



Accountability & advocacy interventions in the water sector

A review of global evidence

Part 1: Overview and Summary Results

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Cover image: Community Water Witnesses confront the manager of a wastewater treatment works in Lusaka where untreated human and industrial waste flows into Chongwe River, the source of their drinking water supply.

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Acronyms and abbreviations

AfW	Accountability for Water
AWM	Agricultural Water Management
CLTS	Community Led Total Sanitation
COWSO	Community Owned Water Supply Organisation
CRC	Citizen Report Card
CSC	Community Scorecard
CSO	Civil Society Organisation
DANIDA	Danish International Development Agency
DFID	Department for International Development
EAC	East African Community
ECOWAS	Economic Community of West African States
GIS	Geographical Information Systems
GPSA	Global Partnership for Social Accountability
ICT	Information and Communications Technology
IMF	International Monetary Fund
INGO	International Non-Governmental Organisation
JMP	Joint Monitoring Programme
O&M	Operation & Maintenance
ODI	Overseas Development Institute
OECD	Organisation for Economic Cooperation and Development
OSF	Open Societies Foundation
M&E	Monitoring & Evaluation
NGO	Non-Governmental Organisation
NRM	Natural Resource Management
PETS	Public Expenditure Tracking Survey
SADC	Southern African Development Community
SAM	Social Accountability Mechanism
SDGs	Sustainable Development Goals
SJC	Social Justice Coalition
SIWI	Stockholm International Water Institute
ToC	Theory of Change
UNDP	United Nations Development Programme
WRM	Water Resource Management
WASH	Water, Sanitation and Hygiene
WHO	World Health Organisation
WIN	Water Integrity Network
WWI	Water Witness International

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Executive Summary

This report summarises the results of a global review of evidence on the outcomes of accountability and advocacy interventions for improved water service delivery, water resource management and water governance, and the factors which influence their performance. The review responds to the knowledge needs of the Accountability for Water partners and a wider group of local and global stakeholders in government, utilities, regulators, communities, civil society organisations, NGOs and bilateral and multilateral donors.

The objective of the review is to map and review current knowledge relating to the question:

What evidence is available on the outcomes of accountability and advocacy in the water sector and the factors which determine their impact?

The findings support the development of a theory of change to explain the outcomes and impacts of accountability and advocacy interventions. This report is accompanied by an online knowledge platform – visit www.waterwitness.org – to guide and support the community of practice, policy, and research. Further results and detailed analysis of the findings on topics and countries of interest to stakeholders will follow as Parts 2, 3 and 4 of the review findings.

Understanding the methodology

Our approach draws on rapid evidence review, systematic review, and theory-based review methodologies. It comprises a comprehensive search, collation, organisation and synthesis of the available evidence in peer-reviewed academic journal papers, book chapters, organisational and grey literature. Included studies were coded to support mapping, analysis and synthesis of available evidence. In the absence of detailed study validity assessment, the results should not be read as unequivocal conclusions, but as a reflection of the contemporary English language literature and insights within it.

Results: the state of the evidence

- i. Available evidence is relatively limited in scale, with only 151 papers meeting inclusion criteria.
- ii. Geographical distribution is uneven, although this is partially a result of the anglophone bias. India, Tanzania, Kenya and Uganda account for almost half of all literature on the topic.
- iii. Evidence is skewed towards WASH and water service delivery (62%), with relatively fewer papers examining water resources (32%) or agricultural water management (5%)
- iv. Social accountability monitoring initiatives feature in 54% of the papers reviewed, evidence based advocacy 44%, statutory accountability mechanisms 28% and budget analysis, tracking and reporting are the focus in 11%. Each of these intervention types is broken down into sub-types for granular analysis and mapping.

Results: What the evidence tells us

- i. A significant majority of included articles (80%) associate positive outcomes for water sector governance with accountability and advocacy interventions. Positive change at impact level is less frequently reported, in just 32% of included articles.
- ii. The most frequently reported positive outcome is improved operational maintenance, monitoring and reporting (featuring in 40 papers), followed by: access to data and information (30), representation and inclusion (30), political will (26), changes in processes (24), policy and laws (20), infrastructure and investment(23), social capital (20), organisational performance (19), programmes and plans(15), and enforcement and compliance (12).
- iii. Positive impacts aligned with SDG 6 and JMP/WHO indicators are associated with accountability and advocacy interventions although the attribution and effect are not as well articulated in the literature as intermediate outcomes.
- iv. A diverse set of 28 factors are associated with the performance of accountability and advocacy interventions. A constructive approach (37 papers), training, human resource availability and professionalism (28), leadership and champions (28), taking a strategic approach (27), good public communications (23), dialogue and convening (23), and high levels of trust and legitimacy (21) are most frequently associated with positive outcomes. A poor understanding of community and power dynamics (28), ambiguous institutional responsibilities (17), weak inter-agency accountability (17), a challenging water use context (17), limited financial resources (16), and low levels of trust and legitimacy (15) are factors most frequently associated with negative or no outcome.
- v. These factors have been classified depending on whether they are internal to the intervention, external, comprising the operational context for the intervention, or at the interface between these two. Coding of the literature in this way resulted in a detailed theory of change for accountability and advocacy interventions on water.

Discussion: Implications for policy, practice and research

Evidence is limited...

- ⦿ Given the scale of the global water crisis and the central role of water for social and economic progress, the available evidence of 151 papers is modest in size and limited in coverage.
- ⦿ The topical range is also relatively limited, particularly on agricultural water management, pollution control, climate change related impacts such as droughts and flooding, the role of the media and the relevance of gender. This is a notable finding given the significance of these issues for water security and sustainable development.

...but indicates positive outcomes for water governance.

- ⦿ Although some reporting bias is likely, the results of the review are exciting for those seeking interventions to improve governance and service delivery in the water sector. The findings suggest that accountability and advocacy interventions have an overwhelmingly positive influence on water governance and service delivery in the water sector.
- ⦿ There is great potential for harnessing these interventions to accelerate delivery of the SDGs.

Attribution of positive impact requires more exploration...

- ⦿ Positive impacts are anticipated in all the included papers, but detailed accounts of positive impact through material changes in parameters such as water access, quality, availability, affordability, sustainable use, levels of pollution, conflict, droughts and flooding are limited to only 32% of papers.
- ⦿ It should not be inferred that interventions have limited impact, but instead, that reporting and research on impacts is still evolving. The challenges of conducting research or evaluations which trace attribution through a tangled web of causative variables are significant.

...but useful patterns and significant insights emerge

- ⦿ A key value of this review is to highlight factors to be explored further at an appropriate scale. Important determinants of performance, either positive or negative, can then be understood at the outset and harnessed for positive influence, or mitigated.
- ⦿ The internal factors mapped by the review are within the direct control of the practitioner or decision maker and can be shaped towards optimal design and delivery. Interface factors such as a poor understanding of community and power dynamics, and the recruitment of strong leadership and champions appear to be particularly important. External factors provide an overview of the contextual challenges which need to be better understood to aid their successful navigation.
- ⦿ The review offers collated evidence on topics ranging from the role of donor support and government capacity in effective accountability, to the relative performance of constructive versus disruptive engagement. It can be used to review the performance of specific interventions and factors associated with them, and rich and relevant insights are available through deeper analysis of subsets of the literature.
- ⦿ The factor 'checklist', the populated Theory of Change, and associated knowledge products can support and guide more effective policy and practice in future.

Specific areas in need of research are identified ...

- ⦿ To further develop concepts and theories, to explore causality and priorities within different contexts, and to deepen and extend knowledge on new areas and topics including: accountability for water in agriculture, ecosystem protection and in the management and mitigation of climate impacts including drought and flood events; gender dynamics and social equity dimensions; budget analysis and tracking; and the interplay with the media and public awareness.
- ⦿ The review validates the need for additional research to better trace and attribute the effects of interventions to material impacts for water security. Such work can support more effective design and strategic support and resourcing for interventions.

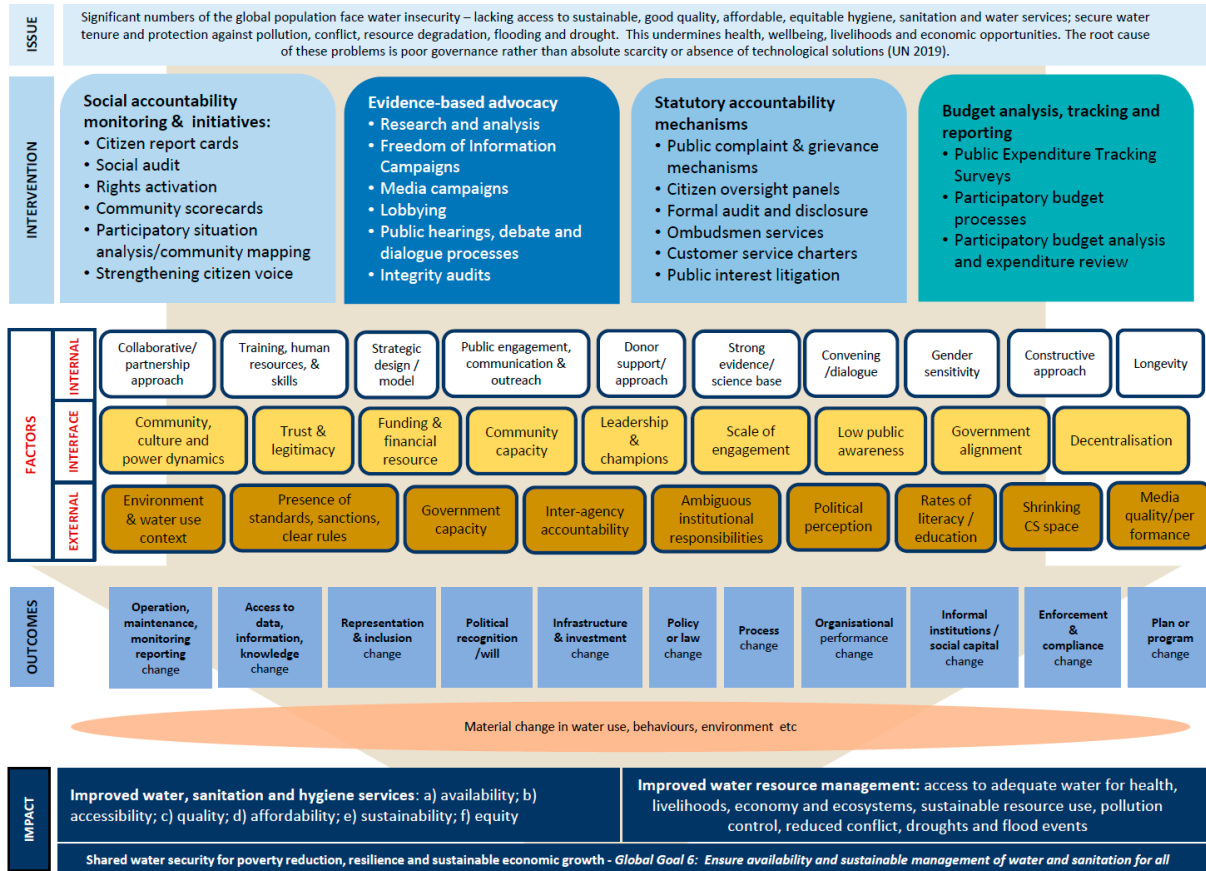
Conclusions

This review identifies and organises the global literature on the outcomes of accountability and advocacy interventions on water, and the factors which influence their performance. The review also draws on available evidence to develop of a theory of change for further elaboration and testing, which alongside the Knowledge Platform can support future work. The three planned supplements to Summary report, will describe the insights in more detail, and support those working to strengthen of accountability for water.

Recommendations emerging from the review:

1. The available evidence base should be deepened and widened through a learning-focused approach within future interventions.
2. Further development and investment in accountability and advocacy interventions is a worthwhile endeavor for those seeking better water governance and water services and should be pursued as a priority.
3. The review reports and knowledge platform can be drawn on as a ‘one stop shop’ for evidence relating to accountability and advocacy interventions in water and their theory of change.
4. Additional research, and monitoring and evaluation effort is needed to extend the geographical and thematic coverage, and to deepen the global knowledge base on accountability for water.

Figure: Accountability for Water – Theory of Change



1. Introduction

1.1. Background and rationale

This report summarises the results of a global review of evidence on the outcomes of accountability and advocacy interventions for improved water service delivery, water resource management and water governance, and the factors which influence their performance. It was conducted by Water Witness as a contribution to the Accountability for Water Programme, a collaboration which builds knowledge and practice to strengthen the accountability of all water stakeholders for delivery of the Sustainable Development Goals (SDGs)¹.

The spiraling global water crisis leaves three in ten people without access to safe water, and six in ten without access to safely managed sanitation services². Four billion people face severe water scarcity each year, and the climate emergency is likely to double the numbers facing severe water stress by 2050³. Many millions of vulnerable people face chronic water insecurity. In addition to a lack of access to sustainable, good quality and affordable water, sanitation, and hygiene services, they lack security of water tenure and protection against pollution, water grabs, resource degradation, flooding and drought. Accepting this would invite waves of disease and future pandemics, the catastrophic collapse of water-related ecosystems and landscapes, economic decline, growing conflict and instability, and the deepening of gender and social inequality and human suffering.

Our review is based on two foundational propositions, the first of which is that improved governance⁴ is the priority for ensuring water security for all. Given the fragmentation observed within the water and development sectors it is useful to re-emphasise that the root cause of the water crisis is poor governance rather than absolute scarcity, or an absence of technological or other solutions⁵. By governance we mean the policies, institutions, rules, processes, and practices which articulate interests, take decisions, regulate human behaviour and exercise power. In the water sector, these make up the systems that determine *who gets what water, when and how?*

Our second proposition is that stronger accountability leads to ‘better’ governance and can play a predominant role in addressing governance and service delivery failures on water. Accountability is defined here as *the ability to review, explain, and report performance against rules, responsibilities, and obligations, and to react constructively to improve performance through sanctions, incentives, or corrective measures.*

¹ The Accountability for Water consortium includes End Water Poverty, the Institute of Development Studies (IDS), Kenya Water and Sanitation Network, Oxfam, Partnership for African Social and Governance Research (PASGR), Shahidi wa Maji, WaterAid, Water Integrity Network (WIN), Water Witness and is funded by the William and Flora Hewlett Foundation.

² UN 2019, Leaving no-one behind. The UN World Water Development Report.

³ Munia, H. A., Guillaume, J. H. A., Wada, Y., Veldkamp, T., Virkki, V., & Kummu, M. (2020). Future transboundary water stress and its drivers under climate change: A global study. *Earth's Future*, 8, e2019EF001321. <https://doi.org/10.1029/2019EF001321>

⁴ Ernstorfer and Stockmayer 2009, Capacity Development for Good Governance: What Is it, How Does it Work and Will it Make a Difference?.

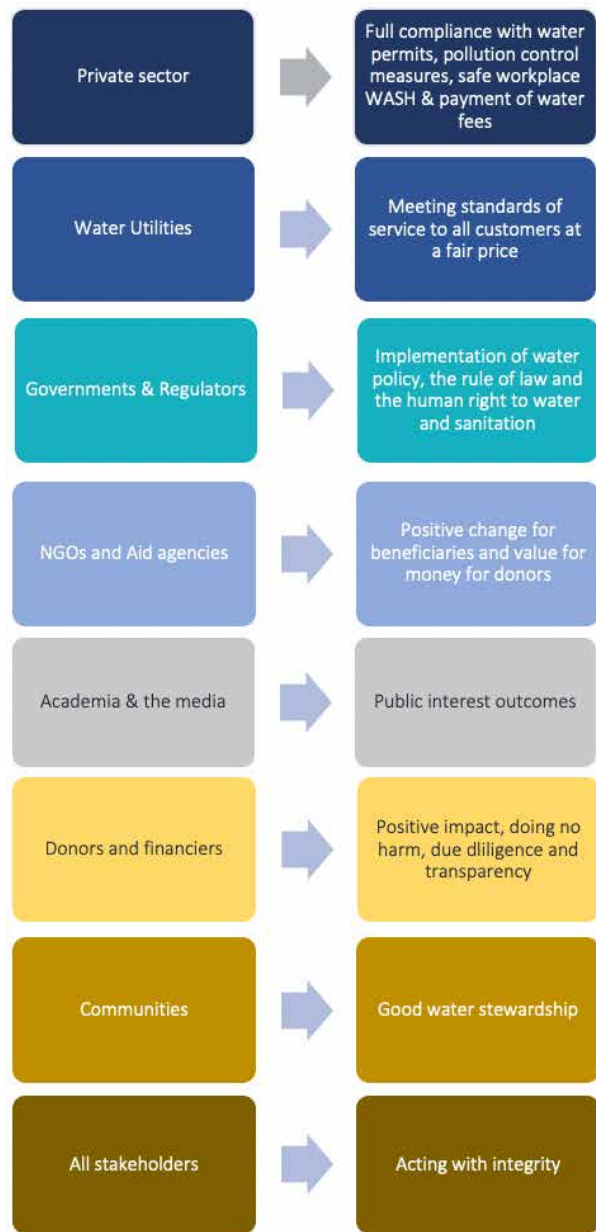
⁵ See UN 2019 (ibid); United Nations Development Programme (UNDP). (2006). Human Development Report 2006. Beyond scarcity: Power, poverty and the global water crisis.

Advocacy has also been included in this review because it is often conjoined with accountability interventions, particularly where formal, statutory, or political opportunities for accountability are weak, flawed or non-existent, or where a wider need for systemic change is identified. A simple and appropriate definition among the many available sees advocacy as the *organised attempt to change policy, practice and attitudes by presenting evidence and arguments for how and why change is needed*⁶. At the heart of advocacy is the notion of ‘speaking truth to power’, and the assumption that change can happen through building awareness, presenting evidence, and engaging those who have the power to make change happen.

The Accountability for Water partners have been working at the frontiers of accountability and advocacy practice in the global south, in some cases for several decades. Their interventions have included a wide range of system strengthening⁷ initiatives ranging from citizen and civil-society led social accountability monitoring of public sector performance and budgets, to support for statutory accountability mechanisms including public complaint and grievance mechanisms, ombudsmen and audits services, citizen oversight panels, and public interest litigation. Governments

and government authorities have also initiated stronger accountability through improved policy and implementation of more responsive governance mechanisms. What binds these efforts is a political process which attempts to bridge the gaps and equalise power between the state, citizens and corporations, to check poor institutional performance, build integrity and incentivize more sustainable and ‘just’ water outcomes. Put simply, they seek a future where all water stakeholders meet their obligations, accept responsibility and are answerable for implementation of good practice, policy, agreements and laws which prioritise sustainable and equitable use of water (see Figure 1).

Figure 1 – What does stronger accountability mean for water stakeholder performance?



⁶ Open Society Foundation, 2010. Evidence, messages, change! An introductory guide to successful advocacy, OSF, London.

⁷ System strengthening can be considered as the process of identifying and implementing the changes in policy and practice in a governance system, so that a country, organisation or sector can respond better to challenges. WHO, 2011.

Whilst positive results have been secured, notably in terms of government responsiveness, policy change and inclusion of vulnerable communities in decision making, important knowledge gaps and unanswered questions persist^{8,9}. These centre on the contextual and design factors which determine why, when and how accountability and advocacy interventions deliver positive impacts, and importantly, who benefits? These questions can be grouped around the **community** and **government** dynamics of accountability and the **enabling environment** (see Section 2.1). They reveal a shared need to understand the factors that determine the performance of accountability interventions, particularly their benefits for vulnerable people. If these factors can be characterized and better understood, this knowledge can be used by the practice and policy community to design, deliver, support and resource future interventions that maximise positive impact in multiple settings.

