

INWASH

GUIDE FOR INTEGRITY COACHES

InWASH is a tool to support water supply and sanitation utilities in improving their integrity practices. InWASH combines an integrity assessment framework (Integrity Assessment) with a toolbox to facilitate integrity management (Integrity Management Toolbox). The Integrity Assessment is a set of indicators based on international best practices for integrity in water and sanitation. The Integrity Management Toolbox is a set of practical resources for organisations to plan improvements in their operations, finances, or human resources. InWASH includes a detailed monitoring and evaluation toolkit, to collect data, track the process, and evaluate impact.

Water and sanitation utilities oversee the planning, development, and maintenance of basic services in cities. They often have responsibility for water treatment, distribution of potable water, sanitation, and wastewater collection and treatment. Utilities must offer reliable and affordable services as well as expand services to unserved and underserved areas, while recovering the costs of services, reducing their carbon footprint, and protecting and restoring water bodies. It is a big challenge. Utilities can do this when they operate at the highest levels of effectiveness and efficiency. This requires integrity within management and operations.

InWASH provides:

- Actionable input on weaknesses and strengths of the organisation in terms of its capacity to avoid costly corruption and integrity failures.
- A practical and participatory method to assess which integrity risks are most problematic and what to do about them without confrontation.
- A systematic method to improve internal processes, in line with legal and compliance mechanisms, and best practices for accounting or project management.

WHEN TO USE INWASH

- When an organisation wants to identify and address key integrity risks that may undermine service delivery or reputation.
- When an organisation wants to deliver better service, improve financial position, undertake internal reforms to strengthen integrity, or improve customer relations.

WHO CAN BENEFIT FROM INWASH

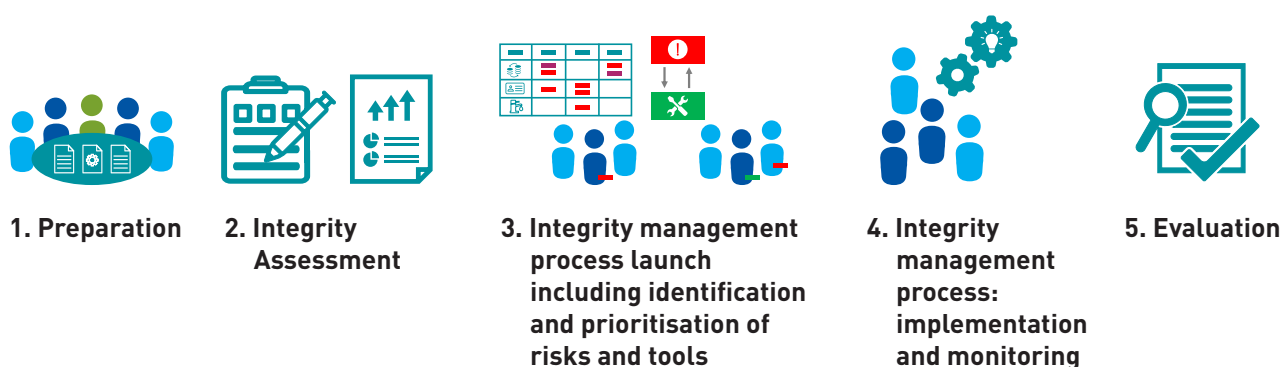
All water and sanitation service utilities, big or small, private or public, can benefit from integrity management. Integrity makes utilities more effective and efficient. It can strengthen trust with customers and creditworthiness with funders. Importantly, integrity management is a means to reduce financial and reputational costs of corruption and integrity failures.

InWASH is most beneficial for medium to large utilities with some compliance and integrity management processes in place. It is a flexible methodology that can be adapted to different contexts. Additional material and guidance from WIN on specific challenges utilities face is available on request (for example descriptions of risks related to service delivery in informal settlements).

HOW TO USE INWASH

InWASH is a process, generally supported by an integrity coach. It is not a one-off prescriptive intervention or training, but a method to improve integrity and corporate governance step by step. InWASH is designed to meet the needs of an organisation in a practical way, not impose a management model. It ensures organisations are aware of the integrity risks they can face and decide themselves what risks they address and how.

InWASH has five major phases:



The InWASH Monitoring & Evaluation Toolkit (InWASH M&E Toolkit) is used through each of the phases to document the process and provide input to a final evaluation.

There is guidance available for the main phases, all of which can also all be adapted or carried out independently.

