



# Methodology Outline

Integrity Management Toolbox  
for Small Water Supply Systems



# Impressum:

Version 3. 03/02/18 for scaling up in Kenya

## Developed by:

Caritas Switzerland with support from  
the Water Integrity Network and the Water Services Regulatory Board (WASREB).

## Funded by:

Caritas Switzerland and the Water Integrity Network.

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## Acknowledgements:

The authors are grateful to Manja Graham, Fredrick Ochieng, Beverly Mademba and Joëlle Affolter (Caritas Switzerland) for the multiple reviews over the past years and their active engagement in the piloting of the methodology. In addition, we would like to acknowledge the valuable contribution of Carmen Fernandez (cewas) for the development of the tools' infosheets and templates and the final review of the manuals, and Johannes Heeb (cewas) at the initial stage of the development of the Integrity Management (IM) toolbox for small water supply systems. We extend our gratitude to Sareen Malik and Samson Shivaji (KEWASNET) for the general guidance, as well as to Hannah Neumeyer (WASH United) to review the approach from a human rights angle.

Special thanks go to the Chebulu-Kaplelartet community water group, with whom we tested the IM toolbox in 2015, and especially to James Barno and Felix Bii who participated in that process. Also, thanks to our piloting partners; in Wajir county: Abdirizak Abdi Kontoma from Oxfam and Ahmednaji Hussein from WAJWASCO; In Kajiado county: Dennis Saidimu from Caritas Ngong and Durcas Kanini from the county government; In Kericho county: James Ndenga from Caritas Switzerland and Julius Yator from Tillibei water services provider.

We further want to mention and appreciate the work of Joe Ngari (artist) for all the drawings included in the IM toolbox and to Diana Maigwa for her great work in the designing and printing of the physical IM toolbox. Above all, we wish to thank Eng. Robert Gakubia and Eng. Peter Njaggah (WASREB), as well as Eng. Kimathi Kyengo and David Thiongo (Ministry of Water and Irrigation) for their invaluable support to this initiative and guidance in the development of the IM toolbox.

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.

## Funded by:

- Swiss Agency for Development and Cooperation, through the Water Integrity Network
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## List of abbreviations

CSO	Civil Society Organisation
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH
IM	Integrity Management
KEWASNET	Kenya Water and Sanitation Civil Societies Network
MCWIP	Multi Country Water Integrity Programme
NGO	Non-Governmental Organisation
O&M	Operation and Maintenance
PPP	Public Private Partnership
SDC	Swiss Agency for Development and Cooperation
WAJWASCO	Wajir Water and Sewerage Company
WASPA	Water Services Providers Association
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

This methodology outline is directed at any organisations/persons interested to learn more about the Integrity Management toolbox for small water supply systems. It outlines the rationale for the development of this methodology and the general concept behind it. It also provides general information on what the IM toolbox can do and how it can be applied.

## Background on the institutional and regulatory framework in Kenya

Over the past decades, Kenya has undergone deep rooted reforms in the water sector and put in place a strong institutional and regulatory framework for water services provision and water resources management. A new wave of reforms was initiated by the 2010 Constitution of Kenya, which provides for devolution of power and explicitly recognises the rights to water and sanitation in the bill of rights. Following its enactment, responsibilities for water services delivery is devolved to the 47 county governments. For commercially viable areas, this responsibility is delegated to county-owned Water Services Providers (WSPs) (National Water Policy, 2012).

So far, the sector has succeeded in moving towards good governance, accelerated services, overall higher performance and adherence to human rights standards in water and sanitation services delivery (GIZ, 2012). However, progress counts mainly for urban and commercially viable areas, and challenges remain especially in rural and marginalised areas, where services provision is non-commercially viable and management arrangements are much less clear.

### The right to water standards in Kenya

In Kenya, the international human rights to water and sanitation are translated into national standards. For instance, the national standards for the right to water encompass the following, as defined by WASREB (WASREB, 2015):

- Physical access (non-discriminatory) to a water outlet with a 30-minute cycle in urban areas and within a distance of 2 km in rural areas;
- Sustainability of access (water resources, asset resilience, operation and maintenance cost coverage);
- Acceptable water quality;
- Affordability (not more than 5 % of household income)
- Reliability (>12 h as minimum services hours);
- Right to have complaints resolved (participation/access to standardised complaint mechanism);
- Transparency and accountability (access to sector information).

