

# ENGAGING WITH PARTNERS FOR CHANGE



**WIN STRATEGY 2017 – 2022**

As adopted by the WIN e.V. General Assembly on 31 May 2016

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WIN STRATEGY 2017 – 2022

## IMPRINT

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**The Water Integrity Network (WIN)** promotes integrity to eliminate corruption and increase performance in the water sector worldwide. To achieve this mission, WIN connects, enables, and promotes the work of organizations and individuals who recognize the impact of corruption – especially on poor and disenfranchised communities – work to assess risk, and promote practical responses.

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## DISCLAIMER

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*“We now know what the issues are in relation to corruption in the water sector. These need to be addressed systematically, politically, professionally – and urgently. The time has come to act. We must no longer allow corruption to flourish and integrity to be undermined.”*

Water Integrity Global Outlook 2016

# CONTENTS

LIST OF ACRONYMS	6
<b>FOREWORD</b>	<b>7</b>
<b>SUMMARY</b>	<b>7</b>
<b>1. WATER INTEGRITY IN THE GLOBAL PICTURE</b>	<b>9</b>
<b>2. THE WATER INTEGRITY NETWORK</b>	<b>13</b>
<b>3. THE WAY FORWARD</b>	<b>17</b>
<b>4. WIN'S OBJECTIVES</b>	<b>21</b>
<b>5. RESOURCES</b>	<b>29</b>
<b>6. MOVING FORWARD TO IMPLEMENT THIS STRATEGY</b>	<b>29</b>
<b>7. WHAT IS DIFFERENT?</b>	<b>31</b>
<b>ANNEXES</b>	<b>33</b>

## LIST OF ACRONYMS

<b>2iE</b>	International Institute for Water and Environmental Engineering
<b>AMCOW</b>	African Ministers' Council on Water
<b>ANEW</b>	African Civil Society Network on Water and Sanitation
<b>BMZ</b>	German Federal Ministry for Economic Cooperation and Development
<b>CSO</b>	Civil Society Organization
<b>DGIS</b>	Directorate-General for International Cooperation (DGIS) – The Netherlands
<b>ECOWAS</b>	Economic Community of West African States
<b>EWP</b>	End Water Poverty
<b>FANSA</b>	Freshwater Action Network South Asia
<b>FCPA</b>	Foreign Corrupt Practices Act
<b>GIZ</b>	Gesellschaft für Internationale Zusammenarbeit
<b>GWP</b>	Global Water Partnership
<b>HRBA</b>	Human Rights Based approach
<b>IWA</b>	International Water Association
<b>IWMI</b>	International Water Management Institute
<b>KEWASNET</b>	Kenya Water and Sanitation Network
<b>OECD</b>	Organisation for Economic Co-operation and Development
<b>SDC</b>	Swiss Agency for Development and Cooperation
<b>SDG</b>	Sustainable Development Goal
<b>Sida</b>	Swedish International Development Cooperation Agency
<b>SIWI</b>	Stockholm International Water Institute
<b>TAP</b>	Transparency, Accountability, Participation
<b>TAPA</b>	Transparency, Accountability, Participation, Anti-Corruption
<b>TI</b>	Transparency International
<b>ToC</b>	Theory of Change
<b>UN</b>	United Nations
<b>UNDP</b>	United Nations Development Programme
<b>WfWP</b>	Women for Water Partnership
<b>WIN</b>	Water Integrity Network
<b>WIGO</b>	Water Integrity Global Outlook

## FOREWORD

This WIN Strategy 2017-2022 is the result of an iterative consultation process with our partners around the globe. Their invaluable contributions and dedication during this process, and more importantly, our joint work over the last years, have deepened our conviction that working with partners must continue to be at the heart of WIN's work.

In its ten years of existence, WIN has evolved from a small, informal group of like-minded individuals that got together at the Stockholm World Water Week 2006, to an international NGO at the centre of a network, which has achieved meaningful results in promoting water integrity and raising awareness on the issue.

In the coming six years, we will strive to take this to the next level and translate awareness into practice. We will strengthen the evidence base on corruption in the water sector and demonstrate the effectiveness of water integrity initiatives. With our partners, we will support measurable and institutionalized change for water integrity in countries.

Frank van der Valk, WIN Executive Director

*“There is no time to lose. Powerful forces and vested interests must no longer be allowed to use corruption to hamper water justice. And corruption must no longer be a barrier to development, to achieving the water and sanitation rights of billions of people, and to preserving the life of our planet.”*

[WIN, Water Integrity Global Outlook 2016]

## SUMMARY

In the 2017-2022 period, WIN will have impact by leveraging the influence of strong partners (including the private sector), who can trigger measurable change within countries. By 2022, at least 10 strategic partners will be actively strengthening water integrity through their programmes around the globe. This means that WIN's main role is focused **advocacy** toward influential partners, to encourage them to take up and fund water integrity initiatives. This will go hand in hand with mutual **capacity development** for strategic partners and WIN itself, including the development or adaptation of relevant tools and indicators to measure integrity, corruption, and outcomes of water integrity work.

Advocacy and capacity development will be buttressed by experience and learning from direct country engagement. WIN will execute long-term water

integrity programmes with implementing partners, to achieve a measurable and significant improvement of water integrity in at least four countries, using deep country analyses and country-specific theories of change as a basis. WIN will also promote and support efforts by partners to deliver online and face-to-face capacity building for a wider audience of stakeholders.

The key rationale for this approach is that WIN needs the power of strong, influential organizations to have a significant impact. Reciprocally, organizations need focused and high-quality guidance on water integrity. WIN's mission remains ambitious, but the focus will enable WIN to better match its programme of work with the resources available.

## WATER INTEGRITY IN THE GLOBAL PICTURE

In the last ten years, recognition of the devastating effects of corruption and concrete action to tackle it have grown significantly. Water integrity received considerable attention through initiatives such as the Global Corruption Report 2008, the Water Integrity Forum 2013, the OECD Water Governance Initiative, the African Water Integrity Summit, and a range of events at Stockholm World Water Weeks. Many larger and smaller organizations now pay explicit attention to water integrity (for example GIZ, OECD, SIWI and UNDP, and WIN's donors BMZ, DGIS, SDC and Sida) or work implicitly to enhance integrity by focusing on related areas such as strengthening accountability (for example, IRC and Water Witness International).

### BOX 1 DEFINITIONS

**Water integrity** is the integrity of people and institutions governing water resources. It refers to decision-making that is fair and inclusive, honest and transparent, accountable and free of corruption. (WIN, 2013 - Delft Statement)

**Corruption** is the abuse of entrusted power for private gain. It covers all forms of extortion, fraud and embezzlement as well as the covert exchange of favours through patronage, misinformation, clientelism and nepotism or acts of political manipulation. Corrupt use of data to mislead or use of language to conceal unethical or corrupt practices can also be considered corruption. (TI)

### 1.1 THE ISSUE: CORRUPTION IN THE WATER SECTOR

Corruption has many faces. It ranges from grand fraud and embezzlement in infrastructure development, to bribes and malpractice in water service delivery, to policy capture in the allocation of water resources. Despite collective efforts for more integrity, the Water Integrity Global Outlook (WIGO) 2016 comes to the conclusion that the problem of corruption in the water sector is still enormous and that there is no evidence that it is declining systematically. The Water Integrity Global Outlook found that there is a shortage of reliable data on the losses from corruption and a shortage of evidence on the effectiveness of anti-corruption measures in the water sector. This illustrates the need for better research.

Nevertheless, even a conservative estimate that every 10 per cent of investment is lost due to corrupt practices would imply an annual loss to the sector in excess of US\$ 75 billion<sup>1</sup>; some guesstimates putting potential losses many times higher. This does not include the damage done as a result of making the wrong investment choices, often because of wilful malpractice in the planning phase and insufficient provisions for operation and maintenance. Even with huge new investments for the achievement of water-related Sustainable Development Goals (SDGs) and adaptation to climate change, it will be impossible to reach sector targets if money does not reach its intended purpose.

The percentage of the world's population living in areas of water stress is forecasted to rise from 40 % to more than 65 % within the coming ten years. This will increase competition for water and also result in acute water quality problems. The increasing pressure on water is frequently associated with changing weather conditions due to climate change, and to the growing human population and its needs for water, food and energy. Such conditions exacerbate the risks of undue influence in the management of water resources and services. Corruption is clearly not just about financial damage: it also threatens a fair and sustainable water future.

Awareness on water-related corruption and on integrity tools and approaches has significantly increased but related broad-based action is lagging behind. Unfortunately, in many situations and societies, people are still afraid to openly discuss the topic. Many initiatives and approaches to improve water governance do not yet address corruption explicitly. Even integrity concerns are rarely spelled out. Especially where systemic corruption cuts across all walks of society and involves large parts of the elites, finding people who are willing and able to take up the issue can be very difficult. This keeps corruption hidden and allows corrupt actors to pursue their deed without public scrutiny.

<sup>1</sup> Water Integrity Global Outlook 2016



## 1.2 ADVANCING WATER INTEGRITY: ENTRY POINTS AND TRENDS

### 1.2.1 Global policy catalysts

Developments at the international level offer a number of promising entry points to advance water integrity. By adopting the SDGs, the international community has committed itself to an ambitious agenda that puts greater emphasis on water (Goal 6), and on anti-corruption, accountable institutions and participatory decision-making in all sectors (Goal 16). The opportunity for water integrity to benefit from efforts to achieve the latter goal should not be missed. Another major step has been the recognition of the human rights to water and sanitation by the UN and an increasing number of national governments. These human rights set clear duties and standards for governments and can be claimed by the people. They represent a great opportunity to strengthen accountability at local, national and international levels.