The review responds to the knowledge needs of a wider group of local and global stakeholders in government, utilities, regulators, communities, civil society organisations, international non-governmental organisations (INGOs), and bilateral and multilateral donors. Since 2016, through global¹⁰ and regional meetings¹¹, over five hundred practitioners and decision-makers have shared insights and reflected on the bottlenecks and priority knowledge gaps which hold back accountability for water. Their interest stems from the need to find cost-effective means to drive and accelerate delivery of the water-related SDGs. They see accountability interventions as a promising way of unlocking stagnating implementation frameworks, of strengthening institutional and individual incentives and of moving from plans to positive action on the ground. Encouragingly, governments and their agencies appear just as eager as other stakeholders to stimulate stronger accountability.

The promise of accountability interventions and the need to better understand the determinants of success are also reflected in academic literature and meta-evaluations from beyond the water sector.

For example, McGee and Gaventa conclude that *‘evidence shows that under some conditions, some accountability initiatives create opportunities for citizens and states to interact constructively, contributing to better budget utilisation, improved service delivery, greater state responsiveness, the creation of spaces for citizen engagement and the empowerment of local voices’*¹². More recently, ITAD’s review for the UK Department for International Development (DFID) found that *‘accountability processes almost always lead to better services, accessibility and staff attendance’* but need to be adaptive and responsive to different contexts to get results¹³. Fox found *‘exciting potential’* in strategic approaches to accountability where a conducive, enabling environment¹⁴ requires institutions and authorities to listen, removes the perceived risks and costs of speaking up, and emboldens citizens to exercise voice. This in turn triggers reform and encourages further engagement. However, the dynamics that drive that cycle are poorly understood, and research and theory lag well behind practice.

⁸ Hepworth, 2016. Social accountability for a water-secure future: knowledge, practice and priorities, Discussion paper for Stockholm International Water Week, Water Witness International provides an account of the achievements and lessons to date.

⁹ See Farrow T, 2018. Water and Accountability Thinkshop: Event summary and evaluation report. Landmark Hotel, Dar es Salaam, Tanzania. March 2018. Water Witness International, Edinburgh.

¹⁰ including Stockholm Water Week (2016, 2017, 2018, 2019), the Global Partnership for Social Accountability (GPSA) Forum (2017, 2019), the International Water Association Congress (2019), the Accountability for Water Thinkshop (2018),

¹¹ Ethiopia (2019), Kenya (2019), Tajikistan (2017), Tanzania (2018, 2019) and Zambia (2017, 2020)

¹² McGee, R & Gaventa, J. (2011). Shifting Power? Impact of Transparency and Accountability Initiatives. IDS, Working Paper, Vol 2011, No 383.

¹³ ITAD/ePact 2016, Empowerment and Accountability Annual Technical Report 2016: What Works for Social Accountability, ITAD.

¹⁴ Fox (ibid.) recognises that term is rarely defined with precision and proposes that in the context of accountability interventions, it refers to actions by external allies which: a) reduce the actual and perceived risks and costs inherent in taking action; and b), bolster the actual and perceived efficacy of taking action by increasing the likelihood and/or degree of positive institutional response.

It is these challenges, and this ‘lag’ that this evidence review seeks to address. It presents the best available evidence on the factors which determine the contribution of accountability interventions to a fairer water future, in order to support current practice. It also shines a light on where additional research is needed – including that planned by the Accountability for Water Programme.

1.2. Purpose, scope and objectives

This report helps researchers, practitioners and policymakers across the water sector to access, interpret and use the current evidence relating to accountability for water. Because of their interdependencies, our scope is inclusive of rural and urban water supply, sanitation and hygiene (WASH), water resource management (WRM), including flood and drought risk and agricultural water management (AWM). To ensure that we capture the full range of potential evidence, studies and literature from any part of the world and at any scale of intervention have been included.

This report also provides an objective overview of the state of the literature, a guide to its key insights and the knowledge gaps which persist. Of note, we map the extent and nature of the evidence by country and region, by intervention type, by sub-sector focus, by outcomes and impacts discussed, and the ‘factors’ which influence these. The utility of this work for stakeholders is proposed in Figure 2.

Figure 2. Potential value and utility of the evidence review for different stakeholders groups

Stakeholders	Types of organisations	Value/use
 <p>Policy makers & practitioners</p>	Government ministries	<i>Orientation and training resource for staff</i>
	Regulators	<i>Uptake in programmes and better design of policy, process and initiatives for stronger accountability</i>
	Ombudsmen/National Audit Offices	<i>Evidence based practice and policy</i>
	NGOs, CSOs and their networks	
 <p>Development agencies & financiers</p>	Multi-lateral & bilateral donors	<i>Improved and organised knowledge base to support decision making and investment</i>
	Development banks	<i>Uptake in programmes and better design of initiatives for stronger accountability</i>
	Global initiatives & foundations	
 <p>NGOs and civil society</p>	International NGOs	<i>Reliable, relevant evidence & grounded knowledge to share with audiences</i>
	National NGOS	
	Civil society groups and networks	<i>Orientation and training resource for staff</i>
	Global & regional knowledge networks	<i>Support for strategy development and implementation</i>
		<i>Identification of promising models for strengthening accountability</i>
 <p>Research & academia</p>	Universities	<i>Refinement of knowledge and research priorities</i>
	Research Institutes	
	Academics	<i>Navigation of summary of existing evidence base & research methodologies</i>
	Publishers	<i>Access to case studies</i>

This report will also inform and support our forthcoming multi-country action and research programme.

With support from the William and Flora Hewlett Foundation, the Accountability for Water team have established a research fellowship programme to work with relevant organisations and individuals to directly address their priority knowledge gaps, with an initial focus on Africa. The review provides an important reference point for this work.

We adopted a hybrid methodology which, locates and organises the globally evidence available in journals, working papers, evaluation reports and book chapters and distills this into key insights.

As set out in Section 2, as a proxy for study quality we only include papers which describe the methodology used¹⁵. Literature not written in English has been excluded. Not all the evidence relating to all topics of potential interest have been synthesised. Whilst these are important limitations, we hope that the work will inspire and inform action and further investigation through our planned outputs and resources. These include this summary report, supplementary reports on key geographies and key themes, shorter briefing notes, and Accountability for Water Knowledge Platform¹⁶.

To situate the review and our topics of interest, an outline of the Accountability for Water Theory of Change (ToC)¹⁷ has been developed and is set out in Figure 3 below.

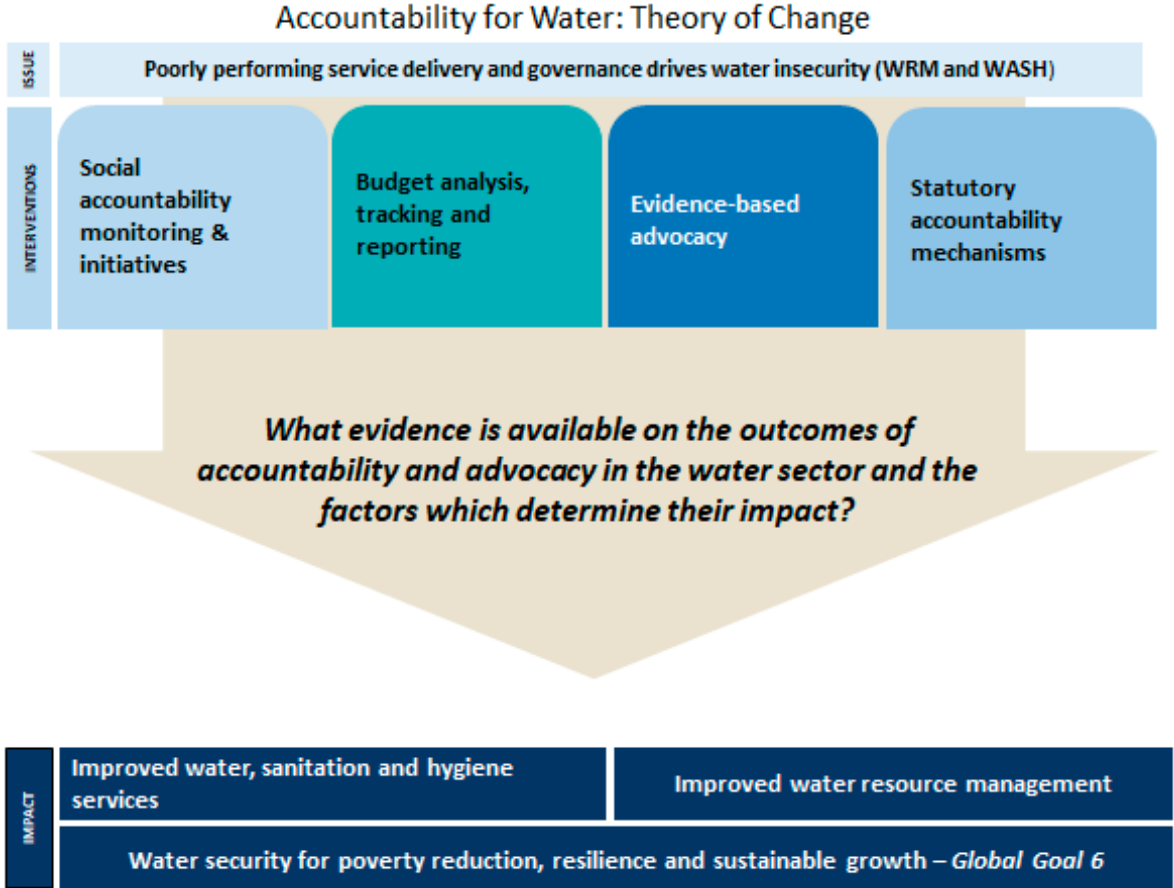
The terms used within the ToC are defined fully in Section 2 but it is introduced here to illustrate the purpose and scope of the review. Specifically, the review identifies and draws on available knowledge to populate, test, critique and validate the theory, which can then be used as a strategic resource for research, policy and practice on the topic. In particular we aim to understand the ‘missing middle’ of the ToC which explains why accountability and advocacy interventions, do, or do not deliver desirable outcomes and impact. The ToC is central to our approach and frames the literature of interest. Specifically, in our inclusion criteria, we are looking for evidence relating to interventions organized under the four categories of interest to our stakeholders: 1) Social accountability monitoring and initiatives; 2) Budget analysis, tracking and reporting; 2) Evidence-based advocacy; and, 4) Statutory accountability mechanisms. A more detailed description of interventions of interest is provided in Annex 1.

¹⁵ We have not attempted a full systematic review of the literature (see for example, Armstrong et al. 2011) because the detailed quality assessment of each data source and exhaustive peer review required would have outstripped the time and resources available.

¹⁶ This open-access and searchable platform provides access to the literature behind the review, and helps navigation of geographical and topical hotspots and knowledge gaps.

¹⁷ Theory of Change (ToC) is a specific type of methodology for planning, participation, and evaluation that is used in companies, philanthropy, not-for-profit and government sectors to promote social change. Theory of Change defines long-term goals and then maps backward to identify necessary preconditions

Figure 3. The Accountability for Water Theory of Change developed to guide and situate the review – and the ‘missing middle’.



In summary, the objectives for undertaking this review are fourfold:

- a. To map and review current knowledge relating to the question:

What evidence is available on the outcomes of accountability and advocacy in the water sector and the factors which determine their impact?
- b. To draw on the available evidence to populate and develop a theory of change which helps to explain the outcomes and impacts of accountability and advocacy interventions.
- c. To support a comprehensive knowledge platform that can be used by the community of practice, policy, and research to strengthen accountability in the water sector.
- d. To validate and guide future research by setting out the extent of contemporary knowledge, contested areas, case studies, concepts and theories for testing and further development, available methodologies and centres of research expertise.

1.3. A conceptual framework for Accountability for Water

Accountability is a simple notion, but at the same time is a complex area of theory, policy and practice, reaching into the performance of all stakeholders across almost every function of the already multifaceted water sector. In order to handle this complexity, and to respond to the widespread interest in stronger accountability from across the sector we have drawn on existing literature to propose a simplified conceptual framework that can be applied in multiple contexts or settings.

Figure 4. The 5 R’s of a simplified accountability cycle applicable to water sector functions



We propose that accountability for water can be understood, described and fulfilled through five basic steps:

1. The existence of appropriate **rules** and standards;
2. fulfilment of clearly assigned **responsibilities** and duties;
3. **reporting** and monitoring of performance against these;
4. **review** and disclosure of performance which in turn informs:
5. an appropriate and effective **reaction**, through improved practice, reformed policy, or imposition of new incentives, sanctions or enforcement.

In this sense, accountability with its foundational components of answerability and sanctions¹⁸, can be applied at multiple scales and contexts, including in social accountability (where the ‘reaction’ can simply be to ‘name and shame’) as well as in regulatory or legal accountability (where reaction can include financial penalties or even custodial sentencing). This cycle can be applied in these multiple settings and the omission or weakness of any one step within the cycle invites an accountability trap of unchecked poor performance, whether that be of farmer over-abstracting water, a multi-national corporation causing pollution, a failing utility, a ‘briefcase’ NGO, or an under-resourced Ministry. The performance of each can be explored across this simplified ‘accountability cycle’, each step of which is essential in order to create incentives for delivery and continual improvement, to ensure responsiveness, legitimacy and trust. This simplified accountability cycle can be applied across multiple domains of accountability: from individual, social, contractual, to legal and political accountability¹⁹.

The 5R accountability cycle as set out in Figure 4, is a useful way of understanding and analyzing governance performance, and for pinpointing and addressing implementation challenges. It encompasses key elements of integrity by considering transparency (in terms of clarity of roles and access to information), participation (in processes of making rules, reporting and reviewing performance, and triggering corrective reaction) and anti-corruption (in terms of sanctions). Where gaps in the accountability cycle exist, water sector functions are vulnerable to unchecked poor performance, as an illustrative example sets out in Figure 5.

Figure 5. The importance of the 5R accountability cycle using the example of drinking water quality standards.

Let us consider the key function of ensuring acceptable water quality for potable water use. If the rules and standards (1) for acceptable quality are absent or inadequate, then the likelihood of accountable performance for ensuring good water quality and population health will be low. Even where standards are appropriately set, if responsibility (2) for ensuring compliance is not assigned to any specific individuals, organisations or authority, or done so in a vague, confused or overlapping manner, then again, this function is unlikely to be performed adequately. Similarly if the rules and standards and parties responsible for water quality are to be effective, then there must be provision for monitoring and reporting (3) the results, and review, investigation and explanation of performance (4) where quality is found to be sub-standard. This should then be followed by an appropriate form of corrective re-action (5) to improve quality based on the review findings, such as a revised management plan, or sanction, such as a financial penalty or court proceedings available as a follow up measure.



¹⁸ See Schedler, 1999 in Fox (ibid.)

¹⁹ Malena, C. Forster, R & Singh, J. 2004. Social Accountability: An Introduction to the Concept and Emerging Practice. Social Development Papers: Participation and Civic Engagement, December, No. 76: World Bank Group.; and Fox, J. 2007. The uncertain relationship between transparency and accountability. Development in Practice, 17:4-5, 663-671.

1.4. Report structure and navigation

This report summarises findings against the primary review objective of identifying the evidence available on the outcomes of accountability and advocacy in the water sector, and the factors which determine their impact.

Further results will be released in supplements, as Parts 2, 3 and 4 of the review findings. Part 2 will address the secondary review questions concerning knowledge about the community, government and enabling dynamics of accountability. Part 3 will provide a spotlight on five countries of particular interest to the Accountability for Water partners, of Tanzania, Ethiopia, Zambia, Kenya and Uganda setting out an Accountability for Water ‘evidence dashboard’ for each to assist stakeholders to navigate the data. Part 4 will summarise knowledge available on topics of interest to our stakeholders: gender and accountability; measuring accountability and advocacy impacts; the role of donors; and closing civic space.

The report is set out to aid easy navigation. Section 2 presents the methodology and approach used in the review, the search strategy, protocols for evidence inclusion and coding. It also discusses the limitations of the study.

In Section 3 the key findings are summarized. The status and nature of the evidence, the geography it relates to and the detailed topics of focus are described alongside insights derived from them. Simple descriptive statistics are used to organise the evidence by the outcomes and factors observed. Illustrative case studies are introduced, and the ‘missing middle’ of the Theory of Change is populated using inductive ‘open’ coding of the available literature.

In Section 4, the implications of the results for research and for policy and practice are discussed. Section 5 concludes the report.

2. Approach and methodology

Our approach draws on rapid evidence review, systematic review, and theory-based review methodologies^{20,21}. The latter are particularly useful for mapping causal links and factors which influence outcomes. The rigor of systematic review was adopted within the search, screening and data extraction stages, with a more flexible approach taken within the synthesis stage which allowed us to present the often formative evidence in accessible and useful ways to the end user. The results do not claim to provide unequivocal answers, but instead they describe the current literature on the topic, and the discussions, associations, and insights within it.

This following section sets out the steps involved to ensure a comprehensive, replicable and valid review which avoids bias. Additional detail is provided in supporting annexes.

2.1. Methodology

The methodological process is set out in Figure 6 and each step is briefly described below.

a. Question formulation

The following review question was developed with support from the review advisory group (Annex 2):

‘What evidence is available on the outcomes of accountability and advocacy in the water sector, and the factors which determine their impact?’

The review provides a comprehensive search, collation, organisation and synthesis of the available evidence, documented in peer-reviewed academic journal papers, book chapters, organisational and grey literature, in response to this question. The definitions of terms used in the question are presented in Annex 3. Further sub-questions to be explored reflect the priorities identified through consultation with practitioners and policy makers, and include:

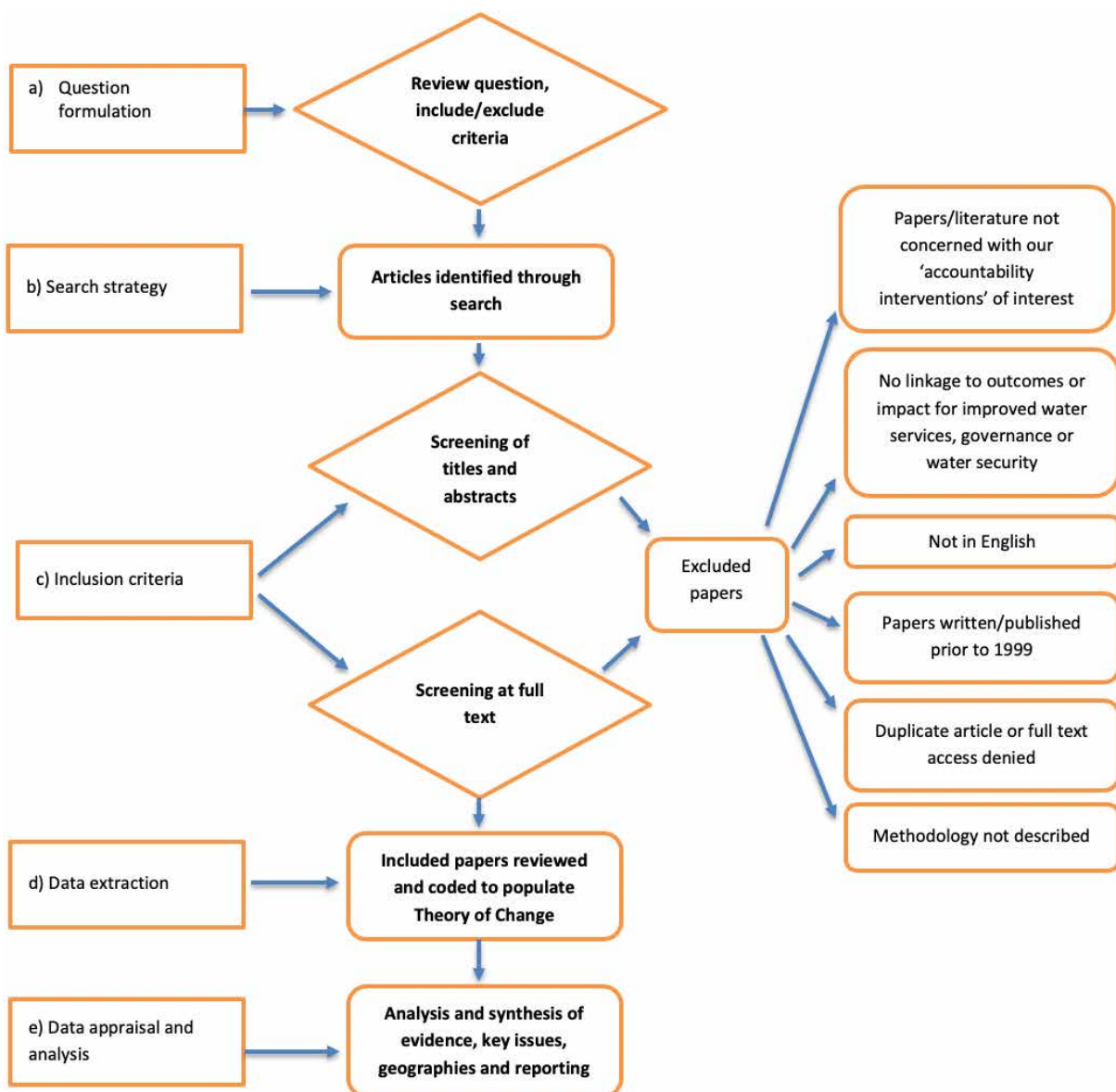
- i. *How can communities be engaged to ensure equitable representation and outcomes (including for women, youth, the disabled and other marginalized groups), sustained and autonomous effort, and in ways which avoid ‘elite capture’?*
- ii. *How can governments and government authorities be engaged to strengthen accountability to unlock durable and far reaching benefits for vulnerable people?*

²⁰ EPPI, (2019). *What is a systematic review?* London: Social Science Research Unit, UCL Institute of Education. Available online at: <https://eppi.ioe.ac.uk/cms/Default.aspx?tabid=67> (accessed 15-04-20); Hammerstrøm et al., 2010; Higgins & Green, 2011; Shadish & Myers, 2004.