RESOURCES

- 1: Integrity Management Toolbox – Manual for Integrity Coaches
- 2: Integrity Assessment – Manual for Integrity Coaches
- 3 and 4: Integrity Management Toolbox – Manual for Integrity Coaches
- 5: InWASH M&E Toolkit - Manual for Integrity Coaches
- Including additional data sheets and facilitation material.

WHO IS INVOLVED IN INWASH

The utility applying InWASH generally appoints a focal point to start and manage the project with support from an integrity coach, which prepares and adapts the methodology to the context and needs of the organisation applying it. The integrity coach (which can also be a small team of experts) checks the integrity assessment, facilitates all workshops, monitors implementation of integrity tools and leads coaching sessions. The integrity coach can also be in charge of the final evaluation and can later lead the implementation of the integrity management process or is replaced by a change agent.

When senior management of the utility is actively engaged in integrity management, results tend to be better and more sustainable. It is therefore crucial to ensure buy-in from management in early phases and to then ensure regular communication. The integrity coach plays a key role in making this happen and liaising with stakeholders, including funders or sponsors of InWASH work. In many cases, the use of InWASH will be supported by a sponsor or supporting organisation like WIN or another funder. Communication with these organisations on the progress and results of the process should be agreed on in early phases. WIN can provide backstopping and support for the entire process.

More information on the roles of InWASH stakeholders:

Integrity Management Toolbox – Manual for Integrity Coaches – Section ‘Who’s who in the integrity management process using the IMT?’

1. PREPARATION PHASE

The preparation phase is when the utility’s management and focal point, the integrity coach, and where needed the sponsors or funders of InWASH work, build their understanding of integrity, ensure buy-in, clearly confirm responsibilities, and agree on the scope of the process.

Key elements that need to be agreed on include:

- Integrity Assessment – should it be a short assessment or justified and validated process? Is the utility large enough for the assessment to be relevant and useful? Would it be useful to have an additional validation workshop of assessment results? With whom should the results be shared?
- Integrity management process using the Integrity Management Toolbox (IMT) – Does the utility face specific risks that may require adjustments of the risks and tools included in the IMT? Are additional specialised risk and tool descriptions needed for example for service delivery in informal settlements or infrastructure planning? How long can the coaching and monitoring phase be? What kind of support or possibilities exist for awareness raising in early stages (i.e. can staff members first take part in basic integrity training online or other kinds of activities developed internally or with external support)?
- Evaluation – Should the evaluation be carried out by integrity coach or by a third party? Can it include interviews and qualitative assessments?

During the preparation phase, the integrity coach also gathers basic data about the utility to guide the discussions on scoping and to ensure there is a baseline of information for the next phases.

Further preparations, as described in the Integrity Management Toolbox – Manual for Integrity Coaches, can be carried out at this stage or with input from the Integrity Assessment.

RESOURCES

- Integrity Management Toolbox – Manual for Integrity Coaches – Sections ‘Getting Started with Integrity’ and ‘Preparatory Phase’
- InWASH M&E Toolkit – Data sheets ‘Cover’ and ‘Utility Profile’
- InWASH M&E Toolkit - Manual for Integrity Coaches

2. INTEGRITY ASSESSMENT

The Integrity Assessment is the concrete evidence base of the InWASH process. It provides objective input on where an organisation stands in terms of integrity, based on international best practices. The results of the Integrity Assessment can help guide the integrity management process, motivate and give direction, and provide concrete input on key areas to improve in.

The Integrity Assessment looks at five principles, which a utility needs to have in place in order to prevent integrity risks from materialising:

- (1) Tone at the top,
- (2) Integrity risk assessment,
- (3) Integrity controls,
- (4) Corrective action, and
- (5) Monitoring.

These principles are assessed through a series of 15 indicators in total, which help assess the existence of procedures, practices, and structures needed for integrity management.

The integrity coach facilitates the assessment, either by simply administering the survey or by validating the justified responses.

At the end of the assessment, the integrity coach prepares a report for management as agreed at the start of the process. The coach also prepares a presentation for the participants of the integrity workshop. The report should highlight areas where the utility is performing best and where there is most room for improvement.

For the preparations of the integrity workshop, the integrity coach can also take note of or mark all IMT integrity tools that appear to be in place at the utility according to the scores.