## Why working with community groups?

In Kenya, the government, donors and Non-Governmental Organisations (NGO), developing water and sanitation infrastructures in rural and marginalised areas, have tried different management models, with community management having been the predominant model since the mid-1970s (Notley et al., 2010). However, these water systems are often characterised by low level of services provision and functionality issues. A recent study in Kenya showed that one-third of the newly established community-managed water systems stop functioning within the first three years after completion (Kwena and Moronge, 2015). This is mainly a consequence of community groups struggling to put in place sound governance, management and cost recovery systems, as well as a lack of linkage to and oversight from local governments (Transition Authority, 2015). They end up operating in isolation, outside the sector's accountability mechanisms and with no formalised links to the county government.

## Management models for basic water services provision to marginalised areas

A management model is defined as ‘appropriate’ if it embeds a water system into the sector’s support, monitoring and reporting mechanisms to ensure that water services are provided according to the national standards and that water resources are managed sustainably. Therefore, an appropriate management model strengthens accountability mechanisms to protect customers’ interests and rights.

The most appropriate management model for a particular water system depends on:

- The county strategy and plans;
- Whether the water system is within the services provision area of a WSP;
- Whether the WSP has the financial and technical capacity to take over the management of the water system;
- The current technical ‘status’ of the water system (construction quality, capacity, current functionality status, etc.);
- Who is currently managing the water system (community group, private operator, etc.) and how well.

As per the Water Act 2016 Section 72 (1) (p), it is the mandate of the Water Services Regulatory Board (WASREB) to ‘make recommendations on how to provide basic water services to marginalised areas’. In collaboration with Caritas Switzerland and the Water Integrity Network (WIN) and as part of the Multi Country Water Integrity Programme (MCWIP), WASREB has been developing a regulatory tool that provides guidance on management models options for small water supply systems as per the Water Act 2016.

For small water supply systems within the services provision area of a WSP, the WSP can either fully manage and operate the water system or delegate some or all of these functions to a Water User Association (WUA) via a public partnership, or to a private entity through a Public Private Partnership (PPP) (Section 93 of the Water Act 2016). In any case the WSP is kept responsible for reporting on the performance of the water system to WASREB.

**Note:** Registering as a WUA is the first step if a community group aims to retain some responsibilities over the management of ‘their’ water system. It is important because it gives the group 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. Only once registered as a WUA, can a community group enter in a public partnership with the WSP or sign a contract with the county government.

A self-help group and a community-based organisation are not legal entities.

For small water supply systems in non-commercially viable areas or where there is no WSP, the county government is mandated to put in place measures for the provision of water services. This can be through a contract with a community association, a public benefit organisation, or a private entity (Section 94 of the Water Act 2016). All contracts need to be approved by WASREB.

There is a need to move towards appropriate management models by:

- For existing small water supply systems: Working with existing community groups and linking them with the county government and/or the WSP to agree on and adopt an appropriate management model;
- For newly constructed small water supply systems: Ensuring that appropriate management models are established from the start, by engaging all relevant stakeholders from the design stage of a new infrastructure and effectively mobilising communities.

# What is the IM toolbox for small water supply systems?

## A bit of history

The Integrity Management (IM) toolbox for small water supply systems has been developed since 2014 by Caritas Switzerland, WASREB and WIN, with funds from the Swiss Development Cooperation (SDC) and Caritas Switzerland as part of the MCWIP.

It is inspired by another IM toolbox developed in 2012 by cewas, WIN and Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (GIZ) for formal Kenyan WSPs that serve primarily urban areas (cewas, WIN, GIZ, 2014). The IM toolbox for WSPs was endorsed by WASREB and is hosted by the Water Services Providers' Association (WASPA). It is considered a model approach for tackling integrity issues in WSPs with a focus on improving their economic performance and enhancing their business model through a systematic change process.

In this document, 'IM toolbox' will be used to refer to the IM toolbox for small water supply systems.

## Overall goal

To contribute to the realisation of the right to water for all, the overall goal of the IM toolbox for small water supply systems is to improve water services delivery in rural and marginalised areas.

