection • Set up transparent tariff structure • Set up simple billing system • Set up contract for individual connections and for institutions • Establish customer complaint mechanisms • Organise O&M training for committee members and staff • Develop simple O&M manual
20	Some bills are falsified	<ul style="list-style-type: none"> • Organise community audits • Sensitise the community on their rights and responsibilities • Organise external audit • Set up regular meetings with customers • Organise regular meetings as a committee • Install water meter at every water point and individual connection • Set up transparent tariff structure • Set up simple billing system • Set up contract for individual connections and for institutions • Establish customer complaint mechanisms • Organise simple bookkeeping training • Set up simple bookkeeping system • Record payments at water points

Nr	Problems	Tools
21	The money collected is not enough for O&M and to pay staff	<ul style="list-style-type: none"> • Sensitise the community on their rights and responsibilities • Set up regular meetings with customers • Organise regular meetings as a committee • Install water meter at every water point and individual connection • Set up transparent tariff structure • Set up simple billing system • Set up contract for individual connections and for institutions • Organise simple bookkeeping training • Set up simple bookkeeping system • Record payments at water points • Set up simple procurement and financial procedures • Develop a simple budget for the system • Agree with local government on technical and financial support • Assess market price for labour and materials
22	The money collected is not kept safe	<ul style="list-style-type: none"> • Organise regular meetings as a committee • Set up simple billing system • Organise simple bookkeeping training • Set up simple bookkeeping system • Record payments at water points • Open a bank account or use mobile banking • Set up simple procurement and financial procedures
23	Committee members do not know how much money is collected	<ul style="list-style-type: none"> • Organise regular meetings as a committee • Install water meter at every water point and individual connection • Set up transparent tariff structure • Organise simple bookkeeping training • Set up simple bookkeeping system • Record payments at water points
24	Committee members do not know what support the local government can provide	<ul style="list-style-type: none"> • Sensitise the community on their rights and responsibilities • Organise external audit • Develop and sign a constitution • Develop a simple budget for the system • Agree with local government on technical and financial support
25	Conditions of employment for staff are bad	<ul style="list-style-type: none"> • Organise regular meetings as a committee • Agree on simple hiring criteria for each position • Issue employment contracts for each staff • Assess market price for labour and materials • Organise O&M training for committee members and staff
26	Staff turnover is high	<ul style="list-style-type: none"> • Organise regular meetings as a committee • Agree on simple hiring criteria for each position • Issue employment contracts for each staff
27	Some committee members or staff are not skilled enough to do their job	<ul style="list-style-type: none"> • Establish customer complaint mechanisms • Clarify roles and responsibilities of committee members • Organise simple bookkeeping training • Organise committee elections • Replace a committee member • Agree with local government on technical and financial support • Carry out hygiene and sanitation promotion campaigns • Discuss and tackle gender issues around water, hygiene and sanitation • Agree on simple hiring criteria for each position • Issue employment contracts for each staff • Organise O&M training for committee members and staff • Develop simple O&M manual

Nr	Problems	Tools
28	Committee members and staff do not know how to operate and maintain the system	<ul style="list-style-type: none"> • Replace a committee member • Agree with local government on technical and financial support • Carry out hygiene and sanitation promotion campaigns • Agree on simple hiring criteria for each position • Organise O&M training for committee members and staff • Develop simple O&M manual
29	Contractors or suppliers overcharge for labour or materials	<ul style="list-style-type: none"> • Organise community audits • Organise external audit • Set up simple procurement and financial procedures • Develop a simple budget for the system • Assess market price for labour and materials • Develop checklist to supervise the work of contractors
30	Contractors or suppliers do what they want	<ul style="list-style-type: none"> • Organise community audits • Organise external audit • Establish customer complaint mechanisms • Set up simple procurement and financial procedures • Develop checklist to supervise the work of contractors
31	Contractors give bribes to cover up delays	<ul style="list-style-type: none"> • Organise community audits • Sensitise the community on their rights and responsibilities • Organise external audit • Organise regular meetings as a committee • Establish customer complaint mechanisms • Develop and sign a constitution • Develop simple code of conduct • Set up simple procurement and financial procedures • Replace a committee member • Develop checklist to supervise the work of contractors

Annex 4. Translation of key terms

If the IM workshop is carried out in Kiswahili, the following translation of key terms can be useful.

English	Kiswahili
Benefit	Faida
Commentator	Mtangazaji
Comply	Zingatia
Compliance	Kufuata
Cost	Gharama
Customer	Mteja
Effect	Madhara
Expectations	Matarajio
Governance	Utawala
Institutions	Shirika
Integrity	Uadilifu
Leadership	Uongozi
Licensed	Idhinishwa
Marginalised people	Walio pembeni
Model	Mfano
Player	Mchezaji
Project	Mradi
Registration	Kusajili
Regulate	Kusawazisha
Regulations	Utaratibu
Responsibility	Wajibu
Role	Jukumu
Rules	Sheria
Spring	Kisima
Vulnerable people	Walio hatarini



Doing the right thing

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