Accountability & advocacy interventions in the water sector

A review of global evidence

Part 2: Country-level Evidence Summaries

MAY 2021

Accountability for Water
ACTION & RESEARCH PROGRAMME

WATER WITNESS

This report is an output of the Fair Water Futures/Accountability for Water Programmes managed by Water Witness International with financial support from the William and Flora Hewlett Foundation. The views expressed are not necessarily those of the Hewlett Foundation.

FULL CITATION: Brown, B.D., Brewer, T., and Hepworth, N.D. 2021. Accountability and advocacy interventions in the water sector: a review of global evidence. Part 2. Country-level Evidence Summaries. Water Witness International, Edinburgh, UK.

ACKNOWLEDGMENTS: Thanks to the advisory group at Accountability for Water for their patience and sage words: Martin Atela, Beatrice Muganda and Tade Aina, at the Partnership for African Social and Governance Research, Al-Hassan Adam at End Water Poverty, Stephanie de Chassy and Jola Miziniak at Oxfam, Lotte Feuerstein at the Water Integrity Network, Louisa Gosling and Kyla Smith at WaterAid, Herbert Kashililah at Shahidi wa Maji and Malesi Shivaji at KEWASNET. Huge thanks go to the search team at Water Witness: Maisie Geelen, Seb Juan Mendez, Shona Jenkins and Max Cohen, and to Robbie Sage for technical support. This work would not be possible without the inspiring support of the William and Flora Hewlett Foundation.

COVER IMAGE: Women in Tanzania discuss problems relating to water access in their community as part of a dialogue session with Shahidi Wa Maji.

PROGRAMME CONTACT DETAILS:
Tim Brewer: timbrewer@waterwitness.org
Research Practice Lead

Water Witness International
3/2 Boroughloch Square
Edinburgh, EH8 9NJ
United Kingdom

Landline: +44 (0)131 225 4814
www.waterwitness.org

Registered charity (SC041072) and company limited by guarantee (353570)

Contents

Executive Summary 7

Introduction 8

Overview Dashboard 10

1. Ethiopia 11

Evidence dashboard 11

1.1 What does the evidence tell us? 13

1.2 Emerging insights 18

1.2.1. Community dynamics 18

1.2.2. Enabling environment 18

1.2.3. Governance dynamics 18

1.3 Research priorities 19

2. Kenya 20

Evidence dashboard 20

2.1 What does the evidence tell us? 22

2.2 Emerging Insights 31

2.2.1. Community dynamics 31

2.2.2 Enabling environment 31

2.2.3 Governance dynamics 31

2.4 Research priorities 32

3. Tanzania 33

Evidence dashboard 33

3.1 What does the evidence tell us? 35

3.2 Emerging Insights 43

3.2.1. Community dynamics 43

3.2.2. Enabling environment 43

3.2.3. Governance dynamics 43

3.3 Research priorities 44

4. Uganda 45
Evidence dashboard 45
4.1 What does the evidence tell us? 47
4.2 Emerging Insights 56
4.2.1. Community dynamics 56
4.2.2. Enabling environment 56
4.2.3. Governance dynamics 56
4.3 Research priorities 57
5. Zambia 58
Evidence dashboard 58
5.1 What does the evidence tell us? 60
5.2 Emerging insights 64
5.2.1. Community dynamics 64
5.2.2. Enabling environment 64
5.2.3. Governance dynamics 64
5.3 Research priorities 65
Bibliography 66

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
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

Key to symbols

REGION	SYMBOL
Single country	
Multiple countries	

SUBSECTOR	SYMBOL
Water Sanitation and Hygiene **WASH**	
Water Resources Management **WRM**	
Agricultural Water Management **AWM**	
Multiple Subsectors **Multiple**	

LITERATURE	SYMBOL
Book chapter	BC
Organisation report	OR
Institution working paper	WP
Conference paper	CP
Journal article	JA
Other	O

Executive Summary

This report provides country-level analysis of the evidence on accountability for water. The sources it draws upon are taken from the database produced by a global review of the latest research on water and accountability. It presents detailed analysis showing what evidence is available on accountability and advocacy interventions in the water sector within the following five countries:

Ethiopia

Kenya

Tanzania

Uganda

Zambia

This supplement 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 country-level evidence summaries reveal several cross-cutting patterns and insights about the factors that constrain or enable water accountability strengthening.[1]

Across the five countries, key factors supporting the community dynamics of accountability were trust, legitimacy, and a sense of ownership, which were integral to securing community 'buy-in' and broad-based participation.

Supporting an enabling environment for accountability, important factors were a free and independent civil society, education, and measures to recognise and combat economic inequalities, all of which were necessary for citizens to become aware of their rights and mobilise accountability tools and processes.

Finally, to support government dynamics of accountability, the evidence across these countries pointed to the need for clearly assigned roles and responsibilities, greater pluralism in decision-making, and the need to reform unresponsive bureaucracies and institutions.

Research to date has remained concentrated on the WASH subsector and social accountability interventions. Other areas that have been little studied present opportunities for future research, particularly accountability in agricultural water management, the impact of statutory accountability mechanisms, and the impact of the climate emergency and the covid-19 pandemic on water security.

[1] See Hepworth et al, 2020 p. 11 for the theory of change for which these factors contribute essential details.

Introduction

This report shows what evidence is available on accountability and advocacy interventions in the water sector relating to the following five countries:

Ethiopia

Kenya

Tanzania

Uganda

Zambia

Hepworth et al. 2020 presented the methods and overall 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.[2] This supplementary report uses the data presented there to investigate five countries of interest. It presents detailed analysis of the database of sources that was produced, and summarises the key sources and insights for each country.

For each country, findings are presented in four sections.

SECTION 1	**The dashboard** – Provides a visual summary of the evidence that was found during the review, including the type, sector, and geographic focus of the available evidence.
SECTION 2	**What does the evidence tell us?** – Provides a brief summary of key papers that were identified. For each paper a short summary of the paper is followed by the country-specific details within it. The full papers can be found at www.accountabilityforwater.org/data-search
SECTION 3	**Emerging priorities** – Reflects on the emerging insights from the evidence presented. This section summarises how the country evidence relates to community accountability dynamics, the enabling environment for accountability, and governance dynamics.
SECTION 4	**Research priorities** – This concluding section highlights knowledge gaps and identifies priorities for future research.

[2] For details of the methodology see: Hepworth, N.D., Brown, B.D. and Brewer, T. 2020. Accountability and advocacy interventions in the water sector: a review of global evidence. Part 1. Overview and Summary Results. Water Witness International, Edinburgh, UK

The Global Evidence Review, from which the papers presented in this supplement are taken, used a search strategy that included literature published since 1999. The inclusion criteria allowed all papers that described their methods, without applying an exclusion criteria to the quality of the methods. These decisions were taken to present as inclusive a selection of relevant research as possible.

This supplement should be used as a reference for anyone interested in the countries presented, rather than be read as a single narrative. The chapter navigation is intended to make it easy for the reader to find the information they need for each country, whether it's an overview of the research landscape (section 1), details of the available literature (section 2), key findings about accountability in the country (section 3) or suggestions for further research (section 4).

The findings sections are organised according to the priority areas identified in the Global Evidence Review– the community and government dynamics of accountability, and the enabling environment.[3] They can help the reader to identify strategic factors likely to influence the success of accountability interventions, within the theory of change structure.[4]

Further analysis of some of the broader thematic factors related to accountability for water, drawing on all the research identified through the global evidence review, can be found in Part 3 – Thematic Evidence Summaries. This provides thematic analysis across key themes of gender, the role of donors, what makes governments listen, measuring accountability and closing civic space.

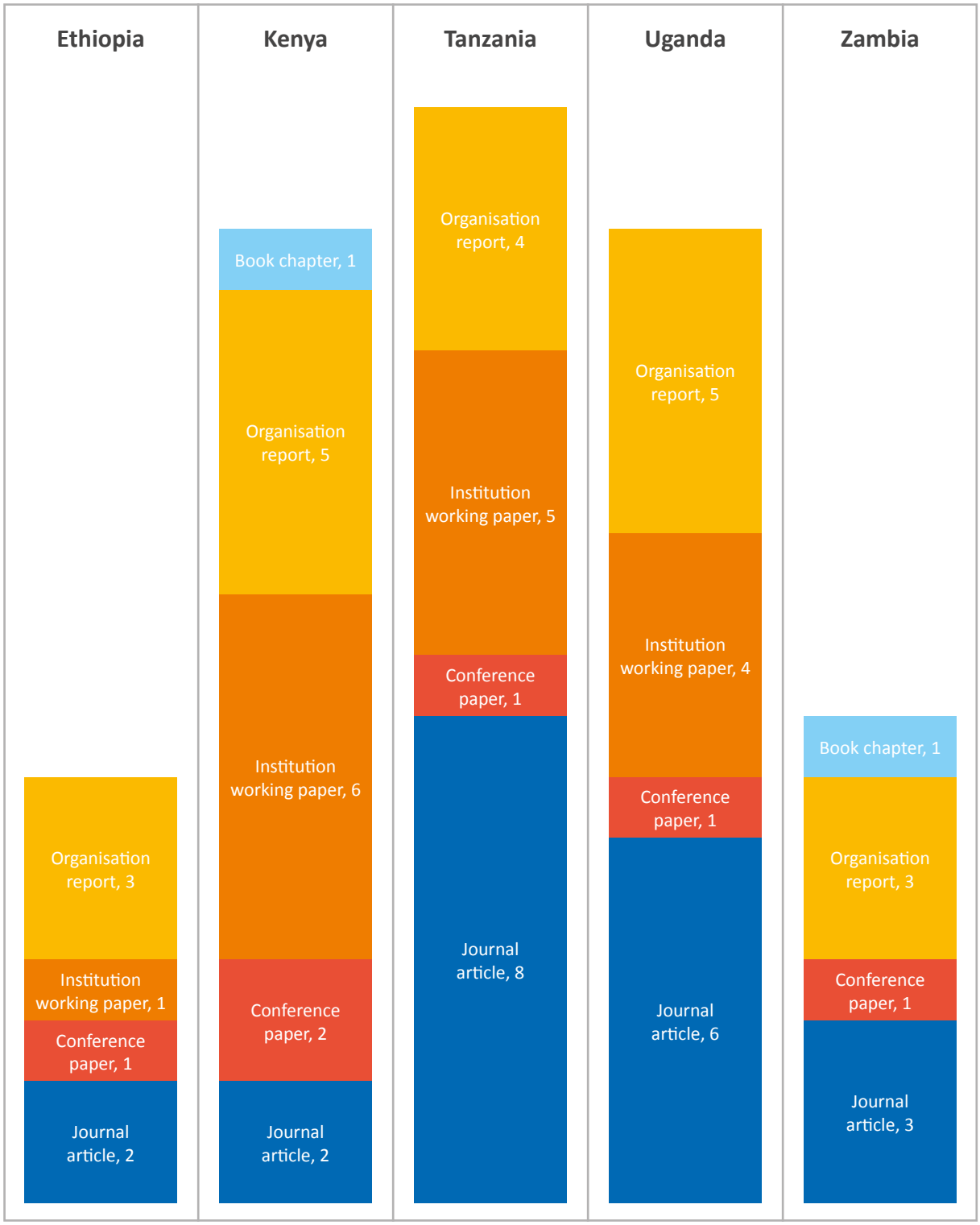
The evidence summaries offered here are not expected to be comprehensive of all facets of water sector accountability in the country, particularly where the quantity of evidence related to some countries is limited. The literature from which this analysis was derived dates from before the Covid-19 pandemic, and cannot speak to recent developments set in motion by its spread. Nevertheless, these summaries are intended as a useful entry point to understanding the current state of knowledge on accountability for water in each country. Although Covid-19 is not discussed in the literature, research priorities for each section have been amended to reflect the impact it has had on the sector.

[3] Hepworth et al. 2020, p.46

[4] ibid. p.11

Overview Dashboard

This dashboard shows how many papers of each type have been published examining accountability for water in each country. With 18 papers Tanzania is the most researched country, but the evidence base is limited across the whole region.



1. Ethiopia

Evidence dashboard

Fig E1
Evidence types

Fig E2
Sectors covered

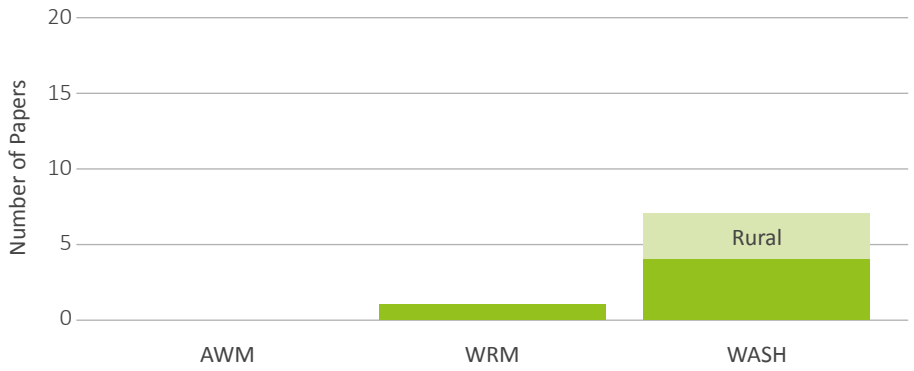


Fig E3 – Interventions covered

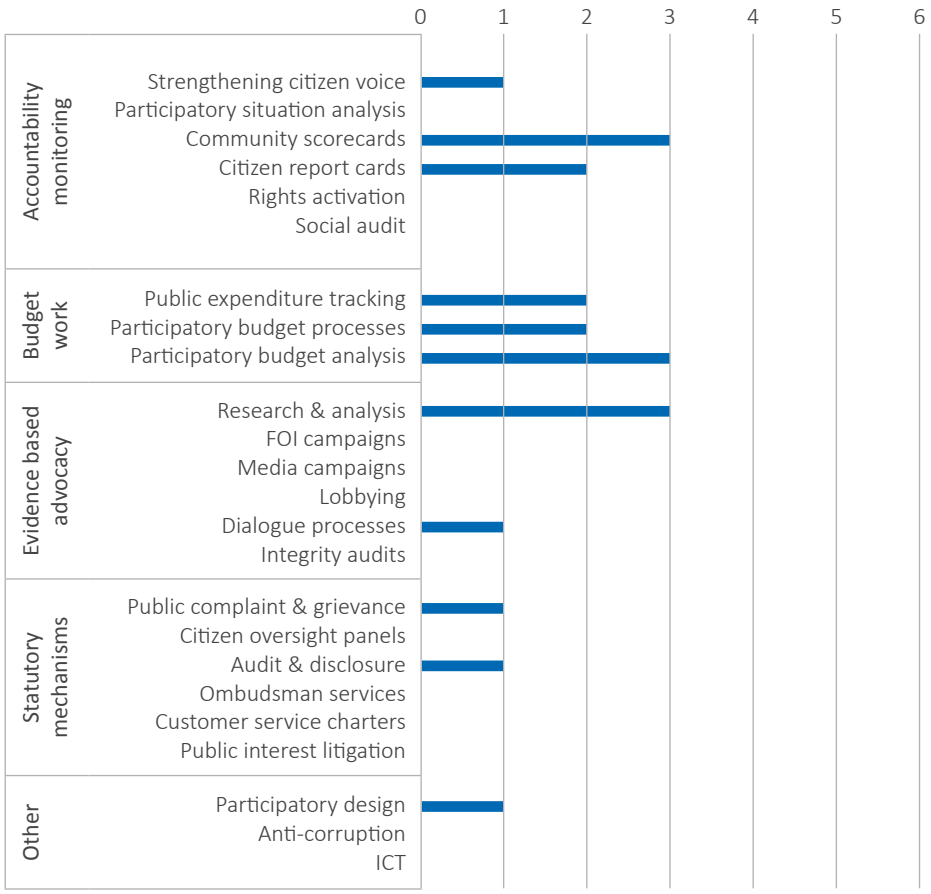


Table E1: Evidence types, country and subsector focus

Evidence type	Total	Single or multi-country	Subsector
Peer reviewed journals	2		
Institution working papers	1		
Project reports/evaluations	3		
Conference paper	1		
Total	**7**		

Table E2: Geographical and subsector focus

Local geographical focus	Source	Water subsector
National/unspecified	Nass et al. 2018 Pieterse 2019a	rural WASH WASH/WRM
Achefer, Amhara region	Tigabu et al. 2013	WASH
Jidda, Oromia Region	Driel et al. 2017	WASH
Oromia, Amhara, SNNPR, and Benishangul Gumuz regions	Dundon and Jaleta 2013	WASH
'Remote and difficult to access villages' located across two regions of Ethiopia	Crocker 2017	rural WASH
Slums, remote rural communities, and geographic areas under stress (e.g. flood prone, desert, disaster affected).	Willets et al. 2013	WASH

1.1 What does the evidence tell us?

Seven papers are available dating from 2013 to 2019, comprising a mixture of peer reviewed journals (2 papers), conference papers (1 paper), institution working papers (1 paper), and organisation reports (3 papers) (Fig.E1).

Five papers focus exclusively on Ethiopia, whilst two are part of multi-country studies (Table. E1). The literature mostly concerns the WASH subsector (7 papers), with three articles exclusively focused on rural WASH programmes, and only one discussing WRM in conjunction with WASH (Table E1). The efficacy of community participation in WASH service delivery is the focus of five of the available studies.

The majority of interventions studied in Ethiopia were budgetary accountability mechanisms (7 interventions) and social accountability mechanisms (6 interventions) (Fig E3).

The paper summaries and key details are presented below.

Crocker et al 2017 JA

SUMMARY: This quantitative, comparative country study examined the performance of Community-Led Total Sanitation (CLTS) interventions in Ghana and Ethiopia. It illustrates the importance of robust monitoring mechanisms for NGO expenditure to ensure it is relevant and responsive to community needs. Narrow and inflexible channels for citizen participation could deter their involvement, as project requirements created an additional burden to low-income community members not compensated for their time and labour. Budget tracking and analysis was necessary to inform the distribution of resources across WASH programmes and ensure it aligned with community needs.