## 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 rural or peri-urban areas.

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

A basic principle of the IM toolbox is that no management model can be imposed on a community. Both, the community together with the county government and/or the WSP, need to take part in the decision process to avoid conflict and ensure ownership.

## Theory of change

The IM toolbox guides community groups to:

- Improve their performance, by putting in place better management and governance practices and improving the functionality of the water system, therefore increasing customers' satisfaction;
- Become compliant, by establishing an appropriate management model with inbuilt accountability mechanisms to monitor the quality of services provided and manage water resources sustainably, with the aim to protect customers.

The IM toolbox is more than a management and governance training package. It is a long term change process that includes participatory assessment of problems and compliance status, selection of adequate tools, facilitation of stakeholders' engagement, training and coaching.

It is called a toolbox because it contains a broad set of tools to select from depending on the problems to address.

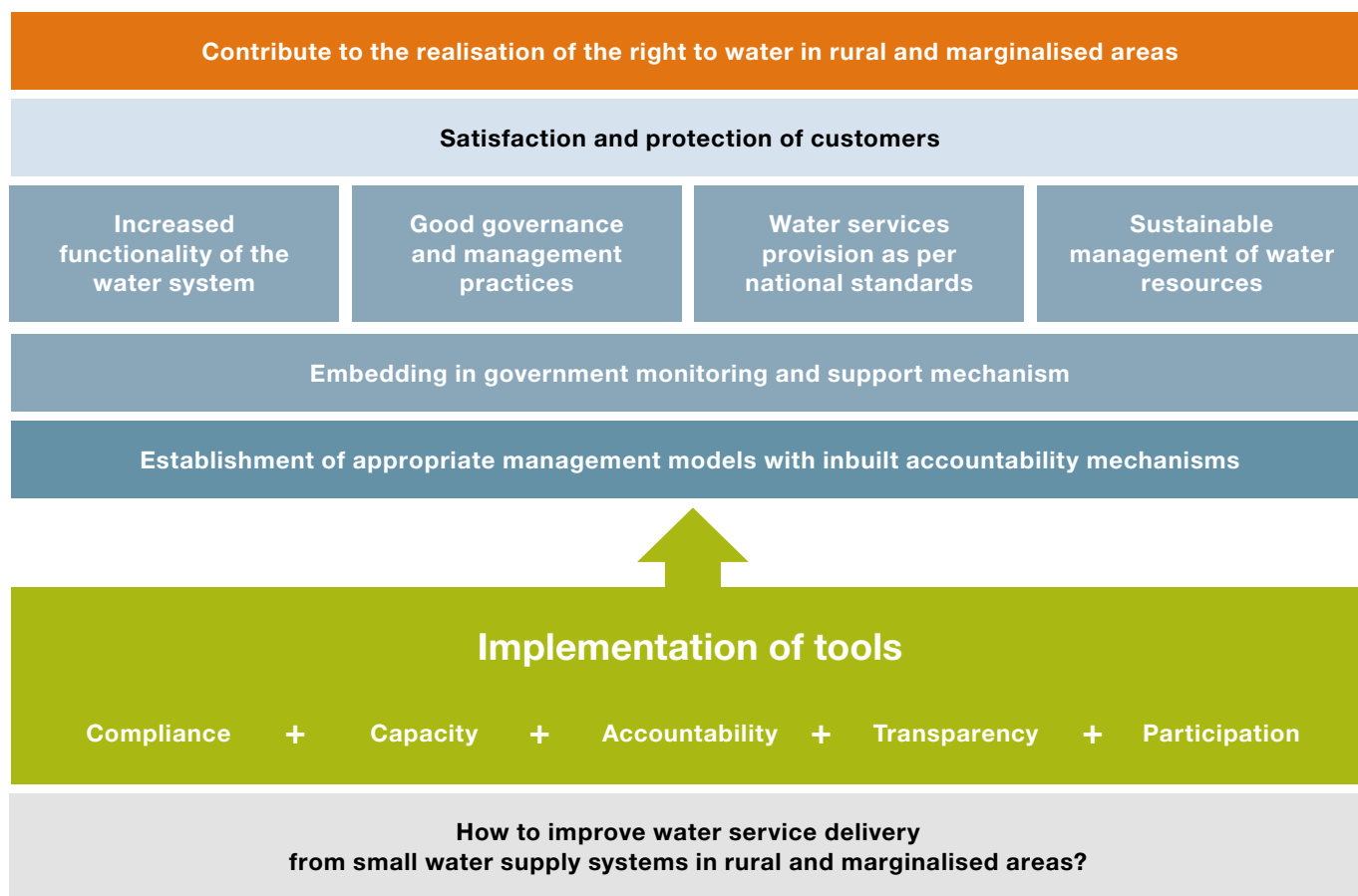


Figure 1. Theory of change of the IM toolbox for small water supply systems.



