

Integrity Management Toolbox for Water Service Providers

Manual for Facilitators



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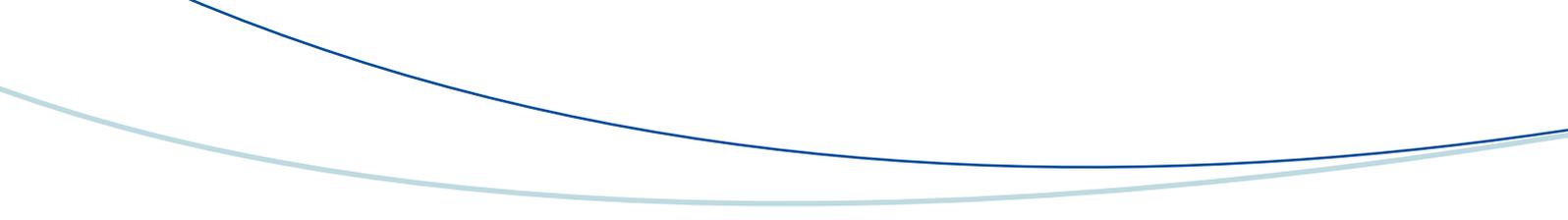
Federal Ministry for Economic Cooperation and Development (BMZ),
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DISCLAIMER

Every effort has been made to verify the accuracy of the information contained in this report. All information was believed to be correct as of May 2014. Nevertheless, cewas, the WIN and GIZ cannot accept responsibility for the consequences of its use for other purposes or in other contexts.

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LIST OF ACRONYMS

cewas	International centre for water management services
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH
KeWI	Kenya Water Institute
NGO	Non-Governmental Organisation
USP	Unique Selling Proposition
WASPA	Water Services Providers Association (Kenya)
WASREB	Water Services Regulatory Board (Kenya)
WIN	Water Integrity Network
WSP	Water Service Provider

About this document

This is part of a set of three resource documents included in the Integrity Management Toolbox for Water Service Providers (WSPs):*

- » [Facilitator's Guide](#)
- » [Description of WSP Integrity Risks](#)
- » [Description of WSP Integrity Instruments](#)

The toolbox also contains all the necessary training materials to run an integrity management workshop with WSPs, and a CD containing an easy-to-use Excel file linking all the integrity risks with the instruments. A comprehensive open-source library containing more than 250 integrity-related references, further reading documents and additional materials for each training module are also provided on the CD and are available upon request.**

The Integrity Management Toolbox was developed in a joint effort by cewas and the Water Integrity Network (WIN). It was piloted in Kenya in cooperation with the Water Services Providers Association (WASPA), Kenya Water Institute (KeWI) and Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, with financial support from the German Federal Ministry for Economic Cooperation and Development (BMZ). During the development phase, integrity challenges and potential solutions were identified through a desk study, and verified and complemented jointly with staff of five Kenyan WSPs. These findings were converted into a methodological concept for integrity

management for WSPs and provided the basis for the development of the Integrity Management Toolbox. The toolbox was validated with a wide range of sector stakeholders; eight WSPs then took part in the pilot implementation phase between August 2013 and March 2014. The pilot proved the feasibility of the approach and led to demonstrable outcomes that enhance transparency, accountability and participation in service provision. Based on a positive evaluation of the pilot phase, the integrity management initiative in Kenya is now scaled up to several additional WSPs. Adapted to the different regulatory frameworks, the Integrity Management Toolbox is also being implemented in other countries such as Indonesia, Bangladesh and in the Middle East. As the concept of the Integrity Management Toolbox can be transferred and adapted to any geographical context, administrative level and target group, the approach has received substantial interest beyond water and sanitation service provision and is being adapted for use by small and medium sized enterprises in the water sector, river basin organisations and in the field of climate change adaptation.

This Facilitator's Guide provides comprehensive background information on the integrity management approach and explains how to use the toolbox. It contains detailed guidance for facilitators and trainers on how to conduct an integrity management workshop, as well as how to initiate the whole integrity change process in a WSP.

* The term "Water Service Provider (WSP)" includes all organisations – public or private – that provide water and sanitation services to end users. In some countries these organisations are also called a "water utility", "water provider" or simply "water company".

** Literature and the Excel-based toolbox can be requested from WIN or cewas.

Executive Summary

The Integrity Management Toolbox enables a systematic, bottom-up approach to increasing WSPs' economic efficiency through increased integrity. Instead of taking a moralising approach, the toolbox focuses on how the management of WSPs and their boards of directors (or other types of oversight bodies) can benefit, from a business point of view, by systematically implementing integrity management tools. The main goal of the integrity management approach is to optimise WSPs' business models, and eventually their performance, by integrating integrity considerations into their management through an integrity change process.

The toolbox uses a stepwise approach to initiate and guide a management-led change process. During an initial two-day integrity management workshop, the first five steps are completed to define priority actions. The integrity change process is then put into action during an implementation phase that can take several months or years, and may require several integrity management cycles. To facilitate successful change, local coaches provide external support to the WSP. The complete integrity management cycle comprises the following steps:



Two versions of the Toolbox were developed:

AN ACTUAL TOOLBOX containing items necessary for the implementation of trainings and workshops. It consists of:

- Facilitator's Guide** (this document), explaining in detail how to use the toolbox and how to conduct an integrity management workshop as well as the whole integrity change process
- Detailed descriptions** of the most common integrity risks and suggested integrity instruments for WSPs
- A set of all **risks and instruments on coloured cards**
- Business model canvas** template and cheat sheet
- A complete facilitator's set** including pins, pens, coloured cards and brown paper.
- A CD** containing the electronic version of the Integrity Management Toolbox to inform those involved in the integrity change process.

AN ELECTRONIC VERSION (on CD) of the Integrity Management Toolbox to inform those involved in the integrity change process. This is available upon request from WIN, cewas and GIZ. It includes:

- Facilitator's Guide** (this document), explaining in detail how to use the toolbox and how to conduct an integrity management workshop as well as the whole integrity change process
- Detailed descriptions** of the most common integrity risks and suggested integrity instruments for WSPs
- Easy-to-use Excel file** linking all the integrity risks with the instruments that can be downloaded at the WIN and cewas websites.
- Templates** including the business model canvas template and cheat sheet, and a comprehensive **open-source library** containing more than 250 integrity-related references and further reading documents.

Why an Integrity Management Toolbox?

The international water and sanitation sector is facing severe integrity risks such as corruption, unsustainable practices and non-ethical working conditions. While these issues are extensively addressed at the policy level and among government officials, there is little practical guidance for formal WSPs – be they private, public or commercialised companies – to tackle these problems with a bottom-up approach, even if they are willing to do so.

Integrity management systems are a fundamental element of corporate governance, and work in two ways: on the one hand, they can be used to communicate values to employees and thus create a positive work climate and improve motivation. On the other hand, they provide instruments to detect and manage risks, as well as to prevent and sanction violations of rules. The Integrity Management Toolbox aims to raise awareness among WSPs that transparent, ethical practices, as well as legal and regulatory compliance, improve economic performance. This makes it easier for WSPs to integrate integrity aspects into their regular management approaches.

INITIATING AN INTEGRITY CHANGE PROCESS WITH THE HELP OF THE TOOLBOX

The overall objective of the integrity management approach is to improve the economic performance and consumer focus of WSPs.