²¹ Snilstveit, 2012. Systematic reviews: from ‘bare bones’ reviews to policy relevance. *Journal of Development Effectiveness*, 4(3): 388-408

- iii. How can external support be delivered in ways which sustain action, maintain legitimacy, and navigate changing political economies and statutory constraints (the ‘closing civic space’)?
- iv. How can the value of accountability and advocacy work be tested and strengthened through improved metrics, learning and knowledge exchange?
- v. How can Information and Communications Technology (ICT) be most effectively used to support practice and impact?

Figure 6. The stepwise progression of the review methodology



b. Search Strategy

The pool of potentially relevant articles was found by searching:

- ⦿ **Academic databases**, specifically: Web of Knowledge; SCOPUS; Econ Lit; and, Science Direct, using the following Boolean search string developed and tested through steps set out in Annex 4. – *Water AND (Accountab* OR Advocacy OR “Accountability Monitoring” OR “Social Accountability Monitoring”) AND (Governance OR Service)*
- ⦿ **Specific journals**, namely the Journal of Development Studies and Water Alternatives.
- ⦿ **Google and Google Scholar** for unpublished material and grey literature with the first 50 hits checked with further examination if highly relevant studies are found.
- ⦿ **Websites of 72 relevant organisations, networks and initiatives** identified by the review advisors (See Annex 4).
- ⦿ **Direct requests to sector experts**. Review advisors were asked to suggest key references and additional organisations and websites that may be searched for grey literature. This process also generated the reference set of papers used to check whether the automated literature searches are returning the most relevant papers.

c. Inclusion criteria and screening

Identified titles and abstracts were downloaded for review and were assessed for relevance and inclusion using a two-stage process, first by reviewing the title and abstract, and for those which remained, via full text screening. Multiple reviewers worked on this process (and subsequent coding) and to support a consistent approach, training, coaching and internal checks were provided against the inclusion or exclusion criteria set out in Table 1. Lead reviewers audited a 10% random sub-sample of title and abstracts, then 10% of full texts to ensure consistency. Where inconsistencies are found, these were discussed to support unambiguous interpretation and application of the criteria. A full list of articles excluded at full text screening can be provided along with reasons for exclusion. All included papers were used in the coding exercise.

Table 1. Inclusion and exclusion criteria

Question Element	Description	Criteria
<i>Population</i>	Scale	<p>We are interested in accountability and advocacy mechanisms that are applied to improve water services and governance for any human population.</p> <p>We are interested in accountability and advocacy mechanisms that are applied to improve water services and governance at any scale (household/community/municipality/basin/region/country). To prevent exclusion of potentially relevant data, scale will not be used as an exclusion criterion.</p>
<i>Interventions</i>		<p>Interventions will be grouped into four categories as set out in the Theory of Change:</p> <ol style="list-style-type: none"> 1. Social accountability monitoring and initiatives <ol style="list-style-type: none"> a. Citizen report cards b. Social audit c. Rights activation d. Community scorecards e. Participatory situation analysis f. Strengthening citizen voice 2. Budget analysis, tracking and reporting <ol style="list-style-type: none"> a. Public expenditure tracking surveys b. Participatory budget processes c. Participatory budget analysis and expenditure review 3. Evidenced-based advocacy <ol style="list-style-type: none"> a. Research and analysis b. Freedom of information campaigns c. Media campaigns d. Lobbying e. Public hearings, debate and dialogue processes f. Integrity audits 4. Statutory accountability mechanisms <ol style="list-style-type: none"> a. Public complaint and grievance mechanisms b. Citizen oversight panels c. Formal audit and disclosure d. Ombudsmen services e. Customer service charters f. Public interest litigation <p>An additional category of ‘other’ was included to avoid exclusion of articles considered relevant but not captured by the above terms.</p>

<i>Outcome</i>	Qualitative and quantitative measures of outcomes traced to advocacy and accountability mechanisms	<p>To be included, studies and literature must link interventions to outcomes of relevance for improved water services and water resource management. These are organised and defined as follows:</p> <ol style="list-style-type: none"> 1. Changes in water services (aligned with JMP/WHO indicators of interest – See Annex 3 for definitions): <ol style="list-style-type: none"> a. Availability b. Accessibility c. Quality d. Affordability e. Acceptability f. Sustainability g. Hygiene h. Equity 2. Improved water governance (see OECD indicators in Annex 3) via existence/implementation/functioning of: <ol style="list-style-type: none"> a. Roles and responsibilities b. Appropriate scale c. Policy coherence d. Capacity e. Data and information f. Financing g. Regulatory frameworks h. Innovative governance i. Integrity and transparency j. Stakeholder engagement k. Trade-offs across users and generations l. Monitoring and evaluation 3. Water security defined as the reliable availability of an acceptable quantity and quality of water for production, livelihoods, health and ecosystems, coupled with an acceptable level of risk from hazards including droughts, floods, pollution and conflicts.
<i>Geographic Scope</i>	Location	Geography will not be used as the basis for exclusion/inclusion
<i>Study design</i>	Research design used	Methodology used must be described in order for the paper to be included
<i>Language</i>		English language only
<i>Date</i>	Date of publication	From 1999 onwards only

d. Data coding, extraction and analysis

For each of the included studies, key characteristics were coded to support mapping and review.

Standardised coding was supported by EPPI Reviewer software and data extracted to an Excel spreadsheet for analysis. The following information in relation to each paper was coded for.

- ⦿ Full bibliographical reference/citation
- ⦿ Year of publication
- ⦿ URL link
- ⦿ Publication type (peer review journal article, conference/working paper/book chapter/organisational report or evaluation)
- ⦿ Sub-Sectoral focus (WRM, urban or rural WASH, Agricultural Water Management)
- ⦿ Methodology (qualitative/quantitative)
- ⦿ Geography – Country of study
- ⦿ Type of advocacy/accountability intervention (Social Accountability Monitoring, budgets etc. with sub-category)
- ⦿ Outcomes and impacts associated with intervention and nature of effect
- ⦿ Factors discussed and nature of effect (see Annex 5 for the Factors Codebook – developed iteratively based on the reviewed papers)

Included papers were mapped geographically and simple statistical analysis undertaken to describe the available evidence. Data on the nature of outcomes, impacts and determinants of performance have been used to populate the Theory of Change. The frequency with which each is discussed alongside the nature of effect was also analysed with the findings represented graphically. This organisation of the evidence was also used as the basis for the Accountability for Water Knowledge Platform through which users can access articles on particular geographies, interventions, outcomes or factors of interest. A narrative synthesis is presented in Section 3, alongside illustrative case studies.

2.2. Limitations of the review

The key limitations of the review are set out below:

- ⦿ **English language only literature since 1999.** We have limited literature to that written in English since 1999 which means we miss out on valuable research conducted by non-Western scholars, and during previous era. This was a necessary precondition given the language and time constraints of the team. This has been flagged as a concern by stakeholders, and with them we advocate for the expansion of the scope in further iterations of this work.
- ⦿ **Absence of full quality and validity assessment.** The decision was taken not to undertake a full quality and validity assessment (as would be required for a systematic review). Firstly, our scoping work revealed a low number of highly rigorous studies. Had we applied strict quality criteria then the final sample would have been very limited in size and scope. The full quality assessment of each piece of evidence would have been a lengthy exercise and with the time and resource available, we opted to go for ‘breadth’ rather than ‘depth’ in terms of the data set used. As a proxy measure of the quality and replicability of studies included, we excluded studies which provided no methodological description.
- ⦿ **Preferential reporting of successful interventions.** A potential bias is the tendency for preferential reporting of successful interventions, particularly in the grey, institutional literature. To counter this we have included the requirement for studies to link interventions to material outcomes and impacts as an inclusion criteria.
- ⦿ **Study heterogeneity.** Relevant studies emerge from a wide range of disciplines and epistemological traditions, from qualitative, anthropological accounts from the social sciences, to positivist, purely empirical and quantitative investigations. The nature of our inquiry demands that neither is privileged nor neglected, but these differing approaches, worldviews and writing styles in the literature brought challenges to our attempt to ‘sieve’ comparative insights through our ToC. Working with this heterogeneous dataset, which did not always lend itself to easy comparison was a challenge which highlights the opportunity for greater conceptual coherence on the topic.
- ⦿ **Study complexity.** The relationships between accountability interventions, governance responses, changes in resource conditions and attainment of outcomes are non-linear, and influenced by a large number of co-variables, including economic, social and cultural factors, and this is further complicated by time lags and problems of scale. This presents considerable challenges for both research on the topic and evaluation of interventions and challenges for this review. The limited volume of rigorous evidence and questions about the ‘transferability’ of insights underscore the relevance of focused inquiry, our stock take of contemporary knowledge.
- ⦿ **Restricted access to some literature.** We identified some literature which merited inclusion based on the abstract, or information available, but which was inaccessible as full text (e.g. prohibitively expensive, or not accessible through the research portals available to us).

The results and narrative synthesis should be viewed with these limitations in mind. Importantly, the results are not unequivocal conclusions, but are a reflection of the contemporary English language literature and insights and discussions within it.

3. Summary of results and findings

The results of the review are presented initially here in two sub-sections. We firstly set out the status, or nature of the literature before moving on to examine the insights and evidence within it.

3.1. State of the evidence on accountability for water

3.1.1. Scale and source of the evidence

The available evidence is relatively limited in volume, with only 151 papers meeting our inclusion criteria, despite our initial search which identified 7,424 potentially relevant papers and reports. As shown in Figure 7, we narrowed this down by excluding 372 duplicate papers and after screening out papers which were not in English, written before 1999 or did not concern interventions in the water sector which linked interventions of interest to outcomes, we were left with 622. Of these, 471 did not provide a description of methods used. In total, 2% of the original sample met our inclusion criteria, which yielded 151 papers for data extraction, mapping and analysis. A full list of included references is provided in Annex 6.

Figure 7. Attrition diagram showing the effect of applying inclusion and exclusion criteria to the original dataset.

What is the evidence regarding accountability and advocacy in the water sector and the factors that determine their impact?

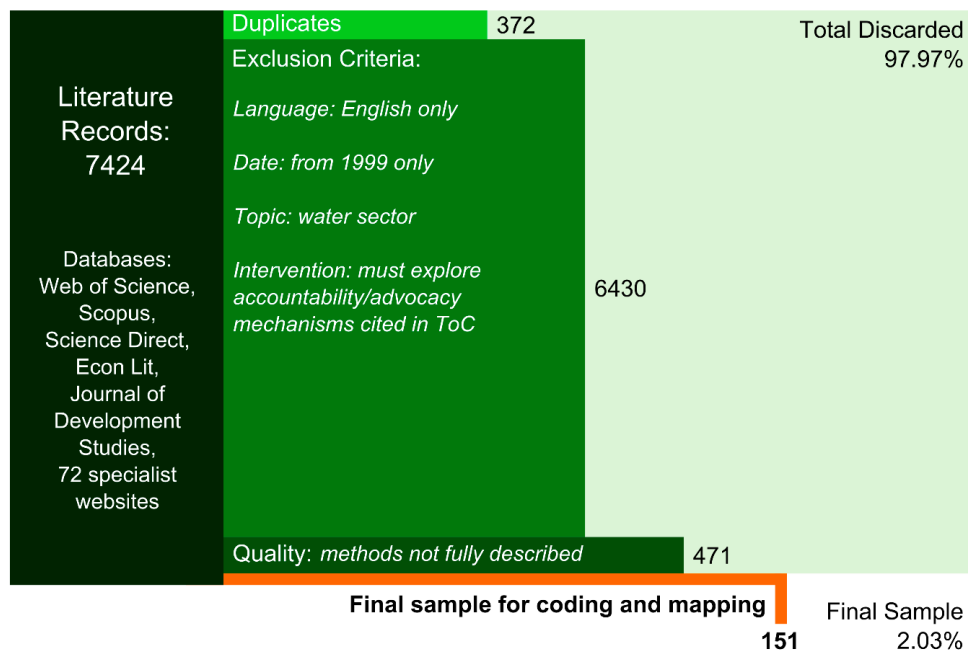
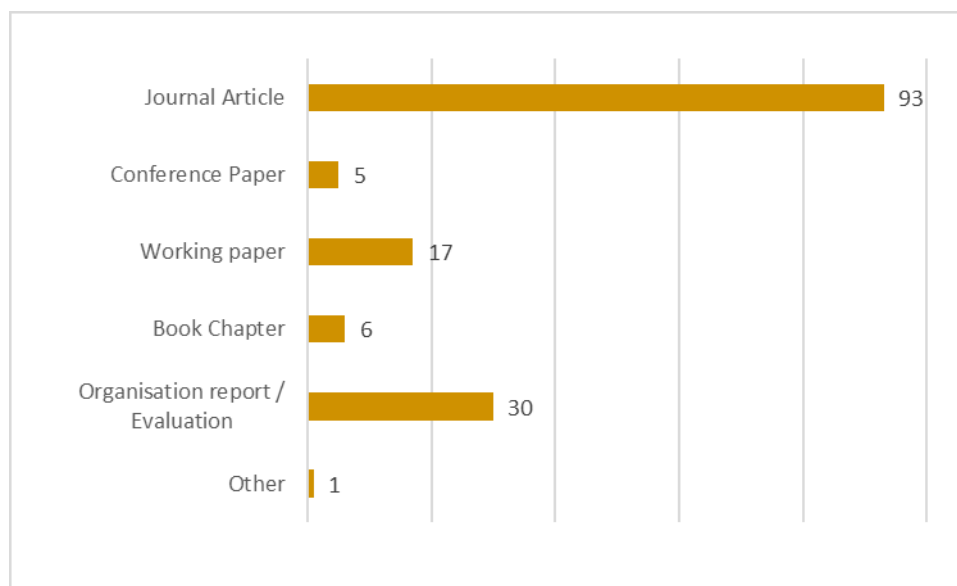


Figure 8 shows the source of the included evidence, and that the majority exists within peer reviewed journals (62%), followed by organisational reports and evaluations (20%), followed by working papers, book chapters and conference papers.

Figure 8. Included literature by source, showing numbers of articles from each category

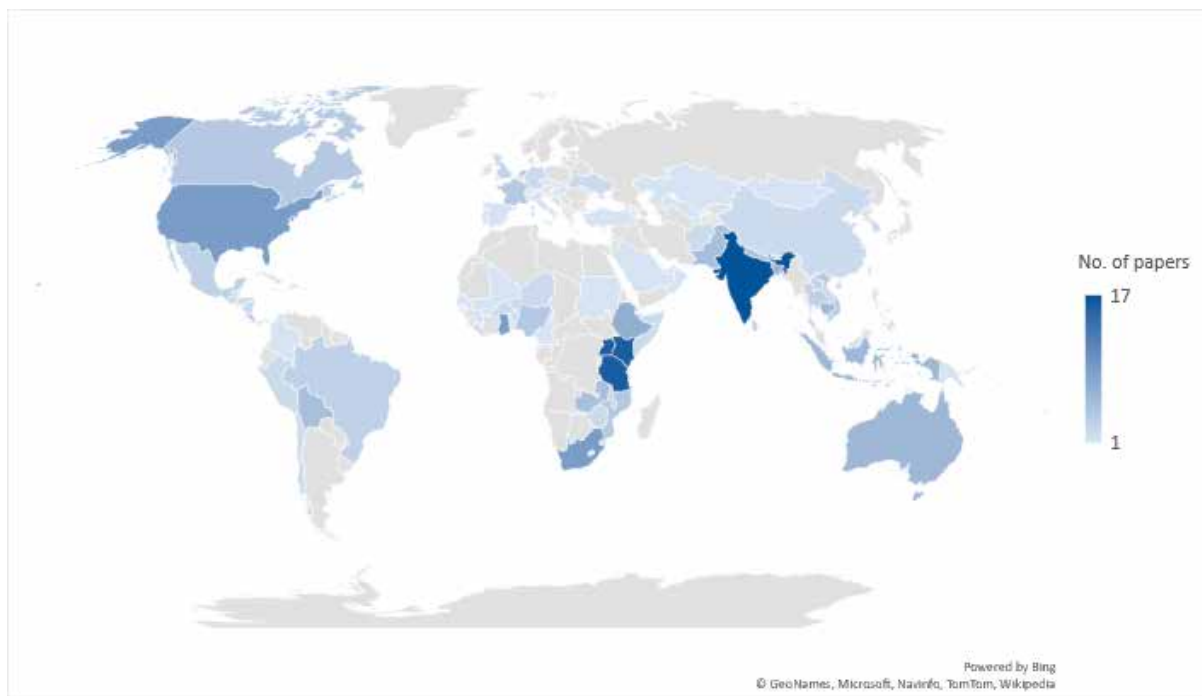


3.1.2. Distribution of the evidence

The geographical distribution of the evidence is uneven (see Figure 9). Evidence identified is clustered in particular regions while others were underrepresented, particularly West Asia, Eastern Europe, north Africa, Middle East, the Gulf and Central Africa. Sub-Saharan Africa accounted for the largest share of the available literature (41%), followed by East Asia and Pacific (17%), South Asia (15%), Latin America and the Caribbean (10%), Europe and Central Asia (10%), North America (5%), and the Middle East and North Africa (<1%).

Within these regions, the evidence is not spread evenly, with a small set of countries accounting for large numbers of papers. For example, India was the geographical focus for over 40% of literature from the South Asian region, and just three countries, Kenya, Tanzania, and Uganda, together accounted for over 40% of studies in Sub-Saharan Africa. Whilst this can be explained in part by the scale and severity of water issues in these geographies, it also reveals a pattern in the way accountability interventions and research are targeted and resourced. The implication is that some geographies may be overlooked or excluded, and that the resultant global knowledge base is skewed towards a relatively narrow set of contexts.

Figure 9. Global distribution of literature identified by the review indicating number of papers per country.