DETAILS: The study focused on participatory WASH programmes targeting behaviour change, and assessed the process, program costs, and local investments for four CLTS interventions in Ghana and Ethiopia. To overcome the limitations of conventional cost analysis, the authors adopted implementation tracking and bottom-up, activity-based costing. Budget tracking provided better insights into the various costs associated with CLTS. It provided a disaggregated breakdown of expenditure at a household, village, or community level, and identified how the funding of different activities compared at increasing local capacity to hold service providers accountable. Budget tracking enabled effective spending linked to outcomes, for example by prioritising three interventions that equipped local citizens with the resources to facilitate or support CLTS.

The Ethiopian case demonstrated how a strategic design and implementation model can deliver improved accountability. The data showed that implementation arrangements linked to project management and training are a key determinant of final costs, and impact how many people can be reached within a given budget. Expenditure tracking revealed insights that could be used to hold donors and implementing agencies to account. For example, the revelation that less finance was available to beneficiaries due to expensive accommodation and meals at training venues. It also raised the importance of community capacity and incentives. While CLTS took advantage of time put in by local actors to help improve sanitation provision, it also burdened them. Health extension workers already had many other job responsibilities, and monitoring highlighted how this 'participatory' model relied on their unpaid labour in a context of under-resourced and over-stretched public services.

Driel et al. 2017

SUMMARY: This report reviews the impact of social accountability mechanisms on WASH outcomes in Ethiopia and identifies concerns arising from the country's autocratic rule. Identifies how WASH accountability programmes in Ethiopia are compromised by Ethiopia's autocratic government. Civil society is severely constrained by punitive and repressive laws, limiting its ability to hold government to account.[5]

DETAILS: The authors note how political unrest and constraints on civil society activities were disabling factors in the quest to secure improved WASH services. A nationwide state of emergency law placed sweeping restrictions on freedom of expression and undermined basic democratic rights. The introduction of the 2009 "Charities and Societies Proclamation" had a similar effect, stifling the voice of civil society, limiting foreign or external funding to CSOs and hindering their ability to participate in accountability initiatives.

Dundon and Jaleta 2013

SUMMARY: This report is an impact assessment and programme evaluation of the Millennium Water Alliance (MWA) Ethiopia programme. A survey of 2,000 households determined how the project was delivered across a diverse stretch of the country and over a long duration. Indicates that water access has improved as a result of efforts to strengthen monitoring and auditing practices. Introducing a common framework and set of indicators adopted by all project partners was effective.

DETAILS: The authors find that, since 2004, project partners increased access to safe water sources for over 500,000 rural Ethiopians. According to the baseline survey, water from improved sources provided under the programme was accessed equally by the poorest and other members of the community.

The internal dynamics of programme activities were an important factor, demonstrating the value in a collaborative approach. Implementing partners were praised for fostering a positive learning environment, with staff that listened and aligned their work to community needs. This ensured better practices and more effective interventions. The monitoring strategy helped identify problems and find solutions in consultation with community representatives. This suggests that a process of regular audit and review is important to accountable WASH sector programmes.

Initially a disjointed approach and separate programmes obstructed joint data collection so there was no reliable evidence. However, a collaborative design process enabled partners to agree a set of common indicators and a monitoring framework. Face-to-face meetings were convened for a period of two or three days to build trust, and the proximity enabled discussion of programme challenges and knowledge transfer. This approach delivered benefits to WASH programmes across the sector.

The authors found that minimum standards and common indicators provided a suitable framework for measuring accountability across diverse contexts. Through agreeing common definitions, policies and strategies, partners were better equipped to deal with challenging WASH environments.

[5] However, civic freedoms have improved since the passage of the Civil Society Organizations Agency Proclamation No. 1113/2019 by Ethiopia's Peoples House of Representatives (Freedom House, 2019).

Nass et al 2018

SUMMARY: This working paper applies qualitative methods and interview data to explore how SAMs have altered the relationships between states, citizens, and service providers. It shows the transformative impact gender responsive budgeting (GRB) can have across programmes if sustained pressure, proper explanation and training is provided. In this case, it 'brought abstract gender equality policies to life' (p.33) and provided men and women, service providers, and policymakers practical tools to reduce gender inequalities in services including water utilities.

DETAILS: The paper combines theories of change with experiences from sustained fieldwork and action research to assess the impact of five social accountability tools:

- community monitoring with scorecards,
- citizen report card survey,
- participatory planning and budgeting,
- public expenditure tracking survey (PETS),
- gender-responsive budgeting (GRB).

GRB is the focus of the paper, and yields the most interesting insights: initial reluctance to adopt GRB was due to a lack of training and education on the approach. Following training sessions, communities understood its value as an accountability tool, and it was enthusiastically embraced by both men and women. However, the overall success of GRB depended on the openness of both communities and public officials, and a clear understanding of its use and relevance to communities. It was noted that engagement at the national or sub-national level requires technical knowledge, high levels of understanding of how budgets work and how policy processes work. Therefore, GRB must be accompanied by proper briefings explaining its scope, utility, and purpose.

The authors highlight that while most research has explored GRB at national or subnational level, its role in decentralised forms of local government have received less scrutiny. Other factors flagged were incentives and power dynamics between the service users and the service providers, local politics, and the capabilities of service providers (in terms of sufficient budget or decision making powers) to improve the service they provide.

Pieterse 2019a

SUMMARY: This report discusses the challenge of implementing accountability programmes under an authoritarian political regime that severely restricts the activities of civil society. Her work signals to the political barriers that water accountability advocates must navigate if they wish to scale up and institutionalise accountability mechanisms.

DETAILS: The report aims to understand what factors stimulate and sustain social accountability mechanisms and advocacy. Drawing on data collected by donor funded programmes, this report describes Ethiopia's unfavourable political context, with restrictive laws on civil society, as an inhibiting factor, and recounts how the authoritarian political culture stifled open discussion around 'good governance'. The state effectively banned all donors and CSOs from engaging in interventions that were based on the improvements of rights, even if these were rights to basic public services and enshrined in universal laws. However, bilateral donors provided significant budgetary support through Woreda block grants, and were thus able to insist on the introduction of social accountability instruments such as scorecards to ensure citizens had access to information and were able to make complaints about government service providers. Subsequent evaluations discovered that this yielded positive results, improving citizen awareness and confidence, and transforming state-citizen relations by spurring dialogue between water users and kebele officials to address gaps in the implementation of water service delivery.

Tigabu et al. 2013

SUMMARY: This quantitative research article uses a cross-sectional survey to document management failures in the provision of safe drinking water across rural regions. It investigates why rural water supply systems are prone to poor management and many fail shortly after construction. It examines the determinants of household participation, drawing broader lessons for water accountability. Households which had more income, education or other advantages would have sufficient cash, labour and knowledge at their disposal for improved water supply system management. Households who take personal interest and stake in water services are more likely to elicit a greater response from service providers.

DETAILS: The paper begins by chronicling the severe failures of water supply infrastructure in rural Ethiopia. Their subsequent analysis seeks to understand what factors prevent households from the protections and routine maintenance of rural water infrastructures. They set out to discover if community participation has any positive or negative implications on future outcomes, for instance on the sustainability of water supply infrastructures. Previous research tends to focus on technological or institutional factors, and by examining social difference in communities, the authors sought to plug a gap that could contribute to increased accountability in rural WASH. The authors hypothesised that increases in age and poverty reduction would be accompanied by increased awareness about water management issues, and similarly, increasing income would positively influence household contributions for water supply management.

The analysis shows that a unit increase in the level of advocacy provided significantly increased labour contributions by 0.22 days per month, and increased cash contributions insignificantly. The ownership felt by communities was therefore critical to improving outcomes around water quality and access. The role community dynamics play in household participation suggest that inequalities such as household size & annual income influence households' sense of responsibility to protect and maintain water supply systems. Community management is based on the assumption that demand for improved and sustained water services induces the involvement of beneficiaries, and this in turn reduces entailed costs in terms of initial capital outlay as well as costs of operation and maintenance. The households' surveyed were mostly subsistence farming families with little access to information, and therefore willingness to pay for operational and maintenance costs, and levels of involvement in village Water User Committees, was closely related with levels of economic security.

Willets et al. 2013

SUMMARY: This conference paper outlines the importance of correct preparation and training prior to accountability monitoring, to maximise community involvement and improve effectiveness. It cites the usefulness of ICT monitoring to relay data on progress towards sanitation targets to government, Community Based Organisations (CBOs) and citizens.

DETAILS: The paper focuses on the authors' experiences of monitoring a multi-region civil society fund, linked to projects operating in twenty countries including Ethiopia. They do not disaggregate results by country, although Ethiopia is included as a programme area. Two areas of interest are identified relating to accountability monitoring in NGOs:

- Reviewing innovative aspects of programme design that held relevance for sector monitoring;
- Piloting the use of a 'strategy map' to consider the ways in which NGOs are currently, and might in the future, support sector monitoring. This related to the use of 'theory of change' models and well-structured performance frameworks.

Drawing on experience monitoring the NGO sector, the authors identify two crucial determinants of success for accountability monitoring. Firstly, the creation of simple, purpose-built, information systems that can be placed at the disposal of communities, funders and other stakeholders. Secondly, prioritising a strong 'people' focus when designing monitoring programmes, considering how people might understand and use information in practical settings.

1.2 Emerging insights

This section reflects on the emerging insights from the evidence presented. We draw together the insights from the papers presented across three domains of accountability – community dynamics, the enabling environment, and governance dynamics.

1.2.1. Community dynamics

It is vital for accountability interventions to consider how local health and other workers receive fair compensation for their time providing input and feedback on participatory WASH programmes (Crocker et al. 2017).

Interventions must also consider the socioeconomic factors that prevent households from engaging in the protection and routine maintenance of rural water infrastructures. Community investment and willingness to pay for operations and maintenance was closely tied to involvement in design and a sense of ownership (Tigabu et al. 2013).

Accountability tools such as Gender Responsive Budgeting can precipitate more equitable arrangements in terms of access to resources, while transforming community perceptions of gender relations (Nass et al. 2018). Long-term trust building exercises and sustained engagement underpins community incentives to participate in projects and programmes (Driel et al. 2017).

1.2.2. Enabling environment

In Ethiopia, a restrictive environment for civil society has highlighted the need for strategic alliance building and greater reliance on international donors to exert political pressure (Pieterse 2019a).[6] Low levels of trust and the lack of a common understanding or baseline analysis created challenging conditions for new accountability approaches to take hold (Dundon and Jaleta 2013).

More broadly, a sense of ownership by communities was critical to the uptake and implementation of water accountability mechanisms, showing the importance of collaborative design and implementation from start to finish (Dundon and Jaleta 2013; Tigabu et al. 2013). Robust, purpose-built monitoring systems, and adequate training and preparation, were vital to ensure effectiveness (Willets et al. 2013).

1.2.3. Governance dynamics

Budgetary transparency with disaggregated costs can strengthen the capacity of communities to hold service providers accountable (Crocker et al. 2017). In the case of GRB, it can ensure gender inequalities are not perpetuated or compounded by spending priorities (Nass et al. 2018). However, a top down and authoritarian political culture stifles open discussion (Pieterse 2019a).

[6] However, the most restrictive aspects of the 2009 law have since been modified, with the 2019 Civil Society Proclamation opening up space for civil associations to engage in any lawful activity including the democratization process (with some exceptions, e.g. lobbying political parties, observing elections unless otherwise allowed by other law in the case of foreign organizations) and raising fund from any lawful source without government permission (Mulugeta Gashaw, personal correspondence, 02-10-20).

1.3 Research priorities

This concluding section highlights knowledge gaps that have been demonstrated and identifies potential priorities for future research, to be considered in the light of insights from practitioners and communities with experience of the challenges that are most undermining water security. In response to the available evidence, we have identified priority areas for an emerging research agenda.

At a community level, more research is needed to better understand how trust can be cultivated and a sense of ownership instilled, through exercises to identify local priorities (Tigabu et al. 2013; Driel et al. 2017), and ensure that community labour is recognised and valued (Crocker et al. 2017; Nass et al. 2018).

Regarding the enabling environment, further investigation into the conditions that enable SAMs to succeed, with particular attention to the role of explanation, education and training to ensure ownership of accountability tools and processes (Dundon and Jaleta 2013; Nass et al. 2017).

Concerning governance, accountability practice could benefit from knowledge on the most appropriate strategies to navigate unfavorable political and institutional conditions, considering how civil society can leverage influence in tightly controlled political contexts, identifying public officials who are willing to champion the accountability agenda (Pieterse 2019a). At the time of writing, civil conflict has damaged critical water infrastructure in the Tigray region, leaving many civilians reliant on untreated water.[7] This poses important questions on the role of the state in safeguarding WASH service provision.

Beyond the proposals derived from existing findings, there are also several gaps that were not addressed in the research identified. Evidence-based advocacy mechanisms were largely overlooked, with no studies investigating the effects of lobbying, freedom of information or media campaigns, and only one considering dialogue processes. Similarly, there was little or no evidence available on the effects of formal statutory accountability mechanisms, including ombudsman services, citizen oversight panels, or public interest litigation. More balance is needed attending to different water sector contexts, with agricultural water management a particular blind spot, despite the significance of agriculture to Ethiopia's economy.

In response to the Covid-19 pandemic, research should attend to inequalities in WASH service provision, with a particular emphasis on dense or overcrowded communities and informal settlements (cf. Parikh et al. 2020), and challenges around operation and maintenance of water infrastructure during the pandemic.[8] The additional constraints placed on citizens seeking accountability should be incorporated into the enabling environment.

[7] UN. 2020. *Daily Press Briefing by the Office of the Spokesperson for the Secretary-General.* 30th, November 2020. Available at: https://www.un.org/press/en/2020/db201130.doc.htm (accessed 08-12-20).

[8] See for example World Bank. 2020. *In Ethiopia, Keeping Water Flowing During the COVID-19 (Coronavirus) Response.* Feature Story, 21st May 2020. Online at: https://www.worldbank.org/en/news/feature/2020/05/11/in-ethiopia-keeping-water-flowing-during-the-covid-19-coronavirus-response (accessed 08-12-20)

2. Kenya

Evidence dashboard

Fig K1 Evidence types

Fig K2 Sectors covered

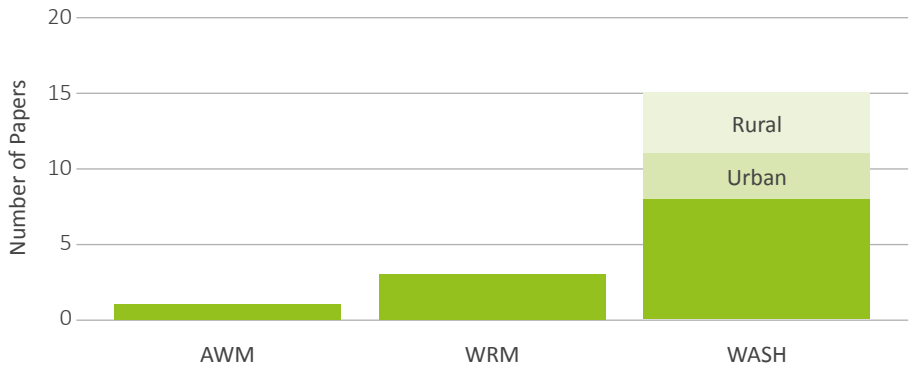


Fig K3 – Interventions covered

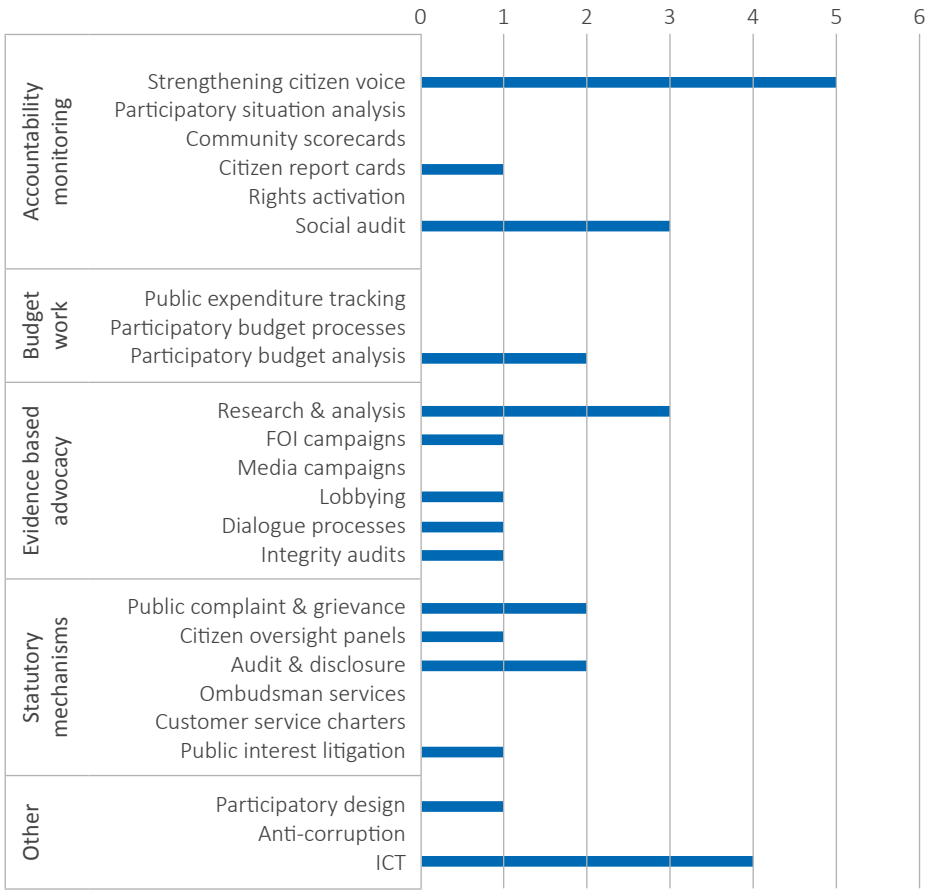


Table K1: Evidence types, country and subsector focus

Evidence type	Total	Single or multi-country	Subsector
Peer reviewed journals	2		
Institution working papers	6		
Project reports/evaluations	5		
Conference paper	2		
Total	**15**		

Table K2: Geographical and subsector focus

Local geographical focus	Source	Water subsector
National/unspecified	DANIDA 2012 Leclert 2016 Water Witness 2020 Willets et al. 2013	WASH urban WASH rural WRM WASH
Kwale, Malindi, Lamu and Tana Delta	GONDWANA 2014	WRM
Kyuso district	Koehler 2016 Welle 2015, 2016	WASH rural WASH
Laikipia district	When 2018	WRM
Garissa county	Feruglio 2017	WASH urban
Kiambu, Migori and Makueni counties	Salim 2014	WASH urban
Thika sub-county	Mwihaki 2018	WASH rural
Nakuru, Nanyuki, and Mathira	Ndaw 2015 Welle 2015, 2016	WASH WASH
Nairobi	Feruglio 2017 Ndaw 2015 Welle 2015, 2016	WASH urban WASH WASH
Mombasa	Bellaubi 2010	WASH
Kitale	Ali 2010	WASH
Six rural communities	Kelly et al. 2017	WASH rural

2.1 What does the evidence tell us?

Fifteen papers are available dating from 2012 to 2018, of which only two are peer-reviewed research articles (Fig. K1). The majority of available evidence is from practice reports, institution working papers and organisation reports, which comprise two-thirds of the available evidence. Six papers focus exclusively on Kenya, whilst nine are part of multi-country studies (Table K1).