The main purpose of this Integrity Management Toolbox is to assist WSPs and their respective boards of directors in making integrity issues an integral part of their internal management and oversight, through an integrity change process which is embedded in the country-specific policy, legislation and regulatory framework. WSPs initiate the change process by individually selecting and applying the most relevant and effective integrity instruments. By doing so, WSPs turn challenges into opportunities as they can bring “lost money” back into their operations and reduce costs as well as reputational and legal risks. In the long run, WSPs that include integrity management in their business models will have a comparative advantage, because they can demonstrate to stakeholders that they systematically mitigate integrity risks.

The main principles of the toolbox and the whole integrity change process are as follows:

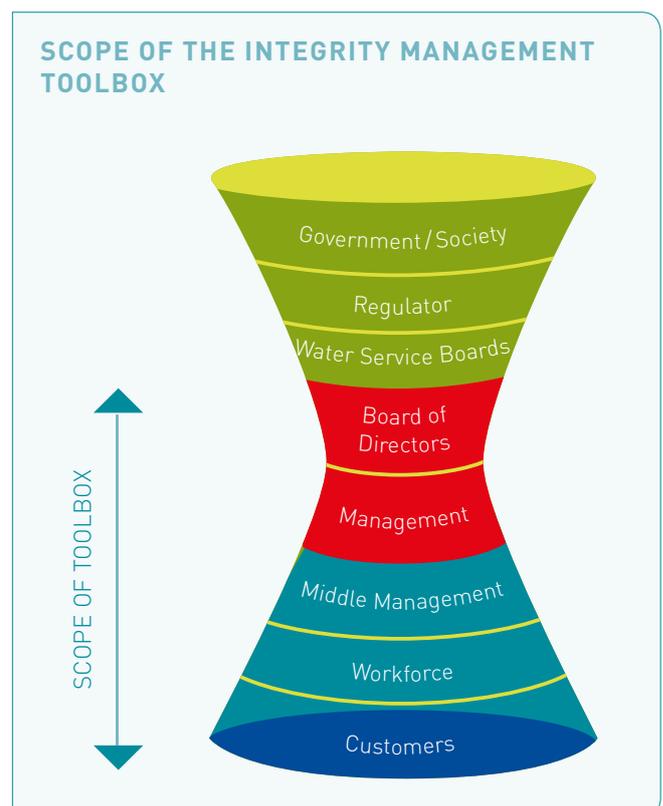
- » A systematic approach to address **integrity management at the WSP level.**
- » Rather than adopting a moralising approach, the toolbox seeks to raise awareness among WSPs on **how** they can **benefit** (opportunities!) from a **business point of view** by implementing integrity management tools systematically.
- » The focus is on **“good management”** of WSPs (as an extension of “good governance”) and on **how** to manage an **integrity change process.**

FOUNDATION

Business model approach including integrity risks and instruments.

TARGETED OUTCOME

WSP business models are optimised with the help of **integrity management.**



Case study: Integrity and the Kenyan water sector

We use the Kenyan water sector as a case study to provide concrete examples throughout the different sections of this manual and the supplementing resource documents (“Description of WSP Integrity Risks” and “Description of WSP Integrity Instruments”). An outline for the adaptation of the toolbox to another country’s specific conditions is presented in Annex 1.

Kenya is a water-scarce country with frequent droughts and a rapidly increasing population, particularly in urban areas. After decades of under-performance in the water sector, “the Kenyan Government has been implementing deep-rooted reforms in the water sector since 2004. Today, the sector has a conducive policy and institutional framework for sustainable sector development, moving gradually to a higher performance level in water resources management and water supply and sanitation services provision” (Nordmann 2012).

While the sector reforms are on-going, the framework for water and sanitation services provision in Kenya has improved significantly. The created or reformed institutions are functional, albeit not yet on all levels with the same efficiency and desired performance. With the reforms, the government delegated the

provision of water and sanitation services to licensed WSPs (commercialised and socially responsible water utility companies), supervised by Water Services Boards and regulated by the national Water Services Regulatory Board (WASREB).

In this given institutional set-up, WSPs are “sandwiched” between the regulator and other government institutions from above and their consumers from below. In this way, the management and boards of directors of WSPs have to deal with integrity issues in both directions, i.e. upwards (towards the regulator and the Water Services Boards) and downwards (towards consumers). In this context, the development of water integrity management tools is especially fruitful, as different tools can address accountability in both directions and integrity management can be embedded into the existing regulatory framework.

In general, there is a lot of positive work on good governance and “classic” integrity issues for Kenya on which this project can build. For further information, see the key documents in Box 1 below. Gradually, more information is becoming available on water integrity in other countries. In the case that little information

BOX 1 KEY INTEGRITY DOCUMENTS FOR THE KENYAN WATER SECTOR

The following documents give a good introduction and overview on the subject. For further information, refer to the “Further reading and references” section of the electronic version of the toolbox with more than 250 open source documents.

Nordmann, 2012, [Deepening Governance in Water and Sanitation Services – A Discussion Paper for Water Services Regulatory Board](#), Kenya

Nordmann, Peters and Werchota, 2012, [Good Governance in the Kenyan Water Sector](#), Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, Germany

[Impact Report – A Performance Review of Kenya’s Water Services Sector – 2010/11 \(Issue No.5\)](#), 2012, Water Service Regulatory Board (WASREB), Kenya

[Proposed Integrity Guideline Manual for the Kenyan Water Sector](#), 2013, Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, WAVEPlus, Kenya

[Enhancing Water Integrity in the Provision of Quality Water and Sanitation Services in Kenya – Water Integrity Course, 1-4 October 2012, Documentation Report](#), 2012, Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, WAVEPlus, Kenya

[National Water Integrity Study \(NWIS\) 2011](#), 2011, Transparency International Kenya, Kenya

[Annotated Water Integrity Scan Kenya 2011](#), 2011, Ministry of Water and Irrigation, Water Integrity Network, Transparency International Kenya, Germany

How to apply the integrity change process

on this topic has been documented for a specific country, it will be crucial to tap into the knowledge and experience of local water sector experts to adapt the Integrity Management Toolbox to the respective country context.

Addressing integrity issues is a high priority that is explicitly addressed in chapter six of the Constitution of Kenya, and there is still need for improvement in this regard. WASREB (2012), too, emphasises the need to address “poor corporate governance” in WSPs through changes in attitudes, managerial practices and organisational capacities.

In the meantime, the deep-rooted reforms continue in the Kenyan water sector. A new bill to restructure the sector has been drafted, and needs to be approved by the new Parliament following the elections in March 2013. This transition process will most probably take several years to complete and may include a clustering of WSPs.

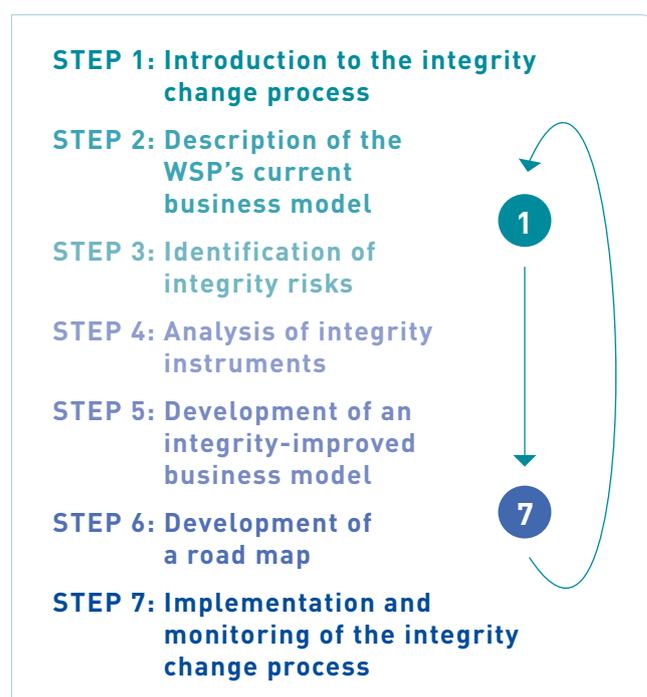
In the reform process, WSPs will have to operate in a very dynamic regulatory environment. In this framework, **the Integrity Management Toolbox for Water Service Providers can:**

- » Support WSPs in general in the upcoming framework change process
- » Support WSPs in the possible clustering of neighbouring WSPs, and provide tools for the integration of new roles, responsibilities, assets, staff and work culture
- » Be promoted by WASREB and WASPA as a tool for the regulatory change process.