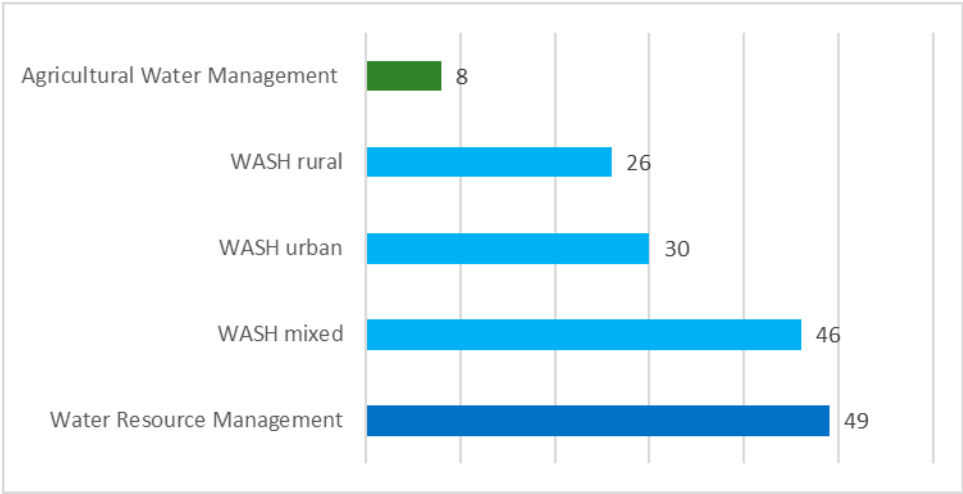


3.1.3. Focus of the evidence

The evidence available is heavily skewed towards WASH and water service delivery (62%), with relatively fewer papers examining water resources (32%) or agricultural water management (5%) (see Figure 10). This might be explained by the larger number of donor commissioned reports and assessments in the grey literature which evaluate the outcomes of interventions linked to the provision of WASH infrastructure. The complexities of time and scale associated with studying changes in agricultural water management and the condition of water resources when compared to much more tangible WASH may also contribute to this bias. Nevertheless, this has important implications particularly given the relative influence of agriculture and domestic supply on the sustainability of the underlying water resource.

Figure 11a. shows the distribution of intervention types studied within all articles, and in 11b. this is disaggregated to intervention sub-type. Social accountability monitoring initiatives are reported on most often, and feature in 54% of the papers reviewed. Within these, strengthening of citizen voice was the most common intervention sub-type (43% of cases), followed by participatory situation analysis (15%), citizen report cards (12%), community scorecards and social audits (10% each), and rights activation (9%). These findings reflect a predominant interest in participatory, community-based accountability mechanisms, and forms of collective action to amplify common grievances. Some patterns emerge in terms of the way interventions link to sub-sectors. Report cards, scorecards and social audits are more commonly applied to WASH, while others, such as community mapping, are more commonly associated with water resource management.

Figure 10. Sub-sectoral focus of the literature, showing number of articles examining each.



Evidence based advocacy features in 44% of the dataset. The most frequent approaches examined are research and analysis (33%), followed by public hearings, debate and dialogue processes (32%), integrity audits (12%), freedom of information campaigns (10%), lobbying (7%), and media campaigns (6%).

Statutory accountability mechanisms feature in 28% of the dataset. Within this, public complaint and grievance mechanisms featured in 31% of papers, followed by formal audit and disclosure (22%), public interest litigation (17%), citizen oversight panels (16%), customer service charters (10%), and ombudsman services (3%).

Budget analysis, tracking and reporting are the focus in 11% of papers. Just over half of these concern participatory budget analysis and expenditure review (52%), a little over one quarter dealt with public expenditure tracking surveys (PETS) (28%), and a fifth with participatory budget processes (20%).

Other interventions featured in 16% of papers. Within this subset, a majority looked at Information, and Communications Technology (ICT) based monitoring and payment systems (54%), with a smaller number examining participatory planning and mapping (43%), and a single paper each addressing corruption surveys, participatory corruption appraisal, and performance benchmarking.

Figure 11a. Intervention types examined in the literature, showing number of articles featuring each type

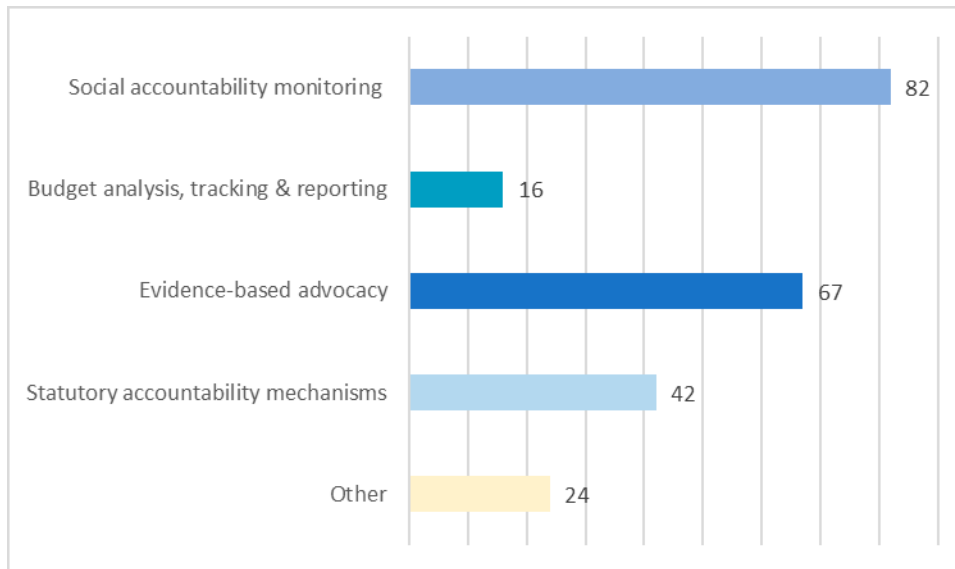
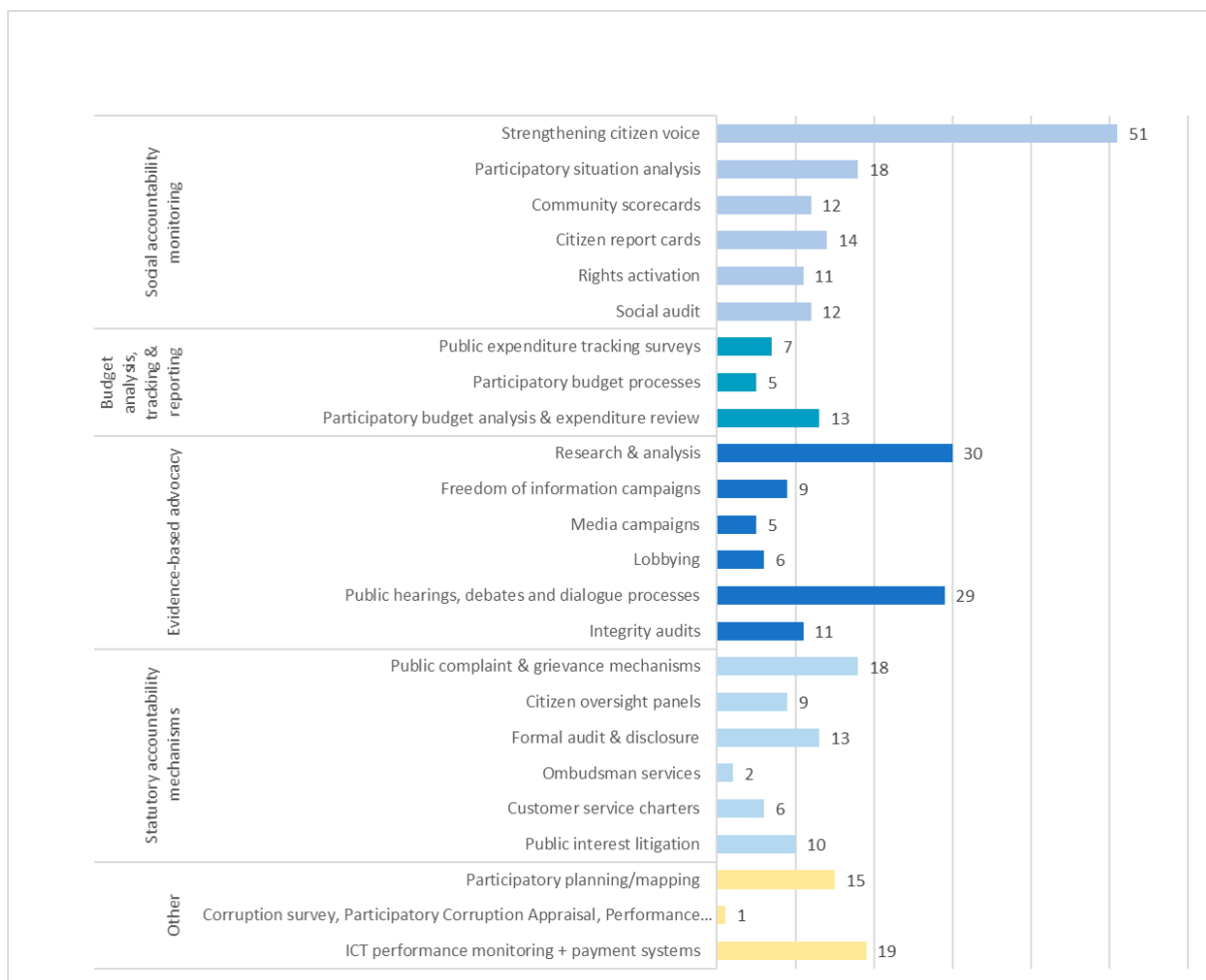


Figure 11b. Intervention sub-types examined in the literature, showing number of articles featuring each



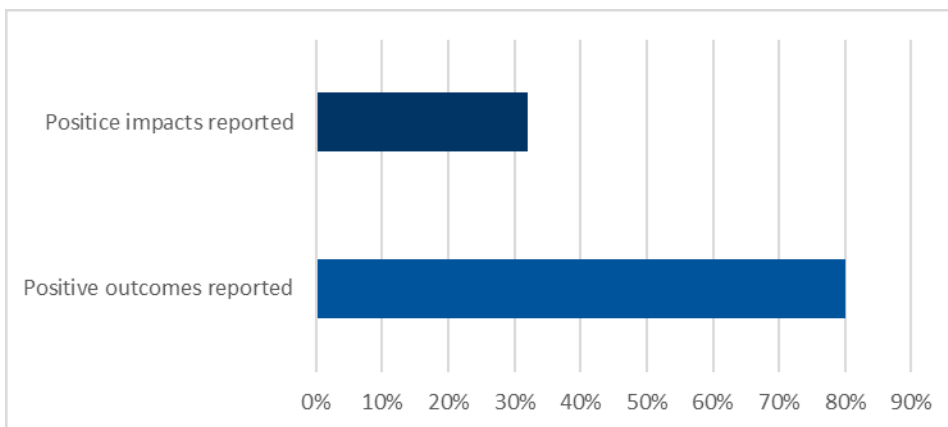
3.2. What does the evidence tell us?

3.2.1. Outcomes and impacts of accountability and advocacy interventions

This section presents the associations made in the literature between interventions, outcomes and impacts. It does not weight or critique the evidence, so ‘more evidence’ does not necessarily mean ‘better evidence’ or stronger causation. Comparisons between interventions represent differences in the evidence, not necessarily differences in efficacy.

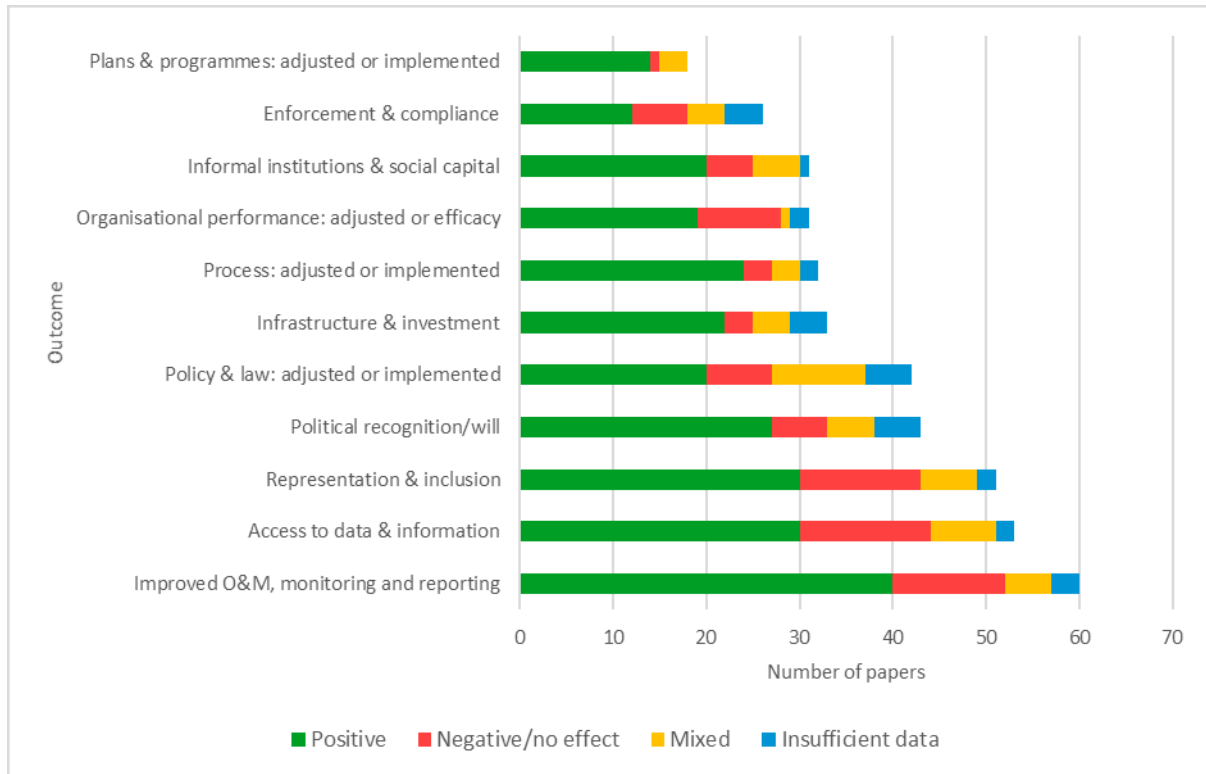
As a headline finding, a significant majority of included articles (80%) associate positive change for water governance at outcome level with accountability and advocacy interventions. Positive change at impact level is less frequently reported, in 32% of included articles (see Figure 12). Illustrative case studies from the included literature which demonstrate this are set out in Annex 7.

Figure 12. Percentage of all included papers reporting positive outcomes or impacts associated with accountability and advocacy interventions.



The evidence available associates accountability and advocacy interventions with positive change across a range of important outcomes for improved water governance and services (see Figure 9). The outcomes most frequently associated with interventions are improved operational maintenance, monitoring and reporting (featuring in 40 papers), followed by access to data and information, representation and inclusion, and political recognition and will. The frequency and nature of change reported in the literature is presented in Figure 13. This indicates where the literature claims a positive effect, where no effect or a negative effect was observed, where a mixed effect was reported, or where insufficient data was presented to determine the nature of the effect.

Figure 13. Outcomes associated with accountability and advocacy interventions in the water sector: frequency in the literature and nature of effect.



A wide range of impacts are associated with accountability and advocacy interventions although the linkages and effect are not as well articulated in the literature as intermediate outcomes – perhaps because they harder to measure. As shown in Figures 14a. and 14b., in line with the greater focus on WASH interventions, there were higher numbers of articles with associated WASH impacts.

There were more studies on WASH focused interventions that reported on impact than there were in other sub-sectors. Changes in accessibility were discussed most frequently, followed by impacts on quality, availability, equity, sustainability and affordability. Across all impacts, precise data to validate and demonstrate claims can be lacking. For example, our coding identified impact claims across many of these variables, but the code “insufficient data” shows cases where an impact is mentioned but not measured in the paper.

Interventions on water resources are most frequently associated with impacts on sustainable use, followed by conflicts, pollution, floods and droughts and here we see a similar issue with adequacy of data. There are no examples of positive outcomes associated with pollution, and remarkably few studies on flood and drought impacts, The implications of these findings are discussed in Section 4.

Figure 14a. Impact of accountability and advocacy interventions on WASH services: frequency of association and nature of effect

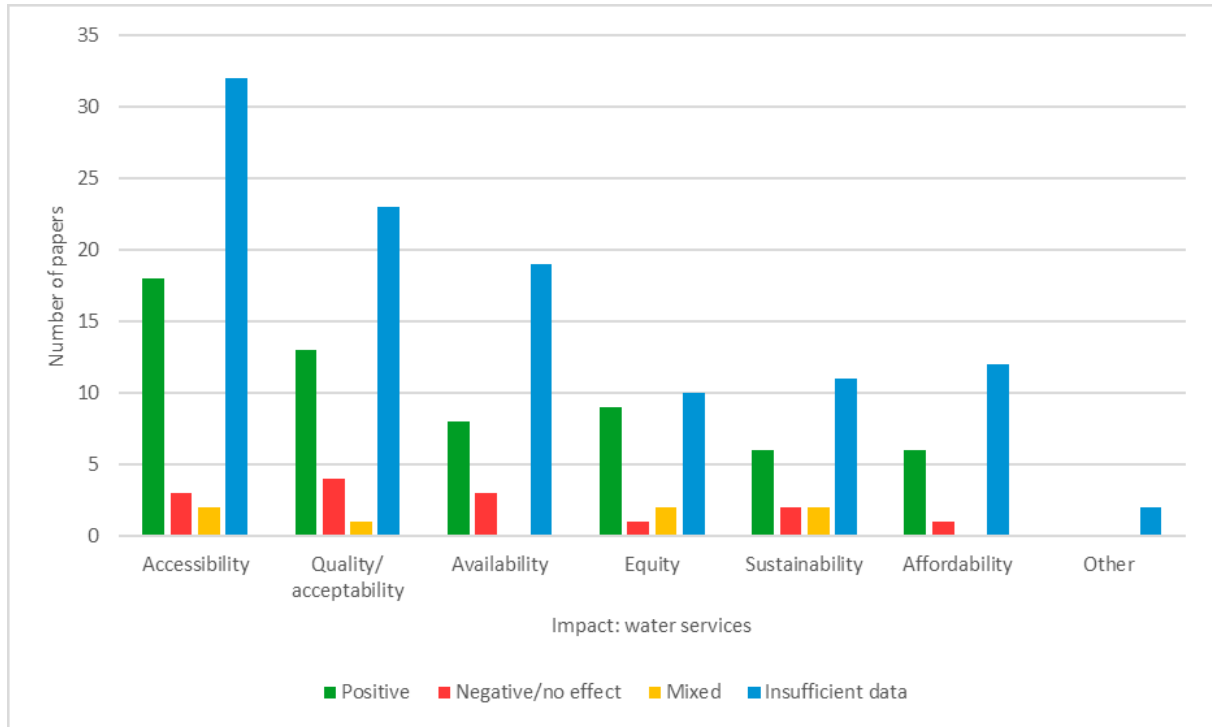
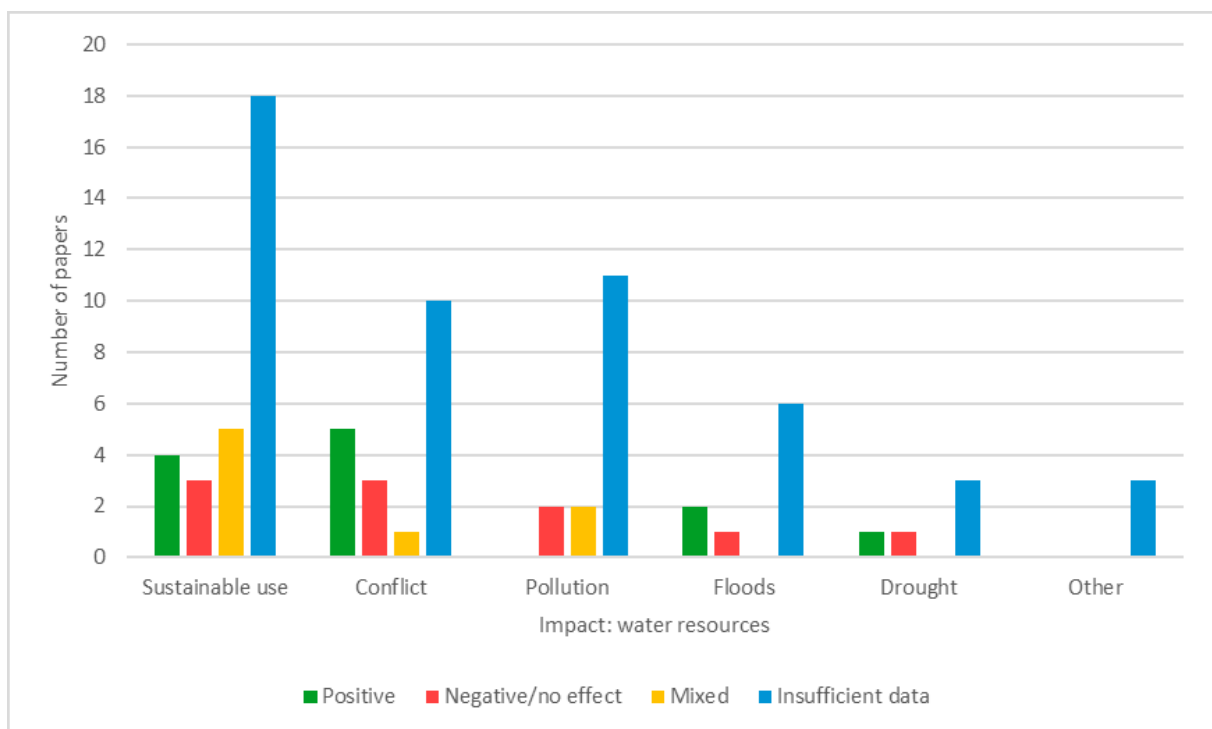


Figure 14b. Impact of accountability and advocacy interventions on water resource management: frequency of association and nature of effect



3.2.2. Factors associated with the performance of accountability and advocacy interventions

Our coding of the literature reveals a diverse set of 28 factors associated with the performance of accountability and advocacy interventions, with multiple factors at play in most accounts reviewed.