## What tools does the IM toolbox provide?

WIN regards Transparency, Accountability and Participation as the three pillars of water integrity (WIN, 2016). The IM toolbox for small water supply systems provides tools that are directly related to integrity and help improve transparency, accountability and customers' participation. It also includes more general tools aiming to increase the management capacities of the community groups, as well as compliance tools and guidance for stakeholders' engagement during the 'negotiation' process of setting up an appropriate management model. Figure 2 depicts the tools provided in the IM toolbox.

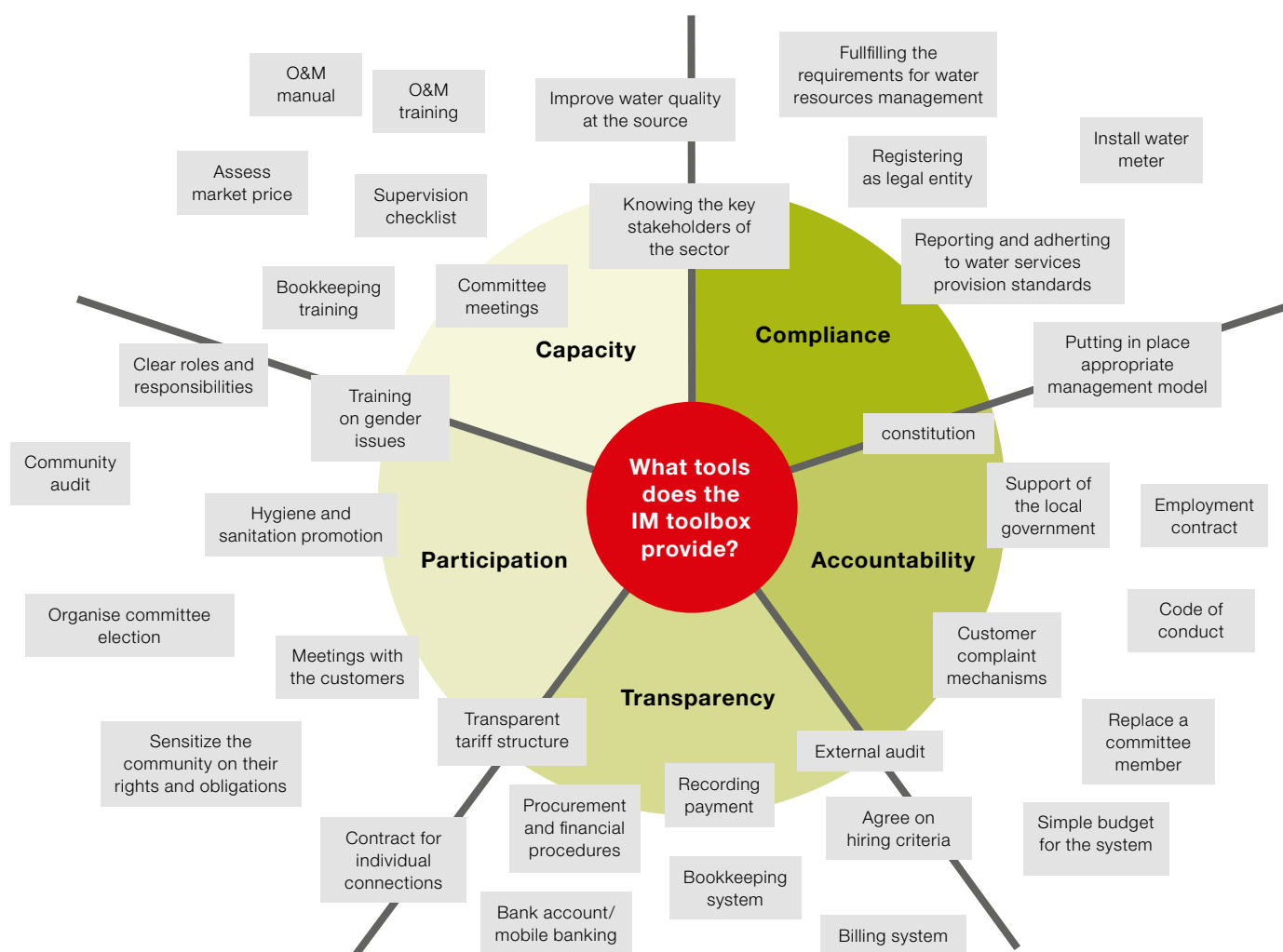


Figure 2. Tools provided in the IM toolbox for small water supply systems.

There are many different types of tools. Some are simple tools, such as *Record payment at water point* or *Organise regular meetings with customers*. Others are more innovative and compiled from best practices from the sector, such as *Organise community audit*. Each tool comes with an infosheet that provides further details on the purpose of the tool, guidance on how to implement it as well as examples, and a template. The IM toolbox also provides checklists and guidelines on how to engage with different stakeholders of the sector, and on how to comply with the national standards linked to services provision or with the rules and regulations linked to water resources management.

The IM toolbox can help address more than 30 common problems faced by community groups, from topics as broad as Operation & Maintenance (O&M), customer relations, financial management, human resources management, procurement and contract management. Formulation of the problems and the tools is simple so that the community group can easily relate to them and put the tools into practice.