The majority of sources concern the WASH subsector, including four with a rural focus and three urban (Fig. K2). There is limited evidence relating to agricultural water management or water resource management.

Among the accountability interventions studies, Social Accountability Mechanisms (SAMs) dominate (Fig. K.3), with a focus on citizen voice (5 papers) and social audits (3 papers). ICT based monitoring and reporting was a notable focus (4 papers), while statutory accountability, budgetary work, and evidence-based advocacy all feature to a lesser extent.

The geographical scope of the available research is broad, with urban, rural and nationwide studies included from a range of localities (Table K2).

The paper summaries and key details are presented below.

Ali 2010

SUMMARY: This working paper presents a synthesis of key lessons learned by the NGO Practical Action, drawing on a situational analysis of its projects in Kenya. It reviews the role of citizen participation in water services, contending that it strengthened inclusivity and representation of different voices in the planning process, contributing to better overall outcomes in terms of equitable resource allocation and trust between service users and providers.

DETAILS: The cases examined how citizen participation could act as a mechanism to recalibrate the relationship of demand and supply between citizens and their service providers, from opacity and mistrust to one of mutual accountability. The paper finds that participation of local community members, enacted through Community Led Total Sanitation (CLTS) processes, was linked to positive outcomes of increased political recognition, representation and inclusion, strengthened informal institutions and social capital, and infrastructure and investment.

Participatory planning allowed citizens to better understand their own responsibilities, articulate their needs, and open channels of communication with relevant service providers, such as local authorities, private sector and NGOs. Participatory plans were prepared within communities. They provided an opportunity for all, especially women, children, the old, and disabled people to be involved in decisions.

Participatory initiatives were found to be an effective process for strengthening community based organisation and overcoming conflicts. Community organisations, with an agreed area action plan including technical details and cost estimates, could influence municipal resource allocation. They increased investment in physical infrastructure according to the priorities of local people. The process built a sense of local ownership and fostered increased trust between service users and providers. Citizen participation was not restricted to the level of household or neighbourhood, and the initiatives opened channels for poor people to participate in town or city-wide decision-making.

Bellaubi and Vischer 2010

SUMMARY: This report identifies the shortcomings of prevailing accountability mechanisms to provide a reliable and trusted water service or improve performance in Nairobi. Anti-bribery, auditing and reporting processes are all reviewed, and criticised as insufficient measures to prevent corruption or clarify institutional responsibilities. However, the introduction of evidence-based advocacy is found to stimulate improvements in anti-corruption practices.

DETAILS: The report shows how the persistence of low-level corruption in water service provision has resulted in poor performance across Sub-Saharan countries, including Kenya. The authors document Transparency International's programmes seeking to strengthen integrity in water service provision. Integrity risk maps are participatory tools to identify and assess the lack of transparency, accountability and participation between actors' relationships. Relations are defined in terms of governance coordination mechanisms (e.g. contracts and regulations) and transactions (services and returns). They have been used to evaluate how well accountability mechanisms work, reviewing annual reports, financial and technical audits, anti-bribery measures, staff sanctions and incentives, and customer care and complaints services. In Mombasa, a dilapidated water supply led residents to drill their own boreholes. While policy reform since the 2002 Water Act had led to decentralisation and participatory measures, there was ambiguity surrounding the responsibilities of different institutions, such as the Water Management Authority and the Water Services Regulatory Board, when it came to implementation. The accountability measures in place largely failed to prevent a low level of user satisfaction or resolve ongoing issues of disrepair and inadequacy.

Accountability mechanisms failed to effectively provide clarity around contractual responsibilities, or regulate the actions of the Mombasa water utility's Board of Directors, who pursues their own interests at the expense of users, and interfered with management processes. A culture of clientelism and political opportunism prevailed across the Mombasa municipality, but the prospect of further privatisation raised additional concerns: if municipal councils sold their shares to international water companies, transparency would be diluted.

Various factors contributed to poor performance. Water service staff were on temporary contracts and low pay, with little supervision or opportunity to progress to a permanent role. Additionally, there was limited information available to water users, who were unaware of their rights and responsibilities. However, targeted evidence-based advocacy achieved change by creating a learning platform with 'institutional buy-in' and building momentum behind specific actions to improve integrity. These were particularly effective if users, politicians and water utility managers observed improvements in service delivery.

DANIDA 2012 OR

SUMMARY: This report provides an account of how ICT-based monitoring can enhance accountability, with real time data collection helping to aggregate and amplify citizens' voices. It highlights that long-term success rests on the full incorporation of 'open data' into policymaking, which remains uncertain at this stage.

DETAILS: The report shows how an open data portal improved transparency and access to information in Kenya, through an ICT based budget tracking tool. The tool was highly popular, generating tens of thousands of SMS-text queries and web hits. It was effectively used by citizens to reveal irregularities in the use of funds by the Ministry of Water and Irrigation in their constituencies. Transparency International used SMS and email to solicit citizen feedback on the quality of water and sanitation. This helped them to conduct a successful pilot project in six Kenyan locations, stimulating citizen-based advocacy for water quality improvements in urban areas. The report noted signs that government entities were finding new uses for the aggregated data as a planning tool, but it was too early to say whether it would be incorporated into policymaking on a regular basis and 'entrenched' (p.7) in government ministries.

Feruglio 2017 WP

SUMMARY: This working paper examines power and legitimacy in legal empowerment initiatives, selecting Kenya as one of two illustrative case studies. Outlines the need for a dynamic relationship between confrontational and collaborative approaches in the accountability process, combining the power of social movements and neighbourhood associations with legal and policy advocacy to drive forward a strategic dialogue.

DETAILS: The paper emphasises that accountability is an iterative process and may require a willingness to adopt contradictory approaches at different moments to access and influence powerholders; adversarial at one stage, collaborative at another; using formal channels at one point, informal at another. It highlights how peer-to-peer learning (e.g. in neighbourhood associations/social movements) can be a powerful driver of accountability – informing demands and strategic dialogues, and is a prerequisite to building a culture of trust between service providers and citizens. It emphasises the importance of responding to shifting institutional/political contexts. To decide their strategy to win greater accountability from power holders, intermediary organisations need to balance their goals (for example improved access to services, better relationships between citizens and service providers) against the risks of co-option, retaliation, and delegitimisation.

Gondwana Watch International 2012

SUMMARY: This report demonstrates how collaboration between CSOs allowed them to gain greater state recognition, and greater influence in scrutinising and shaping government policy around water resource management. A tiered structure allowed them to act as a bridge between a distant state and local communities, and secure access to the information and resources needed to hold the state to account.

DETAILS: The report assesses the relationship between civil society organisations and the Kenyan government around water resource management and associated policies. The WWF commissioned report considers how efforts to strengthen advocacy capacity have yielded positive results. Programme changes introduced a two-tier project design for implementation, strategically working with advocacy focused CSOs (first-tier), who in turn implemented the project through selected CBOs (second-tier) with which they had common thematic and operational interests. The strategy was found to be an efficient way of implementing a project involving such widely spread beneficiaries. The project sought to establish a Natural Resource Management (NRM) alliance with 42 members under its umbrella and influence laws relating to natural resources in Kenya.

The Alliance won recognition from policymakers and other stakeholders. Following its formation, CSOs could participate in national policy and legislation formulation, and were able to better engage with the Commission for the Implementation of the Constitution, the Parliamentary Committee on Environment and Natural Resources, and other stakeholders. The Alliance was able to scrutinise bills presented by government ministries or by the commission before they were approved by cabinet and passed by parliament into law.

The report signaled shifts in the overall balance of power, leading to improved representation and inclusion. Beneficiaries felt that an outcome of the project was to 'release them from the bondage of politicians, land-grabbers, developers, investors and historical injustices associated with land ownership' (p. 23). Effective collaboration between CSOs was found to be a key factor in success, as it gave them more power to challenge to government and corporate power. The latter had prioritised oil and gas infrastructure projects over community concern for water resources. The county government had previously exploited the communities' lack of knowledge of the negative consequences of oil and gas development. Providing this knowledge empowered communities to advocate for their goals.

Kelly et al. 2017 JA

SUMMARY: This article presents a multi-country, qualitative analysis of community water systems in Zambia, Ghana, and Kenya to understand the role of social capital in the performance of water management systems. The authors undertake focus groups and interviews with community members, community leaders, water committee members, and local government officials to gain a better picture of how community water systems were initiated, maintained, and used. Structural social capital facilitated the election of skilled and socially inclusive water committees, and instilled a widespread willingness to contribute time and resources towards community water systems.

DETAILS: The paper identifies social capital and a sense of ownership as key variables that positively influenced the uptake of accountability mechanisms including water committee elections, resource mobilisation, and information sharing. By increasing participation and thus the involvement of underrepresented or marginalised groups, social capital (manifested in the widespread uptake of accountability mechanisms) improved socio-economic and gender equality as it pertained to water access and availability. Structural social capital resulted in proactive community organisation, in the case of one Kenyan community by forming a group write up a proposal soliciting external support for the installation of a new water system. It also ensured committee members had diverse backgrounds and were adept at information sharing, due to involvement in other groups related to microfinance, sustainable agriculture etc. In another community, an institutional bank account and transparent finances helped to build trust between the community and committee, increasing the committee's ability to mobilise community resources. A sense of ownership over community water systems was fundamental to Kenyan communities' incentives to participate in meetings and willingly contribute their time and labour for water maintenance.

Koehler et al. 2016 BC

SUMMARY: This book chapter shows the potential of ICT-based monitoring and data aggregation to deliver rapid improvements in the maintenance and financial sustainability of water infrastructure, with mobile networks able to track performance. This helps to reduce information asymmetry between investments and outcomes, as funders can see how investments deliver verifiable impacts over time, allowing more targeted spending.

DETAILS: The chapter discusses the role of formal audit and disclosure in water accountability, again via an ICT-based tool – smart handpump technology. This was a programme to crowdsource data and rectify the lack of reliable information on water service performance. They analyse water-service performance data submitted via SMS as part of an output-based payment model. Observational data from monitoring handpump usage in rural Kenya, derived from a baseline survey of 124 respondents and subsequent focus group discussions with over 660 participants, suggests dramatic improvements in maintenance, highlighting the potential of the technology to gather practical information. During the trial, a handpump was over four times as likely to be repaired within two days, compared to before the trial commenced. The combination of the technology and the payment structure produces a 'closed loop feedback cycle' (p.58) which aligns payments with service level performance. Limiting factors of the programme included the lack of signal and electricity for recharging mobile phones, and operational problems of crowd-sourcing. Technology was an enabler, but could only succeed if accompanied by both communities willing to participate and the required water maintenance resources (for example trained mechanics, spare parts).

Leclert et al. 2016 CP

SUMMARY: This conference paper examines how modifying the formal governing structure and enhancing accountability has helped with maintaining community managed rural water supplies in Kenya. The methodology draws on the authors' experiences as water professionals in implementing agencies to explain, review and evaluate the Integrity Management toolbox developed by Cewas, WIN and GIZ for formal Kenyan WSPs. It highlights how a combination of accountability mechanisms, introduced as part of an integrity toolkit, were effective at delivering improvements to rural water services. Ongoing training and support was an important factor in securing lasting change.

DETAILS: Communities had struggled to maintain an active group operating and maintaining the water infrastructure, as trained volunteers moved to paid opportunities and poor record keeping hindered accountability. Many community water groups lacked formal legal status, limiting access to credit, legal support services, and the justice system. The introduction of the Integrity Management toolbox (encompassing a broad understanding of integrity that goes beyond values and anti-corruption to include aspects of sound management and competence) was found to improve performance and integrity. The toolbox offered a simple guide with information sheets that supported groups to navigate and comply with the regulatory regime, in effect a governance manual, accompanied by training workshops and continuous field support to build up local capacity. In contrast to one-off capacity-building interventions, it spurred a longer-term and iterative process of change and community empowerment. Community members were able to take decisions and actions to improve the quality of the services provided. The approach rested on strong follow-up support and slow withdrawal by the assisting agency, while ensuring engagement of the relevant local institutions throughout the process.

Mwihaki 2018 JA

SUMMARY: This article draws on a large body of primary and secondary data, including a survey involving 766 respondents and water agency records, to understand the effects of decentralisation on accountability in water service delivery. The results are largely positive. It evaluates the ways in which decentralisation connects with accountability, and demonstrates that pluralistic, multi-level approaches can secure greater citizen participation.

DETAILS: Under decentralisation, THIWASCO (Thika Water & Sewerage Company, the water provider) ensured oversight, role brokerage and participatory leadership. New partnerships, pooling together human and financial resources, resulted in better coverage and water supply reliability. Previously, participation in Kenyan water management systems was low and ineffective feedback mechanisms prevented citizens from expressing grievances, but decentralisation was accompanied by pluralistic, multi-level approaches that shared responsibility. Thika-sub-county, which decentralised in this way, reported better results than Kiambi-West which did not. However, the author noted an overreliance on foreign aid to finance new projects, which may impede longer term sustainability. Their conclusion emphasised the need to build relations between central government and local citizens for enhanced provision in Kenya.

Ndaw (2015)

SUMMARY: This working paper presents a seven-country case study, including Kenya, to take stock of the opportunities to harness ICT to improve water governance and water and sanitation service delivery. It proposes a range of lessons and recommendations for effective use of ICT for accountability for water which can be built on, further tested and refined in new contexts. Their guidelines suggest recognising consumer needs and preferences for how they want to communicate; giving control of the data to consumers, and delivery with a media or communications partner.

DETAILS: The paper draws on the insights arising from multiple ICT and water-related initiatives in Kenya (Smart Water Systems and Handpumps; M-Maji, Jisomee Mita, Maji Voice, Maji SMS, MajiData; Field Level Operations (FLOW) etc.) and elsewhere. The report recommends introducing guidelines explaining how ICT can best be deployed to strengthen citizen voice and improve service delivery on water, with attention to privacy, right to data and hacking and security threats, as well as limits to the role of external donors, and staff training for monitoring and evaluation. There is evidence for ICT contributing to better services and more responsive and accountable institutions, but the high number of unsuccessful initiatives underlines the challenges of engaging citizens. Interventions need to:

- be linked to action/response;
- recognise consumer preferences for how they want to communicate;
- easy to use; fulfil a clear need;
- delivered with a media or communications partner;
- provide access to data for the consumer;
- ensure data input validity and are co-designed with users.

The work goes further to propose an ICT impact chain, balanced scorecards, guidelines and policy frameworks for advancing ICTs role in effective water services. These tools are recommended to evaluate and improve the various mechanisms at work during the design, implementation, and post-implementation stages of ICT based interventions.

Water Witness 2020

SUMMARY: This report reviews a range of experiences relating to water accountability in Kenya, surveying the available evidence to identify what factors stimulate or sustain conditions for improved water outcomes. The paper concludes that overall performance of the water sector has been poor, and proposes a range of recommendations for strategic advocacy, especially on the need to develop a human rights-based approach, improve regulatory compliance, and pursue full implementation of the 2016 Water Act.

DETAILS: Provides a technical assessment of Kenya's water governance regime. The report highlights the positive impact of water sector reforms through the 2012 Water Policy and the 2016 Water Act, which have helped to reduce conflicts between existing policy and laws; reduce the overlapping of roles in water authorities and agencies; eliminating ignorance of WRM policy; and created useful indicators for policy makers for evaluating progress towards improving water quality and access. However, it identifies endemic corruption as a disabling factor. Corruption in licensing and the uncoordinated transfers of key officers in the county government are found to mar the tracking of governance processes. For example, landlords' illegal control of access and cost of water in informal settlements, without approval from the water service provider or the regulator, has compounded inequalities. The report proposes a human rights-based approach to improve accountability. This would necessitate closer engagement with communities to are aware of their rights and equipped to hold duty bearers to account, while working with the duty bearers to develop their capability and willingness to respond to communities.

Welle et al. 2015, and Welle et al. 2016

SUMMARY: This working paper tests different ICT based monitoring initiatives against a theory of change, identifying community motivation and incentives, widespread mobile coverage, and preemptive 'social design' of ICT monitoring and reporting mechanisms as factors that could lead to successful outcomes around user participation and prompt repair and maintenance of rural water points. They draw attention to the social context of water accountability, and caution against ICT based 'techno-fixes'.