However, **the toolbox cannot:**

- » Anticipate the new regulatory framework and focus on the new proposed structures
- » Solve integrity issues that are beyond the influencing power of the WSP’s management and board.

Integrity management is a stepwise approach to initiating and guiding a management-led change process. The complete integrity management cycle comprises the following steps:



During an initial two-day integrity management workshop the first six steps are completed, defining priority actions to be taken. Once an integrity road map has been developed, the integrity change process (Step 7) is initiated. This process should be reinforced by external integrity management coaches who support the WSP in implementing the selected integrity instruments, and help to address challenges that arise throughout the process. This implementation phase can take several months or years, and may require several integrity management cycles to reach a higher level of integrity.

The following manual guides the facilitator of the integrity management workshop step-by-step through the workshop programme. The workshop should ideally be facilitated by a local integrity management coach who will then continue to support the WSP during the implementation process. All required physical **workshop materials** (prepared colour cards, pens, descriptions of risks and instruments etc.) can be found in the actual toolbox; any electronic documents required (presentations, photos, PDF documents) are available on CD, as part of the toolbox, and upon request from WIN, cewas and GIZ.

STEP

**INTEGRITY
MANAGEMENT
CYCLE**



STEP 1:

Introduction to the integrity change process

Before work can begin with the Integrity Management Toolbox, the facilitator has to set the scene: familiarising participants with the topic, setting the tone of the workshop, and clarifying questions and expectations so that the target group is ready to perform. It is thus crucial in this step that participants understand the impacts of a lack of integrity, how integrity can improve the performance of the WSP, and why it is important to look at integrity from a business perspective.

THE INTRODUCTION TO THE INTEGRITY CHANGE PROCESS

A change process describes the transition of individuals, teams or organisations from a current state to a desired future state. It is an organisational process that aims to help management and employees to accept and embrace changes within their company or in their environment. In the context of the Integrity Management Toolbox, the change process comprises Steps 1 to 7: the integrity change process.

At this point, it is important to introduce the idea, scope and principles of the whole integrity change process to the participants. They will not only take part in the integrity management workshop but will also be involved the subsequent implementation phase that can take between six months and several years. The integrity change process requires time and commitment. This means that the WSP has to invest in those people who are the main drivers of change. Beyond the development of a concrete road map, the WSP should assign a change agent, organise a kick-off event, and cater for organisational learning to create ownership and leadership of the integrity change process. At this point, the facilitator will show participants how the toolbox and the integrity management coaches can support them in undertaking this process.

OBJECTIVES

By the end of the introduction, participants will:

- » Understand the concept of the planned integrity change process and how the elements of the toolbox can support it
- » Know the objectives and goals of the first work shop (Steps 1–6)
- » Have a common basic understanding of what is meant by “integrity”.

PROCESS STEP 1: Introduction to the integrity change process (2 hours)		
TIME (MIN)	ACTIVITY	MATERIALS
15	A. Introduce the concept of the toolbox to participants, clarifying the idea, scope and principles of the approach.	<ul style="list-style-type: none"> » Integrity toolbox concept PowerPoint » Introductory presentation WSP workshop PowerPoint
30	B. Introduce the integrity management workshop: Workshop programme (Steps 1–6) Workshop objectives Introduction of participants: name, position, expectations.	<ul style="list-style-type: none"> » Time schedule WSP workshop » Flipchart showing objectives
15	C. Introduction to integrity: Ask participants to write down their understanding of “integrity” in one sentence on a card. Place cards where they are clearly visible on a wall and use the ideas as a basis to introduce the “main business advantages of behaving with integrity” using the content of Box 2.	<ul style="list-style-type: none"> » Colour cards and pens
15	D. In case some participants have little or no experience of working on integrity and corruption issues, introduce some of the general terms used to define different types of corruption in Transparency International’s <i>Plain Language Guide</i> . Examples and definitions can be used to familiarise participants. Ask the participants if they consider each of the different practices to be corruption and if they have experienced or heard of similar practices in their work environment.	<ul style="list-style-type: none"> » Transparency International, 2009, The Anti-Corruption Plain Language Guide
15	E. Based on their insights into aspects of integrity and corruption, ask participants to identify a few examples of integrity risks for a different type of water sector stakeholder (e.g. the ministry, regulator or a contractor). Capture their contributions on a flipchart and use these to explain the difference between risks and risk areas. This exercise should help encourage the group to talk about corruption-related issues and establish a common understanding of the assessment of integrity risks.	<ul style="list-style-type: none"> » Flipchart

Activities shaded in blue are optional

PROCESS STEP 1: Introduction to the integrity change process (2 hours)

TIME (MIN)	ACTIVITY	MATERIALS
30	<p>F. With the help of the PowerPoint “Integrity change process”, clarify the idea, scope and principles of the integrity change process the WSP will be undergoing by taking part in the workshop and the subsequent implementation phase.</p> <p>Explain the principles of a change process and how the change agent, kick-off event, group learning, the Integrity Management Toolbox in general and the integrity management coaches can support them in this process.</p>	<p>» Integrity change process PowerPoint</p>

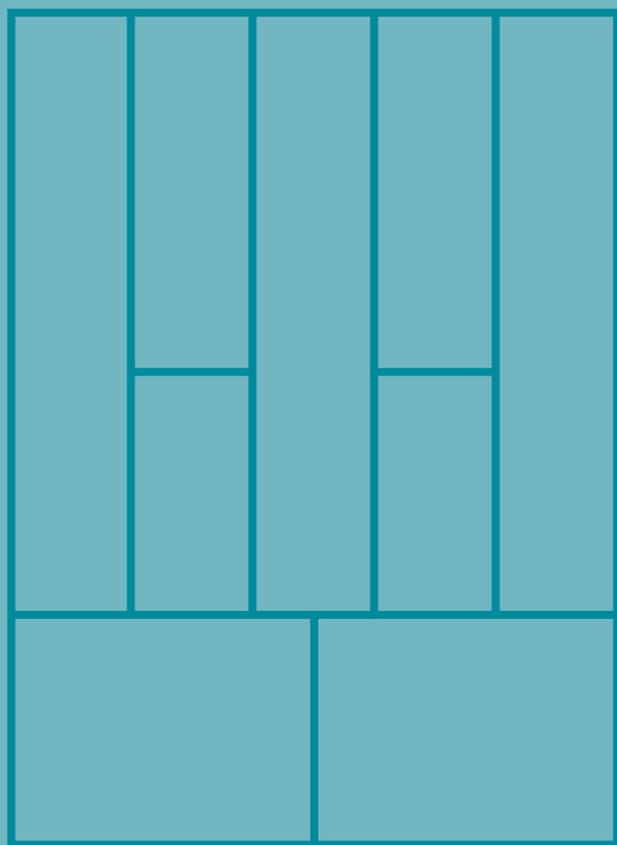
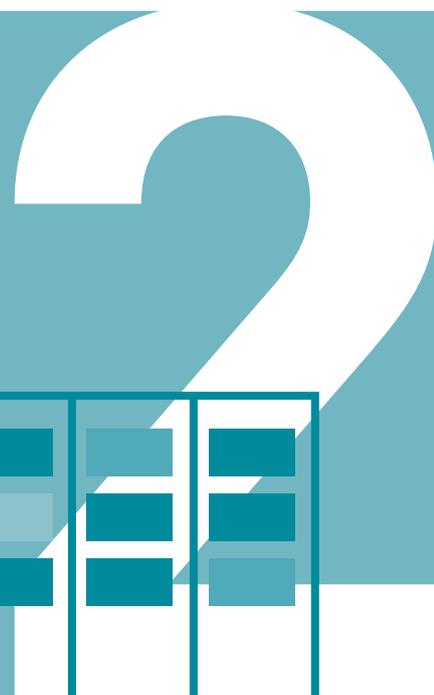
BOX 2 INTEGRITY AND PERFORMANCE