### 1.2.2 New actors and potential partners

Legislation (e.g. FCPA, UK Bribery Act) and formal agreements (e.g. OECD Anti-Bribery Convention) that strengthen corporate liability for corruption offences have contributed to changing attitudes and strengthening preventive measures. Private companies, international finance institutions and donors are increasingly putting in place stronger governance, risk management and compliance systems. The United Nations Global Compact constitutes a call to companies everywhere to align their operations and strategies with ten universally accepted principles on human rights, labour, environment and anti-corruption, and to take action in support of the SDGs. The CEO Water Mandate, a special initiative of the UN Global Compact, that mobilizes business leaders to advance water stewardship, sanitation, and the SDGs, already cooperates with WIN. In terms of institutional set-up, a growing number of countries have independent water regulators that exercise oversight and could also be important partners for water integrity initiatives.

### 1.2.3 Global attention for related topics and initiatives

High-profile whistleblowing cases like the Panama Papers make societies' perceptions on corruption and illicit practices change. Anti-corruption and integrity are gaining priority as an increasing number of people around the globe stop accepting impunity. Various openness and transparency initiatives and modern communication technologies also provide new opportunities to address the issue.

Good water governance has become a major topic for the water sector. In this regard, the explicit mention of integrity and transparency in the OECD Principles on water governance is an important step, which now needs follow-up and implementation. Social accountability is also receiving more and more attention as an important bottom-up approach to improving governance and service delivery. Moreover, the spread of mobile technology offers huge potential to enhance automated payment systems, monitoring and feedback mechanisms, and access to information in general. While these developments are very conducive to water integrity, they often do not consider and address corruption risks systematically, which can undermine their effectiveness.

Some additional global trends add to the complexity of enhancing good water governance and integrity, as they will create additional risks. But they also open up new opportunities to build alliances and reach broader audiences:

- » As climate change is predicted to have major impact on water and water infrastructure, it will very likely lead to increased investments in water infrastructure and new funding arrangements with new actors such as the Green Climate Fund.
- » Financial flows for development continue to change, with shifts and reductions in budgets of traditional donors, and the appearance and growth of new funders and funding mechanisms. These changes include the trends to more strongly link aid and trade and to rely more on funding from the private sector.
- » Traditional land and water rights are often under pressure from foreign as well as local private investments posing significant threats to integrity and human rights.

## 1.3 WHAT NEEDS TO HAPPEN

We will only achieve the water-related SDGs and realize the human rights to water and sanitation if corruption is effectively addressed. Strong coalitions of the willing from all walks of society including sector professionals, leaders, CSOs and communities will have to emerge and take action to make this happen. Water integrity needs mainstreaming throughout the water sector to move from awareness to system and behavioural change. Water sector reforms and programmes that seek to improve governance have to systematically assess and mitigate corruption risks, even if it is difficult to do so (too) openly.

The Water Integrity Global Outlook 2016 provides recommendations for action by all stakeholders. For WIN, these recommendations are a guide to define priority strategic areas and determine ways to design and implement programmes. The following are directly taken up in this strategy:

- » Develop targeted water integrity advocacy at multiple levels.
- » Generate reliable data on the extent of corruption in the water sector and the economic and social damage that results.
- » Develop capacity-building initiatives within comprehensive frameworks for action.

### BOX 2 RECOMMENDATIONS FROM THE WATER INTEGRITY GLOBAL OUTLOOK 2016 <sup>2</sup>

- » Ensure the full involvement of all relevant stakeholders in processes to build integrity and fight corruption in the water sector.
- » Generate reliable data on the extent of corruption in the water sector and the economic and social damage that results.
- » Put principles into practice: build 'integrity walls' (see Annex 4) appropriate to the context.
- » Explicitly recognize and address the lack of integrity and the presence of corruption as major concerns in water governance and management.
- » Strengthen water integrity in order to support the implementation of the SDGs and ensure the fulfilment of the human rights to water and sanitation.
- » Develop and enforce water policies that incorporate TAP <sup>3</sup> principles along with anticorruption measures in accordance with the obligations of the human rights to water and sanitation.
- » Ensure public scrutiny and balance stakeholder interests in political and legislative processes.
- » Establish a comprehensive accountability mechanism anchored in the public finance system for water sector financing from all sources.
- » Engage with ministries of finance, audit institutions and parliamentarians to make water and sanitation a priority and increase their understanding of the sector.
- » Strengthen control mechanisms for projects.
- » Build an effective relationship with stakeholders to ensure the fair and sustainable implementation of projects.
- » Develop targeted water integrity advocacy at multiple levels.
- » Develop capacity-building initiatives within comprehensive frameworks for action.
- » Adapt tools to local contexts and combine them in broader strategies
- » Monitor and evaluate the quality and sustainability of water services in order to assess the impact of projects and enhance service accountability.
- » Enable and encourage independent monitoring of activities by the media, nongovernmental institutions and civil society.

<sup>2</sup> These recommendations are elaborated in the Water Integrity Global Outlook 2016

<sup>3</sup> Transparency, Accountability, Participation

## THE WATER INTEGRITY NETWORK

The Water Integrity Network (WIN) was launched in 2006 as an action-oriented coalition of individuals and organizations that wanted to support the cause of increasing water integrity and help to prevent or reduce corruption in the water sector. The network was supported by a Secretariat hosted by Transparency International. WIN has since developed into a small international NGO working with a diverse network of partner organizations: the Water Integrity Network Association, based in Berlin, which was formally established in late 2013. The General Assembly, composed of individuals and organizations (see Annex 1), and the Supervisory Board, are the governing structures of the WIN Association, which guide and vet the work its staff. WIN has been able to position itself as a leading facilitator of water integrity and seeks to create opportunities to scale up the effort through partnerships with other organizations and networks. Since, to a large extent, results and impact need to come from partners in the network, a networking approach where WIN has an important role to stimulate partners is a core element of WIN's work.

This document constitutes the global strategy of the WIN Association for 2017-2022. It follows logically from its predecessors and is likewise based on consultations with WIN members, partners and donors, an external evaluation, and internal analyses, all of which took place in 2015 and early 2016.

### 2.1 VISION, MISSION AND VALUES

The challenge of managing water as the key resource for life and development remains enormous. It is even growing, due to factors such as climate change, increasing consumption, and uncontrolled pollution in many parts of the world. Effective and efficient water governance is the only way to deal with these factors while equally respecting the needs and rights of all people. Obstacles to good water governance in the form of corruption and lack of integrity are irresponsible and unacceptable. WIN's vision and mission as formulated in 2011 remain as valid now as they were then.

*WIN's vision is a world with equitable and sustained access to water and a clean environment, which is no longer threatened by corruption, greed, dishonesty and wilful malpractice.*

In this vision, water governance will be rooted in high levels of transparency, integrity, accountability and participation. Politicians, decision makers, operators and water users will promote water integrity and work to preserve water and a clean environment as a common good. Efforts to overcome corruption and its negative impacts will result in a profound change in behaviour towards water and a broad realization of the human rights to water and sanitation. Increased water security and a reduction of water-borne diseases will enable marginalized people to unleash their socio-economic potential and move out of poverty.

*WIN's mission is to increase integrity levels and reduce corruption in the water sector through a pro-poor and pro-equity focus. It works with partners and influences decision makers to facilitate active multi-stakeholder coalitions and to build capacities for the use of tools and strategies for water integrity at all levels.*

**Integrity** is at the heart of WIN's values. WIN believes in the need for public, private and civil society sector representatives to be honest in carrying out their functions, to resist extortion and to banish corruption. Holders of public or private office should not place themselves under any financial or other obligation to individuals or organizations that may influence their ability to perform their duties or put water services and a clean environment at risk. Integrity is an ethical attitude that starts with individual behaviour. Duty bearers can make individual decisions to behave with honesty and integrity, or not to do so; and decision makers can tolerate or not tolerate wilful malpractice that continues to affect the performance of the water sector worldwide.

The following principles are the main pillars of integrity:

**Transparency** – is about openness and public access to information. Citizens need to be familiar with decision-making processes and the standards expected from public officials. They must be able to anticipate when significant decisions are to be made and how to make their voices heard.

**Accountability** – Elected officials and water managers should be held accountable for their actions and answer to those they serve. Citizens, civil society organizations and the private sector must be able to scrutinize actions and decisions by leaders, public institutions and governments and hold them accountable for what they have, or have not, done.

**Participation** – implies that all stakeholders, including marginalized and resource-poor groups, and in particular women, are meaningfully involved in deciding how water is used, protected, managed and allocated. Different initiatives such as river basin multi stakeholder dialogues, water stewardships, legal status for water user groups, complaint mechanisms, and participatory budgeting can help broaden the base of decision-making.

**Anti-corruption** – comprises the explicit prevention and sanctioning of corruption. It is based on an analysis of corruption risks and measures to mitigate these. Measures may involve setting, activating, and enforcing rules, as well as promoting ethics that will prevent people from engaging in corruption.

WIN will continue to work on basis of the WIN core principles (Annex 2) and will encourage its partners to do the same. WIN contributes to gender equity on basis of its gender policy.

## 2.2 HOW FAR WE HAVE COME

WIN achieved many meaningful results in line with the objectives of its latest strategy covering 2011-2016. However, there was a considerable gap between the expected and achieved outcomes. According to an external evaluation carried out in 2015, WIN's programmes and their expected outcomes were overly ambitious. A number of challenges also hampered WIN's ability to reach the outcomes.

In terms of achievements, WIN has first and foremost been effective in raising awareness for water integrity through advocacy in international processes, events and capacity-building programmes; and has thus become a globally recognized and respected partner for such activities. Water integrity has been included by some leading organizations in their policies and/or programmes and in international frameworks such as the OECD principles on water governance. WIN's publications on water integrity have also been well received, in particular its flagship Water Integrity Global Outlook, published in collaboration with partners in 2016. The collaborative development and testing of tools and methodologies for water integrity was another successful element of WIN's work, even though not all the ambitious objectives related to this work area were fully attained. WIN's efforts have resulted in a well-documented portfolio of experiences, publications, and tools and methodologies,

generally accessible through the WIN website, [www.waterintegritynetwork.net](http://www.waterintegritynetwork.net), on which new and further actions can be based.