DETAILS: The Maji Voice and Smart handpump initiatives in Kenya are selected as case studies for an evaluation of ICT and mobile based reporting systems intended to hold water providers to account. The reports investigate how mobile tracking and data crowdsourcing can stimulate better maintenance & repairs to poorly functioning water infrastructure. Qualitative Comparative Analysis is applied to identify the causal patterns that lead to particular outcomes. Findings show that, although Maji Voice's crowdsourcing reporting mechanism was made available to all citizens, in practice all reports investigated were made or initiated by a member of the water user committee or a local political leader. It also lengthened communications between water users and handpump mechanics who already held good relations, creating more problems than it solved. However, the Smart handpump initiative, which relied on data from chips built into handpumps, was found to improve reliability as it adopted a reporting model placing the onus for action on the maintenance provider rather than on citizens. Clear operational and maintenance responsibilities were found to be critical in all cases, and successful cases were marked by the service provider taking a leading role.

Successful outcomes relating to the repair and maintenance of rural water points were linked to close alignment with user preference, low cost, and technological factors such as GSM reception and rechargeable devices. An unexpected result, highlighted in the better performance of Smart Handpumps, was that the dominant successful reporting pattern was linked to regular, government or service provider-led reporting mechanisms rather than initiatives based on crowdsourcing. Community and political buy-in was also key to championing and investing in, or where necessary, scaling up initiatives. When included in the operational budget of the district water office, the programme became better institutionalised and resourced to train staff effectively. Criteria for measuring success could be improved since did not account for external factors such as the availability of spare parts or mechanics to undertake the repairs.

Willets et al. 2013

SUMMARY: This conference paper outlines the importance of correct preparation and training prior to accountability monitoring, to maximise community involvement and improve effectiveness. Authors cite the usefulness of ICT monitoring to relay data on progress towards sanitation targets to government, Community Based Organisations (CBOs) and citizens.

DETAILS: Focuses on the authors' experiences of monitoring a multi-region civil society fund, linked to projects operating in twenty countries including Kenya. They do not disaggregate results by country, although Kenya is included as a programme area. Two areas of interest are identified relating to accountability monitoring in NGOs:

- Reviewing innovative aspects of programme design that held relevance for sector monitoring;
- Piloting the use of a 'strategy map' to consider the ways in which NGOs are currently, and might in the future, support sector monitoring. This related to the use of 'theory of change' models and well-structured performance frameworks.

Drawing on experience monitoring the NGO sector, the authors identify two crucial determinants of success for accountability monitoring. Firstly, the creation of simple, purpose-built, information systems that can be placed at the disposal of communities, funders and other stakeholders. Secondly, prioritising a strong 'people' focus when designing monitoring programmes, considering how people might understand and use information in practical settings.

The authors do cite Kenya as an example of a country where the development and application of new ICT based approaches has been adopted to streamline data reporting on water services. They point to M-GESA, a mobile phone application to capture household-level sanitation data. This was a successful initiative that was used to provide feedback to government, CBOs and communities on sanitation status and progress towards project targets.

2.2 Emerging Insights

This section reflects on the emerging insights from the evidence presented. We draw together the insights from the papers presented across three domains of accountability – community dynamics, the enabling environment, and governance dynamics.

2.2.1. Community dynamics

Public forums for community deliberation allowed a wide range of voices to influences municipal resource allocation and translated into greater equity in water outcomes. For example, participatory planning allowed citizens to better understand their own responsibilities and articulate their needs (Ali 2010), while neighbourhood associations created a space for peer-to-peer learning and strategic dialogues (Feruglio 2017).

Community incentives for accountability monitoring were a significant determinant of outcomes, with the maintenance and repairs of water infrastructure linked to the willingness of communities to participate in data crowdsourcing initiatives (Koehler et al 2016).

2.2.2 Enabling environment

ICT based monitoring and reporting required the necessary infrastructure and backup-support to enable smooth data transmission (DANIDA 2012; Koehler et al. 2016; Welle et al. 2015), with appropriate guidelines and policy frameworks in place to advance ICT tools (Ndaw 2015).

Correct preparation and training for accountability monitoring was a prerequisite to meaningful community participation (Willets et al 2013; Leclert et al 2016). Similarly, an appropriate relationship with donors, opening space for 'beneficiaries' to set agenda and priorities, was necessary to build trust before commencing participatory exercises (Gondwana 2012; Leclert et al 2016).

2.2.3 Governance dynamics

Clear operational and maintenance responsibilities were found to be critical to improve water service performance (Bellaubi and Vischer 2010; Welle et al. 2016). There was some ambivalence on the relative merits of service provider led versus crowdsourced data collection for performance monitoring, depending on how data was generated, disseminated and controlled (DANIDA 2012; Ndaw 2015; Welle et al. 2015, 16). Decentralisation and pluralistic governance systems allowed for better pooling of human and financial resources, with greater responsiveness, a broader social base and more diverse input to decisions (Gondwana 2012; Mwihaki 2018).

Institutional buy-in through targeted, evidence-based advocacy can stimulate government responsiveness and overcome ingrained cultures of clientelism, political opportunism and petty corruption (Bellaubi and Vischer 2010; DANIDA 2012; Feruglio 2017). Strategic dialogues are necessary to influence power-holders in dynamic institutional and political contexts. This requires preparation against the risk of cooptation, retaliation, and delegitimisation by powerholders, switching between and collaborative and adversarial approaches (Feruglio 2017).

2.4 Research priorities

This concluding section highlights knowledge gaps that have been demonstrated and identifies potential priorities for future research, to be considered in the light of insights from practitioners and communities with experience of the challenges that are most undermining water security.

At a community level, a better understanding is needed of how participation in deliberative processes can overcome acute differences within communities and ensure final decisions do not become co-opted and reproduce existing social hierarchies (Ali 2010; Feruglio 2017). This is closely connected with understanding the incentives that motivate individual citizens to participate (Koehler et al. 2016).

Concerning the enabling environment, further study is needed on how to plan for uncertainties in technical capacity and support infrastructure, and how to ensure appropriate guidelines are prepared to inform programme and policy decisions (DANIDA 2012; Koehler et al. 2016; Ndaw 2015; Welle et al. 2015).

At the level of governance, future research should identify methods to generate and mobilise reliable data for evidence-based advocacy, which can stimulate greater institutional responsiveness to poor performance (Bellaubi and Vischer 2010). What political and institutional conditions are most appropriate when engaging with either formal and informal channels to ensure citizen voice is heard and treated as legitimate (Feruglio 2017).

Out of the Kenya subset, a disproportionate amount of the available evidence centered on strengthening citizen voice or ICT-based monitoring, with the result that evidence on other mechanisms was thin or reliant on only one study. Further research should prioritise investigating budgetary accountability mechanisms, which were entirely neglected in the Kenyan data sample, but the impact of many other interventions received only cursory analysis and could also benefit from further study. The impact of citizen report cards, community scorecards, freedom of information/media campaigns, lobbying, dialogue processes, public complaint and grievance mechanisms, integrity audits, oversight panels, and public interest litigation require further research before definitive conclusions can be reached regarding their effects.

As in the Ethiopian case, the significance of agricultural water management to Kenya's rural economy is not reflected in existing research and more attention is needed to understand accountability dynamics in this context. Similarly, the impact of Covid-19 on Kenya necessitates greater attention to inequalities in WASH service provision, with a particular emphasis on dense or overcrowded communities and informal settlements, and issues pertaining to the O&M of water infrastructure. The additional constraints placed on citizens seeking accountability should be incorporated into the enabling environment.

3. Tanzania

Evidence dashboard

Fig E1 Evidence types

Fig E2 Sectors covered

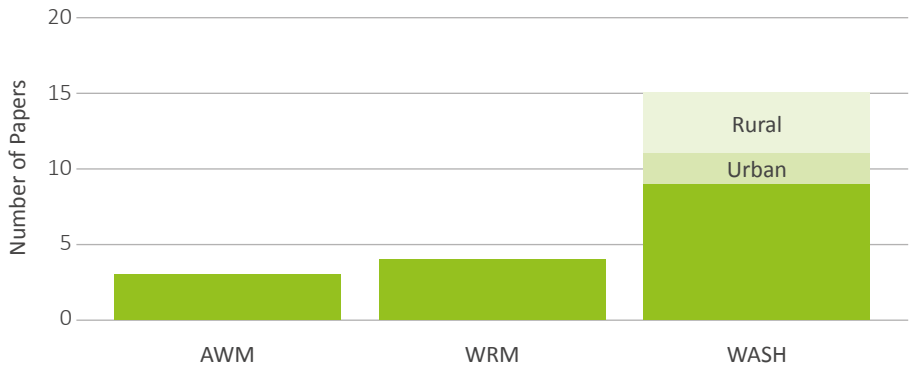


Fig E3 – Interventions covered

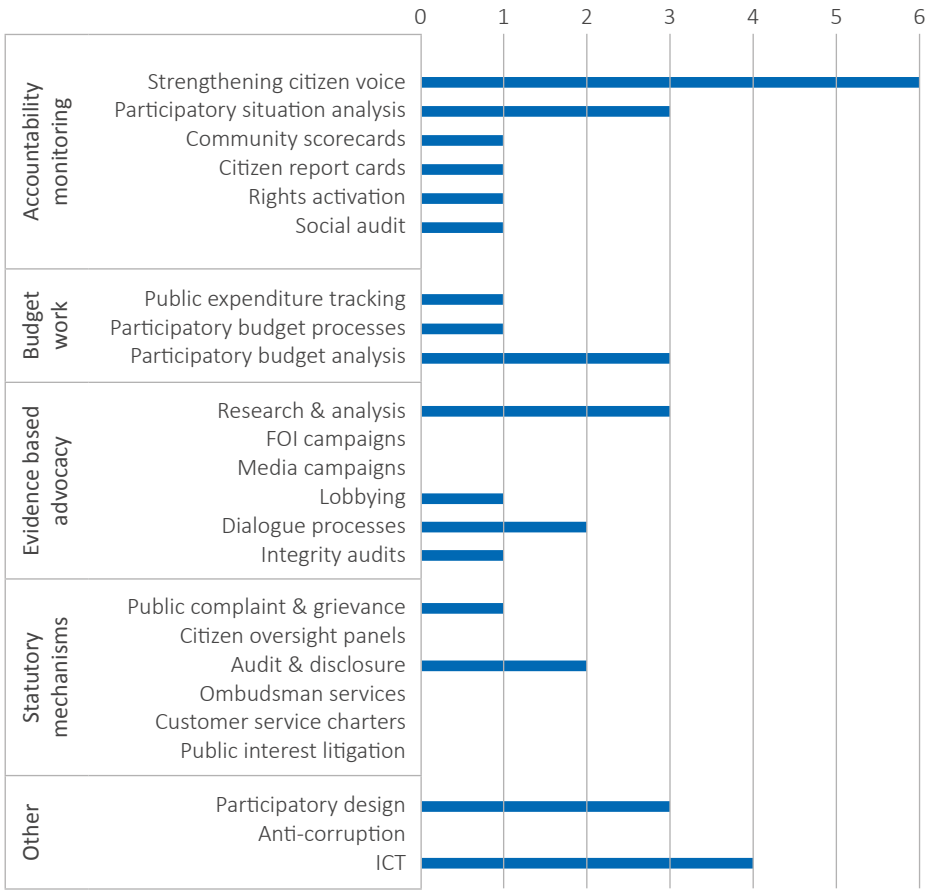


Table T1: Evidence types, country and subsector focus

Evidence type	Total	Single or multi-country	Subsector
Peer reviewed journals	8		
Institution working papers	5		
Organisational reports	4		
Conference papers	1		
Total	**18**		

Table T2: Geographical and subsector focus

Local geographical focus	Source	Water subsector
National/unspecified	Lande and Fonseca 2018	WRM/WASH/AWM
	Pieterse 2019b	WASH
	UNDP-SIWI 2014	WASH
	UNDP-SIWI 2017	WASH
	Velleman 2010	WASH urban
	Willets et al. 2013	WASH
Kilimanjaro region	Boesten et al. 2011	WRM
Dodoma region	Fierro et al 2016	WASH
	Masanyiwa et al. 2014	WASH rural
Rufiji basin	Cinderby et al. 2011	AWM
	Tincani and Mwaruvanda	WRM/WASH/AWM
Kagera basin	Huntjens et al. 2011	WRM
Wami-Ruvu basin, Internal Drainage Basin, Pangani Basin	Ndaw 2015	WASH
	Tincani and Mwaruvanda	WRM/WASH/AWM
Mbulu, Iramba and Nzega districts	Tanzania National Institute for Medical Research 2012	WASH
Njombe, Mbozi, and Morogoro districts	Welle et al. 2015, 16	WASH
Bunda district	Wesselink et al 2015	WASH
Dar es Salaam	Krolikowski 2016	WASH urban
'Mashujaa'	Nganyanyuka et al. 2018	WASH urban

3.1 What does the evidence tell us?

Eighteen papers are available dating from 2010 to 2019, comprising predominantly journal papers and institutional working papers (Fig. T1). The majority focus on WASH sub-sector, with only three focusing on agricultural water management (two of which are part of a multi-sector study) and four looking at water resource management, including one of the two multi-sector studies (Fig T2 and Table T1).

The use of ICT to improve accountability and responsiveness is the focus of four studies. There is a focus on participatory mechanisms and techniques to disperse and share power within communities, with ten studies examining participatory design or strengthening citizen voice. The research in Tanzania has looked at numerous regions as well as the country as a whole (Table T2).

The paper summaries and key details are presented below.

Boesten et al. 2011

SUMMARY: This article examines the performance of community-based workers in three water systems in Kilimanjaro Region to explore the relationship between participatory models of resource management, performance on accountability, and outcomes for inclusive development. The qualitative methodology used long-term observational case-studies, and institutional tracking supported by in-depth interviews, to test the widely held assumption that community-based workers or volunteers are more accountable and effective than professionals, because they are 'closer' to the populations they serve. It is presumed that they will share an understanding of needs, and therefore will tend to reach more people with equitable services. It shows how donor support can skew accountability away from local people to the donor, and how this undermines progress. The paper argues that much more thought – and action – is needed to strengthen accountability of workers employed in water management institutions.

DETAILS: This paper finds that community-based water provision and water user associations tended to reinforce inequalities by sustaining local hierarchies which privileged elites and sidelined the needs of the poor.

Examples are provided of pricing schemes which favoured the community workers and their 'client groups' and of ongoing exclusion of the poor in terms of both decision-making and access to water. Local volunteers or 'community workers' were found to be less likely than professionals to be accountable, with the following factors playing an important role in accountability and inclusive outcomes:

- the selection of workers,
- role definition and clarity,
- personal motivation,
- mechanisms in place for local accountability.

Additionally, donor interventions and external funding tended to skew the responsiveness and lines of accountability away from local communities and instead to the donor. Systems for ensuring accountability to local populations need much more careful consideration including of the multiple influences – the prevailing and historical local political frameworks – which affect accountability.

Cinderby et al. 2011

SUMMARY: This article shows the potential for harnessing ICT and participatory GIS to improve decision making and accountability regarding water use for agriculture and catchment level trade-offs. PGIS identified factors that could help model scenarios for agricultural water management. A key finding, however, is that these factors are somewhat limited in their effect, and there is an urgent need for additional work and reflection on how ICT and GIS can be harnessed to support more accountable and sustainable water use and decision making at catchment scale.

DETAILS: The paper identifies how participatory Geographical Information Systems (PGIS) could contribute to more responsive and efficient decision-making for sustainable resource use and reduced water conflict via better access to information. Investigating multiple scales from the village to watershed level, the paper examines the role of 'participatory spatial engagement techniques' (p. 1093) in improving decision making relating to smallholder irrigation technologies and their impacts on water resources and livelihoods. Key factors positively influencing outcomes were giving evidence and knowledge to affected stakeholders, increased public engagement and transparency, and working at the appropriate scale. This allowed community generated knowledge to inform the discussion between facilitators and experts and become embedded in policy processes.

Fierro et al. 2016

SUMMARY: This regional qualitative study into the performance of Community Owned Water Supply Organizations (COWSOs) in the Dodoma region, shows how confused organisational responsibilities, and inadequate monitoring, guidance and finance can undermine service delivery and diminish accountability.

The implication is that weak mechanisms for planning, budget tracking and information sharing between central and local government authorities must be dealt with. Dedicated financial resources, clear guidelines and adequate directives are necessary to ensure accountability and bolster the status of COWSOs as viable institutions for community water supply. Data was gathered through extensive questionnaire surveys with District Water Engineers and field level engagement with communities.

DETAILS: The paper finds that revised organisational arrangements have not necessarily improved the availability of water supply in rural areas because there has been inadequate investment, confusion over roles and responsibilities, and an inadequate level of performance monitoring of COWSOs by communities and government. In particular, a lack of accountability of COWSOs for spending and generating revenue has undermined their ability to improve services.

Krolikowski 2016

SUMMARY: This qualitative research looks into the role of ICT in improved institutional performance and accountability in Dar es Salaam. The author used city-wide questionnaire surveys and interviews to explore the relationship between mobile based payments for water services, and the reduction of petty corruption. They find clear potential for mobile payment applications to close information asymmetries and reduce petty corruption around water billing and payment processes, with positive effects on accountability, transparency, organisational performance and water service delivery. and begins to organise the determinants of efficacy: Thoughtful design, longevity, customer 'literacy' and information access, are all found to contribute to the success of this intervention towards urban WASH provision.

DETAILS: The findings show that introduction of mobile enable payment and monitoring systems can reduce corruption and save staff time. This is expected to lead to improved and affordable urban WASH service provision through more effective use of organisational resources. Key factors underpinning the efficacy were found to be the availability and access to evidence, improved mutual trust between consumer and provider, well designed and long-term intervention and levels of literacy and ability to access mobiles by the consumer.

Masanyiwa et al. 2014

SUMMARY: This article highlights the need to consider both active forms of participation – formal representation on village councils or committees – and interactive participation, relating to voice, political influence and leadership, when considering mechanisms designed to promote gender equality for improved water services and governance oversight. The paper provides empirical data demonstrating the factors which permit or constrain participation and influence on decision making. They conclude that whilst it is not difficult to increase women's participation in public meetings and committees, it is much more difficult to increase their influence on outcomes.