It is important to clarify the advantages of promoting integrity within a WSP, specifically in terms of how this can contribute to its competitive advantage in the marketplace. The main business advantages of behaving with integrity in the water and sanitation sector include:

- » **A Unique Selling Proposition (USP)** – With a clear commitment to integrity, it is possible for early movers in a market to create a USP that can help them win projects in the water and sanitation sector. For some customers, at least – public authorities, international donor agencies, regulatory bodies – integrity is a deciding factor when awarding contracts.
- » **Lower costs, higher margins** – Systematically avoiding transactions where bribery is an issue can substantially reduce costs and increase margins for many companies. Beyond the savings for individual companies are wider opportunities for profit, as corruption damages the entire market by reducing competition and levels of investment in infrastructure, eventually undermining growth.
- » **Lower risk of prosecution** – A high level of integrity greatly reduces the risk of being charged or prosecuted for illegal transactions and economic crimes, which results in fewer fines, lower legal costs and lower opportunity costs for the time invested in legal proceedings.
- » **Reduced reputational risks** – Growing awareness among civil society and its representatives (community organisations, consumer associations, NGOs, etc.) of non-compliance with integrity principles, and their ability to communicate this, means corrupt behaviour is increasingly likely to be exposed, endangering the operations and public image of a private company. Corporate integrity can reduce such reputational risks.

Source: Hermann-Friede, Heeb and Kropac, 2012

STEP



STEP 2:

Description of the WSP's current business model

WHAT IS BUSINESS MODEL GENERATION?

A business model describes the rationale behind the way an organisation creates, delivers and captures value. A simple concept for describing, visualising and assessing business models is the **business model canvas** developed by Osterwalder & Pigneur in 2010. The business model canvas consists of nine basic building blocks that show the logic of how an organisation intends to make money. The nine blocks cover the four main areas of a business: customers, offer, infrastructure, and financial viability (Osterwalder & Pigneur 2010). The business model is not a detailed business plan; rather it is a **simple blueprint on one page that can be used to describe** how a WSP actually creates, delivers and captures value.

Describing the **current business model of a WSP** will serve as the baseline for the whole integrity change process, as this will be the starting point for assessing which integrity risks relate most to the current set-up of a WSP. In later steps, the business model will be the key tool to assess the most relevant integrity

instruments and how they can improve the whole operation of the WSP.

It is important to note that business models are dynamic; they change over time and only reflect the viewpoint of the group who created them. Thus, there is no "right" or "wrong" business model. All business models are subjective visualisations of the way a particular group perceives how an organisation creates, delivers and captures value.

OBJECTIVES

By the end of this module, participants will:

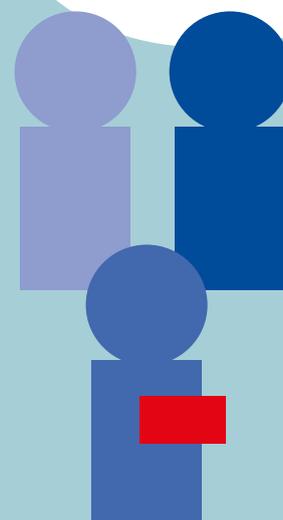
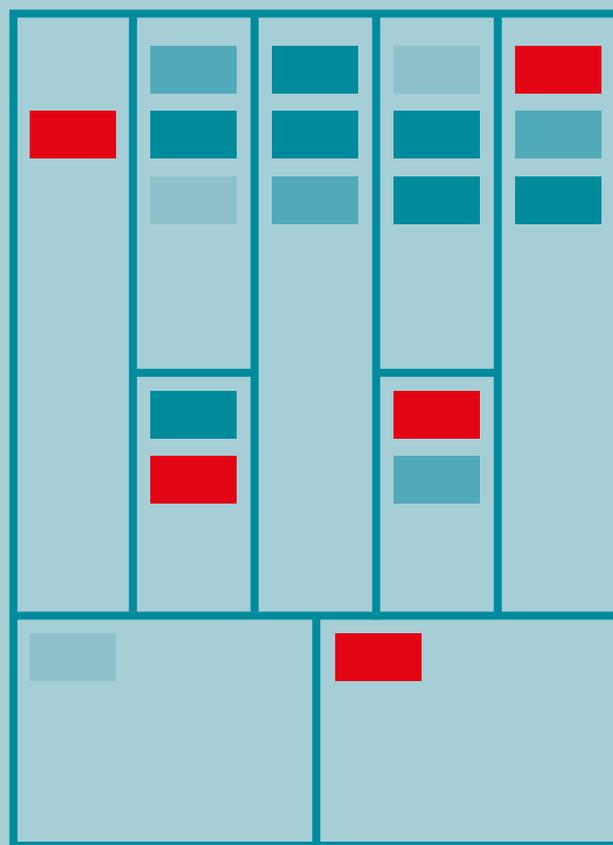
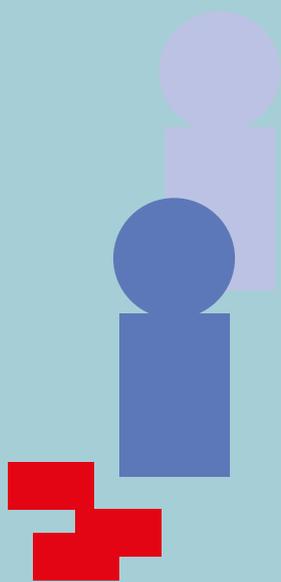
- » Understand the concept of the business model canvas
- » Have developed a business model canvas for their WSP from their collective viewpoint
- » Have a clear understanding of the nine building blocks of their WSP and how it creates, delivers and captures value.

PROCESS STEP 2: Development of the WSP's current business model (2 hours)

TIME (MIN)	ACTIVITY	MATERIALS
15	A. Introduce the business model canvas concept and its nine building blocks, with the help of the introductory PowerPoint presentation.	<ul style="list-style-type: none"> » Business model generation PowerPoint » Book: Osterwalder & Pigneur 2010, Business Model Generation
5	B. Distribute and briefly explain the business model canvas cheat sheet .	<ul style="list-style-type: none"> » Business model canvas cheat sheet
30	C. Create a deeper understanding of how the business model canvas works by developing the business model of a company that all participants know (e.g. M-Pesa of Safaricom).	<ul style="list-style-type: none"> » Pinboard and pins » Empty canvas on brown paper » Pre-prepared colour cards on M-Pesa business model
60	D. Ask participants to develop the business model of their WSP . Appoint someone from each group to write on the cards. Supervise the groups and if necessary explain to them the meaning of the individual building blocks, but let participants take the lead in developing the business model.	<ul style="list-style-type: none"> » One pinboard per group » Empty canvas on brown paper » Colour cards and pens » Business model cheat sheet

STEP

3



STEP 3:

Identification of integrity risks

WHAT DOES IDENTIFICATION OF INTEGRITY RISKS INVOLVE?