WIN's country programmes and initiatives have generally resulted in higher levels of awareness on water integrity in a number of countries. In some countries, policy changes have been implemented as a result of WIN work (e.g. Kenya, Uganda, Mozambique) and transparency and accountability has been strengthened at the local level in more cases (e.g. through public hearings and media engagement in Nepal). Moreover, the country programmes have enabled WIN and partners to gain important hands-on experiences on how water integrity can be advanced in different contexts.

In terms of challenges, integrity and fighting corruption still play only a small role within global water governance and are not considered a priority in the practical programmes of most water sector organizations. This shows that WIN has been able to translate awareness raising into policy change in some cases, but little is known about real change in practice, in part due to the fact that the WIN secretariat has been spreading its attention too thinly given its limited human resources. Bringing about practical change will require longer term commitment both from WIN and from partners.

WIN's country programmes in particular, have required considerably more effort from WIN than originally foreseen. WIN's model of working through partners means that WIN is highly dependent on partners and their capacities. Much effort has and must therefore be dedicated to strengthening the capacities of implementing partner to carry out water integrity work. To have the intended impact with high levels of sustainability, it is very important that stronger strategic alliances are built to implement capacity building programmes across regions and that countries have the enabling environment for capacity building objectives to be fulfilled. This will require considerable resources, not just from WIN but also from close allies and their partners in various countries.

## 2.3 WHAT WE HAVE LEARNT

There is a sound basis to step up efforts on water integrity: major organizations are attentive to the topic, international policy is an incentive (SDGs, OECD

Principles on Water Governance), and tested tools exist. WIN is well placed to tackle the challenge of mobilizing more actors and resources to build capacity and overcome powerful resistance to change.

Nonetheless, enhancing integrity requires substantial effort and time. Although WIN engaged with a wide range of partners already, only a few of them have developed the capacities and commitment to systematically embed water integrity in their programmes. WIN needs to better understand the work of partners and tap into their wealth of experience to provide effective support and jointly develop targeted approaches that suit their objectives, capacities and programmes.

Through the Water Integrity Global Outlook 2016, an internal analysis, the external evaluation of 2015, a partner survey, and consultations with members and partners, WIN identified the following lessons learnt to provide strategic direction for 2017-2022:

### 1. Provide evidence to make our case

- » Strengthen analysis and base future engagement on a theory of change;
- » Generate reliable data on the extent of corruption in the water sector and the resulting economic and social damage;
- » Develop monitoring frameworks to measure outcomes – strengthened integrity and reduced corruption – at country, local and organization level.

### 2. Less is more

- » Focus on fewer countries and initiatives to move into policy and practice change with deep and long-term commitment;
- » Clarify partnership approach and dedicate more time and effort to fewer strategic partners that show commitment and capacity to act as multipliers;
- » Provide tailored capacity-building and programming support to strategic partners to integrate water integrity into broader water and governance programmes.

### 3. Keep what works

- » Continue advocating water integrity at multiple levels, to make it a priority and to gradually overcome the secrecy barriers that prevent people from openly addressing corruption.



## THE WAY FORWARD

WIN sees two trends emerging in society: there is increasing demand for transparent and effective use of resources, and there are more opportunities for stakeholder involvement. WIN will build on these trends and its lessons learnt. It will strive to motivate, inspire and engage a wider group of actors to actively counter corruption in the water sector.

### 3.1 THEORY OF CHANGE

WIN developed a generalized theory of change (ToC) for water integrity based on the lessons learnt. This ToC, outlined in box 3 and figure 1 (see annex 1 for detailed version), provides a generic model of the main avenues along which change towards sustainable water management with integrity happens at country level, and how this is supported from the international level. The ToC is derived from two essential notions.

Firstly, for sustainable change towards more integrity and for less corruption to happen, institutionalized changes in individual country contexts are needed.

By institutionalized change we mean established and practiced changes in rules, processes, organization, responsibilities, programmes, ways of working and behaviour. Such change processes are complex; increasing integrity and reducing corruption will not be spontaneous. Strong change agents are needed, who will push national or local politics and/or organizations. Agents and pressure for change may come top-down from political leaders and policymakers, from within administrations and sector organizations or from private sector stakeholders, or bottom-up from CSOs and direct citizen engagement. Development partners, investors, and international sector associations can play an important role in stimulating change.

Secondly, in its position as a small international NGO, WIN can contribute by mobilizing and supporting change agents. This implies that WIN work with partners in the network who may act as focal points to provide further support in a specific region or for specific actors. The support provided should be context-specific and include lobbying at political level, coalition building, tools, and capacity development.

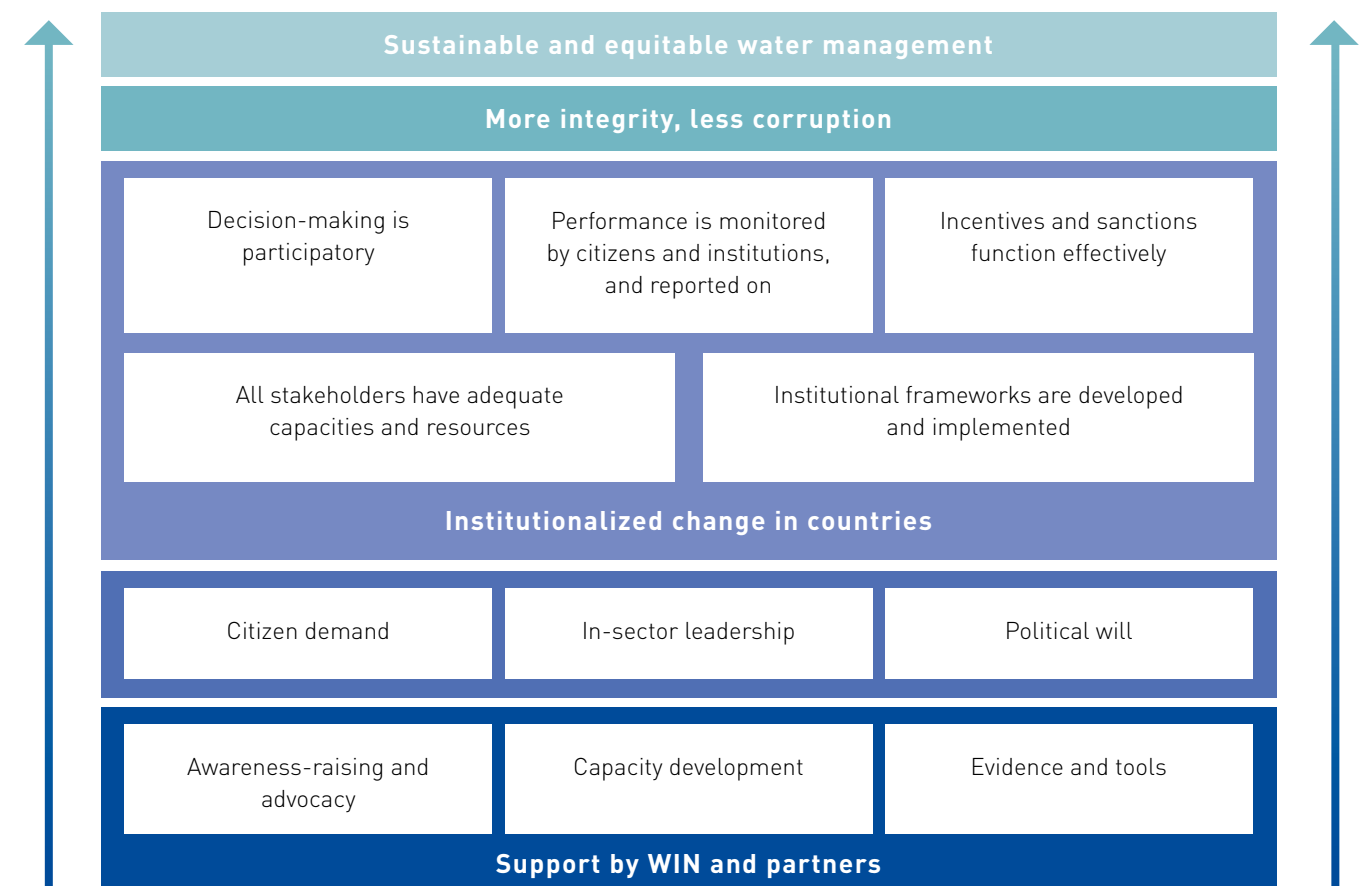


Figure 1: Generalized theory of change (simplified schema)

The ToC is not meant as a blueprint but as a tool that can assist strategic planning for change, both for WIN and partners. WIN will use it together with partners to develop specific country or even local ToC for its

programmes and major activities. The ToC, which is necessarily a simplification, will need regular review and adjustment to ensure its validity, according to practical developments.

### BOX 3 GENERALIZED THEORY OF CHANGE FOR WATER INTEGRITY

The international community supports countries strengthening water integrity by establishing international policies, guidelines and principles (e.g. OECD water governance principles) as well as providing financial resources, tools and knowledge sharing formats. It has a role in showing that corruption in the water sector needs to and can be tackled, to inspire countries and individuals. By setting standards for individual and institutional behaviour, it can also build confidence and stimulate engagement.

Change agents from all walks of society in countries commit themselves to addressing corruption problems and lobby for political will to strengthen water integrity. They demand adequate institutional, regulatory, and legal frameworks as a basis for improving integrity practices. Depending on country and regional context, various types of stakeholders (citizens, civil society representatives, political leaders, public sector actors or private sector ones for example) can become change agents. CSOs and development partners can play a role in triggering and support change agents, by advocating integrity and including water integrity tools and approaches in their programmes.

Citizens demanding their water rights activate institutions and decision-makers to become compliant with the rules.

Once policy and legislation are enacted, and clear institutional mandates defined, frameworks on paper are substantiated by institutions developing their capacities and enabling downward accountability mechanisms, in particular with institutionalized public reporting. Capable oversight institutions are established, mandated and capacitated to sanction

wrong-doing and reward good performance, thus providing incentives for other institutions, service providers and other stakeholders to comply with the rules.