DETAILS: The paper investigates how decentralisation has fostered spaces for stronger citizen voices and participation in the delivery of rural water services. The article identifies factors that constrain or encourage women's participation and influence. Through questionnaires and interviews in Dodoma Region, it shows that decentralisation has created space for greater participation by women, but that their roles remain largely 'passive', and their ability to speak up and influence outcomes is limited by engrained cultural norms, which constrain gender roles. These include factors like education, literacy, and occupation; religion; household duties; a willingness to engage in political and power bargaining; and the pervading influence of patriarchal structures. Authors also observe that there is high variability by location in these factors, and that female leaders are emerging. They emphasise the importance of efforts to strive for 'strategic' gender equity, concerning equal organisational and structural relationships between men and women, rather than focusing narrowly on practical needs based on the household division of labour. This can be achieved through government and NGO programmes, economic and educational activities.

Ndaw (2015)

SUMMARY: This working paper presents a seven-country case study, including Tanzania, to take stock of the opportunities to harness ICT to improve water governance and water and sanitation service delivery. It proposes a range of lessons and recommendations for effective use of ICT for accountability for water which can be built on, further tested and refined in new contexts. Their guidelines suggest recognising consumer needs and preferences for how they want to communicate; giving control of the data to consumers, and delivery with a media or communications partner.

DETAILS: The paper draws on the insights arising from multiple ICT and water-related initiatives in Tanzania (Maji Matone, Taarifa, mWater, Human Sensor Web etc.) and elsewhere. The report recommends introducing guidelines explaining how ICT can best be deployed to strengthen citizen voice and improve service delivery on water, with attention to privacy, right to data and hacking and security threats, as well as limits to the role of external donors, and staff training for monitoring and evaluation. There is evidence for ICT contributing to better services and more responsive and accountable institutions, but the high number of unsuccessful initiatives underlines the challenges of engaging citizens. Interventions need to:

- be linked to action/response;
- recognise consumer preferences for how they want to communicate;
- easy to use; fulfil a clear need;
- delivered with a media or communications partner;
- provide access to data for the consumer;
- ensure data input validity and are co-designed with users.

The work goes further to propose an ICT impact chain, balanced scorecards, guidelines and policy frameworks for advancing ICTs role in effective water services. These tools are recommended to evaluate and improve the various mechanisms at work during the design, implementation, and post-implementation stages of ICT based interventions.

Nganyanyuka et al. 2018 JA

SUMMARY: This article outlines the reasons why communities may favour individualistic protest strategies over collective action to secure improvements to water service delivery in a Tanzanian town. Without a broad culture of democratic accountability, there is a disenchantment with formal complaints mechanisms, and wealthier citizens resort to clientelistic relations with utility officials as a more direct route to securing water repairs. The mismatch between citizens' protest strategies and the formal/informal complaint mechanisms of the water authority has a negative effect in perpetuating inequalities, as only citizens who have cultivated social capital or can pay bribes are able to secure improvements to water services.

DETAILS: The article seeks to understand why citizens resort to individual rather than collective protest to express their grievances around poor water services in a Tanzanian town. Drawing on water provider records (registers of customers, meter reading, customer complaints), interviews, observations, and secret audio and video recordings, the authors argue that individualistic and clientelist relationships with utility officials, and the sympathy that some citizens feel for under resourced water officials' situation inhibit collective action.

The water authority lacks a dedicated phone line for customer complaints, but given the small size of the town, customers know the mobile phone numbers of officials, and in the absence of a broader culture of democratic accountability ,with most official complaints simply ignored by the water authority, there are documented incidents of bribery to secure improvements. The findings show the role of social capital and community networks in such contexts, which limits the water access of those less well connected. As the authors observe, 'accountability requires water authorities' capacity to listen and respond positively to all citizens, not just those who are better off.' (PAGE)

Pieterse 2019b OR

SUMMARY: This report reviews a range of experiences relating to water accountability in Tanzania, surveying the available evidence to identify what factors stimulate or sustain conditions for improved water outcomes. It proposes a range of recommendations for strategic WASH advocacy in Tanzania, especially on the need to identify local accountability champions, build on existing regulatory frameworks, and undertake accountability work within unfavourable and restrictive political contexts.

DETAILS: The author recommends selecting accountability mechanisms that can demonstrate relatively quick results in areas that are positive for citizens, service providers and authorities, and are effective in upholding or implementing established rules and regulations. The effectiveness of external support for accountability mechanisms and advocacy depends on relationships that are established with organizations equipped to carry out accountability and advocacy work, and with the relevant authorities in the area where an intervention takes place.

The report emphasises the importance of political economy analysis and strategic advocacy, considering how efforts to expose corruption may be interpreted as a political statement. Operating in an environment with restrictions on the freedom of civil society, she proposes that more can be achieved by focusing on positive improvements that can be achieved with the support of a certain intervention, rather than dwelling on past/current problems. To improve gender equity and inclusion of marginalised groups, she recommends creating explicit spaces for their engagement and supporting local advocates with progressive views.

Tincani and Mwaruvanda 2016

SUMMARY: This article evaluates Shahiji Wa Maji's Social Accountability Monitoring programme, outlining the factors that contributed to success. They highlight a well-designed, multi-level advocacy strategy that garnered awareness and support through repeated political and media engagements.

DETAILS: Provides a detailed project evaluation of Shahidi Wa Maji's Social Accountability Monitoring programme, drawing on extensive project documentation and a series of regional community meetings. While a short timeframe & limited project funds limited the scope of the work undertaken, overall the programme was lauded as a success, effectively empowering project change agents – 'mashahidi,' ('water witnesses' in Kiswahili), as key figures equipped to find ways to improve the protection of water resources integral to local livelihoods. The project was able to raise the voice of small-scale water users through social accountability mechanisms that improved awareness of legal rights, responsibilities and obligations around water use, and improved water security for 159,000 people. The communities' water-related priorities were identified using participatory methods and effectively relayed to decision-makers, galvanising action to improve water services. Whilst the project exceeded expectations overall, it was hindered by a high staff turnover and challenging political climate during the 2015 presidential election.

Tanzanian National Institute for Medical Research 2015

SUMMARY: This report draws on interviews, focus groups and household surveys to assess and monitor outcomes of the Community Led Total Sanitation (CLTS) approach in terms of behaviour change and community responsiveness. It evaluates a Community Led Total Sanitation (CLTS) project in Tanzania, concluding that a lack of collaboration between stakeholders was an impediment to local accountability, as multi-scale power struggles took the focus away from local priorities.

DETAILS: The evaluation identified positive outcomes in terms of representation and inclusion, and access to information: different latrine designs were demonstrated at sanitation centres, accommodating needs of different groups of people, while the sanitation centre was recognised as a central knowledge hub for improved latrines, designs, and approaches. Factors that influenced project accountability included the lack of a multi-sector, collaborative approach, and the power of external donors to set priorities. Key district departments were not effectively involved, and unfavorable competition was identified to exist between health and water departments on issues of water, sanitation and hygiene. Consequently, district authorities did not allocate funds to support the initiative. Without a clear entry point to feed into the project, local NGOs survived on tenders to carry out certain activities in their jurisdiction without the opportunity to identify their own priorities.

UNDP-SIWI 2014

SUMMARY: This stock-taking report reviews UNDP-SIWI member activities in sub-Saharan Africa, and finds that it is important for international cooperation at transnational summits and meetings to share 'best practice' around integrity in water policy.

DETAILS: The report describes policy developments around regional water governance and the impact of training sessions with Economic Community of West African States and Southern African Development Community members states, including representatives from Tanzania. Sessions included a meeting held in Mwanza, Tanzania with 34 Mayors and Town clerks from Tanzania and neighbouring countries, and the Water Integrity Learning Summit hosted by the government of Zambia. Activities outlined at the summit illustrated the function of convening and dialogue processes in generating outcomes, by showcasing accountability initiatives that produced visible benefits in communities and countries, and building consensus in recognising the importance of informed stakeholders and strong civil society as a driving force for change. Summit participants issued a statement calling for the recognition of integrity as a core element of good and sustainable water governance, which political leaders in the African Ministers Council on Water subsequently responded to at their General Assembly.

Welle et al. 2015, and Welle et al. 2016

SUMMARY: This working paper tests different ICT based monitoring initiatives against a theory of change, identifying community motivation and incentives, widespread mobile coverage, and preemptive 'social design' of ICT monitoring and reporting mechanisms as factors that could lead to successful outcomes around user participation and prompt repair and maintenance of rural water points. They draw attention to the social context of water accountability, and caution against ICT based 'techno-fixes'.

DETAILS: The Maji Matone handpump initiative in Tanzania is selected as a case study for evaluating ICT and mobile based reporting systems intended to hold water providers to account. The reports investigate how mobile tracking and data crowdsourcing can stimulate better maintenance & repairs to poorly functioning water infrastructure. Qualitative Comparative Analysis is applied to identify the causal patterns that lead to particular outcomes. In the case of Maji Matone, users could send texts when pump breakdowns occurred, but user participation was found to be well below targets. This was attributed to low expectations and prevailing apathy – as well as worries over being identified when reporting failures – which prevented water users from sending information. The failure of ICT monitoring to adopt 'social design', with attention to the social context in which data crowdsourcing occurs, was a key deterrent to wider uptake of ICT based reporting. However, the programme was somewhat effective at turning information received into actions to fix the reported problems; by the end of the pilot period, district water engineers had attended to 21 of the 53 reported problems.

Wesselinke et al. 2015 JA

SUMMARY: This article identifies limitations of ICT based monitoring and reporting due to their failure to incorporate the everyday realities of rural life in Tanzania. In practice, water is a 'hybrid good', with access mediated through a variety of informal political relationships. Such modes of water provision cannot be easily captured through design of the apps currently in operation.

DETAILS: Provides an analysis of the introduction of mobile apps on rural water supply in Tanzania, critiquing the 'eGovernance hype' through a detailed case study that brings renewed attention to local context as a neglected factor shaping the outcomes of ICT based accountability mechanisms. By conducting a reflexive action research experiment, combining an ethnographic approach with 'learn-and-deploy cycles' to develop and test the SEMA (Sensors, Empowerment, and Accountability) software, they show how the assumptions driving mobile apps for data crowdsourcing and accountability monitoring do not apply in the context of rural Tanzania.

There is a complex institutional design to rural water provision, with hybrid modes of access including informal, for-profit provision from private vendors; collection from open access sources such as rivers and lakes; and closely supervised Community Owned Water Supply Organisations (COWSOs). Since not all forms of provision are officially recognised or legal, users are unlikely to use phone apps in such a context. Additionally, there exist 'parallel worlds of politics' operating according to different logics; informal relationships determine resource access and everyday corruption becomes a survival strategy for many rural citizens, none of which can be easily captured through apps relying on the formal transmission of information. Low rates of participation were also linked to cynicism and limited motivation and cynicism within the population.

Willets et al. 2013 CP

SUMMARY: This conference paper outlines the importance of correct preparation and training prior to accountability monitoring, to maximise community involvement and improve effectiveness. They cite the usefulness of ICT monitoring to relay data on progress towards sanitation targets to government, Community Based Organisations (CBOs) and citizens.

DETAILS: Focuses on the authors' experiences of monitoring a multi-region civil society fund, linked to projects operating in twenty countries including Tanzania. The authors do not disaggregate results by country, although Tanzania is included as a programme area. Two areas of interest are identified relating to accountability monitoring in NGOs:

Reviewing innovative aspects of programme design that held relevance for sector monitoring;

- Piloting the use of a 'strategy map' to consider the ways in which NGOs are currently, and might in the future, support sector monitoring. This related to the use of 'theory of change' models and well-structured performance frameworks.
- Drawing on experience monitoring the NGO sector, the authors identify two crucial determinants of success for accountability monitoring. Firstly, the creation of simple, purpose-built, information systems that can be placed at the disposal of communities, funders and other stakeholders. Secondly, prioritising a strong 'people' focus when designing monitoring programmes, considering how people might understand and use information in practical settings.

3.2 Emerging Insights

This section reflects on the emerging insights from the evidence presented. We draw together the insights from the papers presented across three domains of accountability – community dynamics, the enabling environment, and governance dynamics.

3.2.1. Community dynamics

At a community level, it is vital for interventions to consider how accountability of workers to local beneficiaries can be embedded in water governance, and to reflect on what available mechanisms are best equipped to navigate existing hierarchies (Boesten et al. 2011).

A particular focus is how women's influence at all levels of governance could be supported to strengthen accountability and improved outcomes for women on water. This includes considering both active forms of participation – formal representation on village councils or committees – and interactive participation, relating to voice, political influence and leadership (Masanwiya 2014).

Mechanisms for community monitoring play a key role in improving services (Fierro 2016; Tincani and Mwaruvanda 2016). However, ICT monitoring tools are often limited in their success as they don't recognise how water provision can be mediated through informal relationships. This is especially the case in rural areas (Nganyanyuka et al. 2018; Wesselinke 2015).

Finally, community participation is more limited where there is a prevailing sense of apathy and mistrust of formal institutions (Welle 2015).

3.2.2. Enabling environment

Certain conditions are necessary for accountability mechanisms to deliver on the improvement of water outcomes. Overall, there is a marked failure to account for local political economy and social priorities in the design of accountability programmes, with the relative strength of different citizen voices often found to mirror existing configurations of economic power.

Donor support for water services and institutions must be delivered in ways which avoids skewing accountability towards the donor, by ensuring responsiveness to beneficiaries (Boesten et al. 2011; Pieterse 2019b; Tincani and Mwaruvanda 2016).

ICT can enhance public engagement/access to information and improve decision making in the right conditions, but further attention is needed to how it could be scaled up (Cinderby et al. 2011; Wesselinke et al. 2015)

3.2.3. Governance dynamics

Convening stakeholder forums and multi-country meetings was found to be an effective way to disseminate water integrity 'best practice' among water professionals (UNDP-SIWI 2014). Other key features of successful interventions in governance dynamics were promoting a collaborative approach to combat competition between government departments (Tanzanian National Institute for Medical Research 2015), and introducing clear lines of accountability, mandates, guidelines and performance monitoring to improve rural WASH (Fierro 2016).

3.3 Research priorities

This concluding section highlights knowledge gaps that have been demonstrated and identifies potential priorities for future research, to be considered in the light of insights from practitioners and communities with experience of the challenges that are most undermining water security.

At a community level, there is a need to examine if the mechanisms that amplified marginalised voices hold in new contexts, and identify how can they be best employed for positive change. It is necessary to test whether ICT monitoring tools could be successfully adapted to represent complex local contexts, with reference to the concept of 'social design' (Wesselinke et al. 2015; Welle et al. 2015, 2016). More clarity is needed on how to avoid misaligning accountability and incentives, centering emergent community needs over preexisting donor agendas (Boesten et al. 2011; Pieterse 2019b; Tincani and Mwaruvanda 2016).

With regards to the enabling environment, a better understanding is required of the factors which affect the impact or uptake of ICT for accountability (Krolikowski 2016), investigating how recent experiences of ICT application in Africa could be tested, built on and harnessed in the future (Ndaw 2015).

At the level of governance, existing studies have not yet established how to institutionalise and sustain inter-agency accountability and cooperation through efforts to involve local district departments (Tanzania National Institute of Medical Research 2015). Further research should prioritise understanding which interventions and factors can help to dismantle informal power hierarchies and nurture female leadership (Nganyanyuka et al. 2018; Masanyiwa et al. 2014), and identify mechanisms for downward accountability and budget tracking (Fierro 2016).

Existing research focuses primarily on WASH (sixteen out of eighteen papers), and there is a need to rectify this through further study on accountability in water managements contexts, especially agriculture. Mirroring the trends in Ethiopia and Kenya, statutory accountability mechanisms was understudied, with little or consideration of citizen oversight panels, customer service charters, ombudsman services, and public interest litigation. Future research could also address knowledge gaps around evidence-based advocacy, specifically how freedom of information and media campaigns influence water outcomes in the country.

Covid-19 in Tanzania has prompted state denialism of the virus, and political repression has increased amid contested election results.[9] This is likely to have ramifications for future work on water accountability, with issues of trust and legitimacy, community cultural and power dynamics, and the availability of accurate and reliable information likely to assume heightened importance in future research agendas. The additional constraints placed on citizens seeking accountability during the pandemic should be incorporated into the enabling environment.