Water integrity encompasses practices which impede corruption and promote respect for the rule of law in the water sector. Integrity is also about the need for public, private and civil society sector representatives to be honest and fair in carrying out their functions. Corruption, dishonesty and illicit practices are addressed most effectively by making sure they do not happen in the first place. When designing preventive measures, the integrity risks that most affect the performance of a WSP need to be identified. In Step 3 of the integrity change process, WSPs therefore assess and prioritise the different integrity risks their business is exposed to.

WSPs evaluate how likely they are to be affected by different risks, using the Integrity Management Toolbox. Specific risks are then prioritised by linking them to the WSP's business model. To enable the identification of integrity risks, it is important that staff members from different areas within the WSP are involved to tap into the company's collective knowledge of the situation.

The risk analysis resulting from Step 3 serves as an entry point to the selection of concrete measures the WSP can take to reduce its vulnerability to corruption and enhance corporate integrity. If documented properly, the outcomes of this step will serve as a baseline from which to evaluate the impact of the integrity management interventions at the end of the implementation phase in Step 7.

OBJECTIVES

By the end of this module, participants will:

- » Be aware of key integrity risks for their WSP, through brainstorming, reflection and discussion
- » Have gained an understanding of how to find and use information on integrity risks available in the Excel version of the Integrity Management Toolbox
- » Have identified, prioritised and documented integrity risks particular to their WSP.

BOX 3 LOSING FACE

Participants may be more or less open in talking about corruption risks within their own company or organisation. In particular, if several WSPs take part in the training, some participants may be reluctant to talk about sensitive issues. It is important that the workshop facilitator creates an atmosphere where nobody is "losing face". Depending on the openness of the group to the subject, the facilitator may:

- » Ask questions indirectly, such as "would a corrupt management be a major integrity risk" instead of asking "is your management corrupt?"
- » Conduct sensitive parts of the workshop anonymously (e.g. selection of key risks within a WSP)
- » Form groups for each WSP and have each group assess the risks of their own organisation to avoid externals being involved in the discussions.

PROCESS STEP 3: Identification of integrity risks (2 hours)

TIME (MIN)	ACTIVITY	MATERIALS
10	<p>A. At the beginning of the exercise, the facilitator should clarify that the integrity management approach focuses on risks which can be influenced by WSPs. Explain the need to prioritise risks, introducing the “80/20 Pareto Principle” which states that in any one set of things (workers, customers, corruption risks etc.) a few (20 per cent) are vital and many (80 per cent) are considered trivial.*</p>	<ul style="list-style-type: none"> » Pinboard » Integrity risks colour cards (one set per group)
10	<p>B. Ask the groups to familiarise themselves with, review and reflect on integrity risks provided in the Water Integrity Management Toolbox. If necessary, clarify any unclear terms.</p>	<ul style="list-style-type: none"> » Description of WSP Integrity Risks
10	<p>C. Ask the participants of each group to identify the 10 risks they think their WSP should address most urgently. A suggested approach:</p> <ul style="list-style-type: none"> » Using the scoresheet for integrity risks, each participant identifies the 10 risks they perceive as being most important. The facilitator collects the lists and summarises the results anonymously. » The 10 risks selected most frequently are used to continue the exercise. 	<ul style="list-style-type: none"> » Integrity risks scoresheet for each participant

* The value of the Pareto Principle in management is in reminding us to stay focused on the “20 per cent that matters”. Of all the corruption risks a WSP faces in its operations, one could say (based on the Pareto Principle) that reducing those 20 per cent of the risks that really matter can improve the performance of the WSP significantly and in an efficient manner.

TIME (MIN)	ACTIVITY	MATERIALS
30	D. The groups should now establish the link between the 10 shortlisted integrity risks and the WSP business model to understand the impact of the risks on their WSP	» Business model(s) from Step 2
45	E. The groups should now shortlist further to the 3-5 most relevant risks for their WSP(s). The selection of risks should be based on their impact on the business model. For each risk, the group should document the arguments as to why this risk has or hasn't been shortlisted.	» Brown paper "Documented selection of most relevant risks"
15	F. Introduce the structure of the risk sheet from the Excel version of the Integrity Management Toolbox, first projecting the spreadsheet on a wall. Explain what information is provided for each integrity risk and how the risks have been grouped into clusters. Explain that the Integrity Management Toolbox may not highlight all the risks a WSP faces, and that this should not prevent participants from identifying other risks. Participants are encouraged to take a look at the risks during the coffee break.	» One computer per working group/WSP with the risk sheet from the Excel version of the toolbox

Activities shaded in blue are optional

STEP 4:

Analysis of integrity instruments

WHAT IS THE AIM OF THE ANALYSIS OF INTEGRITY INSTRUMENTS?

Enhancing a WSP's integrity can significantly improve its performance. If management and staff lack integrity, decisions tend to be taken by individuals pursuing private interests. High levels of corporate integrity contribute to a situation where strategic, HR- and investment-related decisions are made with a focus on how the WSP performs most effectively. However, it is usually not feasible to implement all possible integrity measures at once. In Step 4 of the integrity change process, WSPs therefore identify instruments that can address their priority risk areas most effectively.

For this purpose, WSP staff analyse the available integrity instruments that are linked to their priority risk areas, taking stock of the measures they have already put in place, identifying feasible additional measures and discarding instruments that cannot be implemented. A provisional set of additional instruments is then selected using the Integrity Management Toolbox.

Acknowledging the different levels of corporate integrity, the Integrity Management Toolbox distinguishes between mandatory and optional instruments. Mandatory instruments include those which are almost always necessary to comply with regulatory requirements, and provide an entry point to integrity management. However, for WSPs that have already implemented these compulsory instruments, advanced optional instruments are proposed to tackle integrity risks.

The compilation of integrity instruments also includes descriptions of the change agent, kick-off event and organisational learning (which were introduced at the beginning of the workshop, and are also mandatory). Participants should use some time during this step to familiarise themselves with these process instruments.

OBJECTIVES

By the end of this module, participants will:

- » Have a systematic and business-oriented overview of the instruments available to enhance the integrity of their WSP
- » Have identified a provisional set of integrity instruments to be implemented during the integrity change process
- » Understand how to use the Excel version of the Integrity Management Toolbox to identify instruments to address specific risk areas.

BOX 4 NOTE TO THE FACILITATOR

It is important to highlight that this exercise is for the benefit of individual WSPs and their management; i.e. integrity management is an internal instrument, and members of each WSP should focus on how they can improve their organisation's performance through enhanced integrity. Step 4 of the integrity change process is therefore not about listing as many successfully implemented instruments as possible; rather participants should establish a feasible set of measures their WSP can take to enhance its integrity.