## What is in the IM toolbox?

The IM toolbox is designed as a moderation kit to be used by a coach and a counterpart and contains all materials and information needed to facilitate the process and coach the community group. This includes:

- A **methodology outline** (the document at hand), with general information on the IM toolbox;
- The **guidelines for coaches**, with detailed descriptions and tips on how to facilitate each step of the process and provide tailor-made coaching;
- Pre-drawn **water system cards** for the community group to visualise 'its' water system, such as types of water infrastructures, users, arrows to show the flow of water, warning signs to indicate areas with problems, and cards representing the flow of money;
- **Stakeholder cards**, with names of the key stakeholders of the Kenyan water sector, their mandate, and the **rules and regulations** they set;
- Cards with pre-identified **problems and corresponding tools**;
- An infosheet and a template for each of the 31 tools;
- **Numerous information cards (called infocards)** summarising information related to the mandates of the sector's stakeholders, the rules and regulations of the sector, checklist for registration as legal entity, management model options and others;
- Pre-drawn **materials for games and exercises**, such as a football pitch, tools matrix and an action plan; and
- **General material for facilitation**, such as blank coloured cards, pens and stickers.

## Who is involved in the process?

The process can be initiated either by a community group asking for support, by the county government wanting to take measures to regulate and improve performance of small water supply systems, or from a Civil Society Organisation (CSO)/NGO. In any case, the willingness of the community to change is a key prerequisite. 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 WSP or a CSO/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.

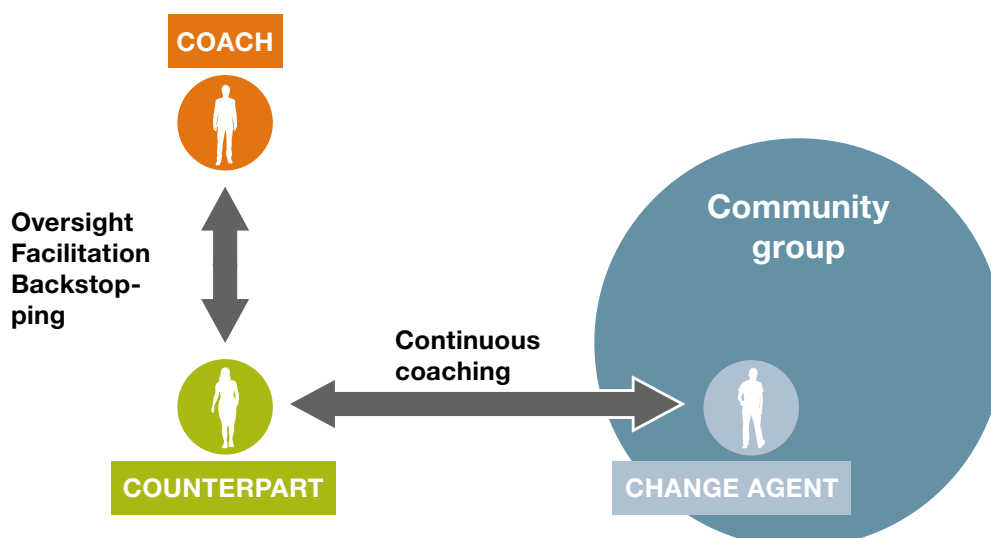


Figure 3. Relationship between coach, counterpart and change agent.