[9] Chakamba, R. 2020. In Tanzania election, COVID-19 denialism an 'excuse to clamp down' on dissent. Devex. Available at: https://www.devex.com/news/in-tanzania-election-covid-19-denialism-an-excuse-to-clamp-down-on-dissent-98418 (accessed 07-12-20)

4. Uganda

Evidence dashboard

Fig E1 Evidence types

Fig E2 Sectors covered

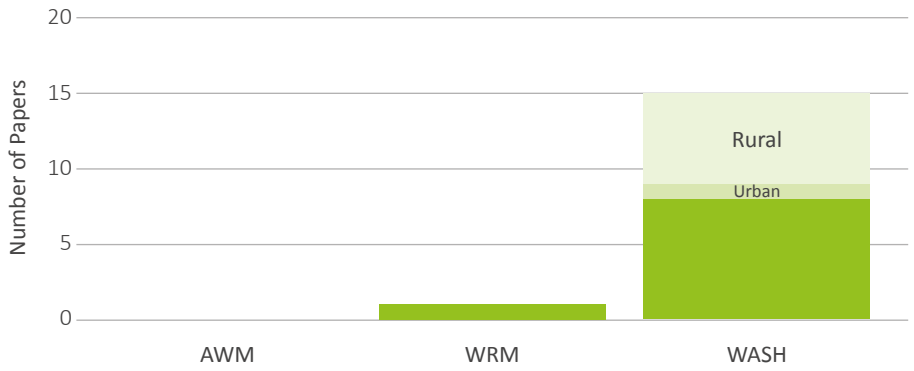


Fig E3 – Interventions covered

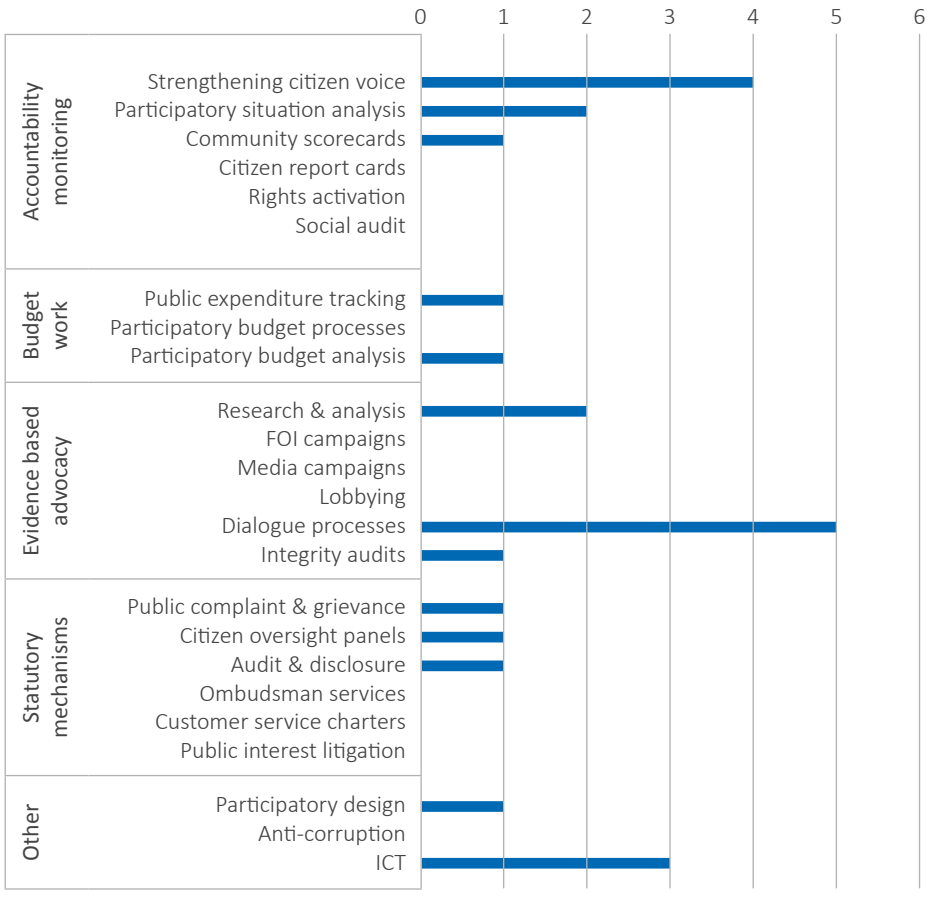


Table U1: Evidence types, country and subsector focus

Evidence type	Total	Single or multi-country	Subsector
Peer reviewed journals	6		
Institution working papers	4		
Project reports/evaluations	5		
Conference paper	1		
Total	**16**		

Table U2: Geographical and subsector focus

Local geographical focus	Source	Water subsector
National/unspecified	Jacobson 2010 Ndaw 2015 WaterAid 2011 Welle 2015 Willets et al. 2013	WASH WASH WASH WASH WASH
West Nile region	Smet and Achiro 2010	WASH rural
Kagera basin	Huntjens et al. 2011	WRM
Gulu, Mukono, Rukungiri, Kabarole, Kanungu, Soroti, Lira, Mpigi, Jinja, Hoima, Mbarara, Tororo, Amuru, Kamuli, Mbale, Agago, Wakiso, Luwero, Nebbi, Ntungamo, Nakapiripirit, Moroto, Moyo districts	Dewachter et al. 2017	WASH rural
Nebbi and Zombo districts	Smet et al. 2010	WASH rural
Kaberole district	Welle 2016	WASH
Arua district	Grossman et al. 2018	WASH
Bagezza sub-county of Mubende district	Van Campenhout et al. 2018	WASH
Ruhumuro sub-county in Bushenyi district	Holveot et al. 2016	WASH rural
Wobulenzi sub-county	Sirker et al. 2015	WASH rural
Kampala	Kanyamurwa 2016 UNDP-SIWI 2014	WASH urban WASH

4.1 What does the evidence tell us?

Sixteen papers are available dating from 2010 to 2018, with peer reviewed articles (6) and project reports (5) dominating the literature, followed by a smaller number of institution working papers (4), and 1 conference paper (Fig U1). Eleven papers focus exclusively on Uganda, whilst five are part of multi-country studies (Table U1).

The majority of sources concern the WASH subsector (15), out of which 6 have a rural focus and 1 an urban focus, with no or minimal evidence relating to Agricultural Water Management (0) or Water Resource Management (1) (Fig. U2, Table U1).

Out of the accountability mechanisms surveyed, the majority fall into just two categories: public hearings, debate and dialogue processes (6), and strengthening citizen voice (4) (Fig U3). There is otherwise a relatively even spread between SAMs, statutory accountability, budgetary work, evidence-based advocacy, and other interventions. A broad set of research areas are included, from national to sub-county level (Table U2).

The paper summaries and key details are presented below.

Dewachter et al. 2017

SUMMARY: This article reviews multiple public debate and dialogue processes introduced to secure statutory accountability, concluding that accountability mechanisms are most effective when they work in combination, through a hybrid configuration of demand and supply side movements.

DETAILS: Examines council meetings, parliamentary debates, participatory fora like town meetings, Civil Society Organisations consultations, and elected water user committees (WUCs) to analyse how different accountability mechanisms interact together to influence the availability and accessibility of water services in rural Uganda. Qualitative Comparative Analysis (QCA) is applied to test different pathways towards better water performance. This covers both 'demand side' accountability mechanisms, including political opposition, citizen, and civil-society-led social accountability; and 'supply side' mechanisms concerning state responsiveness. The paper distinguishes between the 'long route' to accountability – where citizens first need to influence policy makers (e.g. through elections) to influence service providers, and the 'short route' – where citizens as clients directly demand accountability from local service providers.

Findings show that outcomes are influenced by state structures, including inter-agency accountability, and legislation. Uganda's 1995 constitution upholds an independent role for parliament to hold the government accountable, and the 1997 Local Government Act devolves the responsibility for service delivery to districts and municipalities, while providing for local-level citizen participation and monitoring. Yet legal and policy frameworks are inadequate in isolation. Evidence suggests that implementation on the ground is mainly shaped by the existing institutional complexity and related governance and accountability deficiencies. Similarly, while citizen engagement via associations and social movements can perform a valuable ''watchdog" function, this on its own it is not sufficient to guarantee high-quality water services. Rather than rely on a 'short route' to accountability, the paper proposes that a combination of political and social accountability approaches is the most effective route to improve and sustain water services.

Grossman et al. 2018

SUMMARY: This article evaluates an ICT based water monitoring tool in Uganda. While this was designed to rectify deficiencies in accountability between service users, providers, and regulators, the authors conclude that, to move from isolated success stories to sustained and lasting improvements, efforts will require greater attention to the quality and content of responses and reports.

DETAILS: The phenomenon of 'crowdsourcing accountability' is examined through analysis of U-Bridge, a novel ICT monitoring platform that allows water service users to directly report service delivery problems to government officials. As a free and anonymous text messaging system, the platform is designed to rely on grassroots participation of service users, who can instantly connect to public officials. The paper draws on survey data from sixteen villages to caution against an overreliance on ICT accountability tools. It finds that uptake of U-Bridge was highly uneven, concentrated in a handful of treatment villages, and even where uptake had been higher, there was a high rate of satisfaction and a drop in usage over time. This was attributed to a mismatch in expectation and the reality of what capabilities were available.

Holvoet et al. 2016

SUMMARY: This article applies regression analysis to highlight the correlation between information sharing and demand for action to remedy water related problems. It examines the role of information sharing on water accountability outcomes in rural Uganda. Authors highlight the role of homiphily – forming social connections only with those sharing the same gender, race, class etc. – and limited community capacity (e.g. in knowledge, skills, and resources) in explaining why information sharing around poor water service provision does not always translate into demand for remedial action.

DETAILS: Findings highlight the significant role of homophily – the tendency to form connections (such as exchanging information) with others who share similar social variables (age, education, or in this case, gender) – on accountability outcomes. Since water provision is a highly gendered practice, the effect of homophily is significant, with people of the same sex more than twice as likely to share water-related information. Citizens who were more in need tended to share more information regarding water-related problems, but were not able to mobilise these ties when it came to requesting action to improve the situation. There was combination of limited feedback from the central actors, and few alternative entry points for the uptake of 'new' information into decisions around water infrastructure. This contributed to citizen discontent with the way policy makers handled water services.

Huntjens et al. 2011 JA

SUMMARY: This article presents a comparative analysis of eight watersheds in Europe, Africa and Asia to study policy learning in water management regimes over time, and argue that better integrated, cooperative governance structures and information sharing between stakeholders can enhance the performance of water management regimes in the face of growing uncertainty. Provides evidence to show how polycentric, broad and horizontal stakeholder participation can generate more responsive and equitable water management practices.

DETAILS: Analyses the Kagera basin in Uganda, where a higher degree of top-down, command and control governance was found to hinder policy learning. This contrasted to other watershed management strategies which had sought to adopt more flexible, responsive, and participatory methods. While regional water boards and management authorities in other locations displayed a commitment to joint/participative information production, flexibility, and openness for experimentation, water managers in the Kagera basin did not achieve similar outcomes and were less effective dealing with floods, droughts, and other hazards. A lack of consensual knowledge posed an obstacle to cooperation, especially when dealing with uncertainty and change, since there was a greater reliance on ad hoc problem solving. The paper proposed that there was a need to 'open up' space for policy learning.

Jacobson et al. 2010 OR

SUMMARY: This report describes a qualitative Risk/Opportunity Mapping Study of the WASH sub-sector to illustrate the potential of integrity audits as an anti-corruption mechanism, and document the results of a water integrity survey conducted in Uganda. It documents how integrity audits constitute an effective accountability tool in the Ugandan context, exposing high levels of corruption in the water sector and building political momentum for reform.

DETAILS: The country is affected by significant regional disparities and dysfunctional water points, and the audit revealed the widespread presence of both 'grand corruption' in terms of how water contracts were awarded (e.g. bribes and illicit payments between water companies and state actors), and 'petty corruption' between consumers and service providers (e.g. bribes to speed up new connections to the water network or 'inaccurately' metered water consumption.

Findings show that anti-corruption efforts benefitted from champions in government, a political commitment to tackling the issue, and a strong evidence base. A working group chaired by the Ministry of Water and Environment commissioned a study to establish how citizens, contractors, private operators, government officials and water utility staff experienced integrity in the provision of water services. Following the audit, a workshop was held for stakeholders to validate findings and agree on recommendations to update the government's anti-corruption plan. However, despite the robust institutional and legal accountability frameworks in place, these were rarely followed through in implementation.

Kanyamurwa 2016 JA

SUMMARY: This paper adopts a descriptive and correlational research design, with data collected from key stakeholders in Kampala Capital City Authority (KCCA). It highlights the importance of formal politics in mediating water resource management between the interests of different water users in Kampala. They draw attention to 'self-interest politics' in state bureaucracies as the main factor inhibiting accountability systems and effective water supply systems, and calling for a shift from an autocratic to a democratic political culture.

DETAILS: The findings show that in most cases, the motivations of water managers did not align with the public good. Weak accountability systems led to low efficiency in operations of the National Water and Sewage Corporation (NWSC). The research highlights how internal organisational politics can result in skewed management practices and undermine accountable systems in water provision, particularly if bureaucracies fail to consult with communities.

Conclusions resonate with Jacobson et al. (2010), in that the formal political will for just and equitable water management, articulated in both the constitution, and water attainment goals set in the National Development Plan, remain constrained by failures in on-the-ground implementation, as water resource managers are frequently beholden to self-interest. Water supply decisions were perceived to be closely aligned with the Presidential agenda, but downward accountability was obstructed when politics promoted self-interested behaviour. However, although democratic politics did not translate into a significant effect on the overall use of accountable systems, it had the biggest positive effect on water quality.

Ndaw (2015) WP

SUMMARY: This working paper presents a seven-country case study, including Uganda, to take stock of the opportunities to harness ICT to improve water governance and water and sanitation service delivery. It proposes a range of lessons and recommendations for effective use of ICT for accountability for water which can be built on, further tested and refined in new contexts. Their guidelines suggest recognising consumer needs and preferences for how they want to communicate; giving control of the data to consumers, and delivery with a media or communications partner.

DETAILS: The paper draws on the insights arising from multiple ICT and water-related initiatives in Uganda (Mobiles 4 Water (M4W), NWSC: E-Water, Payment and Call Centre etc.) and elsewhere. The report recommends introducing guidelines explaining how ICT can best be deployed to strengthen citizen voice and improve service delivery on water, with attention to privacy, right to data and hacking and security threats, as well as limits to the role of external donors, and staff training for monitoring and evaluation.

There is evidence for ICT contributing to better services and more responsive and accountable institutions, but the high number of unsuccessful initiatives underlines the challenges of engaging citizens. Interventions need to:

- be linked to action/response;
- recognise consumer preferences for how they want to communicate;
- easy to use; fulfil a clear need;
- delivered with a media or communications partner;
- provide access to data for the consumer;
- ensure data input validity and are co-designed with users.

The work goes further to propose an ICT impact chain, balanced scorecards, guidelines and policy frameworks for advancing ICTs role in effective water services. These tools are recommended to evaluate and improve the various mechanisms at work during the design, implementation, and post-implementation stages of ICT based interventions.

Sirker et al. 2010

SUMMARY: This report provides evidence to support the need for participatory planning in water infrastructure, showing how a combination of social accountability measures improved potable water quality and infrastructure in rural Uganda. The paper highlights the need for a collaborative approach where communities have clear incentives to participate, as well as longevity and sustained commitment. It proposes fine tuning programmes through a process of regular review, monitoring and evaluation.

DETAILS: Outlines how accountability measures successfully improved potable water quality and infrastructure in rural Uganda. After the preparation of a Joint Action Plan involving service providers and communities, many households used more piped water than they had before, with 43 water tap access points added to the piped water infrastructure. Effective communication among stakeholders led to a rapid response from service providers, e.g. in answer to a community request for telephone contacts of key personnel. Quarterly action-learning meetings were also held to facilitate participatory reflection and learning, assess progress, fine-tune activities under development, and highlight successfully completed activities. Evidence and analysis were important elements of the dialogue process; priority actions were decided according to evidence collected from beneficiary communities, involving a combination of citizen report cards and community score cards, supported by water quality tests and communication tools. However, there were mixed levels of satisfaction in switching from a public to a private provider, since it did not always respond effectively to the stipulations of its contract. The paper recommends that the government of Uganda should monitor the changes over a longer timescale, institutionalise social accountability mechanisms, and improve community participation rates by translating materials into local languages.

Smet et al. 2010

SUMMARY: This report provides evidence to support the need for face-to-face dialogue exercises to stimulate improvements to water service delivery and build trust in local government. It shows how devolved state authorities were unresponsive and evasive until dialogue sessions were introduced to allow direct communication with users, increasing the rate at which cases were resolved.

DETAILS: Explains how the scale of political engagement can determine the effectiveness of state responses to service delivery issues in rural Uganda. Community water users previously reported issues and disagreements on water committee decisions (e.g. on the time for opening and closing boreholes) directly to the District Water Office rather than the Sub-county leadership, who were viewed as unresponsive and evasive. In response, dialogue sessions were organised by district officers, and new funds allocated. Technocrats and politicians signed on to action research tools and methodologies to enhance social accountability. The measures resulted in growing confidence in local government to address concerns, with an increased number of cases resolved and a reduced number sent to district level arbitration. Verbal communication involving all stakeholders at public gatherings was viewed as particularly important given low levels of literacy in the region, as was the commitment of technocrats to listening to community concerns and maintain clearly defined roles in water service delivery.

Smet and Achiro 2010

SUMMARY: This report discusses multi-stakeholder dialogue sessions in Uganda's West Nile region, which brought together representatives from the district and sub-county levels, promoting joint analysis by all stakeholders of their initial attitudes and practices, as well as testing of innovative solutions. It demonstrates how stakeholder dialogues can contribute to social learning, trust building, and a more coordinated response in WASH service delivery. Widening participation significantly increased the support and feedback to deliver water service improvements, with large budget increases for WASH activities and a reorientation towards collective planning and information sharing.

DETAILS: The process of learning and sharing was found to stimulate change by strengthening linkages between planners, implementers, regulators and communities; giving communities and users a voice; facilitating the replication and scaling up of good practices and innovations, and minimising the repetition of ineffective approaches and errors; and enabling more effective and efficient use of resources.

UNDP-SIWI 2014

SUMMARY: This stock-taking report on UNDP-SIWI member activities in sub-Saharan Africa finds that it is important for international cooperation at transnational summits and meetings to share 'best practice' around integrity in water policy.

DETAILS: The report describes policy developments around regional water governance and the impact of training sessions with Economic Community of West African States (ECOWAS) and Southern African Development Community (SADC) member states, including representatives from Uganda. Sessions included a meeting held in Mwanza, Tanzania with 34 Mayors and Town clerks from Tanzania and neighbouring countries, and the Water Integrity Learning Summit hosted by the government of Zambia. Activities outlined at the summit illustrated the function of convening and dialogue processes in generating outcomes, by showcasing accountability initiatives that produced visible benefits in communities and countries, and building consensus in recognising the importance of informed stakeholders and strong civil society as a driving force for change. Summit participants issued a statement calling for the recognition of integrity as a core element of good and sustainable water governance, which political leaders in the African Ministers Council on Water (AMCOW) subsequently responded to at their General Assembly.

Van Campenhout et al. 2018

SUMMARY: This qualitative study interviewed key stakeholders to assess the impact of baraza stakeholder advocacy forums, launched as part of a government-led initiative to increase the quality of public service delivery. The authors conduct a series of semi-structured interviews with politicians, civil servants and citizens, to evaluate and test motivating factors behind behavioural changes of stakeholders.