PROCESS STEP 4: Selection of integrity instruments (2 hours)

TIME (MIN)	ACTIVITY	MATERIALS
15	<p>A. Explain that the exercise is not only about identifying new instruments, but that each WSP should assess which measures they are already taking and where additional efforts are required. Both new instruments and areas with room for improvement need to be considered in the integrity change process. Further clarify the difference between mandatory and optional integrity instruments, using a few examples from the Integrity Management Toolbox and the information provided in Box 7.</p>	<ul style="list-style-type: none"> » Pinboard » Integrity instruments colour cards (one set per group)
20	<p>B. Ask the group to pick from the board the instruments related to their WSP's most relevant risks and put them in the middle section of the brown paper "Integrity tool evaluation". The relevant instruments for each risk are listed on the back of the risk cards. If an instrument is selected more than once, write it on a colour card again so it is clear that an instrument relates to several risks.</p> <p>Ask participants if they know any other instruments that can help mitigate the risks that have been selected. Write any additional instruments on cards and add them to the list.</p>	<ul style="list-style-type: none"> » Pinboard » Brown paper "Integrity Tool Evaluation"
60	<p>C. Ask the group to go through the instruments for the priority risk areas. Participants should cluster the respective instruments in three categories:</p> <ul style="list-style-type: none"> » Instruments that have been implemented effectively already » Instruments that have been implemented but where there is room for improvement and instruments that are new, interesting and feasible to implement » Instruments that are not feasible, or are not applicable for other reasons (e.g. lack of adequate capacities, etc.). <p>Make sure that the group re-assesses whether the instruments are clustered correctly. Some groups may have a tendency to consider too many instruments as having been successfully implemented. In such a situation, the group should reflect on what has been achieved with each instrument and whether they see potential for further improvements.</p>	

TIME (MIN)	ACTIVITY	MATERIALS
30	D. The instruments that are considered “new and interesting” or where a need for improvements has been identified will be used in the next step. If a large number of instruments have been clustered in these two categories, the group should further prioritise a set of max. 10–15 potential instruments.	
15	D. Introduce the structure of the instruments sheet of the Integrity Management Toolbox, first projecting the sheet on a wall. Explain the information provided for each integrity instrument and how participants can filter instruments to address specific risk areas. Explain that the Integrity Management Toolbox’s list of instruments is not comprehensive and should not prevent participants from identifying other instruments that can help to advance their WSP’s integrity.	<ul style="list-style-type: none"> » One computer per working group/WSP with the instruments sheet from the Excel toolbox » Projector

Activities shaded in blue are optional

BOX 5 DIFFERENTIATING BETWEEN BASIC AND ADVANCED INTEGRITY MANAGEMENT

“Basic integrity management” is the entry point to the integrity change process for WSPs with only rudimentary knowledge and low capacities on integrity risks and integrity management instruments. The aim for basic users is to implement all mandatory instruments as a first step, and to ensure that these have been implemented effectively before moving towards advanced integrity management.

Key message for basic integrity management:

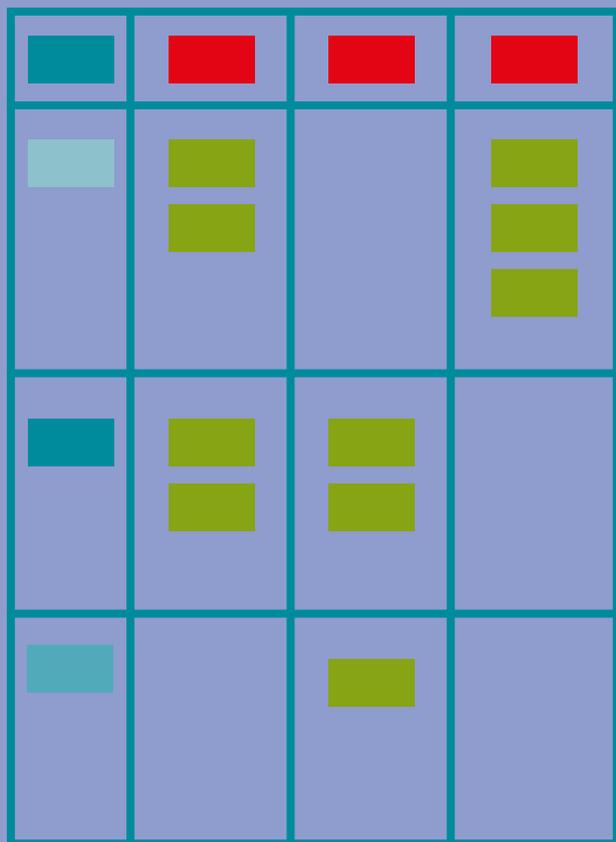
Compliance with legal and regulatory requirements is essential to reduce the risk of being charged or prosecuted for illegal transactions and economic crimes. It results in fewer fines, lower legal costs and lower opportunity costs for the time invested in legal proceedings.

“Advanced integrity management” is for WSPs that have already successfully implemented various measures to enhance integrity. It allows WSPs to improve their corporate integrity in a systematic and business-oriented way to enhance their performance. The aim for advanced users is to apply measures that reduce the WSP’s key integrity risks in the most efficient way (using the Pareto Principle to identify the most relevant/top 20 per cent risks) during one integrity management cycle.

Key message for advanced integrity management:

Through advanced integrity management, companies can become sector leaders regarding corporate integrity, and stand to benefit from integrating integrity principles into their dealings and management systems.

STEP



STEP 5:

Development of an integrity-improved business model

WHAT IS AN INTEGRITY-IMPROVED BUSINESS MODEL?

Frequently, efforts to enhance corporate governance – and more particularly, corporate integrity – lack clearly defined targets for selected measures. To show the added value of enhanced corporate integrity, it is essential to clearly determine what each of the selected instruments should achieve.

Properly implemented, integrity measures have an impact on the way a WSP operates. In the fifth step of the integrity change process, WSPs should clarify how each of the provisionally selected instruments will affect their business model. For this purpose, WSPs determine which areas of the business model each tool targets, and what change can be expected if the instrument is implemented successfully. This analysis provides the basis to decide on a final list of measures and the baseline for monitoring implementation of the road map.

To clarify the objectives for the envisaged change process, participants document the expected transformation by developing an integrity-improved business model, as described below.

OBJECTIVES

By the end of this module, WSPs will:

- » Have a final set of integrity instruments to effectively improve their WSP's integrity and operations
- » Clearly understand the objectives of the integrity change process for their organisation
- » Have a better understanding of how their WSP works and how its business model can be improved through the selected integrity instruments.

PROCESS STEP 5: Development of an integrity-improved business model (2–3 hours)

TIME (MIN)	ACTIVITY	MATERIALS
60	A. Ask participants to identify the elements of the business model that would be affected by each of the shortlisted instruments from Step 4. Groups should further discuss why and how the elements are affected.	<ul style="list-style-type: none"> » Business model canvas from the previous step » Cards with shortlisted integrity instruments from Step 4
60	B. Explain that the WSP's management needs to take a strategic decision on where improvements are most needed. Participants should then rank the instruments according to the relevance of their impact on the business model. The top five to eight instruments should be implemented. The ranking (i.e. why it was ranked high/low relevance) should be documented for each instrument.	<ul style="list-style-type: none"> » Brown paper "Ranking of instruments"
30	C. The group should now determine what changes to the business model they expect to see as a result of the implementation of the final set of measures. This should be documented on additional cards, resulting in an integrity-improved business model.	<ul style="list-style-type: none"> » Additional (e.g. round) colour cards

STEP

6



STEP 6:

Development of a road map

WHAT IS A ROAD MAP FOR?

The road map guides the integrity change process towards the integrity-improved business model. Its purpose is to facilitate a change process within the WSP, and to create a mutual understanding of the integrity change process among those responsible for its implementation. For the implementation phase it is important that all participants have a common understanding of the envisaged process. Thus, in its opening chapter, the road map outlines its own purpose and describes the goals that the WSP aims to achieve as a result of the integrity change process. Such a document is vital for participating WSPs to keep track of the direction in which they are heading, and as a written reminder of why they are heading this way.