Figures 15a. and b. set out these factors based on the positive or negative nature of their reported effect, and the frequency with which they appear in the literature. Factors including a constructive approach (37), training, human resource availability and professionalism (28), leadership and champions (28), taking a strategic approach (27), good public communications (23), dialogue and convening (23) and trust and legitimacy (21) are most frequently associated with positive outcomes. A poor understanding of community and power dynamics (28), ambiguous institutional responsibilities (17), weak inter-agency accountability (17), a challenging water use context (17), limited financial resources (16) and trust and legitimacy (15) are factors most frequently associated with negative or no outcomes.

To address the complexity of these multiple factors and to make the data accessible, we have classified and grouped these factors according to their locus of causality²². The groups are ‘internal’, meaning within the design of the intervention; ‘external’ meaning the context pre-existing the intervention, and ‘interface’ meaning the way the intervention and context interact. Our typology draws on foundational analysis of water institutions by Saleth and Dinar²³ which characterizes factors which influence performance as being either endogenous (internal) or exogenous (external) in origin.

Internal factors relate to the design characteristics or internal organisational dynamics of implementing agencies such as programme duration, training and skills, or gender sensitivity. These are controllable by the practitioners and decision-makers.

External factors are the pre-existing context which can either enable or hinder intervention performance, for example the level of government capacity, or literacy rates in the population. These are beyond the direct reach or influence of the intervention designer, decision maker or practitioner, and must be taken into account in programme design.

Interface factors straddle the boundary between the intervention and its contextual environment, so an element of control is possible, so long as the programme design has paid adequate attention to the external environmental and been modified accordingly.

Whilst imperfect, this typology provides for an initial organisation of the literature and its insights for further development.

The results of applying this typology to the literature are presented in Figure 16. Internal (16a), interface (16b) and external factors (16c), have been ranked based on the frequency cited in the literature, together with an indication of the nature of the effect reported.

²² Locus of causality is borrowed from the field of psychology where it is a dimension used in attribution theory that relates to the perception of the cause of success or failure. The locus of causality may be internal (i.e. based on the one's own characteristics, such as ability or effort) or external (i.e. due to factors such as luck, outside the control of the individual).

²³ Saleth, R.M. and Ariel Dinar, 2005, Water Institutional Reforms: Theory and Practice, *Water Policy*, 7(1): 1-16.

Figure 15a. Factors reported as having a positive effect on the performance of accountability and advocacy interventions showing the frequency with which each is associated with positive outcomes for water governance in the literature

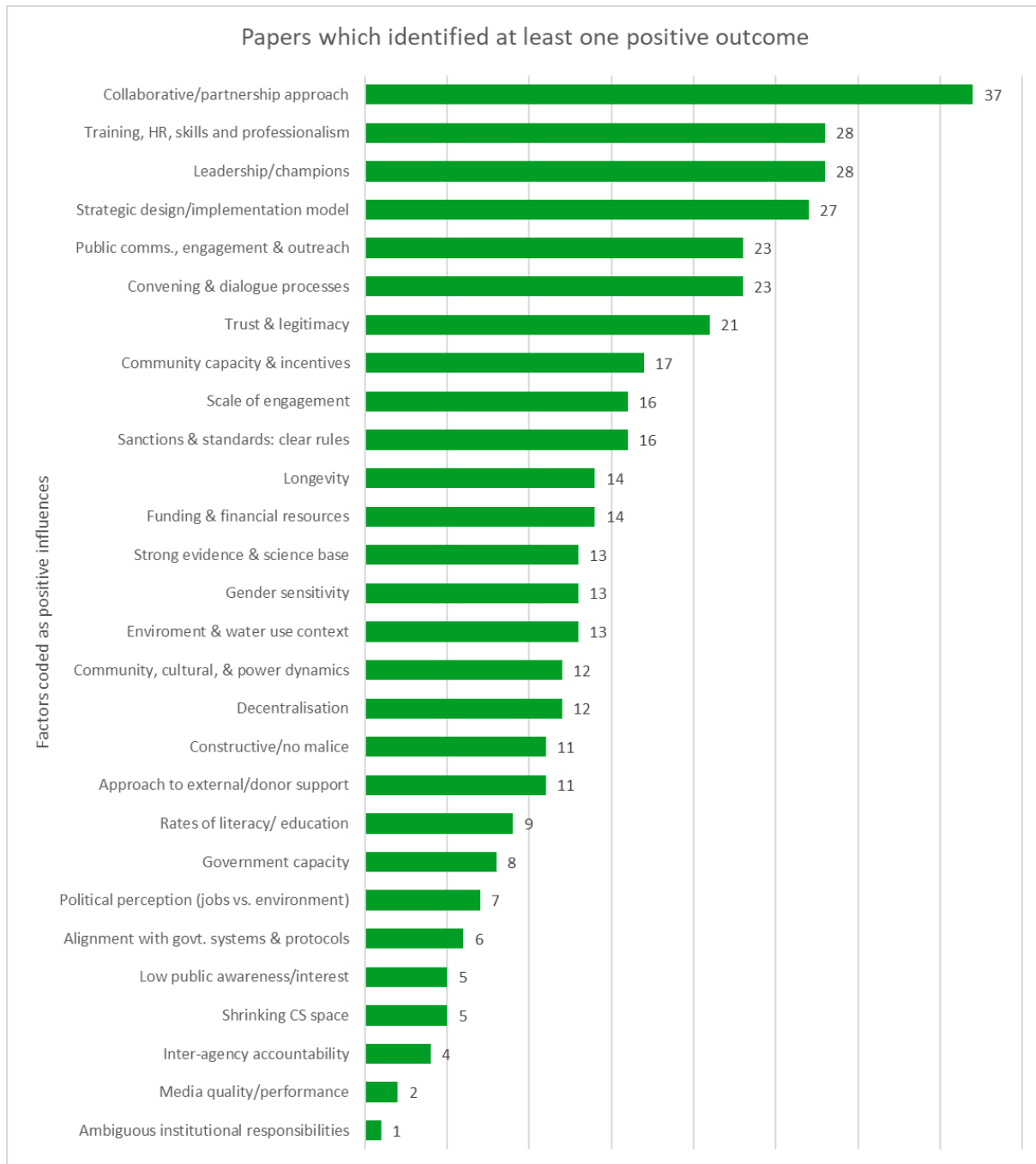


Figure 15b. Factors reported as having a negative effect on the performance of accountability and advocacy interventions showing the frequency with which each is associated with negative outcomes for water governance in the literature

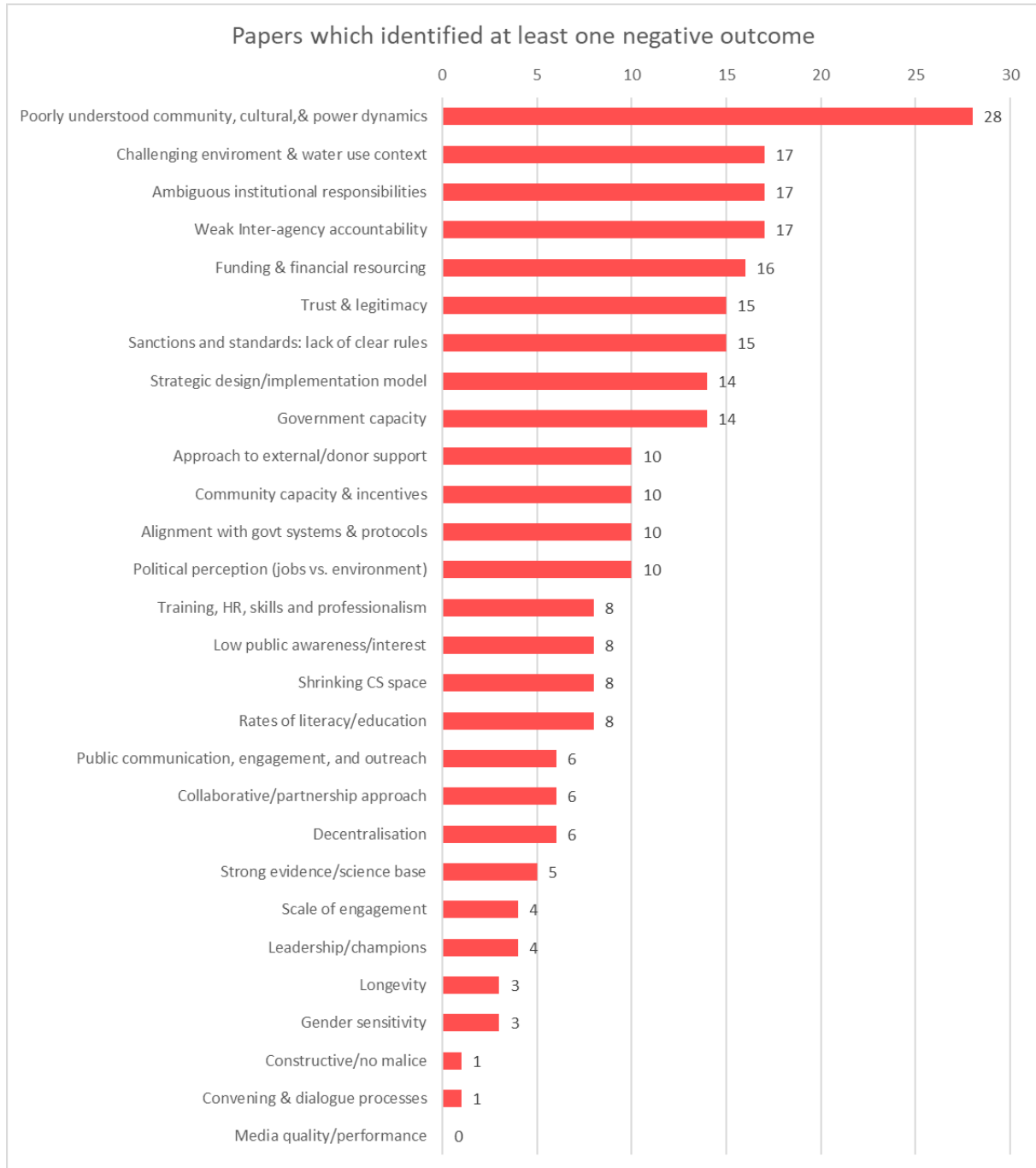
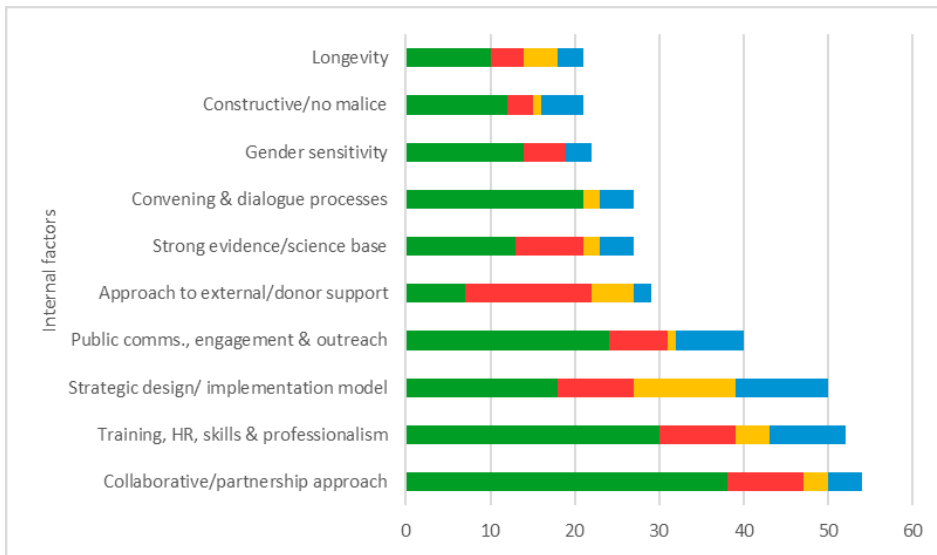
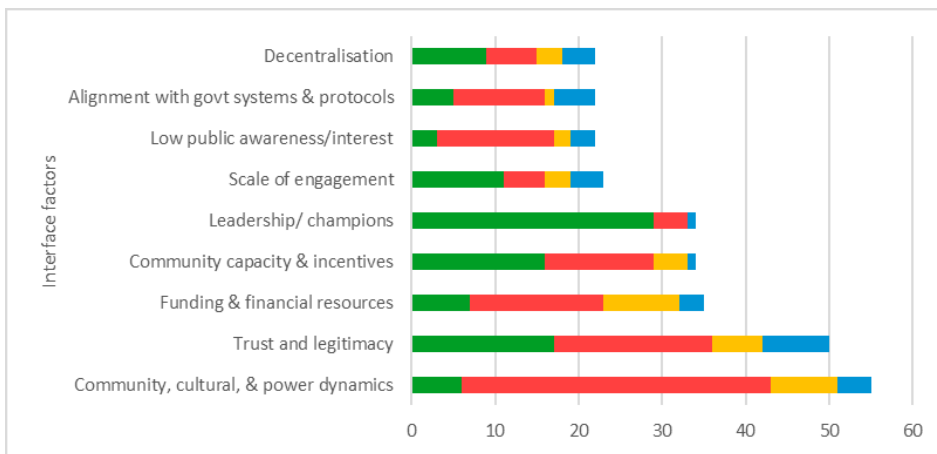


Figure 16. Factors influencing accountability & advocacy interventions: frequency of discussion & nature of effect.

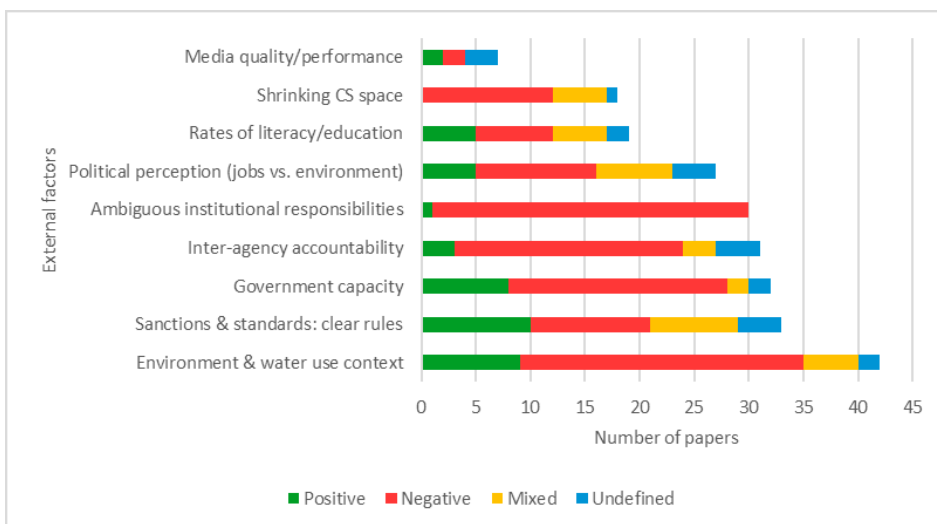
16a. Internal factors



16b. Interface factors



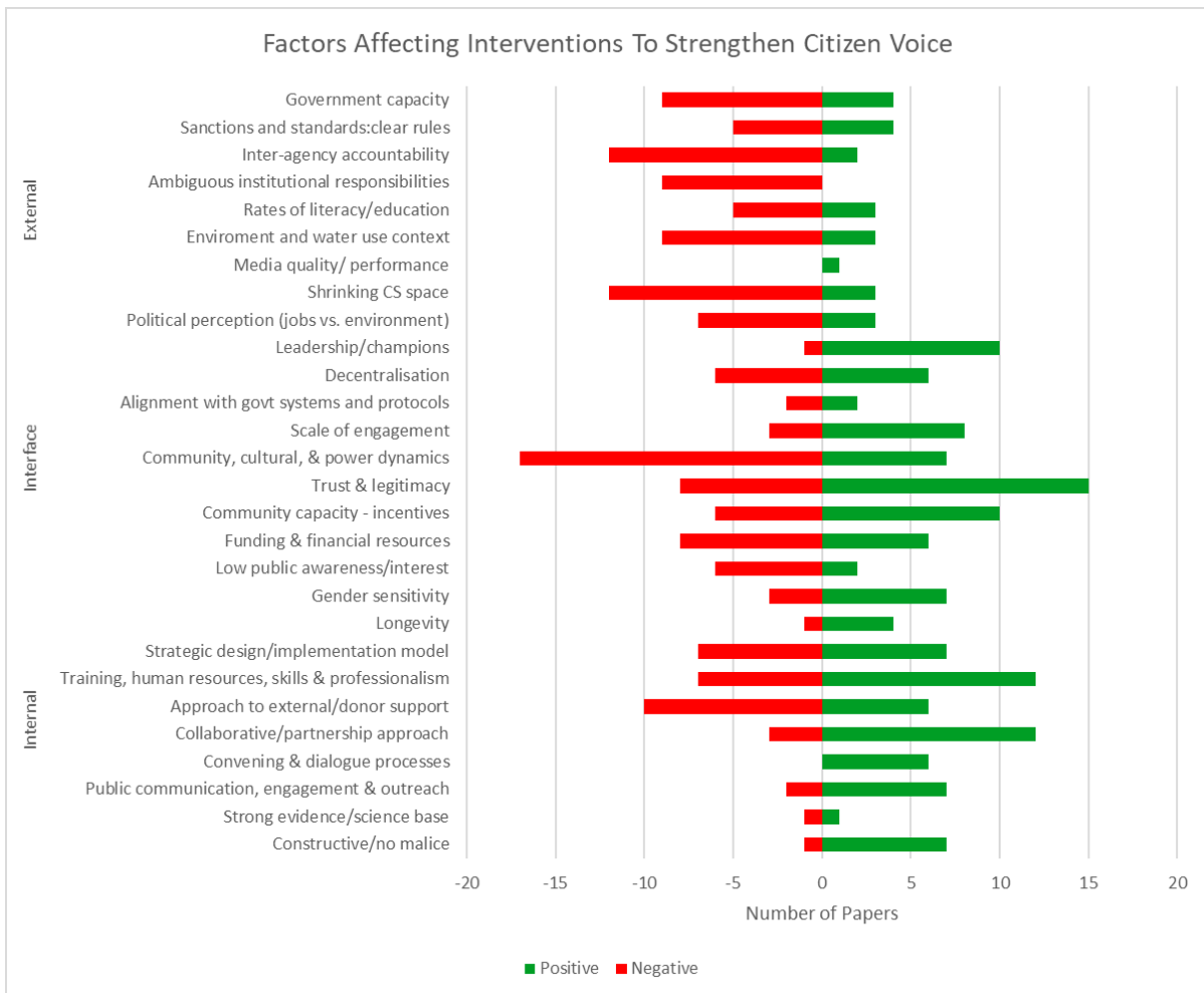
16c. External factors



The nature of these factors is described in more detail in the factor code book in Annex 4, together with examples from the literature. Notably, internal factors are more often associated with positive influence on outcomes than were external and boundary factors, which were more often associated with a negative influence on outcomes. The implications of these findings and their significance for research, policy and practice are discussed in Section 4.