Change may not always follow this institutional path, but may be strongly driven by citizens and other stakeholders demanding accountability. This often starts with citizens being frustrated with the level of service or the degradation of water resources and realizing that the situation is (partly) due to corruption, which motivates them to address this situation. Empowered citizens increasingly criticize corruption and demand access to water and sanitation. Their engagement is supported by accountability mechanisms (proactive monitoring of duty bearers for example), other water integrity tools, and human rights-based approaches (HRBA), and are often facilitated through social media.

In addition to pressuring institutions and other stakeholders to take action on corruption, a capacitated and organized civil society can use existing participation mechanisms to effectively engage in decision-making processes. At the same time, increased awareness, engagement and accountability also motivates more stakeholders to become more compliant with rules.

A situation where both sector stakeholders (including citizens) and institutions are capable, comply with rules, and operate within appropriate legal, institutional, and regulatory frameworks will translate into inclusive and transparent decision-making. Stakeholders will effectively safeguard integrity during implementation of those decisions and help institutionalize good practices. This in turn will make water management more resistant to corruption and malpractice. If institutions are then also equipped with the necessary capacities, systems and resources, they will deliver sustainable and equitable water management.

### 3.2 WIN'S APPROACH TO WORKING WITH PARTNERS

Given that water integrity should become part and parcel of broader reform and development initiatives rather than being promoted in isolation, WIN's role has been and will remain to work with partners, and engage with others, supporting their actions where necessary. Rather than just coordinating efforts in a network, WIN will need to focus on further strengthening the network and jointly developing capacity and targeted approaches. Working at international level, WIN will focus on leveraging the outreach, expertise and influence of a limited number of major organizations that can (and should) stimulate and support systemic changes in country contexts. It will also work with partners to develop and advocate the implementation of methods to measure outcomes and impact. Since WIN cannot maintain intensive work relations with many organizations, this approach should be coordinated with existing close allies.

WIN will work and interact with organizations in four different, targeted ways:

- » **Close allies** already have capacity on water integrity and have included it in their programmes (e.g. CAP-NET, cewas, KEWASNET, OECD, SIWI, TI, (to some extent) GIZ, and WIN's funders). These advocate and build capacity on water integrity along with WIN.<sup>4</sup>
- » **Strategic partners** agree to contribute their expertise and include water integrity in their programmes, which can be supported by WIN and/or close allies. Through their programmes, these organizations multiply the impact of WIN.
- » **Implementing partners** implement specific parts of WIN's portfolio, in particular at country level.
- » **A loose network of individuals and organisations** is interested in water integrity and makes use of WIN's website and tools, for example

In the longer run, strategic partners may of course develop into close allies.

Strategic partners can comprise different types of organizations that can trigger changes in policy and practice at country level, and/or contribute to building the evidence base on corruption and integrity in the water sector:

<sup>4</sup> Next to these working relations, a number of these partners also play a key role in WIN's governance as formal members of the WIN Association.

- » **International funders** of the water sector (e.g. bilateral donors, development banks);
- » **Sector and development organizations or NGOs** operating internationally, with presence in countries, and with water, good governance or anti-corruption programmes (e.g. GIZ, WaterAid, Helvetas, Caritas, IRC, GWP, TI, IWA);
- » **Regional/international CSO and multi-stakeholder networks** that can act as links to grassroots organizations (e.g. FANSA, ANEW, EWP, WFWP);
- » **International and regional policy bodies** (e.g. OECD, AMCOW, ECOWAS, Asia-Pacific Water Forum, and similar bodies in other regions);
- » **Knowledge, research and education institutions** (e.g. UNESCO-IHE, IWMI, U4, 2iE);
- » The (international) **private sector** (e.g. (members of) CEO Water Mandate, World Business Council for Sustainable Development, Aquafed).

WIN is already collaborating with a number of these organizations and has established key account management for main partners, a practice which will be further developed.

Obviously the different types of organizations have different opportunities and challenges in relation to strengthening water integrity. WIN will have to set priorities together with the close allies. To define which organizations WIN will work with as a priority, WIN will first gauge the interest of existing partners to deepen the work on water integrity and commit resources to the topic. Decisions to engage will be based on the potential of an organization as a multiplier, complementarity to other existing close allies and strategic partners, the shared learning potential and potential outreach to new sub-sectors emanating from a partnership, the level of expected effort needed by WIN, and the responsiveness of an organization, among other factors.

In line with the overall direction of this strategy, WIN will prioritize working with organizations that can trigger measurable increases in water integrity at country level and that can contribute to measuring integrity, corruption and its social and economic costs in the water sector. While most strategic partners will come from the water sector, actors with similar goals from related sectors, such as climate change adaptation, may also be included.

## WIN'S OBJECTIVES FOR 2022

This chapter describes WIN's objectives in this strategic period and how these may be achieved, based on the analyses and conclusion presented above.

WIN's 2015 evaluation stated: "WIN needs to strengthen the network, its knowledge base and strategic focus." This strategy follows up on that recommendation. WIN has taken first steps towards its vision in its first decade of existence. Building on these, and with its new strategy for 2016-2022, WIN has the ambition to take a new major step forward.

**WIN's overall goal will be to reach measurable outcomes in terms of increasing integrity and reducing corruption in the water sector, so as to contribute to more efficient and effective processes to attain the SDGs and fulfil the human rights to water and sanitation.** In particular, WIN will contribute and connect to the efforts towards achieving SDG 6 on water and sanitation and some of the targets under SDG 16<sup>5</sup> on governance, taking due account of SDG 5 to achieve gender equality and empower all women and girls. Integrity in governance is a prerequisite to achieve sustainable development.

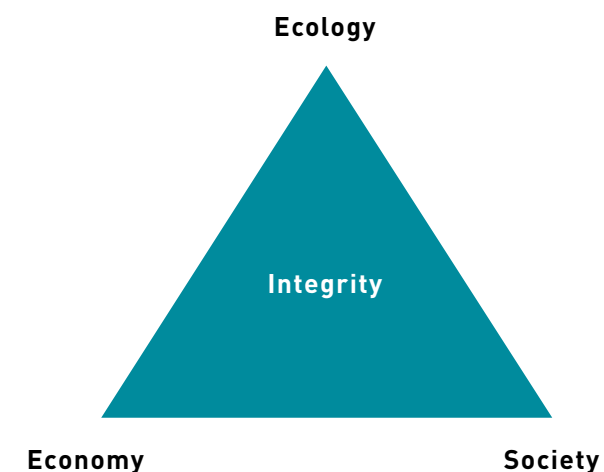


Figure 2: Integrity as a prerequisite for sustainable development

<sup>5</sup> I.e. targets 16.5: Substantially reduce corruption and bribery in all their forms), 16.6: Develop effective, accountable and transparent institutions at all levels and 16.7: Ensure responsive, inclusive, participatory and representative decision-making at all levels

To reach its overall goal, WIN will need to stimulate change processes and measure change. As WIN will remain a relatively small entity, its main role is to mobilize change agents and facilitate the support they need, including capacity development. WIN sees integrity as a common responsibility of the water sector and believes a multi-stakeholder approach is crucial: all stakeholders – individuals and organizations at international and national level, government organizations, public and private actors in the water sector, civil society organizations – can be potential change agents. In line with its theory of change, WIN will work at two levels: given the global role of WIN, first and foremost at the international level engaging with strategic partners, and at country level, executing programmes with implementing partners in focus countries.

In pursuing the overall goal, WIN will work towards the following three main objectives:

- 1. at international level: Effective action is undertaken within the international water sector to increase integrity and reduce corruption.**
- 2. at country level: Integrity is measurably increased and corruption reduced in the water sector within countries.**
- 3. on information, knowledge and expertise: Necessary information, knowledge, and expertise to advance and measure water integrity action is available and used.**

While objectives 1 and 2 both aim to achieve change toward sustainable water management with integrity in countries, they differ in how they will be tackled.

On the one hand, objective 1 aims at advancing water integrity in many countries and themes by triggering increased engagement of organizations that are internationally active in the water sector. **WIN will provide leadership to mobilize energy** to initiate the broad efforts needed to substantially reduce corruption and increase integrity in the global water sector. WIN needs people and organizations who can take this challenge on through their own actions and reduce the risks that allow corruption to flourish in secrecy. The focus of WIN will therefore be to stimulate action by encouraging and **supporting international water sector organizations to become change agents**, show leadership and contribute, in their respective roles, to governance reform processes.

On the other hand, objective 2 aims for change in a few countries only, through direct engagement together with implementing partners. This will include working closely with media and civil society, including consumers' and women's organizations, as these represent key stakeholders which can become powerful change agents on the demand side. In addition to having direct impact in countries, objective 2 contributes to objectives 1 and 3 by showcasing what can be achieved and enabling practical learning for WIN and partners.

Engagement under objective 1 and 2 will comprise measures to strengthen transparency, accountability, participation and anti-corruption (TAPA) in the water (sub-)sector at country, local and organization level. Meanwhile, objective 3 aims at supporting and leveraging the work of WIN and its partners on objectives 1 and 2 through the generation of knowledge products, promotion of knowledge exchange and capacity development on water integrity for all change agents (see figure 3).

Both at international level and in countries, WIN will link its partnerships and programmes to other relevant major initiatives and developments in the water sector and beyond, such as the OECD Water Governance Initiative, Sanitation and Water for All, the Open Government Partnership, the Construction Sector Transparency Initiative, Open Data and the Global Compact. Of special relevance are programmes on climate change adaptation, as many of these are closely linked to water management and will contribute significant funding to the sector.

In achieving the objectives, WIN's added value is its ability to stimulate action based on a convincing, evidence-based story and its focus on building capacity to practically address the issue and learn from our efforts: providing and piloting good practice, tested tools and methods for analysis and monitoring.