The road map is jointly developed by the management and integrity team. Its most essential elements are a) appointment of a change agent, b) organisation of a kick-off event, c) establishment of group coaching (or community of practice), d) implementation steps for all the selected integrity instruments and e) agree when the external integrity management coach should support the implementation process. Additional elements, such as establishing support by thematic or process advisors, can be integrated into the road map as deemed necessary. For all the elements, the road map states exactly **what** activities need to be carried out, **how**, by **whom**, **when** and **at what costs**.

OBJECTIVES

By the end of this module, WSPs will:

- » Understand the importance and purpose of a road map in progressing them towards the integrity-improved business model, and of its elements
- » Have developed a road map for the integrity change process in their WSP
- » Have created momentum for wider change.

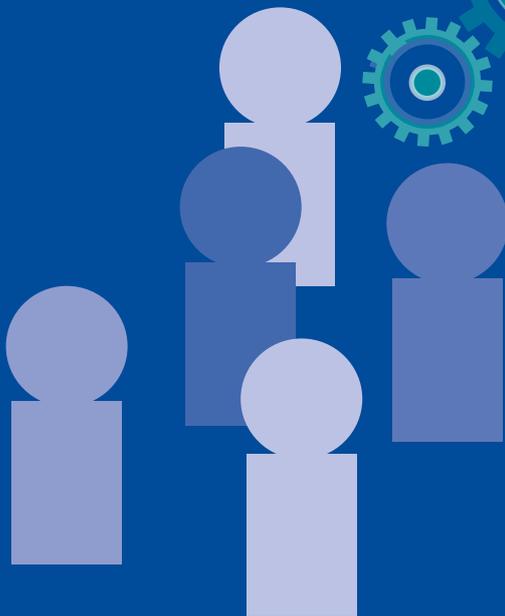
PROCESS STEP 6: Development of a road map (4–5 hours)

TIME (MIN)	ACTIVITY	MATERIALS
30	<p>A. Explain that the integrity-improved business model provides a vision for the WSP's operation and that a road map is needed to show how each WSP will reach this state.</p> <p>With the help of the "Road map" PowerPoint, introduce participants to the four essential elements of the road map. Explain the advantages of developing a road map and discuss the various steps shown on the template.</p>	<ul style="list-style-type: none"> » Road map PowerPoint » Road map template document
60	<p>B. All building blocks of the road map need to be adapted to the context and abilities of the WSP. For this purpose, the participants jointly specify the aim, requirements (information, resources, logistics, etc.) and format of the overall road map.</p> <p>Then, split the participants into three small groups and ask each group to develop an outline for one of the following:</p> <ul style="list-style-type: none"> » Change agent: role and responsibilities » Kick-off event: timing and agenda » Group coaching: who should be involved, and logistics. 	<ul style="list-style-type: none"> » Two flipcharts » Laptop » Road map template (Word doc)
30	<p>C. Each group presents the outcomes of the group work. Let the other groups share their views and opinions. Ask participants if they see a need for additional support elements to implement the integrity-improved business model.</p>	<ul style="list-style-type: none"> » Colour cards for improvements
90	<p>D. As a whole group, define the objectives and success indicators for the first three elements of the road map (change agent, kick-off event and group learning) as well as for each instrument. Each objective should state the WSP's desired long-term impact of the instrument when implemented properly. The success indicators should be specific, concrete and measurable in a given time span. Success can be only be evaluated properly using these indicators.</p> <p>If the group finds this particular step difficult, suggest that someone reads the description of each instrument aloud.</p>	<ul style="list-style-type: none"> » Colour cards » List of selected integrity risks » Prioritised set of integrity instruments » List of instruments with descriptions

TIME (MIN)	ACTIVITY	MATERIALS
120	<p>E. Split the participants into small groups to complete the road map by adding the specific actions and tasks that need to be carried out in order to achieve the indicators. There should be a special focus on the immediate next steps (e.g. what should happen within the coming four weeks?). Remind participants to name the person/people with responsibility overall and for the sub-actions.</p> <p>Give participants print-outs of the template to work on, or use a large-scale paper template and ask them fill it out with colour cards.</p> <p>Encourage participants to check whether their time schedule is feasible. The road map should include tasks which can be achieved by the stated deadlines.</p>	<ul style="list-style-type: none"> » Laptops (from group members) » Road map template (Word doc) » Flipchart templates » Colour cards » Shapiro (no year) <i>Action Planning Toolkit</i>
30	<p>F. Ask each group to present and discuss their part of the road map. Let the other groups share their views and opinions to refine each element of the road map.</p> <p><i>Identify when the integrity management coach should support the implementation process.</i></p>	<ul style="list-style-type: none"> » Projector » Laptop (from group members) » Additional colour cards (for improvements to road map)

STEP

**INTEGRITY
CHANGE PROCESS**



STEP 7:

Implementation and monitoring of the integrity change process

WHAT DOES MONITORING AND COACHING INVOLVE?

Implementation refers to the undertaking of activities as laid out in the road map developed in Step 6. The implementation phase is the longest and most difficult step of the whole integrity change process. After having attended the integrity management workshop, participants return to their WSPs and implement the integrity instruments chosen during the workshop according to their road map. Depending on the complexity of the chosen integrity instruments, this step can take anything from six months to several years. As explained in Step 1, it is very important to create ownership and leadership to ensure that the implementation process is successful. The implementation of the first three elements of the road map (appointment of the change agent, organisation of a kick-off event and group coaching) is therefore vital in this step.

Unexpected difficulties can arise, and resistance from different levels may affect progress and the overall implementation of integrity instruments. A sound understanding of why activities were completed, and also why certain milestones were not met, is crucial for a successful integrity change process. External integrity management coaches accompany the process with regular coaching sessions in order to support overall monitoring and to reflect upon the WSP's integrity efforts.

The primary objective of the coaching process is to ensure successful implementation of the WSP's road map, including the achievement of objectives for the different integrity instruments. To ensure maximum learning benefits from the network of integrity management practitioners, all WSPs that engage in integrity management should gather for group coaching sessions, which are prepared and facilitated by the integrity management coach. Box 6 provides a set of guiding questions around which the coaching session can be structured. The coaching sessions serve two purposes:

- » To discuss progress with respect to the previously planned milestones (**monitoring progress**)
- » To define activities and objectives for the coming month(s).

Apart from coaching the WSP, integrity management coaches are responsible for making sure that progress is monitored and documented. Monitoring is a continuing function that aims to provide early indicators of progress, or the lack thereof, towards the achievement of results. The information gathered helps to track progress, facilitates decision-making, ensures accountability and provides a basis for evaluation. Monitoring is also needed to see whether the process is following budgetary requirements. Box 7 below provides guidance as to when each monitoring step should be implemented.

OBJECTIVES

By the end of this step:

- » WSPs will have come closer to realising the integrity-improved business model.
- » WSPs will have created ownership and leadership of their integrity change process by appointing a change agent, holding a kick-off event and ensuring organisational learning.
- » WSPs will have implemented the integrity instruments as laid out in their road maps.
- » Integrity management coaches will have monitored the integrity change process, together with the change agent.

BOX 6 GUIDING QUESTIONS FOR COACHING SESSIONS

- » Which targets have been achieved?
- » Why were they achieved?
- » Which targets have not been achieved?
- » Why were they not achieved?
- » What problems did you encounter?
- » How did you solve them?
- » Which problems could not be solved?
- » How could these problems be solved?