Factors associated with negative or positive outcomes can also be organised at the level of intervention type and sub-type. This type of analysis should be of particular value to practitioners who use or are planning to deploy a particular intervention. For illustrative purposes this analysis has been performed for interventions which seek to strengthen citizen voice and is presented in Figure 17.

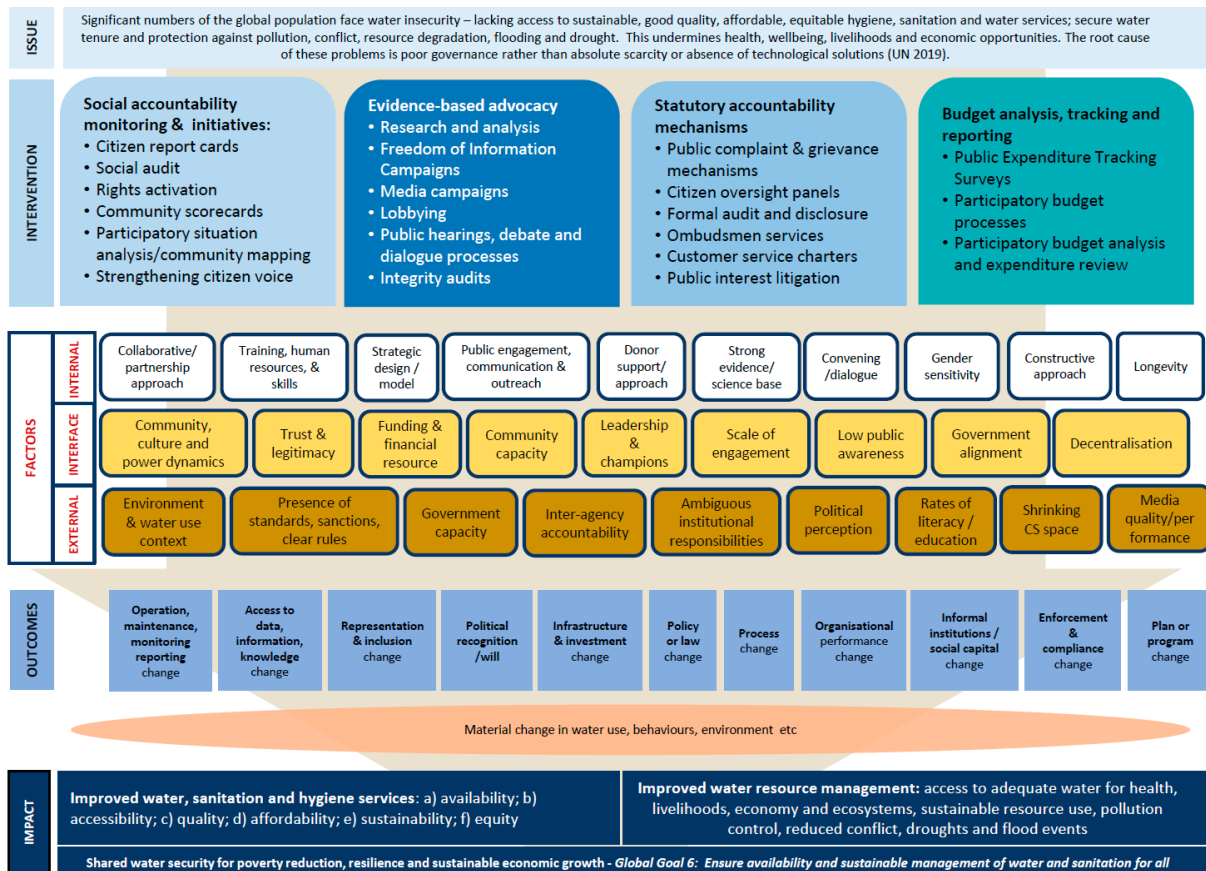
Figure 17. Factors associated with negative vs positive effect on the performance of interventions to strengthen citizen voice, based on number of papers making this association.



3.3. Populating the theory of change

Coding of the literature allows us to revisit our theory of change for accountability and advocacy interventions on water and to populate the ‘missing middle’ using the outcomes and factors which influence performance. Figure 18 presents the theory of change which emerges, with interventions, and their associated outcomes and factors set out from left to right based on the frequency with which they appear in the literature.

Figure 18. Accountability for Water – Theory of Change



4. Discussion of the results

4.1. Implications for policy and practice

4.1.1. Available evidence is relatively modest in size, coverage and depth

Given the scale of the global water crisis and the central role of water security for social and economic progress, the available evidence of 151 papers is modest in size and limited in coverage. India, Tanzania, Kenya and Uganda account for almost half (45%) of all literature on the topic, but even here, there are fewer than 20 papers focused on each country. Detailed findings from selected countries are summarised in the forthcoming Part 3 of the review report.

The topical and thematic range of the evidence is also limited, particularly for agricultural water management, pollution control, climate change related impacts such as droughts and flooding, and the relevance of gender. This is a notable finding given the significance of these issues for global and local water security, climate resilience and sustainable development. The depth of the literature is also relatively limited, as illustrated by the low number of papers which provide detail on the material, long-term impacts of interventions as compared to shorter-term outcomes.

A review of the sources of literature shows that the majority of evidence comes from academic research, with three times as many accounts (92) drawn from journal articles than organisational reports and evaluations (30). These figures suggest that NGOs and the practitioners of accountability and advocacy are placing insufficient priority on evaluating, learning from and sharing the results of their work.

The status of the evidence base creates a challenge for policy-makers and practitioners interested in stimulating stronger accountability for improved water governance. Whilst there are numerous case studies of interventions driving positive change, our current knowledge about what works, why, and for whom is limited. Although important and useful insights of significant value are available, the evidence is unlikely to yield unequivocal answers or detailed conclusions about causation that can safely be transferred between contexts.

Recommendation: The available evidence base should be deepened and widened through a learning-focused approach within future interventions. Decision-makers and practitioners should proceed with caution when designing and delivering interventions. Collaboration with researchers, particularly within the country(-ies) of operation, to ensure rigorous knowledge is generated across appropriate timescales should be embedded.

4.1.2. Positive outcomes for water governance

Although some reporting bias is likely, the results of the review are exciting for those seeking intervention to improve governance and service delivery in the water sector. The evidence suggests that accountability and advocacy interventions have an overwhelmingly positive influence. In 80% of included accounts interventions are associated with positive change in outcomes including: operation, maintenance and monitoring; data availability; representation; political will; investment; policy; law; processes; organisational performance; social capital; enforcement and compliance; programmes and plans. The potential for harnessing these interventions to accelerate delivery of the SDGs is therefore apparent.

Positive impacts are anticipated in all the included papers, but detailed accounts of positive impact via material changes in parameters such water access, quality, availability, affordability, sustainable use, levels of pollution, conflict, droughts and flooding are limited to only 32% of papers. Care is needed when making inferences from this finding. It should not be read that interventions have limited or significant impact, rather that more reporting and research on impacts is required. The challenges of conducting research or evaluations which link interventions with impact and trace attribution through a tangled web of causative variables are significant and discussed further in 4.2.

Recommendation: Further development and investment in accountability and advocacy interventions is a worthwhile endeavor for those seeking better water governance and water services and should be pursued as a priority.

4.1.3. Useful patterns and insights

Although unequivocal evidence about what makes accountability interventions work remains elusive, the evidence usefully highlights the range of factors which can influence their performance. The diversity of socio-economic, political, cultural, and environmental contexts that accountability interventions must respond to highlights that context-sensitive designs will always be needed, rather than attempting the 'discovery' of one approach for all contexts. Efforts towards optimal design and delivery of these interventions should instead be based on local situation and political economy analysis. A key value of this review is to highlight factors to be examined as part of such analyses. This should enable important determinants of performance to be understood at the outset and harnessed for positive influence, or mitigated where they act as a constraint.

The internal factors mapped by the review are within the direct control of the practitioner or decision maker and can be shaped towards optimal design and delivery. They emphasise the relevance of: investing in human resources, skills and training; strategic designs; a collaborative vs disruptive approach; the influence of donor support; convening and dialogue; foregrounding gender issues; generating strong evidence; public communications; and longevity and tenacity of engagement.

Interface factors such as a poor understanding of community and power dynamics, and the recruitment of strong leadership and champions are particularly important. Interface factors are partially within the purview and influence of the practitioner, provided adequate groundwork is done to understand and respond to them.

External factors provide an overview of the contextual challenges which enable or hinder positive outcomes, and again they warrant careful consideration and response. They include issues such as absence or ambiguity of rules and statutory responsibilities; limited government capacity; prevailing political perceptions; restrictions on civil society and citizen freedoms, levels of literacy and media performance. Analysing these can improve the risk management and mitigation strategies for accountability related programmes. Improved understanding of how these structural or systemic issues influence accountability interventions will help with navigating them.

In some instances, factors labelled as external may be malleable to positive action by sector actors, or even targets for interventions. For example, government or other influential stakeholders can shape the wider landscape for accountability. If they initiate or fund reform process which establish new standards or systems, or which resolve ambiguous or overlapping statutory responsibilities, they can significantly improve the prospects for accountability. Ambiguous institution responsibility is frequently found to be an “external” barrier to stronger accountability in this review, which suggests that this is an important target for action and advocacy.

The review offers utility and support to the policy maker and practitioner. It can be used to review the performance of specific interventions and factors associated with them, as illustrated previously in Figure 13. If a certain outcome is sought as a priority, the literature can also be appraised to examine which interventions have been associated with effective delivery of that outcome. Rich and relevant insights are therefore available through deeper analysis of subsets of the literature, supported by the searchable database and knowledge platform at www.waterwitness.org.

The factor ‘checklist’, the populated Theory of Change and associated knowledge products are intended to support and guide more effective policy and practice in future. Forthcoming supplements (Parts 2-4) will provide additional synthesis of the knowledge available at country level and on issues of specific interest to stakeholders, for example on gender, the role of donors, closing civil society space, and measuring accountability. All the originally included references and further analysis are available through interrogation of the Accountability for Water Knowledge Platform.

This review has clear utility for those seeking stronger accountability, improved water services and better governance from different perspectives: for the senior civil servant it points to the opportunities for reform and modified governance processes, for the civil society advocate or practitioner it supports intervention design and practice guidance, and for the external support agent and donor it raises issues for reflection, development and investment.

Recommendation: The review reports and knowledge platform can be drawn on as a resource for evidence relating to accountability and advocacy interventions in the water sector and their theory of change.

Insights provided can be drawn on by all stakeholders to improve the design and delivery of accountability and advocacy interventions.

Factors identified as influencing the way interventions perform can be used as a checklist for improvement, as the basis for risk management or to target collective action to understand and address strategic and systemic barriers to change.

The reference material and deeper analysis provided on an array of topics and issues should be drawn on and added to through further exploration and interrogation via the Accountability for Water Knowledge Platform.

4.2. Implications for research

4.2.1. Formative evidence to situate future research and theoretical and methodological development

In characterising the existing spread and focus of knowledge on the topic we reveal its relatively limited geographical and thematic coverage. Coding of the available literature has enabled the identification of common themes, outcomes, factors and associations between them. This invites further conceptual and theoretical development and new research to explore causality and priorities within different contexts. By organising the contemporary evidence base and presenting a theory of change the review provides a resource to aid and stimulate this additional future inquiry. We also bring together knowledge about suitable methods and approaches for research into these issues.

4.2.2. Scope to deepen and extend knowledge on new areas and topics

The review highlights priority knowledge gaps facing water and development stakeholders. As well as the opportunity to extend the geographical coverage beyond the small number of core countries, a range of gaps and issues for further investigation emerge. In addition to the need for a better understanding of community and government dynamics and the enabling environment, priority should be given to the following areas which each receive limited coverage in the current literature:

- ⦿ The performance and role of accountability for water in agriculture, ecosystem protection and in the management and mitigation of climate impacts including drought and flood events;
- ⦿ The gender dynamics and social equity dimensions of accountability and advocacy;
- ⦿ The performance and outcomes of budget analysis and tracking;
- ⦿ The interplay between accountability, the media and public awareness and action.

4.2.3. Research is needed to better understand impacts and causality

The review validates the need for additional research and deeper exploration of the topic. There is a need to better trace and attribute the effects of interventions to material impacts for water security. This will support more effective design and strategic support and resourcing for interventions. However, this is not a straightforward exercise and will require focused research effort over extended timescales, and comparative contexts. The theory of change provides an initial framework for testing assumptions and causal relationships.

Recommendations for research: Additional research, and monitoring and evaluation effort, is needed to extend the geographical and thematic coverage, and to deepen the global knowledge base on accountability for water. Priority should be given to testing the relationships between interventions, factors, outcomes and impact and addressing the knowledge gaps identified by this review. This will enable the policy and practice community to realise the benefits of stronger accountability for water. Opportunities to resource and undertake collaborative research between practitioners and researchers over timescales of an appropriate length to trace interventions to impact are a priority.

5. Conclusions

This review identifies and organises the global anglophone literature on the outcomes of accountability and advocacy interventions on water, and the factors which influence their performance. By screening the initial dataset from 7424 to the final 151 included papers, and subsequent coding and synthesis, this exercise sets out the contemporary knowledge base on the topic.

It confirms that the pool of knowledge is formative, and emphasises the value of future collaboration between researchers, practitioners and policy makers, particularly given the urgency and multiple imperatives for improved water governance and water service delivery.

We report that in 80% of available studies, accountability and advocacy interventions are associated with positive outcomes for water governance, but that positive impacts on the ground are reported less frequently.

We identify a series of 28 factors which explain the performance of interventions, and organises them in terms of the frequency with which they appear, and within a typology based on their origin: internal to the intervention, external, within the wider context of its delivery, or interface, at the interaction between the two.

We develop of a theory of change for further elaboration and testing which captures the complex causal pathways and influences affecting intervention success or failure.

We provide a Knowledge Platform: including a searchable database of the collated evidence, to support and supplement future work – visit www.waterwitness.org.

This enables us to identify implications and priority recommendations for the policy, practice, and research community, and these are summarised below. In reviewing current knowledge and organising it for further interrogation and use this work contributes towards strengthening of accountability for water – to unlock a fairer water future for all.

Recommendations emerging from the review:

1. **The available evidence base should be deepened and widened through a learning-focused approach within future interventions.** Decision-makers and practitioners should proceed with caution when designing and delivering interventions. Collaboration with researchers to ensure rigorous knowledge is generated across appropriate timescales should be embedded.
2. **Further development and investment in accountability and advocacy interventions is a worthwhile endeavor for those seeking better water governance and water services and should be pursued as a priority.**

3. **The review reports and knowledge platform can be drawn on as a vital resource for evidence relating to accountability and advocacy interventions and their theory of change.** Insights provided can be drawn on by all stakeholders to improve the design and delivery of accountability and advocacy interventions. Factors identified as influencing intervention success can be used as a checklist for improvement, as the basis for risk management or to target collective action to understand and address strategic and systemic barriers to change. The reference material and deeper analysis provided on an array of topics and issues, should be drawn and added to through further exploration and interrogation via the Accountability for Water Knowledge Platform.

4. **Additional research, and monitoring and evaluation effort is needed to extend the geographical and thematic coverage, and to deepen the global knowledge base on accountability for water.** Priority needs to be given to testing the relationships and addressing the knowledge gaps identified by this review to enable the policy and practice community to better harness the benefits of stronger accountability for water. Opportunities to resource and undertake collaborative research between practitioners and researchers over timescales of an appropriate length to trace interventions to impact are a priority.

Annex 1. Accountability and advocacy interventions of interest

Accountability mechanism	Definition	Examples
Social Accountability monitoring and initiatives		
<i>Strengthening citizen voice</i>	Tools and practices that strengthen the ability of citizens to express their preferences and to be heard by the state, either through formal or informal channels. For the purposes of this report, public protest was included within this category as a mechanism to amplify issues of social concern.	Feruglio 2017; Madrigal-Ballesteros et al. 2010, 2011, 2013; Nganyanyuka et al. 2017; Roncoli et al. 2016.
<i>Participatory situation analysis</i>	A comprehensive and holistic analysis to understand and characterise socio-economic and environmental contexts, barriers and opportunities for change, and better understand social dynamics within a given context.	Connick and Innes 2003; Moraes and Rocha 2013; SOPPECOM 2017.
<i>Community scorecard</i>	A participatory monitoring and evaluation tool that enables citizens in a community to assess and rank the quality of public services.	Pieterse 2019a; Ramachandrudu and Snehalatha 2010; Sirker et al. 2010.
<i>Citizen report card</i>	Participatory community surveys recording user perceptions regarding the quality, adequacy and efficiency of public services.	Public Affairs Foundation 2015; Salim and Wangu 2014.
<i>Rights activation</i>	The active translation of economic, social, cultural or political rights into tangible and meaningful citizen claims.	Lande and Fonseca 2018; Lobina et al. 2007; Mwhaki 2018
<i>Social audit</i>	A participatory review or monitoring of government (or other) records and documentation of programmes, projects and expenditure at the community level in order to hold the government agencies accountable. It should ideally be a collaborative process where the government uses knowledge made available to it by local communities to validate official records and data.	Pare and Robles 2006; Public Affairs Foundation 2009; Storey 2014.

Budget analysis, tracking, and reporting

Public Expenditure Tracking Surveys (PETS)	Surveys designed to track the amount of funds received at each point in the chain of public service delivery, allowing citizens to monitor for instances of corruption or misuse of funds.	Thomas and Aslam 2018; Nass et al. 2018; Pieterse 2019a, 2019b.
Participatory budgeting processes	Budgeting processes that directly involve citizens in decision-making over public spending priorities and allow for meaningful consultation over how public funds are used.	Danida 2012; Nass et al. 2018; Pieterse 2019a, 2019b.
Participatory budget analysis & expenditure review	Participatory processes that allow citizens to scrutinise, review, question, and comment on public spending.	Fierro et al. 2016; Tincani & Mwaruvanda 2016.