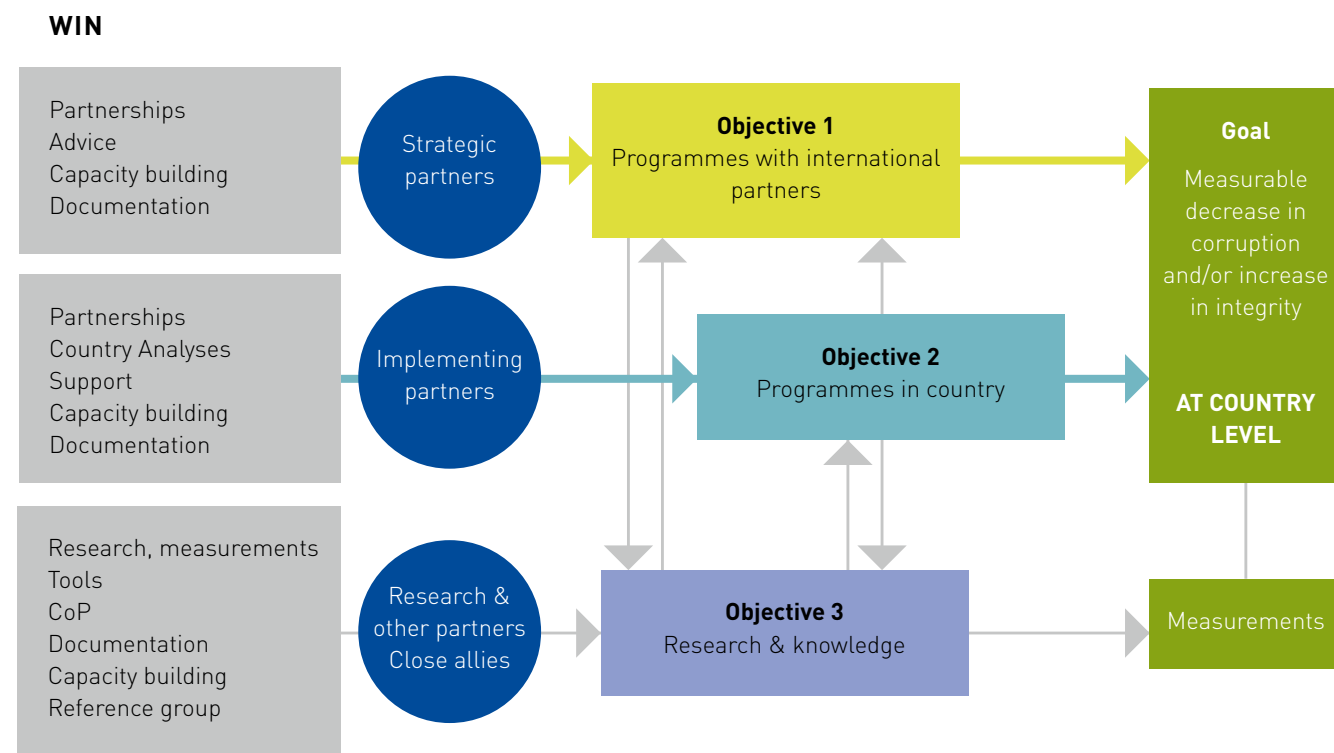


Figure 3: Schematic outline of WIN's main work towards its objectives and goal

#### 4.1 OBJECTIVE 1 — EFFECTIVE ACTION IS UNDERTAKEN WITHIN THE INTERNATIONAL WATER SECTOR TO INCREASE INTEGRITY AND REDUCE CORRUPTION

To achieve this objective, WIN will engage with major international organizations relevant to the water sector to become strategic partners. Targeted organizations could include funding agencies, policy platforms, sector and development organizations and potentially the private sector. WIN's work will refer to and build upon existing political and policy frameworks (the various relevant SDGs, the human rights to water and sanitation), and recent or new funding mechanisms, including water-related climate adaptations funds. WIN will also join hands with the OECD Water Governance Initiative to support the implementation of the OECD Water Governance Principles, by collecting best practices and developing water governance indicators.

The aim of these engagements is to leverage the influence of strategic partners and ensure that they promote water integrity, also by using robust corruption prevention systems in their own operations. To ensure that partnerships have added value for all involved, WIN will consistently engage with partners to identify areas of mutual interest and mutual learning opportunities, to jointly define common objectives, and allocate roles. Main activities will include:

- » raising awareness: showing the problem and potential gains from integrity measures;
- » mobilizing energy, change agents, and pressure: by providing arguments, establishing and using contacts, lobbying, and allying (including with donors);
- » jointly analysing and planning to establish integrity components in broader programmes;
- » jointly developing tools, implementation modes and cost estimates that fit the specific partner organizations and can be used for programming;
- » building capacity for staff of strategic partners on implementing contextualized tools, including online and face-to-face training, technical advice and backstopping, knowledge sharing forums, manuals and other knowledge and guidance materials.

WIN and its strategic partners will need to overcome the secrecy around corruption. In line with the recommendations in the Water Integrity Global Outlook

2016, WIN will encourage organizations to counter corruption explicitly but will stay flexible towards the approaches of strategic partners that focus more on good governance or specific pillars of integrity – like (social) accountability or transparency. Where appropriate, integrity initiatives and programmes can be linked to the partner organizations' quality or compliance management systems and programmes.

Given the need for a multi-stakeholder approach, WIN will continue to promote the involvement of civil society – consumers, communities, organizations, networks, and in particular women – in the sector. Where possible, WIN will facilitate the development of synergy between partner programmes and WIN programmes in focus countries. WIN will also seek the involvement and support of close allies to achieve scale.

To ensure that the work of partner organizations has positive outcomes in terms of integrity and corruption, WIN will promote the need to implement a monitoring/ measurement system to assess effectivity in that respect (cf. outcome 3). The outcomes can in first instance be at the level of the organization itself (outcome 1.2) but they eventually need to extend beyond that level and contribute to institutionalized in-country change, as referred to in WIN's theory of change (outcome 1.3). For WIN and partners to be able to show measurable outcomes, a baseline will be established at the start of each programme.

WIN will work with a limited number of organizations of different types according to available resources and the different opportunities they present to reach ultimate goals:

» International funders of the water sector can provide important incentives for water integrity. To avoid misuse of funds in their own projects, they can apply robust preventive measures, including the PRIOR set-up of a comprehensive TAP, compliance and risk management system. They can make effective requirements on the project partners' integrity and anti-corruption systems. They can also promote in-sector risk analyses and fund dedicated water integrity and anti-corruption initiatives.

» Sector and development organizations or NGOs operating internationally and with country presence or membership can contribute through their programmes to the in-country changes needed, e.g. through advocacy, knowledge development and capacity building at various levels.



- » Regional and international CSO networks can act as links to grassroots organizations and support bottom up change e.g. by demanding social accountability from service providers and governments.
- » International or regional policy bodies can provide leadership and stimulate water integrity programmes with their membership, organize peer-to-peer exchanges, issue guidelines and organize benchmark exercises.
- » Knowledge, research and education institutions can contribute to developing measurement methods and gathering evidence. They also educate future change agents and can thus contribute to making integrity a part of professional norms and culture.
- » For the (international) private sector the principles of the UN Global Compact form a good basis for engagement. The implementation of the Guidelines for Managing Integrity in Water Stewardship Initiatives is an example of concrete action.

To achieve objective 1, WIN plans the following outcomes and outputs:

OUTCOMES BY 2022	INDICATORS OF SUCCESS	WIN OUTPUTS
<b>1.1.</b> Major international organizations active in the water sector commit to a clear contribution to increase water integrity and fight corruption in the sector	<ul style="list-style-type: none"> <li>» Number and type of organizations that make explicit commitments to water integrity</li> </ul>	<ul style="list-style-type: none"> <li>» Statements of or agreements with allies and strategic partners on their contributions</li> </ul>
<b>1.2.</b> Major international organizations use sound policies and mechanisms to include integrity in their water-related programmes	<ul style="list-style-type: none"> <li>» Number of organizations with new or improved policies on water integrity</li> <li>» Number and size of water integrity programmes or programme components</li> </ul>	<ul style="list-style-type: none"> <li>» Advice on integrity and anti-corruption policies and mechanisms</li> <li>» Capacity building tailored to specific organizations</li> </ul>
<b>1.3.</b> Major international organizations are effective in increasing integrity and reducing corruption in the water sector	<ul style="list-style-type: none"> <li>» Measurable increase of integrity at organization, local, basin or country level</li> <li>» Reduced corruption at organization, local, basin or country level</li> </ul>	<ul style="list-style-type: none"> <li>» Advice on the set-up and execution of integrity programmes</li> <li>» Capacity building on implementing water integrity programmes and tools</li> <li>» Documentation of good practices</li> </ul>

#### 4.2 OBJECTIVE 2 — INTEGRITY IS MEASURABLY INCREASED AND CORRUPTION REDUCED IN THE WATER SECTOR WITHIN COUNTRIES

Given that the major changes towards water integrity need to take place at country level, WIN will pursue country programmes with partners in a limited number of countries:

- » to contribute directly to water integrity and anti-corruption;
- » to validate, further develop, and disseminate, good practices and necessary tools and approaches, including on measuring corruption and integrity
- » to maintain sufficient expertise and experience in its own organization.

To achieve these goals, a strong, deeper engagement in a small number of focus countries is necessary. By mid-2017, a first set of focus countries will be determined on basis of an analysis of factors such as the potential for sustainable success, potential to contribute to overarching goals such as delivering on the SDGs and the human rights to water and sanitation, in particular for poor and marginalized people, availability of suitable partners, expertise in WIN, continuity of WIN engagement, opportunities to work in different sub-sectors and funding (prospects).

For each focus country, WIN and partners will jointly develop a programme aimed at institutionalized change, which benefits poor and marginalized groups including women. The programmes will be based on an in-depth water integrity country analysis, a specific, contextualized theory of change, and a thorough monitoring system. They will take into account lessons learnt from existing country programmes and the recommendations in the Water Integrity Global Outlook 2016. It is foreseen that these country programmes will build upon (a part of) the previous and ongoing country programmes. The programmes will be practically implemented by partners who have a local presence. WIN will continue to support implementation through capacity building, including training, coaching and technical backstopping of partners.