PROCESS STEP 7: Implementation and monitoring of the integrity change process (min. six months)

TIME	ACTIVITY	RESOURCES
1 week	<p>A. Appoint change agent and team:</p> <p>Appoint change agent</p> <p>Appoint integrity team (assign responsibilities for the different activities in the road map)</p> <p>Initiate and take leadership of the integrity change process</p> <p>Arrange to meet regularly.</p>	<ul style="list-style-type: none"> » Managing director » Road map template (Word doc) » Description of integrity instruments (Word doc)
1 month	<p>B. Hold kick-off event:</p> <p>Decide on the date of the event and invite all staff.</p> <p>Organise the logistics, programme and any necessary materials (presentation of the integrity road map, hand-outs, pictures, writing materials, refreshments etc.).</p> <p>Hold the event, with the following agenda items:</p> <ul style="list-style-type: none"> » Information about the integrity change process and the planned activities » Feedback from employees » Celebration and kick-off of the integrity change process. <p>Record the feedback, adapt the road map accordingly, and communicate the final road map to participants.</p>	<ul style="list-style-type: none"> » Presentation on the WSP's integrity management road map » Managing director and WSP staff » Drinks, snacks
Varying	<p>C. Implementation of selected integrity instruments</p> <p>The change agent coordinates the implementation of the integrity instruments selected during the integrity management workshop.</p> <p>The change agent should have continuous follow-up contact with each staff member to whom tasks were assigned to ensure progress towards the WSP's integrity-improved business model.</p> <p>If the original planning was not realistic or if unexpected difficulties arise, the change agent should consult with his/her colleagues to make the necessary adjustments to the road map, and communicate these changes.*</p>	<ul style="list-style-type: none"> » Change agent and integrity team » Financial and management support

Activities shaded in blue are optional

TIME	ACTIVITY	RESOURCES
Min. 6 months	<p>D. Coaching sessions</p> <p>Organise monthly to bimonthly coaching sessions between the change agent and the external integrity management coach to support the implementation of the road map.</p> <p>Before each meeting the change agent should prepare short progress reports based on the reporting template for the coaching sessions. Based on the progress report, the integrity management coach provides required technical and process support to the change agent.</p> <p>Based on the progress report, the next implementation steps are determined.</p>	<ul style="list-style-type: none"> » Change agent and integrity management coach » Road map » Coaching session reporting template (Word doc)
Min. 6 months	<p>E. Become a learning organisation</p> <p>Create an information platform and communicate its existence, purpose and use.</p> <p>Community of practice:</p> <ul style="list-style-type: none"> » Identify potential members. » Organise regular meetings. <p>Team learning:</p> <ul style="list-style-type: none"> » Decide on the most appropriate learning event (e.g. trainings, leadership development and team building, collegial coaching) depending on competence levels, responsibilities, and challenges employees face at work. » Plan learning event according to the details provided in the “Description of integrity instruments” document. » Use lessons learnt to adapt and optimise the integrity change process. 	<ul style="list-style-type: none"> » Road map template (Word doc) » Description of integrity instruments (Word doc)

* See details in road map

BOX 7 MONITORING OF THE INTEGRITY CHANGE PROCESS

Month after initiation of integrity change process

	1	2	3	4	5	6	7	8	9	10	11	12
A. Determine who will be involved in the design, implementation and reporting of the monitoring.												
B. Clarify the scope, purpose, use, audience and budget.												
C. Develop a set of questions that you wish to have answered by the information gained through monitoring.												
D. Have selected individuals from the WSP identify relevant success criteria for the implementation of the change process.*												
E. Define the data selection methods.												
F. Analyse and synthesise the information obtained to identify any patterns or trends that emerge from the process. Assess the perceived implementation of the integrity change process by looking at the past, present and target state of the selected criteria.**												
G. Interpret the findings, provide feedback and make recommendations.												
H. Communicate the findings and insights to relevant stakeholders.												

* These need to be within the WSP’s sphere of influence, and allow for quantitative or qualitative measurement of the criteria fulfilment using indicators.

** This assessment should be jointly conducted by the change agent and integrity management coach.

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Annex 1 – Adapting the IM Toolbox to a specific country context

The Integrity Management Toolbox provides case studies that are specific to the Kenyan water sector, taking into account:

- » National laws and regulations, especially highlighting the directives and suggestions of the national regulator, WASREB
- » The Kenyan water framework, including the ongoing water sector reforms and the role of the Water Service Providers Association (WASPA)
- » Common integrity risks, regularly observed and reported in Kenya
- » A set of integrity instruments that have been tried and tested in Kenya
- » Best practice examples from Kenya or countries with a comparable water framework.

Despite being primarily based on the experience of Kenya, it can be said that about 80 per cent of the toolbox is generic and can be adapted to most countries with justifiable efforts. The following adaptations would have to be made:

1. The general methodology of optimising business models by integrating integrity instruments has been extensively tested, not only in Kenya, but also in different projects in Indonesia, Switzerland and Zambia. The methodology has proved very successful and constructive. The methodology guidelines (that form an integral part of the Integrity Management Toolbox) are designed in such a way that facilitators can flexibly adapt the process to their specific context. Usually only minor adaptations are needed here.
2. An overview of the country-specific (regulatory) framework and institutional governance in the water sector has to be conducted for each country in which the toolbox is implemented. Depending on the complexity of the regulation, this requires the most resources in the adaptation process.
3. Most of the integrity risks at the level of WSPs are generic and comparable across the globe. A handful of country-specific risks might exist, but most of these can be compiled from an extensive existing risk library. However, the identification of these country-specific risks will require some resources in the adaptation process.
4. Most of the integrity instruments for WSPs are also generic and comparable across the globe. As with risks, a handful of country-specific instruments might exist, but most can be compiled from an extensive existing instrument library. Due to the relatively advanced but also complex structure of the Kenyan water sector, the existing set of instruments is rather extensive. In most cases, the adaptation of the toolbox to other countries will require only a simple reduction of instruments (and therefore minimal resources).
5. The level of inclusion of local (best practice) examples and case studies in the toolbox mainly depends on the needs, requirements and financial resources of the contracting WSP. The level of resources required will vary.
6. The level of involvement of dedicated trainers and coaches in the implementation of the integrity change process will very much depend on availability, capacity, and motivation of local people with relevant experience and expertise.

Water Integrity Network (WIN)

The Water Integrity Network, founded in 2006, aims to promote water integrity to reduce and prevent corruption in the water sector. It stimulates anti-corruption activities in the water sector locally, nationally and globally. It promotes solutions-oriented action and coalition-building between civil society, the private and public sectors, media and governments.

www.waterintegritynetwork.net

cewas international centre for water management services

cewas is a Swiss-based competence centre linking sustainable water, sanitation and resource management with business development. cewas is a non-profit association offering professional training, coaching, networking and consulting to bring sustainable business ideas into reality.

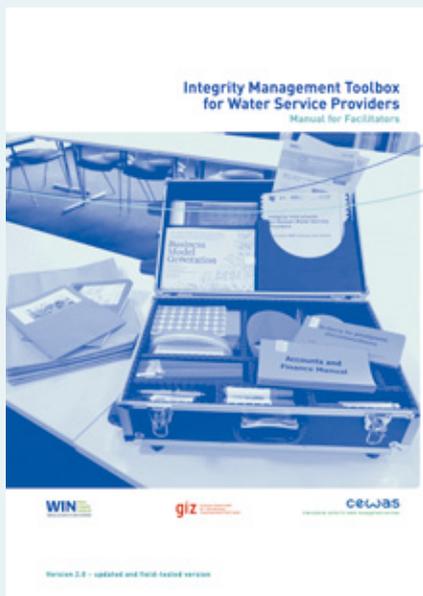
www.cewas.org

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Resource Documents for the Integrity Management Toolbox for Water Providers



Facilitator's Guide



Description of Integrity Risks



Description of Integrity Instruments

With the financial support of

BMZ



Federal Ministry
for Economic Cooperation
and Development