Evidence based advocacy

Research and analysis	Preparation of accurate, reliable and policy relevant evidence to inform advocacy strategies and programme activities.	Acacia Consultants 2010; Lobina et al. 2007; Nare et al. 2011, Pervais et al. 2009; Tincani and Mwaruvanda 2016.
Freedom of information campaigns	Organised campaigns to build public pressure for greater transparency and the release of information in the public interest.	Mbilima 2019; Romano 2012; Sahu 2010.
Media campaigns	Organised campaigns mobilising media to engage the general public and advocate for policy changes.	Dore et al. 2012; Meissner 2016; Romano 2012; UNDP 2013.
Lobbying	Direct targeting of public officials and lawmakers via meetings, letter writing etc. to influence policy positions and secure commitments to change.	Gondwana Watch 2014; Pental and Schmidt 2011; Romano 2012.
Public hearings, debates, and dialogue processes	Public forums for different stakeholders including citizens, service providers and state officials to interact, respond to questions and exchange views.	Dewachter et al. 2018; Faehndrich & Nhantumbo 2012; Kovacs et al. 2016; Van Campenhout et al. 2017.
Integrity audits	Formal examination process to ensure organisational integrity and identify incidents of corruption or malfeasance.	Gonzalez et al. 2009; Kerstens et al. 2016; Leclert et al. 2016.

Statutory accountability mechanism		
Public complaint & grievance mechanisms	Formal mechanisms for citizens to register complaints or articulate grievances.	Casely 2006; Feruglio 2017; Lee et al. 2018.
Formal audit and disclosure	Formal monitoring process to ensure compliance with laws and regulations, with results publicly disclosed to ensure transparency and accountability,	Uhlendahl et al. 2011; UNDP 2013; Willets et al. 2013.
Ombudsman services	Independent, government appointed arbitration service supporting citizens to pursue dispute resolution.	Tropp et al. 2017; UNDP 2013.
Customer service charters	Document specifying the standards a service provider commits to uphold.	Cavill and Sohail 2004; Public Affairs Foundation 2014, 2015; Summerhill et al. 2012.
Public interest litigation	Legal action to secure justice on behalf of the general public.	Cantor 2016; Flanagan and Zheng 2018; Haglund 2014.
Other		
Participatory planning/ mapping	Spatial mapping and design tools (e.g. participatory GIS) that involve citizens to embed local understandings of space and plan according to local priorities.	Ali 2010; Cinderby et al. 2011; Hendricks et al. 2018; Mukhtarov et al. 2018; Simms et al. 2016.
Corruption survey, Participatory Corruption Appraisal, performance benchmarking	Participatory tools to identify and deter instances of corruption or poor standards of service.	Gonzalez et al. 2009.
ICT performance monitoring + payment systems	ICT based tools include mobile apps and surveys for data crowdsourcing and transparent, automated water payments	Ball et al. 2013; Dandida 2012; Krowilowski 2014.

Annex 2. Review advisors

Surname	Forename	Organisation
Atela	Martin	PASGR
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Shivaji	Samson	Kewasnet
Smith	Kyla	WaterAid

Annex 3. Definition of Terms

Term/Phrase	Review Definition
Accountability	<p>‘the ability of one actor to demand an explanation or justification of another actor for its actions, and to reward or punish that second actor on the basis of its performance or its explanation.’ (Rubin 2006); Social accountability, a subset of accountability is defined as ‘civic engagement, in which citizens and civil society organizations participate in exacting accountability through a proactive process of institutional performance monitoring and open deliberation in the public domain’ (see Malena et al. 2004; Fox 2014). The map and review will include studies spanning social accountability and its tools (such as PETS, citizen report cards, social audits, community monitoring etc.) and more formal, statutory modes of accountability.</p>
Advocacy	<p>‘the organised attempt to change policy, practice and attitudes by presenting evidence and arguments for how and why change is needed, OSF, 2010). A systematic and strategic approach to influencing governmental and institutional policy and practice change’ (Ross 2013). ‘Work done to influence the policies and actions of governments, international institutions and the private sector, in order to achieve positive change. Advocacy encompasses research and policy analysis, lobbying, communications and public campaigning and can be focused on securing formal policy changes; driving implementation; or creating an enabling environment for change.’ (Save the Children, 2019)</p>
Advocacy/ accountability interventions	<p>An ‘intervention’ is an act or strategy intended to resolve a difficulty or improve a situation (OED, 2019). In this context an accountability or advocacy intervention is a discrete action, programme, project or reform which seeks to strengthen or enact accountability or generate and deliver advocacy. Usually but not exclusively lead by an NGO or civil society organisation. Joshi (2013) defines accountability interventions in service delivery by drawing on Schedler (1999) and sets out four elements: setting standards, getting information about actions, making judgements about appropriateness and sanctioning unsatisfactory performance. An advocacy intervention can be considered as the use of evidence generated by accountability monitoring, budget analysis and tracking to advocate for positive change in sustainable water resource management and the provision of WASH services.</p>

Improved service delivery

We define service delivery in the water sector as the delivery of basic services of water supply, sanitation and hygiene in line with accepted norms and definitions as set out by the Joint Monitoring Programme (JMP) of UNICEF/WHO. 'Improved' service delivery refers to positive changes in, or greater levels of equitable access to:

Availability: water supply must be sufficient and continuous for personal and domestic uses. Availability of sanitation depends on the presence of a latrine, as well as, crucially, adequate systems for the collection, treatment, and disposal or reuse of wastes. Availability includes concepts of 'reliability' and 'continuity'.

Accessibility: water should be available within or near the home and water sources must be accessible to everyone, including people who face specific barriers to access, such as persons living with illness or disability, older persons and children. For sanitation, access within the home is essential for health, privacy, security (particularly for women and children) and dignity. Water and sanitation services must also be accessible to people when they are not at home, including at work, at school, in public places and in places of detention.

Quality: The WHO Guidelines for drinking-water quality define recommended limits for chemical and biological substances, and are set to maximise water safety for human beings. Full compliance with these guidelines or incremental improvements in key parameters. On sanitation 'quality' toilets must be hygienic to use and to maintain, and waste matter must be safely contained, transported, treated and disposed of or recycled.

Affordability: Affordability standards and targets are essential to ensure that people are able to pay for their water and sanitation services, as well as afford access to other human rights, such as food and housing.

Acceptability: If services are to be used hygienically and sustainably, and if everyone is to be able to use the services without discrimination or stigma, services must be acceptable to the intended users.

Sustainability: Water and sanitation must be provided in a way that respects the natural environment and the rights of future generations, and that ensures a balance among the different dimensions of financial, social and environmental sustainability. Standards and targets must take into account the operation, maintenance and rehabilitation of services, as well as the financial and human capacity to manage services, whether this is carried out by government, service providers or civil society actors. In those countries or areas of countries where water is scarce or at risk of natural disasters such as earthquakes and flooding, resilience planning, to reduce the risk to water and sanitation facilities must be in place.

Hygiene: availability and adequacy of handwashing facilities with soap is a key factor in improved health and wellbeing outcomes.

Improved water governance

Water governance is the set of rules, practices, and processes (formal and informal) through which decisions for the management of water resources and services are taken and implemented, stakeholders articulate their interests and decision-makers are held accountable (OECD, 2015). Drawing on the OECD Water Governance principles and indicator framework, improved water governance can be considered as changes in: roles and responsibilities; appropriate scale; policy coherence; capacity; data and information; financing; regulatory frameworks; innovative governance; integrity and transparency; stakeholder engagement; trade-offs across users and generations; monitoring and evaluation. Improved water governance can also be defined via its public good outcomes and impacts such as: enhanced water quality and water balance/flows; increased levels of enforcement and compliance; efficiency savings and reduced transaction costs; protection of priority uses and ecosystems; enhanced equity; reduced conflict and mitigation of impacts of floods, droughts and pollution. Ultimately improved water governance leads to greater water security defined as the reliable availability of an acceptable quantity and quality of water for production, livelihoods, health and ecosystems, coupled with an acceptable level of risk from hazards including droughts, floods, pollution and conflicts (Grey and Sadoff, 2007).

Water sector

We are interested only in activities focused on improved performance on water, but note that this incorporates the provision of WASH, water resource management, management of floods and droughts, and agricultural water management.

Theory of change analysis

An evaluation of the influencing or controlling elements, circumstances and causes – the determinants of performance for water advocacy or accountability mechanisms. We are interested in factors that are barriers and facilitators of performance to understand the effectiveness of different approaches.

Causal Chain

The specific linking mechanisms within a theory of change: “the chain of causal assumption that link programme resources, activities, intermediate outcomes and ultimate goals” Popay et al. 2006

Annex 4. Search strategy details

An appropriate Boolean search string to query the databases was developed through scoping and testing alternatives. Search terms were compiled using thematic areas identified in the research question, broken down into 3 areas: water terms, mechanism terms and terms related to outcomes (see Table 1). The search strings were tested for sensitivity in Web of Knowledge, Econ lit and Wiley, and the results assessed based on:

- ⦿ the total number of papers returned
- ⦿ number of papers from relevant academic areas
- ⦿ number of papers relevant to the question
- ⦿ papers returned from a selection of key authors and benchmark articles felt to be relevant and suggested by our stakeholder team including:

Dewacher S, Holvoet N, Kuppens M, 2018. B, Beyond the Short versus Long Accountability Route Dichotomy: Using Multi-track Accountability Pathways to Study Performance of Rural Water Services in Uganda. World Development 102: 158-69

Holvoet, S, Dewacher, S, Molenaers N, 2016. Look Who's Talking. Explaining Water-Related Information Sharing and Demand for Action Among Ugandan Villagers, Environmental Management, 58:5

Jimenez A, Livsey J, Ahlen I, 2018. Global Assessment of Accountability in Water and Sanitation Services using GLAAS Data, Water Alternatives – an Interdisciplinary Journal on Water Politics and Development, 11:2

Ngayanguka K, Martinez J, Lungo J, 2018. If citizens protest, do water providers listen? Water woes in a Tanzanian town. Journal of Environment and Urbanisation, 30: 3

Based on this sensitivity assessment the search string which returned the most comprehensive and relevant set of articles, and which we went on to use is:

Water AND (Accountab OR Advocacy OR "Accountability Monitoring" OR "Social Accountability Monitoring") AND (Governance OR Service)*

Table 1. Terms used to develop the search string

Water Terms	Mechanism Terms	Outcome Terms
Water	Accountability	Service Delivery
Sanitation	Grievance	Governance
Supply	Rights	Management
Resource	Complaint	Sustainable
River	Report	Equity
Basin	Audit	Health
Catchment	Scorecard	Poverty
Watershed	Duty	Quality
Aquifer	Ombudsman	Efficiency
Groundwater	Legal	Livelihood
Borehole	Regulation	Wellbeing
Irrigation	Enforcement	Gender
Pollution	'Accountability Monitoring'	Benefit
Drought	'Social Accountability'	Performance
Flood	Oversight	Poor
Climate	Advocacy	Resilience/Resilient
WASH	Demand	Vulnerability/Vulnerable
IWRM		Capacity
Hygiene		Adequate
		Access

Specialist websites searched:

1. ACE – Africa Centre for Evidence
2. Amnesty International
3. CGIAR – Consultative Group on International Agricultural Research
4. CSIR (South Africa) – Centre for Scientific and Industrial Research
5. Regional and International Development Banks (World Bank including IEG, AfDB, ADB, IDB, IFC, IMF)
6. Eco-justice in Canada
7. GPSA – Global Partnership for Social Accountability
8. GWP – Global Water Partnership
9. Human Rights Watch
10. IDS – Institute of Development Studies
11. IFAD – International Fund for Agricultural Development
12. IFPRI – International Food Policy Research Institute
13. INBO – International Network of Basin Organisations
14. IRC-WASH
15. IUCN – International Union for Conservation of Nature
16. IWA – International Water Association
17. IWMI – International Water Management Institute
18. Minority Rights International
19. ODI – Overseas Development Institute
20. Overseas Development Agencies (AfD/DFID/GIZ/KfW/DANIDA/FINIDA/EU/NORAD/SIDA/CIDA/IDRC/AusAID/USAID/JICA/Netherlands/BTC)
21. OXFAM
22. PASGR
23. RWSN
24. RTI International
25. SIWI – Stockholm International Water Institute
26. SEI – Stockholm Environment Institute
27. Third World Centre for Water Management
28. UN (UN Water, UNEP, UNDP, UNESCO, FAO and UN special Rapporteur on human rights to water and sanitation)
29. WaterAid
30. Waterlines
31. WaterShed coalition
32. WEDC
33. Water integrity Network (WIN)
34. Water Witness International
35. World Water Council
36. WWF – World Wildlife Fund

Annex 5. Factors codebook

Internal factors	Inclusion criteria (positive)	Inclusion criteria (negative)
<i>Constructive/ no malice</i>	<p>Interactions between stakeholders within a community or project were characterised by positive intent and a solutions-oriented approach; when differences of opinion occurred or interests clashed, stakeholders were capable of working constructively to identify a mutually acceptable resolution.</p> <p>e.g. Ali 2010; Dore et al. 2012; Feruglio 2017; Jacobson et al. 2010; Lieberherr and Ingold 2019; Rautanen and White 2018.</p>	<p>Reference to malicious, uncooperative, or selfish attitudes, behaviours and practices within communities or organisations as a negative determinant of water accountability outcomes. Stakeholder intent was not solutions oriented and preoccupied with blame attribution over conflict resolution.</p> <p>e.g. Krowilowski 2014; Maponya 2018; Romano 2012.</p>
<i>Strong evidence/ science base</i>	<p>Stakeholders had access to and relied on robust and scientific knowledge and data; evidence-based decision-making generated improved water accountability outcomes.</p> <p>e.g. Ali 2010; Baldwin and Uhlmann 2010; Bellaubi and Vischer; Cinderby et al. 2011; Flanagan & Zheng 2018; Huntjens et al. 2011; Public Affairs Foundation 2009.</p>	<p>Limited, incomplete or unreliable (anecdotal, partial, biased) evidence obstructed accountability outcomes. There was insufficient evidence available to guide and inform project/ programme activities.</p> <p>e.g. Carlson and Cohen 2018; Grönwall 2016; Himley 2014; Jetoo 2018.</p>

<p><i>Public communication, engagement and outreach</i></p>	<p>Efforts were made to ensure openness and transparency, relaying information to affected communities, and involving them in the water accountability process.</p> <p>e.g. Aslam and Yilmaz 2011; Cinderby et al. 2011; Dewachter et al. 2018; Kelly et al 2017.</p>	<p>Closed, opaque, and internally focused organisational structures prevailed, with little or no effort to involve communities. Project or programme staff were reluctant to share plans, proposals or findings, or consult with the public. Alternatively, efforts to engage the public or reach out to communities backfired and were negatively received.</p> <p>e.g. Bolin et al. 2008; Cavill and Sohail 2004; Gillet et al. 2014; Jiménez et al. 2018.</p>
<p><i>Convening and dialogue processes</i></p>	<p>Processes that fostered the free exchange of knowledge, views, and perspectives prevailed, with opportunities for discussion and input from multiple stakeholders.</p> <p>e.g. Ballestero 2012; Driel et al. 2017; Feruglio 2017; Jacobson et al. 2010; Kvartiuk 2016; Pare and Robles 2006.</p>	<p>Either limited opportunities existed for beneficial dialogue processes to be opened, or processes that did occur had a detrimental impact on accountability outcomes.</p> <p>e.g. Dewachter et al. 2018; Tattersal 2010.</p>
<p><i>Collaborative/partnership approach</i></p>	<p>Activities were characterised by co-operative behaviours and practices, with stakeholders engaging with each other on an equal footing.</p> <p>e.g. Acacia Consultants 2018; Adams and Boateng 2018; Connick & Innes 2003; Dundon and Jaleta 2013.</p>	<p>Little effort was invested in fostering partnership between stakeholders; collaborative endeavours did not proceed as envisaged or ended in failure, with competitive or individualistic instincts prevailing.</p> <p>e.g. Newborne 2008; Pakizer and Lieberherr 2018; Smet and Achiro 2010; SOPPECOM 2017.</p>

<i>Approach to external/donor support</i>	<p>Stakeholders cultivated a stable and effective working relationship with external donors, and were able to effectively channel donor resources towards strengthening accountability outcomes.</p> <p>e.g. Driel et al. 2017; Gondwana Watch International 2014; Pervais et al 2009; Pieterse 2019; Sirker et al. 2010.</p>	<p>Antagonistic or challenging relations between external donors and beneficiaries inhibited accountability outcomes.</p> <p>e.g. Boesten et al. 2011; Laurie and Crespo 2007; Rahman et al. 2007; Suleiman 2011; Tincani and Mwaruvanda 2017; Tropp et al. 2017; Water Witness 2020.</p>
<i>Training, human resources, skills and professionalism</i>	<p>Positive contributions of highly skilled and qualified personnel, who were well equipped and sufficiently prepared to address challenges of particular contexts.</p> <p>e.g. Acacia Consultants 2010; Danida 2012; Dore et al. 2012; Gonzalez et al. 2009; Madrigal-Ballesteros 2010; Ndaw 2015; Roncoli et al. 2016.</p>	<p>Poorly trained, under-prepared and/or ill-informed staff inhibited accountability outcomes; attitudes, behaviours and practices did not meet standards of professionalism required to carry out tasks effectively.</p> <p>e.g. Angelstam et al. 2017; Ban et al. 2010; Imoro et al. 2016; Ramachandrudu and Snehalatha 2010; Sneddon and Fox 2007.</p>
<i>Strategic design/implementation model</i>	<p>The design or implementation model of projects/programmes was alert to dynamic and changing contexts, underwritten by careful planning and strategic vision.</p> <p>e.g. Public Affairs Foundation 2015, 2016; Sahu 2010; Water Witness/WIN 2020.</p>	<p>Project/programme design or implementation models were of a generic nature and did not cater to the specificities of particular contexts.</p> <p>e.g. Nare et al. 2011; Roncoli et al. 2016; Thomas and Aslam 2018; Welle et al. 2015, 2016.</p>

<p><i>Longevity</i></p>	<p>The duration of the programme or intervention positively influenced the success of final outcomes; explicit reference made to the duration of the project or programme allowed for sustained improvements in the water sector.</p> <p>e.g. Borgias 2018; Hong 2017; Leclert et al. 2016; Pare and Robles 2006;</p>	<p>An inability to track and monitor long-term changes inhibited the efficacy or appropriateness of accountability interventions, short-term gains were not sustained over longer periods.</p> <p>e.g. Summerhill et al. 2015; Uhlendahl et al 2011; UNDP 2013;</p>
<p><i>Gender sensitivity</i></p>	<p>Organisational or programme design recognised and responded to the gendered roles and responsibilities in water provision/governance; gender analysis informed decision-making; explicit efforts were made to tackle persistent gender inequalities or promote the empowerment of women and girls.</p> <p>e.g. Nass et al. 2018; Masanyiwa et al. 2014; Moraes and Rocha 2013; Pieterse 2019; Rautanen and White 2018; Velleman 2010.</p>	<p>Gender blind approaches predominated, failing to recognise or combat sexist attitudes, behaviours and practices; project or programme activities upheld patriarchal structures, or compounded gender inequalities.</p> <p>e.g. Flores et al. 2013; Hill 2015; Pieterse 2019; SOPPECOM 2017.</p>

Interface factors	Inclusion criteria (positive)	Inclusion criteria (negative)
<i>Low public awareness/interest</i>	<p>Increased public awareness of, or interest in, projects/programmes in the water sector strengthened accountability.</p> <p>e.g. Dewachter et al. 2018; Driel et al. 2017; Kelly et al. 2017; Sahu 2010.</p>	<p>Limited public awareness of, or disinterest in, projects/programmes in the water sector weakened accountability.</p> <p>e.g. Lande and Fonseca 2018 Moraes and Rocha 2013; Sambo 2018; Thomas and Aslam 2018; UNDP-SIWI Water Governance Facility 2017.</p>
<i>Funding and financial resource</i>	<p>Sufficient funding and financial resources were available to deliver or accelerate water accountability initiatives.</p> <p>e.g. Baldwin & Uhlmann 2010; Danida 2012; Flores et al. 2013; Nare et al. 2011.</p>	<p>Intermittent, insecure or limited funding constrained accountability outcomes.</p> <p>e.g. Alba et al. 2016; Ban et al. 2010; Kvartiuk 2016; Lande and Fonseca 2016.</p>
<i>Community capacity – incentives</i>	<p>Communities were well resourced/supported and motivated to participate in initiatives holding service providers, implementing agencies, and government authorities to account.</p> <p>e.g. Moraes and Rocha 2013; Pendall and Schmidt 2011; Rautanen and White 2018; Tigabu et al. 2013.</p>	<p>Due to additional pressures (external or internal), communities lacked the capacity or incentives to participate in water accountability projects and programmes.</p> <p>e.g. Mbilima 2019; Simms et al. 2016; Well et al. 2015, 2016; Wester et al. 2011.</p>