Focus country programmes will be linked, where possible, to the international partnerships described under objective 1 and will depend on alliances at country level, including with (local) knowledge institutes. WIN and implementing partners will

identify and support allies among a variety of stakeholders to ensure that the programme approach is comprehensive. Civil society organizations, community-based organizations including women's groups, and the media are particularly crucial to improve integrity, as they try and influence both water sector organizations and the surrounding political environment. Stakeholders outside/with a wider remit than the sector such as national audit offices and ombudspersons, private audit companies could also play a role.

WIN and partners will continue to use existing tools such as the IM toolbox in the focus country programmes, but will also explore new methodologies, trends and entry points e.g. in terms of social accountability or ICT-based information sharing and feedback mechanisms. Current debates that pose significant integrity problems – on financing the SDGs, adaptation to climate change, and the pressure from foreign as well as local private investments on traditional land and water rights – will also be taken into account.

Through the focus country programmes, WIN will strive for measurable increases in institutionalized integrity and reductions in corruption. Elements of the significant efforts needed to achieve this will include:

- » mobilizing and linking allies at national and local level – their energy as well as knowledge and experience;
- » overcoming resistance and secrecy and building trust to address corruption;
- » identifying and making use of the best opportunities and methods;
- » broadening engagement beyond water supply;
- » introducing appropriate monitoring and measurement methods and establishing baselines;
- » involving stakeholders, including poor and marginalized groups and women;
- » developing capacity of partners and stakeholders.

WIN will continue to give agreed support to ongoing country programmes beyond the focus countries.

To achieve objective 2, WIN plans the following outcomes and outputs:

OUTCOMES BY 2022	INDICATORS OF SUCCESS	WIN OUTPUTS
<p><b>2.1</b> In selected countries, WIN's programme with implementing partners has resulted in measurable increases in integrity and reductions in corruption</p>	<p>» Measurable increases in integrity and/or reduction in corruption in the water sector in these countries by 2022 as defined by the country programmes in comparison with baseline assessments</p>	<ul style="list-style-type: none"> <li>» Statements of or agreements with allies and strategic partners on their contributions</li> <li>» Country analyses for focus countries and regular updates</li> <li>» Support to organizations in the set-up and execution of the programme, incl. through provision and adaptation of tools and methodologies</li> <li>» Capacity building of partners and stakeholders</li> <li>» Documentation and dissemination of programme outcomes and lessons learnt</li> </ul>

#### 4.3 OBJECTIVE 3 — NECESSARY INFORMATION, KNOWLEDGE AND EXPERTISE TO ADVANCE AND MEASURE WATER INTEGRITY ACTION IS AVAILABLE AND USED

Knowledge and information are key to developing quality work and building capacity in the sector and are therefore included in a dedicated objective in this strategy. Such an objective is also necessary in light of the huge deficit of capacity on integrity in the water sector and the need for better data pointed out in the Water Integrity Global Outlook 2016: "Generate reliable data on the extent of corruption in the water sector and the economic and social damage that results. Better information and data are needed, both to guide the development of anti-corruption programmes and to be able to establish the impact of such programmes."

Given these gaps, WIN will first expand its knowledge base by focusing on the development and implementation of methods to measure integrity and corruption (including indicators), and on research on the extent of corruption in the water sector and the economic and social damage that results from it. An understanding of these topics is crucial for WIN to achieve its goals. Indeed, social damage clearly and directly impedes progress towards the realization of the human right to water and the SDGs.

WIN will develop initiatives in this respect with relevant knowledge institutions. It will link its work on indicators to existing frameworks and developments such as SDG monitoring and the OECD Water Governance Initiative, as well as develop dedicated water integrity indicators related to its programmes under objectives 1 and 2. The work will take into account integrity and anti-corruption knowledge outside the water sector, including from the auditing sector.

The knowledge base will be used for advocacy and for the further development of WIN's own programmes. It will also be a basis for wider dissemination, capacity development, support to water integrity initiatives, and exchange with other stakeholders to improve water integrity and governance. To these ends, WIN will ensure the availability of tested tools and also watch other relevant initiatives and programmes for innovations and experiences. Due attention will be paid to presenting information in such a way as to make it usable by target audiences and stakeholders. The WIN website will continue to be an important tool to make information and experiences generally accessible.

In order to enhance the quality and relevance of the knowledge initiatives and the broader work on water integrity, an international reference group will be formed to provide advice and stimulate new developments. To combine different perspectives, it will comprise a mix of expertise from policy makers, practitioners, scientists, and other stakeholders, including anti-corruption specialists from outside the water sector e.g. EITI, TI and international auditing firms.

## RESOURCES

To achieve objective 3, WIN plans the following outcomes and outputs:

OUTCOMES BY 2022	INDICATORS OF SUCCESS	WIN OUTPUTS
<b>3.1.</b> Integrity and corruption in the water sector are being measured and analysed	<ul style="list-style-type: none"> <li>» Indicators and methodologies for measuring corruption and related costs and for measuring integrity and effectiveness of integrity measures in the water sector have been developed</li> <li>» Number of cases of measurement of integrity and/or corruption in the water sector</li> <li>» Number of publications on state of corruption in the water sector and the economic and social damage that results, by WIN or other authors</li> </ul>	<ul style="list-style-type: none"> <li>» Tested tools and methodologies for measuring integrity and corruption in the water sector</li> <li>» Evidence base on the state and impact of corruption in the water sector</li> </ul>
<b>3.2.</b> Organizations use WIN's tools and methodologies to increase integrity and reduce corruption	<ul style="list-style-type: none"> <li>» Number of cases of use of WIN's tools</li> </ul>	<ul style="list-style-type: none"> <li>» Extended portfolio of tested, adaptable tools and methodologies for different types of organizations</li> <li>» Reports on their use</li> </ul>
<b>3.3.</b> Water integrity change agents exchange knowledge and experience through global and regional communities of practice on water integrity and related approaches	<ul style="list-style-type: none"> <li>» Number of people involved in exchanges, internet-based and face-to-face</li> <li>» Number of posts and reports published</li> </ul>	<ul style="list-style-type: none"> <li>» Internet-based channels for knowledge exchange</li> <li>» Network meetings for face-to-face exchange</li> <li>» Documentation of experiences, good practices and lessons learnt</li> </ul>
<b>3.4.</b> Interested stakeholders access knowledge and develop their capacity on water integrity	<ul style="list-style-type: none"> <li>» Number of participants who have successfully completed online trainings</li> <li>» % of participants who are able to apply new knowledge in their work/activities</li> </ul>	<ul style="list-style-type: none"> <li>» Online courses for self-training</li> </ul>
<b>3.5.</b> Work and knowledge on water integrity are enhanced through advice from an international reference group	<ul style="list-style-type: none"> <li>» International reference group makes recommendations that are implemented</li> </ul>	<ul style="list-style-type: none"> <li>» Establishment of an international reference group with recognized experts, which meet at least annually</li> </ul>

In 2016, WIN had a budget of roughly 2 million Euros and a staff of 10 full time positions. This level of resources has been used as a base scenario to set targets, as described in Annex 5. However, given the enormous and urgent needs to improve water integrity globally, a much higher level of effort is needed.

In its advocacy work, WIN will dedicate more effort to increasing funding for water integrity initiatives. WIN will also aim to reach 7 core funders and a 50% rise of its medium-term funding to enable an increase of its efforts and targets. Given the anticipated increased interaction between WIN and partners, it is also foreseeable that additional funding will become

available for water integrity action programmes by or with partners, wherein partners and others stakeholders may pay for some of the inputs and services provided by WIN, e.g. trainings or policy advice. While remaining a not-for-profit organization, WIN will adjust its legal structure to include a dedicated unit, allowing it to execute paid services, in accordance with applicable German (fiscal) law.

The expertise of staff and close allies is also an important resource. WIN will therefore continue to pay due attention to knowledge sharing and development, ensuring that required training is provided to guarantee high levels of competence.

## MOVING FORWARD TO IMPLEMENT THE STRATEGY

This strategy shall provide a guiding framework for WIN's work in the coming six years. It will be operationalized through rolling annual plans comprising activity planning and budgets for one year, and outlining priorities and tentative budgets for the following two years. Three years into the implementation of the strategy, WIN shall carry out a mid-term review to inform any necessary adjustments in strategic priorities for the following three years.

### Measurable outcomes and indicators

Early in the implementation of this strategy, WIN will review and adjust its monitoring framework according to the new strategy. Emphasis will need to be put on operationalizing the measurable outcomes. These will need to be specified jointly by WIN and partners for each of the partnerships and each country programme. This process has several dimensions, including:

1. Linking the outcomes to overall goals in the water sector, in particular the SDGs and the human right to water and sanitation.
2. Specifying outcomes with regards to the pillars of water integrity such as transparency, accountability,

participation, and anti-corruption policies and measures on one hand, and reducing various forms of corruption on the other. Depending on the programme, outcomes will relate to one or more of these pillars.

3. Striving, where possible, to identify the impact of corruption and the impact of WIN's work on corruption. However, while reducing corruption is an important goal for WIN, the topic cannot always be addressed explicitly. Significant progress that would be measurable in terms of integrity could still be achieved in such cases.

4. Targeting and measuring outcomes at different levels, e.g. at country level or organization level.

Measurability of corruption and integrity and their impact remains a big challenge. WIN will address this by defining a combination of quantifiable indicators and assessment frameworks that can be used across countries. Measurements will relate to different aspects, such as actual and perceived corruption, elements of integrity – transparency, accountability, participation and anti-corruption measures, as well as "classical" water sector performance indicators. WIN will also use in-depth-case studies.

## WHAT IS DIFFERENT?

WIN will continue to be active in its working areas: advocacy, network and partnerships, capacity development, regional and country programmes, knowledge management, and tools and methodologies. However, the emphasis of its work will change, leading to deeper engagement both with partners and in selected countries. Advocacy will focus on the development of strategic partnerships as multipliers to reach tangible outcomes in countries. In line with this approach, capacity development and tool development will focus less on general approaches for broad target groups (also since these have successfully been developed in the past) and more on approaches tailored to the specific needs of the strategic partners. To enable these changes and establish long-term engagement and commitment of strategic partners, the recently established key account management system for major partners will play a stronger role for the WIN team.