## When is the IM toolbox applicable?

To ensure quality of services delivery, the IM toolbox might need to be combined with other interventions. The table below shows when the IM toolbox is applicable and which additional interventions are required depending on the current functionality status of the water system and whether a community group is managing the water system.

In case it is clear from the start that a WSP will manage a newly constructed water system, the IM toolbox does not apply. However, it can still be important to properly explain to the community why they will not play a role in the management of the water system. The IM toolbox contains guidelines and other resource documents that can be used by the coach to guide these discussions.

Recommended interventions	Existing community group	New community group*	No group
Existing water system – Functional or with minor functionality issues	<b>1. IM toolbox</b>	<b>1. IM toolbox</b> 2. Technical O&M training	1. Assess appropriate management model 2. If community management, form a community group <b>3. IM toolbox</b> 4. Technical O&M training
Existing water system – Functionality issues (major breakdowns)	<b>1. IM toolbox</b> 2. Funds for rehabilitation	<b>1. IM toolbox</b> 2. Technical O&M training 3. Funds for rehabilitation	1. Assess appropriate management model 2. If community management, form group <b>3. IM toolbox</b> 4. Technical O&M training 5. Funds for rehabilitation

### \*How to apply the IM toolbox for new community groups?

The same process applies to newly established community groups, except that the management model for the water system should be clear before electing a committee. The IM workshop is prolonged by two days. The first two days of the workshop are then dedicated to the clarification of roles and responsibilities of the committee members and of the procedure to register as a WUA.

**Note:** If during the process, it appears that the most appropriate management model for a particular water system is 'to be taken over' by the WSP, the process should only focus on facilitating the 'handing over'.

## 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 4. The IM toolbox process and its phases.

## The preparation phase

During the preparation phase, the coach organises a number of meetings with relevant government institutions in order to:

- Understand the county's strategy and plans to improve rural water services delivery, the prescribed management model options for small water supply systems and its 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).

Once the counterpart(s) is (are) 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 community group; and
- Get a first insight into general customers' perception of the way the system is managed and of 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.

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

## The IM workshop

Once all above-mentioned points have been clarified, **the IM workshop can be organised.**

The IM workshop is facilitated by the coach and the counterpart and is for the community group (i. e. the management committee, including its staff (operator, kiosk attendants, mechanics etc.) and community representatives.

The IM workshop is a key moment in the process. It is designed to be as participative as possible. It follows a step by step process.

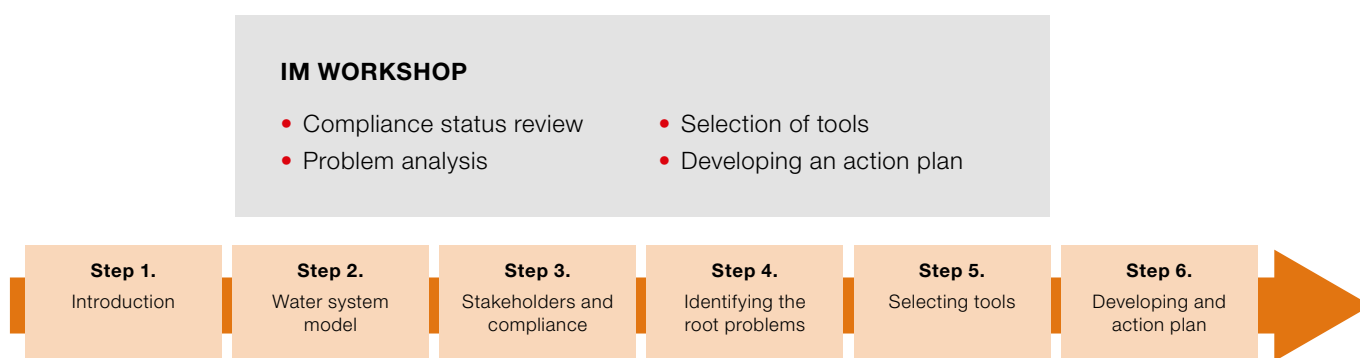


Figure 5. The different steps of the IM workshop.