<i>Trust and legitimacy</i>	<p>High levels of trust and legitimacy between stakeholders prevailed, strengthening accountability ties and programme participation.</p> <p>e.g. Ali 2010; Boesten et al. 2011; Casely 2006; Garrick et al. 2012; Lu & Tsai 2017; Romano 2012; Sharmeen 2014.</p>	<p>Distrust, cynicism and suspicion typified relationships between stakeholders and informed their response to interventions, weakening accountability.</p> <p>e.g. Faehndrich & Nhantumbo 2012; Kadirbeyoglu 2017; Larsen et al. 2008; Scott et al. 2008; Sneddon and Fox 2007; Suleiman 2011.</p>
<i>Community, culture, and power dynamics</i>	<p>Community relationships were collaborative and not significantly impeded by social inequalities. The overall balance of power was amenable to water accountability, with marginalised social groups. Cultural norms and attitudes had a positive effect on accountability.</p> <p>e.g. Cantor 2016; Flanagan & Zheng 2018; Kelly et al. 2010; Madrigal-Ballesteros et al. 2013; Rautanen and White 2018.</p>	<p>Oppressive or exploitative power structures, with one social group dominating decision making or exercising control at the expense of another, further stratifying racial, class, or gender inequalities. Cultural norms and attitudes had a detrimental effect on accountability.</p> <p>e.g. Alba et al. 2016; Bolin et al. 2008; Faehndrich & Nhantumbo 2012; Sneddon and Fox 2007; SOPPECOM 2017; Water Witness 2020; Wesselinke et al. 2015.</p>
<i>Scale of engagement</i>	<p>The scale at which stakeholders engaged with water governance or services (e.g. local, regional, national, transnational) was appropriate and conducive to strengthening accountability.</p> <p>e.g. Angelstam et al. 2017; Borgas 2018; Cinderby et al. 2013; Jetoo 2018; Laurie and Crespo 2007; Meissner 2016; Van Campenhout et al. 2016.</p>	<p>The scale at which stakeholders engaged with water governance or services (e.g. local, regional, national, transnational) was inappropriate or challenging and constrained accountability.</p> <p>e.g. Barau and Hoseni 2015; Bolin et al. 2008; Jetoo 2018; Pieterse 2019; Roncoli et al. 2016; Uhlendahl et al. 2011.</p>

<p><i>Alignment with government systems and protocols</i></p>	<p>Activities and practices of implementing agencies were closely aligned with government systems and protocols.</p>	<p>Activities and practices of implementing agencies deviated from government systems and protocols.</p>
	<p>e.g. Danida 2012; Fogelberg 2013; Independent Evaluation Group 2017; Maponya 2018.</p>	<p>e.g. Baldwin & Uhlmann 2010; Boldbaatar et al. 2019; Carlson and Cohen 2018; Kuhlike et al. 2016; Leclert et al. 2016.</p>
<p><i>Decentralisation</i></p>	<p>Efforts to devolve administrative and political power to the local level strengthened accountability, for example by increasing local democracy and bringing decision-making closer to citizens.</p>	<p>Efforts to devolve administrative and political power to the local level weakened accountability, for example by deflecting statutory responsibilities onto local governments.</p>
	<p>e.g. Aslam and Yilmaz 2011; Ban et al. 2010; Dewachter et al. 2018; Holvoet et al. 2016; Masanyiwa et al. 2014.</p>	<p>e.g. Bellaubi & Vischer 2010; Grossman et al. 2018; Holvoet et al. 2016; Kadirbeyoglu 2017.</p>
<p><i>Leadership/ champions</i></p>	<p>The presence of community, civil society, or political leaders championing the accountability agenda through vocal and proactive efforts to explain, introduce and implement accountability mechanisms.</p>	<p>The presence of community, civil society, or political leaders championing the accountability agenda was insufficient or counterproductive to accountability efforts.</p>
	<p>e.g. Gonzalez et al. 2009; Haglund 2014; Hendricks et al. 2018; Madrigal-Ballesteros et al. 2010, 2011, 2013.</p>	<p>e.g. SOPPECOM 2017; Wester et al. 2011.</p>

External factors	Inclusion criteria (positive)	Inclusion criteria (negative)
<p><i>Political perception (jobs vs environment)</i></p>	<p>Economic and ecological concerns were perceived to be in alignment and presented as a ‘win-win’ scenario in political discourse and decision-making.</p> <p>e.g. Gondwana Watch 2014; Romano 2012; Sambo 2018.</p>	<p>A perceived dichotomy pitting jobs and economic growth against the environment prevailed in political discourse and decision making, and this antagonism constrained accountability.</p> <p>e.g. Bolin et al. 2008; Rahman et al. 2007; WaterAid 2011; Wegerich 2008.</p>
<p><i>Shrinking civil society space</i></p>	<p>Regardless of the political context, civil society organisations were able to maintain an active presence and mount effective political claims, strengthening accountability.</p> <p>e.g. Dore et al. 2012; Rautanen and White 2018; UNDP 2013; World Bank 2010.</p>	<p>An authoritarian and restrictive political context prevailed, limiting the ability of civil society to exercise its right to protest, defend minority interests, or criticise authorities.</p> <p>e.g. Borgias 2018; Driel et al. 2017; Kvartiuk 2016; Lu and Tsai 2017; Moraes and Rocha 2013; Pieterse 2019a, 2019b.</p>
<p><i>Media quality/performance</i></p>	<p>The media landscape was characterised by high journalistic standards and ethics, relaying reliable and accurate information to citizens. Editorial independence and diverse forms of ownership allowed the media to maintain a ‘watchdog function’, which was observed to play a positive role in strengthening accountability.</p> <p>e.g. Feruglio 2017; Flanagan and Zheng 2018.</p>	<p>The media landscape was characterised by low levels of journalistic integrity and ethical conduct, spreading inaccurate or misleading information to citizens. Concentrated or tightly controlled media ownership had a stifling effect, limiting its ability to hold powerful or vested interests to account.</p> <p>e.g. Khulike et al. 2016; Mwihaki 2018.</p>

<i>Environment and water use context</i>	<p>Attributes of the overall water use context and ecosystem in which interventions took place enabled greater water accountability.</p> <p>e.g. Baldwin & Uhlmann 2011; Pendall and Schmidt 2011; Sharmeen 2014; Sneddon and Fox 2007.</p>	<p>Attributes of the overall water use context and ecosystem in which interventions took place presented additional obstacles that constrained water accountability.</p> <p>e.g. Acacia Consultants 2010; Grönwall 2016; Jackson and Barber 2015; Wester et al. 2011.</p>
<i>Rates of literacy/ education</i>	<p>High levels of literacy and education prevailed, equipping citizens with the necessary skills to hold service providers and authorities accountable.</p> <p>e.g. Kadirbeyoglu 2017; Madrigal-Ballesteros et al. 2013; Nigerian Institute of Social and Economic Research 2012.</p>	<p>Low levels of literacy and education prevailed, and limited the extent to which citizens could play an active role holding service providers and authorities accountable.</p> <p>e.g. McCormick 2007; Pares and Robles 2006; Sambo 2018; Tattersal 2010; UNDP 2013</p>
<i>Ambiguous institutional responsibilities</i>	<p>Roles and responsibilities between institutions were well defined, with clear and distinct mandates between institutions.</p> <p>e.g. Smet et al. 2010.</p>	<p>Roles and responsibilities were poorly defined and institutional performance was hindered by confused and overlapping mandates.</p> <p>e.g. Acey 2019; Dore et al. 2012; Garrick et al. 2012; Lande and Fonseca 2018; Maponya 2018.</p>
<i>Inter-agency accountability</i>	<p>Chains of accountability between implementing agencies were robust and effective.</p> <p>e.g. Hong 2017; Sirker et al. 2010; WaterAid 2011.</p>	<p>Chains of accountability between implementing agencies were weak or non-existent.</p> <p>e.g. Alba et al. 2016; Cavill and Sohail 2005; Gillet et al. 2014; Lee et al. 2014; Lieberherr 2019; Newborne 2008.</p>

<p><i>Absence/Presence of sanctions and standards of service – clear rules</i></p>	<p>Clear rules and regulations were in place to delineate the standards of service citizens could expect from authorities, with sanctions for non-compliance.</p> <p>e.g. Adams and Boateng 2018; Ball et al. 2013; Davis 2004; Haglund 2014.</p>	<p>Rules and regulations were absent or lacked clarity over their scope, there was no penalty if standards of service were inconsistent and unreliable.</p> <p>e.g. Acey 2019; Cavill and Sohail 2004; Jimenez et al. 2018.</p>
<p><i>Government capacity</i></p>	<p>Governments were sufficiently well resourced (money, staff, time etc.) to undertake their duties effectively.</p> <p>e.g. Fogelberg 2013; Hong 2017; Pieterse 2019; Sambo 2018.</p>	<p>Governments lacked the resources (money, staff, time etc.) to undertake their duties effectively.</p> <p>e.g. Grossman et al. 2018; Imoro et al. 2016; Rahman et al. 2007; Tincani & Mwaruvanda 2016.</p>

Annex 6. Full reference list/bibliography of included literature

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Annex 7. Selected illustrative case studies from the included literature

Case Study 1: WASH social audits in Cape Town, South Africa

Storey, A. (2014) *Making Experience Legible: Spaces of Participation and the Construction of Knowledge in Khayelitsha*, *Politikon*, 41(3): 403-420 [social audit; public hearings, debate, and dialogue processes]

In the Khayelitsha township of Cape Town, dissatisfaction with water service provision led Social Justice Coalition, to undertake a social audit. 60 residents scrutinized contract performance and conducted surveys to hold the city and companies to account at a public hearing. The audit equipped residents to gather knowledge on service provision, articulate grievances and to demand better performance from public officials and private contractors.



Fig 1. Social audit in Khayelitsha township. Image credit: GroundUp/ Mary-Anne Gontsana. <https://www.timeslive.co.za/sunday-times/business/2018-02-13-no-water-no-business-say-khayelitsha-businesses/>

Case Study 2: Strengthening citizen voice in water governance, Burkina Faso

Roncoli, C. et al (2016) *Who counts, what counts: representation and accountability in water governance in the Upper Comoé sub-basin, Burkina Faso*. *Natural Resources Forum* 40: 6–20 [strengthening citizen voice; citizen oversight committees; evidence based advocacy]

Local water-user committees were established to strengthen accountability for decentralised water governance in the Upper Comoé sub-basin. For the first time water users were represented in decision making, rather than elected officials. Through their negotiation, arbitrary water use by powerful stakeholders was replaced by formal recognition of all users' claims. Rural users were able to uphold their claims through social mobilization and used local knowledge to challenge expert assessments. Farmers defended their water rights through public demonstrations at politically sensitive times such as during visits by high-level officials or donors.



Figure 2. Farmers work an irrigated field. Image credit: B. Dowd-Uribe. <http://cred.columbia.edu/2012/01/19/burkina/>

Case Study 3: Community evidence for responsive WASH services in Somalia

Acacia Consultants (2010) Programme Evaluation Report, Somalia Programme Activities in Gedo, Puntland and Mogadishu. [research and analysis, integrity audits]

Community monitoring & evaluation was introduced to track and drive more responsive, targeted WASH interventions. Simple tools for data collection were easy to administer, and a combination of capable personnel, clear delegation, and regular information transfer lead to dramatically improved WASH service delivery in rural regions and embedded resilience to shocks caused by border conflicts and displaced people.



Fig 3. Water trucking – women queuing for water. Image credit: Acacia Consultants, 2010.

Case Study 4: Public hearings for WASH accountability in rural Uganda

Campenhout, B. et al. (2017) Impact Pathways of a Participatory Local Governance Initiative in Uganda: A Qualitative Exploration. IFPRI Discussion Paper 01688 [Public hearings, debate and dialogue processes; participatory situation analysis]

The introduction of barazas (advocacy forums) opened new opportunities for public debate between politicians, civil servants, and communities and raised the profile of concerns around WASH. Complaints were raised about a lack of safe water, stolen meters, poor follow up on water problems. Stakeholders reported positive result of the baraza to include: completion of unfinished projects; repairs to sub-standard infrastructure; installation of new water pipes; replacement of stolen meters and the fixing of chlorine dispensers. The baraza’s exposure of sub-standard work incentivized rapid action by civil servants and politicians, and increased both community involvement and top-down monitoring to strengthen accountability and improve WASH service provision.



Case Study 5: Community score cards and rural water supply in Timor-Leste

Lockwood, H. et al (2017) *Supporting sustainable water supply services in difficult operating Environments: a case study from Timor-Leste*. WaterAid [community score cards; participatory situation analysis]

Community scorecards (CSCs) have transformed WASH service provision in Timor-Leste. Working with local government, WaterAid piloted a gender sensitive process which ranked the quality of services across different criteria, national and international standards, which concluded with feedback and action planning. Project evaluation found that improvements as a direct result of applying the CSC to include cancelling of contracts with poorly performing contractors, better engagement during the construction of WASH infrastructure, and use of community labour instead of outside workers. CSCs revealed where households had not been paying regular tariffs, due to weak transparency and accountability of the Water User Group. Community action plans were developed, new community noticeboards displayed WUG finances, and clear national guidance and training WUGs in financial management developed. CSCs improved services, raise awareness and attracted budget for operations and maintenance.



Case Study 6: Public interest litigation for water justice in Sao Paulo, Brazil

Haglund, L. (2014) *Water governance and social justice in São Paulo, Brazil*. Water Policy, 16: 78–96 [evidence based advocacy, public interest litigation]

Action for water justice through legal claims and lawsuits were shown to shift state priorities and initiated the construction of WASH infrastructure, with tangible improvements for water quality and equity. Legal rulings by the Special Environmental Chamber reasserted the commitment to human rights for water and sanitation, and incentivized local governments and states to take responsibility for solving water governance problems. Success of legal interventions was evident in the “regularisation” of marginal communities, and pressure on municipalities to install sanitation infrastructure in these neighborhoods. In the Guarapiranga watershed public investment in sanitation rose by a factor of 20 between 2001 and 2010. Prosecutors and magistrates worked with water companies to clarify technical and operational requirements and ensure compliance.



Case Study 7: Citizen report cards and the right to information in Odisha, India

Sahu, P. (2010) *Transparency, accountability in water service delivery, problems and prospects. A case of Brahmapur city in Orissa, India*. IRC Symposium 2010 Pumps, Pipes and Promises [citizen report cards, freedom of information campaigns]

The NGO Youth for Social Development used citizen report cards (CRCs) to promote water policy and governance reform in informal settlements, where poor water quality and irregular supply was a chronic problem. This stimulated communities to organize and demand better services, and equipped them to monitor and advocate for improvements. 47.9% of citizens were dissatisfied and strong evidence was used to demand equal access and justice. Citizens also used the Right to Information (RTI) Act (2005) to acquire information about WASH services and providers. After applications made under the RTI to check the status of previous complaints and requests for standposts, new posts were installed, defective posts were repaired, and a budget was allocated for the construction of public toilets in three slum areas. Public exposure triggered improved services in communities where lack of drinking water had been an issue for seventeen years with seven settlements subsequently provided with municipal drinking water.



Fig. Women from informal settlements provided with municipal drinking water, Berhampur

Case Study 8: Public complaint and grievance in Nicaraguan water politics

Romano, S. (2012) *From Protest to Proposal: The Contentious Politics of the Nicaraguan Anti-Water Privatisation Social Movement*. Bulletin of Latin American Research, 31(4): 499–514 [Public complaint and grievance mechanisms; public hearings, debates, and dialogue processes; freedom of information campaigns, media campaigns]

Concerns about privatisation of water provision triggered protests against sectoral reforms and captured media attention and generating public debate, highlighting the lack of transparency in the government's negotiations with financial institutions. National newspapers reported widely on demonstrations outside the National Assembly, and following sustained public pressure, the legislature passed Law 440, 'Suspension of Concessions for Water Use', effectively ending the controversial bidding process.

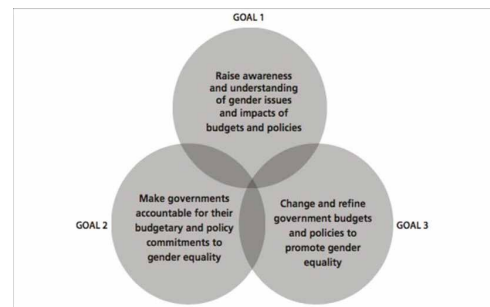


Promotion of equitable water management culminated in the Ley General de Aguas Nacionales (National General Water Law, or Law 620) passed in the National Assembly. New water law engaged new stakeholders (poor and marginal sectors of society), broadening democratic participation in the legislative process and ultimately, reorienting national water policy.

Case Study 9: Gender responsive budgeting and water accountability in Ethiopia

Nass, L., Pieterse, P. and Debel, T. (2018) *Gender-Responsive Budgeting in Ethiopia’s Country-wide Social Accountability Program*. [Participatory budgeting; public expenditure tracking survey]

Combining gender responsive budgeting (GRB) with the social accountability brought policies to life for citizens, and provided communities, service providers, and policy makers with practical tools to address gender inequalities in water services. Ten partner CSOs selected budget analysis, tracking and reporting tools and adopted gender responsive budgeting and budgeting procedures, including the importance of presenting budget suggestions at the right time in annual planning and budget cycles. Service-users and providers analysed shortcomings and decided on priorities, and all stakeholders agreed on a Joint Action Plan. In several cases this led to upgrading and results show that with awareness of how ‘normal’ budgets disadvantage women, men were as enthusiastic for change as women themselves.

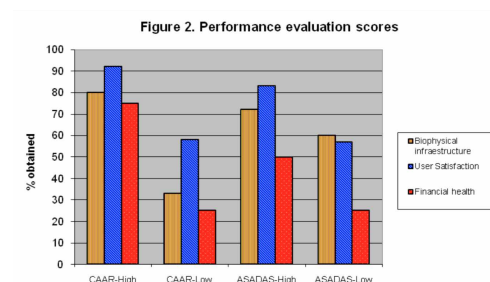


Gender Responsive Budgeting Conceptual Framework (Sharp 2003, in Nass et al 2018: 14)

Case Study 10: Accountable governance and community water organisations in Costa Rica

Madrigal-Ballesteros et al. (2010) *Determinants of Performance of Drinking-Water Community Organizations: A Comparative Analysis of Case Studies in Rural Costa Rica* [strengthening citizen voice; participatory situation analysis; public expenditure tracking and reporting]

High performing organisations (assessed on the basis of water infrastructure condition, consumer satisfaction, and financial health) were shown to share common accountability mechanisms which encourage participation and maintain legitimacy. This comparative analysis of case studies in rural Costa Rica shows that community participation (having a voice on infrastructure and institutional design), coupled with the existence of some property rights over land in water intake points, resulted in a strong sense of ownership. This translated into high assembly attendance, close oversight of water committee decisions, and participation in electoral processes. High performing, accountable organisations maintained transparent data on revenues and expenditures, tracked delinquency, and had mechanisms for local users input to decision-making processes. This increased communities’ incentives to organise around water provision, their involvement in the design of infrastructure and institutions, and their willingness to pay for infrastructure construction and maintenance. Findings emphasised how a sense of ownership and accountability contributed to good performance.



Water organisation performance scores



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