Capacity development for implementing partners of ongoing country programmes will remain a priority. In view of the level of engagement and political will needed to move from awareness to practical change, and from the adaptation of new policies to their broad implementation, WIN will have to deepen its engagement and expand its alliances in a few focus countries to achieve measurable and meaningful increases of integrity in focus organizations and sub-sectors. This also means that WIN will have to focus more resources to fewer countries.

Meanwhile, research will receive more attention, especially in the first years of this strategic period and in particular to contribute to the development of methods and indicators to measure integrity and corruption in the water sector. This research will enable WIN to better measure the outcomes of its water integrity efforts and those of others. The research will also address the identified shortcomings in providing evidence of corruption and its economic and social costs.

The new structure of objectives into 1) the international level (strategic partnerships), 2) countries and 3) information, knowledge and expertise, will align WIN's work areas with the new priorities. Moreover, it will provide a simpler and clearer structure for monitoring, planning and reporting. In keeping with the ToC approach, emphasis will be put on systematically learning from experience and adjusting plans accordingly, including the present strategy when needed.



# ANNEXES

## ANNEX 1: FORMAL WIN E.V. MEMBERSHIP 2014 - 2016

INDIVIDUAL MEMBERS	MEMBER ORGANIZATIONS
Aziza Akhmouch	AquaFed
Ravi Narayanan	Global Water Partnership
Donal O'Leary	IRC
Henk van Schaik	Stockholm International Water Institute
Susanne Weber-Mosdorf	Transparency International
Thomas Zeller	UNESCO-IHE Institute for Water Education

## ANNEX 2: WIN MEMBERSHIP CORE PRINCIPLES

**Principle 1** – We undertake to be open, honest, and accountable in our relationships with the communities and organizations we work with, as well as with other members of WIN.

**Principle 2** – We strive to take positions on integrity issues which are based on sound, objective and professional analysis and on reliable data or research findings.

**Principle 3** – We commit to sharing information on our activities related to the promotion of water integrity and the prevention of corruption with fellow members of the WIN network and key stakeholders.

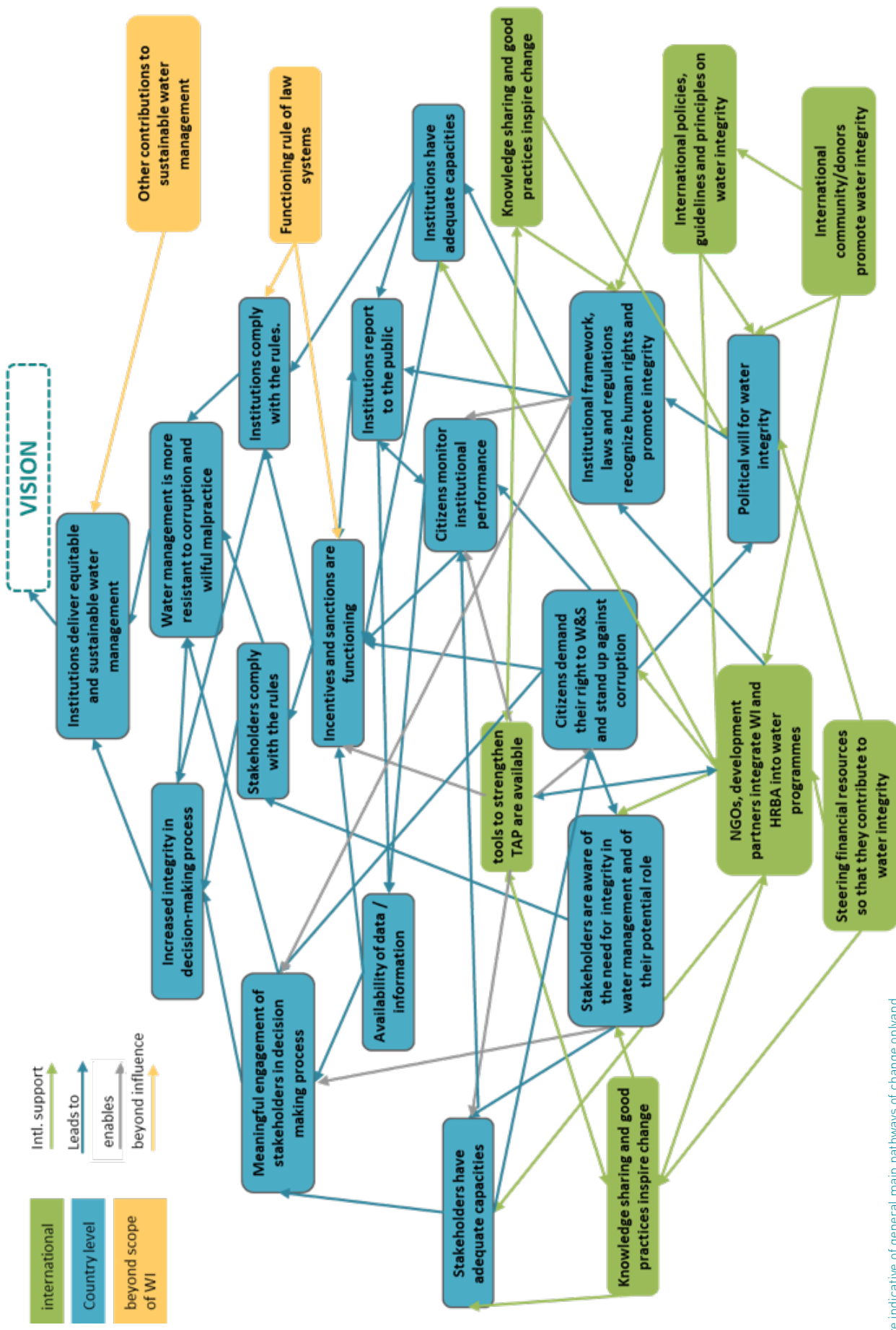
**Principle 4** – We respect all cultures, religions and beliefs of the groups, nations, communities and individuals that are members of our network or with whom we work, as long as they do not conflict with the Universal Declaration of Human Rights.

**Principle 5** – We will condemn bribery, extortion and other forms of corruption vigorously and courageously wherever they have been reliably identified, although we ourselves in our role as members of the Water Integrity Network do not seek to expose individual cases of corruption. In relation to this, we will not use the WIN logo, name, image or network communication facilities for actions of exposure of such individual cases.

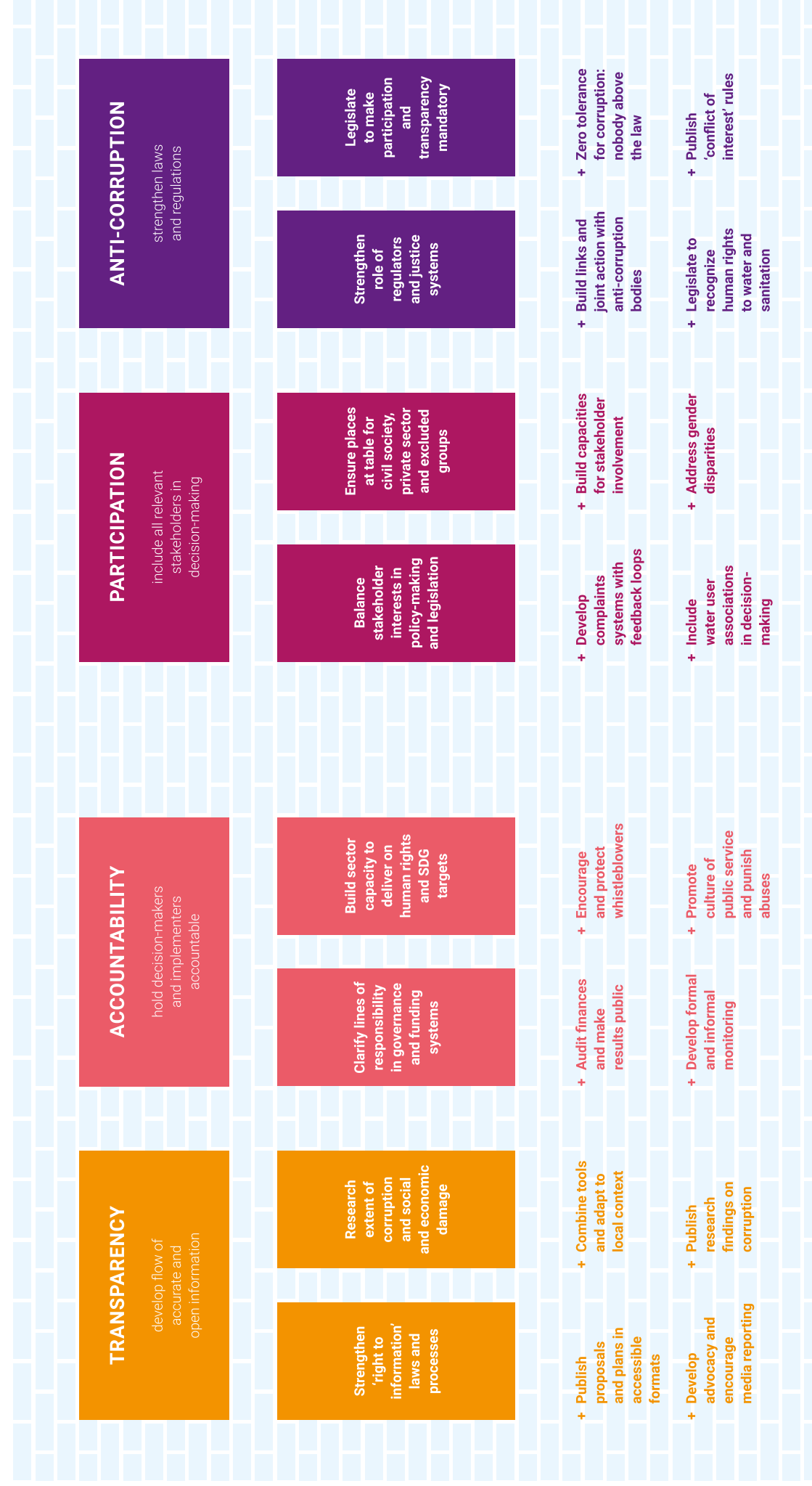
**Principle 6** – When engaged in activities of charity or philanthropy, we will do so only through legitimate and transparent means. We will only engage in support, including financial support, of political parties in situations where this is permitted by law, and we will adhere to such law.