The article highlights the positive role of baraza stakeholder forums in correcting information asymmetries and holding service providers to account for poor quality work. The bottom-up approach of the baraza, opening space for complaints to be raised by ordinary citizens, led to an increase in top-down monitoring, as officials learned how to better scrutinise water service providers. However, as the baraza raised citizen expectations, there was greater risk that failure to follow up on complaints would lead to public disillusionment and disengagement.

DETAILS: Barazas were found to be effective in creating a platform for citizens to articulate grievances and complaints, uncovering sub-standard work and triggering corrective action. Unfinished projects were completed or renewed, absenteeism was reduced, and priorities were changed to better align with citizens' needs.

The paper demonstrated how barazas served an important function in terms of information dissemination between different groups: one chairperson emphasised that barazas gave him information on what communities prioritise, while the frequency of 'shoddy work' was exposed, galvanising action around more robust monitoring. Similarly, the creation of a public complaint mechanism resulted in a change in service providers' norms and practices, due to a fear that they will be reported if completing shoddy or irregular work. Longevity and frequency were cited as other important factors so that citizens could be updated on corrective steps taken following discussions, and not lose trust in the process.

WaterAid 2010

SUMMARY: This report uses a mixed methods approach to interrogate relationships between parliament and key stakeholders, and the role of parliamentary committees in ensuring statutory accountability. It describes how evidence-based advocacy to influence parliamentary politics, in tandem with public pressure through the media, was affective at securing commitments to improve WASH service provision.

DETAILS: Demonstrates how WaterAid's political advocacy work with the Ugandan parliament improved WASH service delivery. WASH pledges in political manifestos, and the invitation of NGOs to inform parliamentary debates, are flagged as significant parts of the accountability process. The report also discusses community broadcasting to effectively engage political and technical leaders with the views and experiences of service users.

Welle et al. 2015, and Welle et al. 2016

SUMMARY: This working paper tests different ICT based monitoring initiatives against a theory of change, identifying community motivation and incentives, widespread mobile coverage, and preemptive 'social design' of ICT monitoring and reporting mechanisms as factors that could lead to successful outcomes around user participation and prompt repair and maintenance of rural water points. They draw attention to the social context of water accountability, and caution against ICT based 'techno-fixes'.

DETAILS: The Mobile Phones for Water (M4W) project in Uganda are selected as a case study for an evaluation of ICT and mobile based reporting systems intended to hold water providers to account. These reports investigate how mobile tracking and data crowdsourcing can stimulate better maintenance & repairs to poorly functioning water infrastructure. Qualitative Comparative Analysis is applied to identify the causal patterns that lead to particular outcomes. Findings show that, although M4W's crowdsourcing reporting mechanism was made available to all citizens, in practice all reports investigated were made or initiated by a member of the water user committee or a local political leader. It also lengthened communications between water users and handpump mechanics who already held good relations, creating more problems than it solved. A key factor to monitoring initiative success is community and political buy-in, championing and investing in, or where necessary, scale up initiatives. When included in the operational budget of the district water office, the programme became better institutionalised and resourced to train staff effectively. Criteria for measuring success could be improved since did not account for external factors such as the availability of spare parts or mechanics to undertake the repairs. Clear operational and maintenance responsibilities were found to be critical in all cases, and successful cases were marked by the service provider taking a leading role.

Willets et al. 2013

SUMMARY: This conference paper outlines the importance of correct preparation and training prior to accountability monitoring, to maximise community involvement and improve effectiveness. They cite the usefulness of ICT monitoring to relay data on progress towards sanitation targets to government, Community Based Organisations (CBOs) and citizens.

DETAILS: Focuses on the authors' experiences of monitoring a multi-region civil society fund, linked to projects operating in twenty countries including Uganda. The authors do not disaggregate results by country, although Uganda is included as a programme area. Two areas of interest are identified relating to accountability monitoring in NGOs:

Reviewing innovative aspects of programme design that held relevance for sector monitoring;

- Piloting the use of a 'strategy map' to consider the ways in which NGOs are currently, and might in the future, support sector monitoring. This related to the use of 'theory of change' models and well-structured performance frameworks.
- Drawing on experience monitoring the NGO sector, the authors identify two crucial determinants of success for accountability monitoring. Firstly, the creation of simple, purpose-built, information systems that can be placed at the disposal of communities, funders and other stakeholders. Secondly, prioritising a strong 'people' focus when designing monitoring programmes, considering how people might understand and use information in practical settings.

4.2 Emerging Insights

This section reflects on the emerging insights from the evidence presented. We draw together the insights from the papers presented across three domains of accountability – community dynamics, the enabling environment, and governance dynamics.

4.2.1. Community dynamics

There is a critical need for sustained commitment from external donors, CSOs, and service providers to combat public disillusionment and disengagement (Van Campenhout et al. 2018). Dialogue sessions are necessary to build trust and confidence in communities, with care to increase opportunities for public information sharing and translate support materials into local languages (Holvoet et al. 2018; Jacobson et al. 2010; Sirker et al. 2010; Smet et al. 2010).

Accountability interventions should be carefully designed to accommodate the socio-cultural context where they are applied, especially in the case of ICT based monitoring and data crowdsourcing initiatives (Grossman et al. 2016; Welle et al. 2015, 2016). Economic inequalities are another area currently neglected or discussed superficially, even though the economic status of water users is a major determinant of their ability to/willingness to participate in accountability initiatives. For examples, those with low incomes were unable or unwilling to pay the fees for texting details of broken or malfunctioning water pipes (Welle et al. 2015, 2016).

4.2.2. Enabling environment

Attention to how to ensure sustained engagement over time, with regular monitoring and review (Sirker et al. 2010). Social learning and trust building, facilitating the replication and scaling up of good practices and innovations, minimising ineffective approaches and errors; and enabling more effective and efficient use of resources all contributed to a positive environment in which interventions could work effectively (Smet and Achiro 2010; Willets et al. 2013). A reliable mobile network and communications infrastructure were key to the success of ICT based monitoring tools (Welle et al. 2015, 16).

4.2.3. Governance dynamics

Engagement with state structures remains essential as a route through which to secure greater accountability, for example through broad based political participation and manifesto pledges, but favourable policy is inadequate in isolation (Dewachter et al. 2017; Kanyamurwa 2016; WaterAid 2010; Welle et al. 2016).

Internal organisational politics can undermine accountable water provision, especially if bureaucracies responsible for service provision fail to respond to community complaints (Kanyamurwa 2016), but switching to private operators also results in dissatisfaction when contracts are unfair or companies do not abide by their contractual obligations. Scorecards, report cards, and other complaint mechanisms went some way to resolving this, as platforms for consumers to shame poor water service providers and incentivise improved service delivery (Sirker et al. 2010; Van Campenhout et al. 2018).

4.3 Research priorities

This concluding section highlights knowledge gaps that have been demonstrated and identifies potential priorities for future research, to be considered in the light of insights from practitioners and communities with experience of the challenges that are most undermining water security.

At the community level, there is a need to understand how accountability interventions can better align in accordance with local needs and historical experiences of economic marginalisation, prioritising long-term trust building over 'quick fix' solutions (Holvoet et al. 2016; Jacobson et al. 2010; Sirker et al. 2010; Smet et al. 2010; Van Campenhout et al. 2018; Welle et al. 2015, 16).

Concerning the enabling environment, research should investigate the conditions under which social and policy learning, the replication of good innovations and practices, and trust-building can occur over time (Sirker et al. 2010; Smet and Achiro 2010; Willets et al. 2013).

Regarding governance, there is a need to investigate the 'long route' (influencing public policy) vs. the 'short route' (direct engagement with service providers) to accountability, taking into consideration how different institutions mediate relations between citizens and service providers, and ensuring public consultation/consent over the terms of private sector involvement (Dewachter et al. 2017; Kanyamurwa 2016; Welle et al. 2016).

The Ugandan dataset again privileged WASH contexts over water resource management and failed to analyse how accountability mechanisms could influence water outcomes in agriculture. Evidence was clustered around interventions designed strengthen citizens' voice or foster dialogue, but more research is needed on other areas relating to social accountability tools such as report cards, scorecards, and social audits; budget tools such as participatory budgeting and expenditure tracking; evidence-based advocacy including freedom of information and media campaigns; and statutory mechanisms such as ombudsmen, customer service charters, and public interest litigation.

In response to the Covid-19 pandemic, research should attend to inequalities in WASH service provision, with a particular emphasis on dense or overcrowded communities and informal settlements, and challenges around operation and maintenance of water infrastructure during the pandemic. The additional constraints placed on citizens seeking accountability should be incorporated into the enabling environment.

5. Zambia

Evidence dashboard

Fig E1
Evidence types

Fig E2
Sectors covered

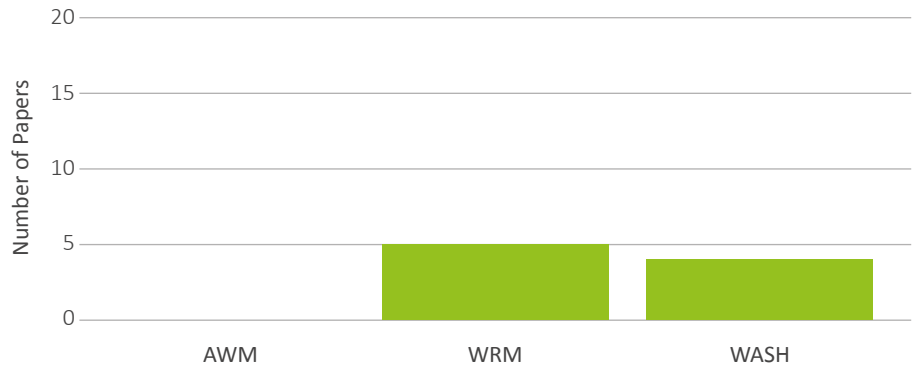


Fig E3 – Interventions covered

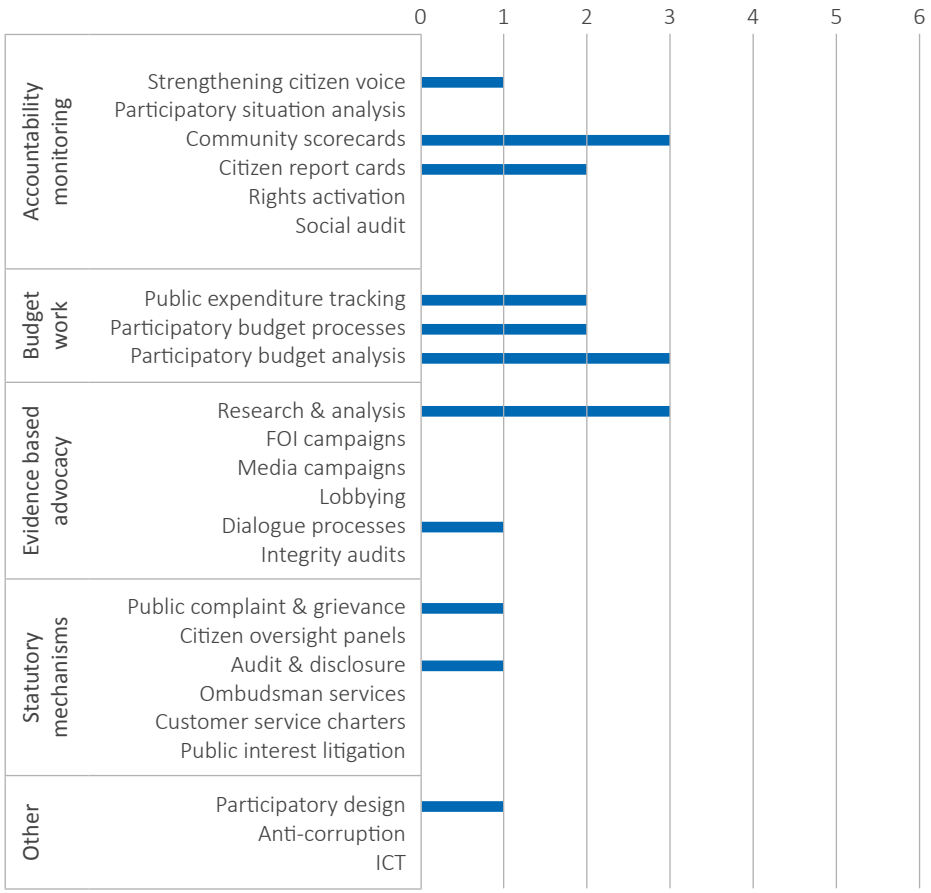


Table Z1: Evidence types, country and subsector focus

Evidence type	Total	Single or multi-country	Subsector
Peer reviewed journals	3		
Book chapters	1		
Project reports/evaluations	3		
Conference paper	1		
Total	**8**		

Table Z2: Geographical and subsector focus

Local geographical focus	Source	Water subsector
National/unspecified	Sambo 2017	WRM
	UNDP-SIWI 2014	WASH/WRM
	UNDP-SIWI 2017	WASH/WRM
Northwest province	Mbilima 2019	WRM
Kafue river basin	Sambo 2017	WRM
	Uhlendahl et al. 2011	WRM
Chingola, Chongwe, Lusaka and Sikaunzwe	Water Witness/WIN 2020	WRM
Eighteen rural communities, location unspecified	Kelly et al. 2017	WASH rural

5.1 What does the evidence tell us?

Eight papers are available from 2011-2020, divided evenly between peer-reviewed articles and organisation reports (three each), followed by one book chapter and one conference paper (Fig Z1). Four sources concern water resource management, three concern WASH, and one encompasses both of the above (Fig Z2, Table Z1). Evidence is clustered around evidence-based advocacy and statutory accountability mechanisms (Fig Z3).

The paper summaries and key details are presented below.

Kelly et al. 2017

SUMMARY: This article presents a multi-country, qualitative analysis of community water systems in Zambia, Ghana, and Kenya to understand the role of social capital in the performance of water management systems. Identifies social capital and a sense of ownership as enabling factors to ensure widespread community participation and robust uptake of accountability mechanisms. Structural social capital facilitated the election of skilled and socially inclusive water committees, and instilled a widespread willingness to contribute time and resources towards community water systems.

DETAILS: Uses focus groups and interviews with community members, community leaders, water committee members, and local government officials to gain a better picture of how community water systems were initiated, maintained, and used. Findings identify social capital and a sense of ownership as key variables that positively influenced the uptake of accountability mechanisms including water committee elections, resource mobilisation, and information sharing. By increasing participation and thus the involvement of underrepresented or marginalised groups, social capital (manifested in the widespread uptake of accountability mechanisms) improved socio-economic and gender equality as it pertained to water access and availability. In Zambia, informal women's groups played a particularly important role; one female treasurer reported that a women's group not only reported breakdowns to the water committee, but also carried out all O&M tasks. Information was transmitted primarily between women, first to the treasurer and then to the rest of the water committee. A sense of ownership over community water systems contributed to high motivation and community incentives to participate, as evidenced in the case of a Zambian community leader who observed external mechanics rehabilitating the water system to learn the necessary to become the committee mechanic and later chair the water committee. Appealing to community ownership, the chairperson subsequently instilled broader norms and institutional practices relying on communal labor to protect and maintain the water systems, for example fence repairs and cleaning around boreholes. This sense of ownership was reflected in a desire for autonomy, with one Zambian water committee preferring less involvement from the external support actor "because most of the responsibility is now with the village." (p.162).

Mbilima 2019

SUMMARY: This article discusses the limits of voluntary environmental monitoring and auditing due to unequal power and economic disincentives. It analyses the extent to which voluntary monitoring and self-disclosure activities can function as accountability mechanisms in relation to water, and considers the function of Corporate Social Responsibility (CSR) initiatives to deflect from environmental impact of mining operations. The author adopts a multi-variable critical path model to analyse the factors affecting the relationship between CSR and sustainable development (including water quality). They triangulate qualitative and quantitative data from multiple stakeholders.

DETAILS: Examines the practices of mining companies operating in northwest Zambia. Corporate Social Responsibility (CSR) programmes included investments to upgrade water infrastructure as a strategy to win approval from communities. However, mining operations also posed a risk to the health regional water bodies, with limited monitoring capacity from the Zambian Environmental Management Agency (ZEMA) and an overreliance on self-disclosure and environmental monitoring by the mining companies themselves. Internal audits and sustainability reports display only limited effectiveness as an accountability mechanism due to their voluntary nature. While Zambia's Environmental Management Act included adequate provisions, including mandatory and voluntary obligations for developers around pollution control, environmental audits and monitoring, there were concerns that enforcement and compliance was hindered by 'limited capacity to undertake independent inspections, undue political influences and expedience for promissory economic benefits that sometimes rarely materialise for host communities.' (p.7). Independent, systematic and scheduled monitoring of mining impacts was not demonstrated, e.g. it was unclear how frequently ZEMA did independent spot checks, audits and performance monitoring, and there had been time lags in responding to requests for mine-specific performance information. This raised further concerns around accountability, since information management systems were found to be inadequate, with a design that was not integrated, user-friendly nor easily accessible to stakeholders.

Sambo 2018

SUMMARY: This book chapter provides an analytical review of legislative acts and policies pertaining to environmental governance in Zambia, illustrating the importance of statutory accountability mechanisms in improving WRM outcomes. Improvements in sustainable use and pollution prevention are linked to the effective use of public interest litigation and mandatory disclosure of pollution control data.

DETAILS: Identifies the positive role of public interest litigation setting precedents that can secure future water quality, for example by securing damages from a copper mine for discharging effluents into the Kafue river. The author also highlights efforts to 'green the judiciary' through entrenching an 'environmental ethos' across government departments. This 'environmental ethos' is defined as the set of ideas and attitudes towards the environment that are informed by relevant education, awareness and enforcement of legislative provisions. Literacy and low education are identified as disabling factors that result in the under-utilisation of provisions for environmental protection.

Uhlendahl et al. 2011

SUMMARY: This article uses a qualitative approach based on grounded theory to investigate two key variables of water governance: de/re-centralisation, and stakeholder participation. It evaluates the prospects for improving Integrated Water Resource Management in Zambia following the introduction of new legislation designed to strengthen accountability in water policy. It identifies a lack of clear and transparent delegation of responsibilities as detrimental to the implementation of water policies.