- Step 1.** As an introduction, the group discusses the good news and the bad news the group wants or does not want to hear about its water system and its work as a committee, and the potential impact of these news. This initiates a discussion on the meaning of integrity.
- Step 2.** The group maps out the water system from source to users. This helps trigger discussions between customers and committee members on the management of the water system and the quality of services provided.
- Step 3.** This step is about stakeholders and compliance. The group reflects on its roles and responsibilities as a committee and is introduced to the mandate of the different stakeholders of the sector. This helps the group understand why they should not operate in isolation and what are the management models that would be most appropriate for 'its' water system.
- Step 4.** The group carries out a self-assessment of the problems faced so far in managing the water system and in providing quality water services to the customers.
- Step 5.** The group selects adequate tools to address the problems defined as priority.
- Step 6.** The group agrees on actions required to move towards an appropriate management model and to implement the selected tools, and puts them in an action plan.

## **The 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 practical 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.

## **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, the Water Resources Authority (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.



## Case study

In 2016, a gravity-fed spring protection system with four kiosks was constructed with funding from Caritas Switzerland and UNICEF and with strong involvement of the community. It serves 6,000 people, one primary school and one health centre. During the construction work, the community elected a committee to oversee the construction work and later manage and operate the water system. Caritas Switzerland's team, together with a staff member of Tillibei WSP, have accompanied the newly elected community group since its election using the IM toolbox for small water supply systems.

Initially, people were reluctant to pay for water and had little trust in what the committee was doing with the money. With intense coaching, the committee now has a constitution and holds regular committee meetings as well as meetings with the community. The committee also records payments at each kiosk and compares the money collected with the total water consumed (which is metered), has contracts with kiosks attendants, and carries out regular O&M. In addition, connecting them with the county government has resulted in an investment by the county government for extension of the system.

The committee has been able to overcome a number of challenges throughout the process, such as replacing an inactive group member, engaging reluctant customers or clarifying the responsibilities of the committee. It has also collected all documents required for the registration as WUA and the registration is currently underway. Once completed, Tillibei WSP aims to sign a contract with the committee by which it delegates the responsibilities for daily operation and management of the water system to the committee. The reporting requirements and financial aspects of this contract still need to be discussed.

# Why is the IM toolbox different?

In Kenya, but also in other countries, countless efforts have been undertaken to address sustainability issues of small water supply systems in rural areas. What is innovative and promising about the IM toolbox?

- It contributes to the **last miles toward the realisation of the right to water** for all by focusing on community groups in rural and marginalised areas struggling to provide water services and operating outside the sector's support, monitoring and reporting mechanisms.
- It is a **long-term process** that focuses on empowerment and plans for slow withdrawal, in opposition to the one-off 'standard' training in O&M.
- It is a **bottom-up and participatory process**: Rather than imposing pre-determined solutions, the community group selects itself the tools after having understood its problems.
- It compiles a **broad set of tools** with practical guidelines on how to implement them.
- It is **in line with the Kenyan devolution and reform process** (Water Act 2016) and contains checklists and guidelines to put in place appropriate management models that guarantee quality and integrity of services delivery and sustainable water resources management in line with the national rules and regulations.
- It builds on the **rights-based approach** and fosters **participation**: it introduces the right to water to the communities and connects them (right holders) to the local government (duty bearers). In addition, the county government and/or the WSP plays a clear role throughout the process.
- It is a **flexible approach** that can be tailored to different groups and management models, and that **can easily be adapted to other countries**, thus with a high potential for scale-up.

## Scaling up the IM toolbox in Kenya

The IM toolbox has been piloted in three counties of Kenya (Kericho, Kajiado and Wajir counties) together with Oxfam and Caritas Ngong, and in close collaboration with the county governments and the WSPs. WASREB, Caritas Switzerland and WIN are currently planning for the scale-up of the approach in more counties.

A video on the details of the approach is accessible under the following link:

<https://youtu.be/ggaq5Pqws40>.

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Doing the right thing

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