RESOURCES

- [Integrity Assessment – Manual for Integrity Coaches](#)
- [InWASH M&E Toolkit – Data sheet ‘Integrity Assessment’](#)
- [Overview of Integrity Assessment principles and indicators](#)

3. INTEGRITY MANAGEMENT PROCESS LAUNCH INCLUDING IDENTIFICATION AND PRIORITISATION OF RISKS AND TOOLS

After remaining preparations, the integrity coach facilitates an integrity workshop with selected representative stakeholders from the utility. The workshop is a crucial element of the integrity management process. It is the means to identify most pressing integrity risks in a participatory manner and to outline the best way to address these risks with integrity tools.

An integrity workshop has 6 steps:

- Workshop Step 1: Introduction to integrity and integrity management
- Workshop Step 2: Capture of business model

- Workshop Step 3: Identification and prioritisation of integrity risks
- Workshop Step 4: Identification of integrity tools
- Workshop Step 5: Improvements to business model
- Workshop Step 6: Development of roadmap

These steps are described in detail in the Integrity Management Toolbox – Manual for Integrity Coaches.

With InWASH, extra information from the Integrity Assessment is available as input to the planning of the integrity management process. The Integrity Assessment results are most relevant for Workshop Step 4, the identification of integrity tools. The results can help participants of the workshop see what is already in place for integrity. The results can also show where there is room for improvement and which practices and tools are not implemented at all and should be addressed during the integrity workshop.

Presenting and using Integrity Assessment results at integrity workshops

After completing Step 3 of the integrity workshop, participants will have identified a few priority integrity risks that the utility faces. Step 4 is then initiated with a discussion of what integrity tools are and how they can support the organisation.

Integrity tools are measures and actions that an organisation can take to prevent, reduce, or mitigate integrity risks. Examples include the measures, practices and actions that the Integrity Assessment indicators describe. More tools are described in the integrity tool descriptions that are part of the Integrity Management Toolbox.

To present Integrity Assessment results, the integrity coach can:

- Present basic structure of the Integrity Assessment and introduce the principles
- Present results of the assessment for the utility using the prepared presentation; highlighting high and low scores and opportunities for development.
- Encourage discussion around the results, focusing on up to four of the scores. If times allows, this can include a discussion on whether participants agree with the scores, and whether they could justify a higher score or lower score.
- Look at the selected integrity risks and ask the group whether the practices in place help address these risks.
- During Step 4 on the identification of tools, keep a record of the practices with low scores at hand, for example posted next to the tool prioritisation matrix.
- Continue Step 4 by having the participants look at more integrity tools and select the most relevant ones to address the risks they face.
- Continue Step 4 using the tool evaluation matrix to agree on which tools are successfully implemented, which could be improved, which are new, and which are not actually applicable
- Circle back to the Integrity Assessment to confirm tool categorisation
- Discuss lowest scores again to see whether additional integrity tools could help improve the scores and should be considered.

After results are summed up and communicated to close this step of the process, the integrity management process can be pursued as usual, as described in the Integrity Management Toolbox – Manual for Integrity Coaches.

**TIP**

Step 4 on integrity tools will take longer if discussions on the Integrity Assessment results are included. Make sure to allow sufficient time.

RESOURCES

- Integrity Management Toolbox – Manual for Integrity Coaches
- Overview of Integrity Assessment principles and indicators

4. INTEGRITY MANAGEMENT PROCESS: IMPLEMENTATION AND MONITORING

Once the integrity workshop has taken place, the organisation's change agent leads the work to consolidate the roadmap and implement the activities it describes. The integrity coach supports this process in regular coaching or monitoring sessions. The InWASH M&E Toolkit is a means to document the roadmap and track progress.

RESOURCES

- Integrity Management Toolbox – Manual for Integrity Coaches
- InWASH M&E Toolkit

5. EVALUATION

Once the agreed-on implementation phase is complete an evaluation can be carried out. Three main elements are recommended as part of an evaluation:

- An endline utility profile – to see how they utility has evolved on key metrics or performance indicators
- An endline integrity assessment – to see how the utility has progressed in terms of integrity practices
- Semi-structured interviews with key stakeholders

Questions and guidance to conduct stakeholder interviews is available in the InWASH M&E Toolkit – Manual for Integrity Coaches. All information gathered throughout the process can be recorded in the InWASH M&E Toolkit.

RESOURCES

- InWASH M&E Toolkit – Manual for Integrity Coaches
- InWASH M&E Toolkit