DETAILS: Analysis finds that policy incoherence and ambiguous responsibilities shared across multiple authorities compounded conflicts between users over available water resources. Fragmented institutions and the prioritisation of commercial interests and industry over small-scale/peasant farmers inhibited trust.

UNDP-SIWI 2014

SUMMARY: This stock taking report on UNDP-SIWI member activities in sub-Saharan Africa finds that it is important for international cooperation at transnational summits and meetings to share 'best practice' around integrity in water policy.

DETAILS: Describes policy developments around regional water governance and the impact of training sessions with Economic Community of West African States and Southern African Development Community members states, including representatives from Tanzania. Sessions included a meeting held in Mwanza, Tanzania with 34 Mayors and Town clerks from Tanzania and neighbouring countries, and the Water Integrity Learning Summit hosted by the government of Zambia. Activities outlined at the summit illustrated the function of convening and dialogue processes in generating outcomes, by showcasing accountability initiatives that produced visible benefits in communities and countries, and building consensus in recognising the importance of informed stakeholders and strong civil society as a driving force for change. Summit participants issued a statement calling for the recognition of integrity as a core element of good and sustainable water governance, which political leaders in the African Ministers Council on Water subsequently responded to at their General Assembly.

UNDP-SIWI 2017

SUMMARY: This report presents learning outcomes generated through UNDP-SIWI's Regional Capacity Programme on Water Integrity in sub-Saharan Africa, with particular emphasis on accountability mechanisms to secure water integrity. It discusses strategies for developing capacity for water integrity. It highlights positive results of the Integrity Management Toolbox, which was successfully used in trainings for water utilities and small/medium-sized enterprises in Zambia.

DETAILS: The paper recounts how the first African Water Integrity Learning Summit, hosted by the government of Zambia in 2014, resulted in a statement calling on the political leaders of AMCOW to recognise integrity as a core element of good and sustainable water governance, and highlights the impact of integrity training as a vehicle to build up the capacity of core institutions.

Water Witness/WIN 2020

SUMMARY: This report reviews accountability performance across the Zambian water sector to assess the strengths and weaknesses of existing accountability provisions. Due to research constraints imposed by the Covid-19 pandemic, the methodology is limited to a desk-based review of de-jure performance, along with a review of the available literature to highlight the extent of current knowledge regarding de facto performance. It highlights the need for greater enforcement and compliance around existing water policy, with attention on creating more responsive regulatory agencies and bringing greater citizen involvement to the performance monitoring process.

DETAILS: The report assesses performance against key functions of the water sector as set out in a simplified accountability cycle. The document compares Zambia's de jure legislative and policy framework against empirical realities. It concludes that while the law sets out clear rules and statutory responsibilities overall, there is limited performance review and sanctioning across key functions in water governance. Further, the report finds that regulatory authorities such as WARMA and ZEMA are not accountable for their statutory duties, or responsive to stakeholder demands for enactment of these duties. The report proposes extending performance review to include rural water supply and sanitation, and flood and drought disaster management, with the effort to disseminate information through multi-stakeholder convening meetings.

Willetts et al 2013

SUMMARY: This conference paper outlines the significance of correct preparation and training prior to accountability monitoring, to maximise community involvement and generate greater effectiveness.

DETAILS: Does not provide specific insight into the Zambian context, although Zambia is identified as a programme area. Instead, the contents focuses on experiences of monitoring a large scale civil society fund, linked to projects operating in 20 countries including Zambia. The authors identify two key areas of interest to enhance accountability monitoring within NGOs. Firstly, those innovative aspects and success factors that held relevance for sector monitoring; and secondly, use of a 'strategy map' to consider the ways in which NGOs are currently, and might in the future, support sector monitoring.

Drawing on expansive experience monitoring the NGO sector, the authors identify two crucial determinants of success for accountability monitoring: the creation of simple, purpose-built, information systems that can can be placed at the disposal of communities, funders etc., and prioritising a strong 'people' focus to the monitoring arrangements, considering how people might understand and use information in practical settings.

5.2 Emerging insights

This section reflects on the emerging insights from the evidence presented. We draw together the insights from the papers presented across three domains of accountability – community dynamics, the enabling environment, and governance dynamics.

5.2.1. Community dynamics

There is a risk of grassroots voices being crowded out by Corporate Social Responsibility (CSR) claims from corporations. Corporations can make misleading claims and promises of economic gain that fail to materialise (Mbilima 2019).

Strong community bonds (or 'social capital') and a widely shared sense of ownership over accountability processes is paramount, as it can generate greater trust in institutions and foster more equitable representation (Kelly et al. 2017).

5.2.2. Enabling environment

The philosophical basis of legal and political rulings often omitted recognition of crucial ecological dimensions. There was a need to foster & embed an 'environmental ethos' across institutions (Sambo 2018). Free political association and opening civic space was a precursor to wider uptake of SAMs, building citizen confidence and recognition of rights (UNDP-SIWI 2014; 2017).

5.2.3. Governance dynamics

Attention is needed on policy enforcement and regulation, to create responsive implementing agencies and effective sanctions for non-compliance (Uhlendahl et al. 2011; Water Witness/WIN 2020). There is a need for effective arbitration between conflicting water users, including by public interest litigation that recognised environmental harms (Uhlendahl et al. 2011; Sambo 2018).

5.3 Research priorities

This concluding section highlights knowledge gaps that have been demonstrated and identifies potential priorities for future research, to be considered in the light of insights from practitioners and communities with experience of the challenges that are most undermining water security.

At a community level, there is a need to consider how communities can maintain autonomy over their resources, sustain trusting relationships between community water users, state institutions and external providers, and make informed decisions without interference (Mbilima 2019; Kelly et al. 2017).

For the enabling environment, priorities include the need to challenge dominant growth-centred logic across institutions, through drawing attention to ecological limits and recognising the detrimental effects of pollution on social and ecological wellbeing (Sambo 2018). This connects to broader questions on how to secure a more open civic culture that tolerates space for critical thought (UNDP-SIWI 2014).

At the level of governance, research should investigate methods for instilling an 'environmental ethos' across state institutions, backed up by effective regulatory and sanction mechanisms (Sambo 2018).

In contrast to other countries discussed, the literature on Zambia was balanced between WASH and water resource management, but specific attention to agricultural water management remains a priority for future research. Budgetary accountability mechanisms were not discussed in the literature and should similarly be at the top of any future research agenda. Many social accountability mechanisms were also not discussed, and investigation into the effect of community tools such as report cards, scorecards and social audits would provide valuable insights. Lobbying and media campaigns, public complaint and grievance mechanisms, customer service charters and ombudsman services all remain understudied.

In response to the Covid-19 pandemic, research should attend to underinvestment in WASH service provision. According to UN-OCHA (2020), over three quarters of households did not have access to handwashing facilities in 2018, and planned activities to support for the improvement and continuity of WASH services have not yet started due to funding gaps. Accountability monitoring linked to budget tracking for WASH will likely gain importance, with a particular need to support communities in informal settlements. The additional constraints placed on citizens seeking accountability should be incorporated into the enabling environment.

Bibliography

Ali, M. (2010) Can we improve accountability through participation? Practical Action's Learning. *IRC Symposium 2010: 'Pumps, Pipes and Promises.'*

Bellaubi, F., Vischer, J. (2010) Enhancing integrity to improve service delivery in water supply service provision. *IRC Symposium 2010: 'Pumps, Pipes and Promises.'*

Boesten, J., Mdee, A. & Cleaver, F. (2011) Service delivery on the cheap? Community-based workers in development interventions, *Development in Practice*, 21(1): 41-58,

Cinderby, S., De Bruin, A., Mbilinyi, B., Kongo, C., Barron, J. (2011) Participatory geographic information systems for agricultural water management scenario development: A Tanzanian case study. *Physics and Chemistry of the Earth* 36: 1093–1102

Crocker, J., Saywell, D., Shields, K., Kolsky, P., Bartram, J. 2017. The true costs of participatory sanitation: Evidence from community-led total sanitation studies in Ghana and Ethiopia. *Science of the Total Environment*, 601–602: 1075–1083

DANIDA (2012) *Using ICT to Promote Governance*. Denmark: Ministry of Foreign Affairs & DANIDA.

Dewachter, S., Holvoet, N., Kuppens, M., Molenaers, N. (2018) 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: 158–169

Driel, J. Senbeta, G., Otto, B. and Feuerstein, F. (2017) *Social Accountability and WASH Service Delivery: A Case from Ethiopia*. MetaMeta/WIN paper draft

Dundon, S. and Jaleta, M. 2013. *The Benefits of Shared Measurement Systems: Monitoring, Evaluation & Learning in the MWA Ethiopia Program.* IRC/WASH. Online, available at:https://www.ircwash.org/sites/default/files/dundon_and_jaletta_the_benefits_of_shared_measurement_systems.pdf (accessed 25-09-20)

Feruglio, F. (2017) Do More Empowered Citizens Make More Accountable States? Power and Legitimacy in Legal Empowerment Initiatives, *Making All Voices Count Research Report*, Brighton: IDS

Fierro, A., Nelaj, E., Mwendamseke, E. & Traini, L. (2016) 'Rural water supply management in Tanzania: an empirical study on COWSO strategy implementation, private sector participation and monitoring systems.' Presented at the *Second International Conference on "Advancement of geography for the people, natural resources and development,"* 28th– 30th. Dodoma, Tanzania

Freedom House (2019) Ethiopia: Civil Society Proclamation Advances Essential Freedoms. *Freedom House*. Available online at: https://freedomhouse.org/article/ethiopia-civil-society-proclamation-advances-essential-freedoms (accessed 08-10-20)

Gondwana Watch International Ltd. (2012) *End-Term Final Evaluation of Strengthening Environmental Civil Society Engagement for Improved Natural Resource Governance in Kenya, 2011-2014*. Nairobi: WWF-Kenya

Grossman, G., Platas, M., Rodden, J. (2018) Crowdsourcing accountability: ICT for service delivery. *World Development* 112: 74–87

Holvoet, N., Dewacheter, S., Molenaers, N. (2016) Look Who's Talking. Explaining Water-Related Information Sharing and Demand for Action Among Ugandan Villagers. *Environmental Management*, 58: 780–796

Huntjens, P., Pahl-Wost, C., Rihoux, B., Schlüter, M., Flachner, Z., Neto, S., Koskova, R., Dickens, C. & Kiti, I. (2011) Adaptive Water Management and Policy Learning in a Changing Climate: a Formal Comparative Analysis of Eight Water Management Regimes in Europe, Africa and Asia. *Environmental Policy and Governance*, 21: 145–163

Jacobson, M., Mutono, S., Nielsen, E., O'Leary, D. & Rop, R. (2010) *Promoting Transparency, Integrity and Accountability in the Water and Sanitation Sector in Uganda*. Berlin/Nairobi: WIN/JSP

Kanyamurwa, J. (2016) Politics of natural resource management and accountable systems in the delivery of water services in Uganda. *Africa Development*, XLI(4): 71–105

Kelly, E., Lee, K., Shields, K., Cronk, R., Behnke, N., Klug, T., Bartram, J. (2017) The role of social capital and sense of ownership in rural community-managed water systems: Qualitative evidence from Ghana, Kenya, and Zambia. *Journal of Rural Studies* 56: 156-166

Koehler J., Thomson P., Hope R. (2016) Mobilizing Payments for Water Service Sustainability. In: Thomas E. (eds) *Broken Pumps and Promises*. Springer, Cham

Krolikowski, A. (2014) Can mobile-enabled payments methods reduce petty corruption in urban water provision? *Water Alternatives* 7(1): 235-255

Lande, L. & Fonseca, C. (2018) *Global Review of National Accountability Mechanisms for SDG6*. London: End Water Poverty

Leclert, L., Nziokia, R., Feuerstein, L. (2016) Addressing governance and management challenges in small water supply systems – the integrity management approach in Kenya. *Aquatic Procedia*, 6: 39-50

Masanyiwa, Z., Niehoff, A., Termer, C. 2014. Gender perspectives on decentralisation and service users' participation in rural Tanzania. *J. of Modern African Studies*, 52(1): 95-122

Mbilima, F. (2019) Extractive industries and local sustainable development in Zambia: The case of corporate social responsibility of selected metal mines. *Resources Policy*, 101441.

Mwihaki, N. (2018) Decentralisation as a tool in improving water governance in Kenya, *Water Policy* 20: 252–265

Nass, L., Pieterse, P., Debele, T. (2018) *Gender-Responsive Budgeting in Ethiopia's Country-wide Social Accountability Program*. Washington: Global Partnership for Social Accountability/World Bank.

Ndaw, M. (2015) *Unlocking the Potential of Information Communications Technology to Improve Water and Sanitation Services: Summary of Findings and Recommendations*. Ouagadougou, Burkina Faso: World Bank

Parikh, P., Diep, L., Gupte, J., Lakhanpaul, M. (2020) COVID-19 Challenges and WASH in Informal Settlements: Integrated Action Supported by the Sustainable Development Goals, *Cities*, 107: 102871

Pieterse, P. (2019a) *Accountability for improved services and governance in Ethiopia: a review of context, practice and research priorities. (report draft)*. Edinburgh: Water Witness

Pieterse, P. (2019b) *Accountability for improved services and governance in Tanzania: a review of context, practice and research priorities (report draft)*. Edinburgh: Water Witness

Salim, A., Wangu, N. (2014) Mobile phone technology: An effective tool to fight corruption in Kenya. Conference paper, presented at *Proceedings of the 15th Annual International Conference on Digital Government Research*, June 2014. Aguascalientes, Mexico.

Sambo, P. (2018) 'The Environmental Management Act (2011): a basis for the growth of an environmental ethos and good environmental governance in Zambia?' Chapter 30, in Kameri-Mbote, P., Paterson, A., Ruppel, O., Orubebe, B., Kam Yogo, E. (eds.) *Law | Environment | Africa*. Baden-Baden: Nomos Verlagsgesellschaft, pp647-664

Sirker, K., Coltear, B. Nimanya, C. (2009) *Improving Governance in Water Supply through Social accountability, Communication, and Transparency in Wobulenzi, Uganda case study*. Social Accountability Notes, World Bank Institute

Smet, J., Achiro, B., Orishaba, G. (2010) Case of wash accountability at the district level. *Improved WASH Governance in West Nile through Local Dialogue*. IRC, NETWAS

Smet, J., Achiro, B. (2010) *Achievements of the West Nile WASH Accountability Project*. IRC, NETWAS

Tanzanian National Institute for Medical Research (2012) *Outcome and impact monitoring for scaling up Mtumba sanitation and hygiene participatory approach in Tanzania*. Dar es Salaam, Tanzania: Tanzanian National Institute for Medical Research

Tigabu, D., Nicholson, C., Collick, A., Steenhuis, T. 2013. Determinants of household participation in the management of rural water supply systems: A case from Ethiopia. *Water Policy* 15 (6): 985–1000

Tincani, L. & Mwaruvanda, W. (2016) *Final Evaluation of the Fair Water Futures Project (Uhakika wa Maji) in Tanzania*. Edinburgh: Water Witness International

Uhlendahl, T., Salian, P., Casarotto, C. and Doetsch, J. (2011) Good water governance and IWRM in Zambia: challenges and chances. *Water Policy* 13: 845–862

UNDP (2013) *Reflections on Social Accountability: Catalyzing democratic governance to accelerate progress towards the Millenium Development Goals*. New York: United Nations Development Programme

UNDP-SIWI (2014) *Regional Capacity Building Programme Promoting and Developing Water Integrity in Sub-Saharan Africa Stock Taking Programme Report*. UNDP-SIWI Water Governance Facility

UNDP-SIWI (2017) *WGF Report 6-Developing capacities for water integrity: Reflective review of approach and impact of training courses. UNDP-SIWI Water Governance Facility*. Stockholm: Stockholm International Water Institute (SIWI)

UN-OCHA (2020) *Zambia Sector Status: Water, Sanitation and Hygiene*. UN Office for the Coordination of Humanitarian Affairs, 28th October 2020. Available online at: https://reports.unocha.org/en/country/zambia/card/OzsZWXSlDE/ (accessed 08-12-20)

Van Campenhout, B., Bizimungu, E., Smart, J. & Kabunga, N. (2018) Impact pathways of a participatory local governance initiative in Uganda: a qualitative exploration, *Development in Practice*, 28(8): 1046-1056

Velleman, Y. (2010) *Social accountability: Tools and mechanisms for improved urban water services*. WaterAid Discussion paper. London: WaterAid

WaterAid (2011) *A Study on Working with Parliament Towards Improving Wash Governance in Uganda*. Kampala, Uganda: WaterAid

Water Witness/WIN (2020) *Water sector accountability review: Zambia Preliminary findings – Water Resource Management and Urban Water Supply & Sanitation*. Edinburgh: Water Witness

Wehn, U., Collins, K., Anema, K., Basco-Carrera, L. & Lerebours, A. (2018) Stakeholder engagement in water governance as social learning: lessons from practice, *Water International*, 43(1): 34-59

Welle, K., Williams, J., Pearce, J., Befani, B. (2015) *Testing the waters: a qualitative comparative analysis of the factors affecting success in rendering water services sustainable based on ICT reporting*. London: WaterAid

Welle, K., Williams, J., Pearce, J. (2016) ICTs Help Citizens Voice Concerns over Water – Or Do They? *IDS Bulletin* 47(1): 41-55

Wesselink, A., Hoppe, R. and Lemmens, R. (2015) Not just a tool: Taking context into account in the development of a mobile App for rural water supply in Tanzania. *Water Alternatives* 8(2): 57-76

Willetts, J., Bailey, B., Crawford, C. (2013) *Reflections on monitoring a large-scale civil society WASH initiative: lessons for sector monitoring and potential contributions from NGOs*. IRC/WASH

WATER WITNESS
3/2 Boroughloch Square
Edinburgh, EH8 9NJ

+44 (0)131 662 8546

INFO@WATERWITNESS.ORG

WATERWITNESS.ORG

Water Witness International is a UK registered charity (SC041072) and a company limited by guarantee (353570)