**Principle 7** – Where we may observe corruption or a lack of integrity in the actions of our own staff or the staff of other WIN members, we will use our best endeavours to take appropriate preventive or corrective action to redress the situation.

**Principle 8** – We will only accept funding that does not compromise our ability to address issues freely, thoroughly and objectively.



<sup>6</sup> These are indicative of general main pathways of change only and need to be adapted and elaborated for any specific context.



<sup>7</sup> Note: from the Water Integrity Global Outlook 2016. Bullet points in the lower part are just illustrative examples of action.

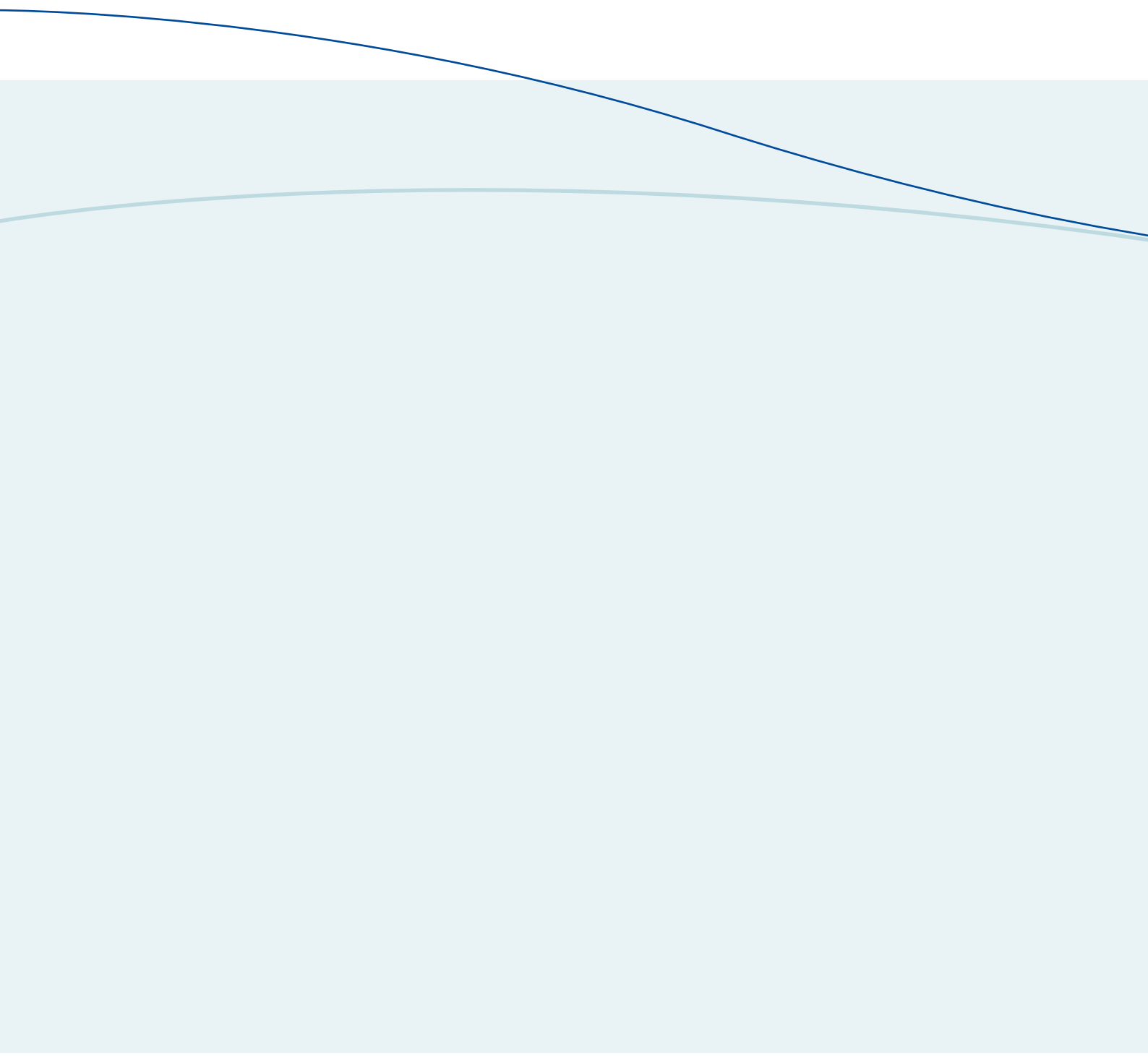
## ANNEX 5: BASE SCENARIO TARGETS

OUTCOMES BY 2022	INDICATORS OF SUCCESS	TARGET 2022	WIN OUTPUTS
<b>1.1.</b> Major international organizations active in the water sector commit to a clear contribution to increase water integrity and fight corruption in the sector	<ul style="list-style-type: none"> <li>» Number and type of organizations that make explicit commitments to water integrity</li> </ul>	12 (types to be defined)	<ul style="list-style-type: none"> <li>» Statements of or agreements with allies and strategic partners on their contributions</li> </ul>
<b>1.2.</b> Major international organizations use sound policies and mechanisms to include integrity in their water-related programmes	<ul style="list-style-type: none"> <li>» Number of organizations with new or improved policies on water integrity</li> <li>» Number and size of water integrity programmes or programme components</li> </ul>	10  10 (size to be defined)	<ul style="list-style-type: none"> <li>» Advice on integrity and anti-corruption policies and mechanisms</li> <li>» Capacity building tailored to specific organizations</li> </ul>
<b>1.3.</b> Major international organizations are effective in increasing integrity and reducing corruption in the water sector	<ul style="list-style-type: none"> <li>» Measurable increase of integrity at organization, local, basin or country level</li> <li>» Reduced corruption at organization, local, basin or country level</li> </ul>	At least 8 cases involving 4 organizations  4 cases	<ul style="list-style-type: none"> <li>» Advice on the set-up and execution of integrity programmes</li> <li>» Capacity building on implementing water integrity programmes and tools</li> <li>» Documentation of good practices</li> </ul>

OUTCOMES BY 2022	INDICATORS OF SUCCESS	TARGET 2022	WIN OUTPUTS
<b>2.1</b> In selected countries, WIN's programme with implementing partners has resulted in measurable increases in integrity and reductions in corruption	<ul style="list-style-type: none"> <li>» Measurable increases in integrity and/or reduction in corruption in the water sector in these countries by 2022 as defined by the country programmes in comparison with baseline assessments</li> </ul>	4 countries	<ul style="list-style-type: none"> <li>» Partnerships for country programmes based on a ToC approach</li> <li>» Country analyses for focus countries and regular updates</li> <li>» Support to organizations in the set-up and execution of the programme, incl. through provision and adaptation of tools and methodologies</li> <li>» Capacity building of partners and stakeholders</li> <li>» Documentation and dissemination of programme outcomes and lessons learnt</li> </ul>
<b>3.1.</b> Integrity and corruption in the water sector are being measured and analysed	<ul style="list-style-type: none"> <li>» Indicators and methodologies for measuring corruption and related costs and for measuring integrity and effectiveness of integrity measures in the water sector have been developed</li> <li>» Number of cases of measurement of integrity and/or corruption in the water sector</li> <li>» Number of publications on state of corruption in the water sector and the economic and social damage that results, by WIN or other authors</li> </ul>	At least 1 tested measuring tool each for: corruption, its costs, integrity  10  10	<ul style="list-style-type: none"> <li>» Tested tools and methodologies for measuring integrity and corruption in the water sector</li> <li>» Evidence base on the state and impact of corruption in the water sector</li> </ul>

OUTCOMES BY 2022	INDICATORS OF SUCCESS	TARGET 2022	WIN OUTPUTS
<p><b>3.2.</b> Organizations use WIN's tools and methodologies to increase integrity and reduce corruption</p>	<ul style="list-style-type: none"> <li>» Number of cases of use of WIN's tools</li> </ul>	<p>20</p>	<ul style="list-style-type: none"> <li>» Extended portfolio of tested, adaptable tools and methodologies for different types of organizations</li> <li>» Reports on their use</li> </ul>
<p><b>3.3.</b> Water integrity change agents exchange knowledge and experience through global and regional communities of practice on water integrity and related approaches</p>	<ul style="list-style-type: none"> <li>» Number of people involved in exchanges, internet-based and face-to face</li> <li>» Number of posts and reports published</li> </ul>	<p>Internet: Annually 500 individual users, 50 non-WIN posts</p> <p>Face-to-face meetings: min. 100 participants/year</p> <p>10 WIN publications/year</p>	<ul style="list-style-type: none"> <li>» Internet-based channels for knowledge exchange</li> <li>» Network meetings for face-to-face exchange</li> <li>» Documentation of experiences, good practices and lessons learnt</li> </ul>
<p><b>3.4.</b> Interested stakeholders access knowledge and develop their capacity on water integrity</p>	<ul style="list-style-type: none"> <li>» Number of participants who have successfully completed online trainings</li> <li>» % of participants who are able to apply new knowledge in their work/activities</li> </ul>	<p>50/year</p> <p>75 %</p>	<ul style="list-style-type: none"> <li>» Online courses for self-training</li> </ul>
<p><b>3.5.</b> Work and knowledge on water integrity are enhanced through advice from an international reference group</p>	<ul style="list-style-type: none"> <li>» International reference group makes recommendations that are implemented</li> </ul>	<p>1 set of recommendations/year</p> <p>60 % implementation rate by 2022</p>	<ul style="list-style-type: none"> <li>» Establishment of an international reference group with recognized experts, which meet at least annually</li> </ul>





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