



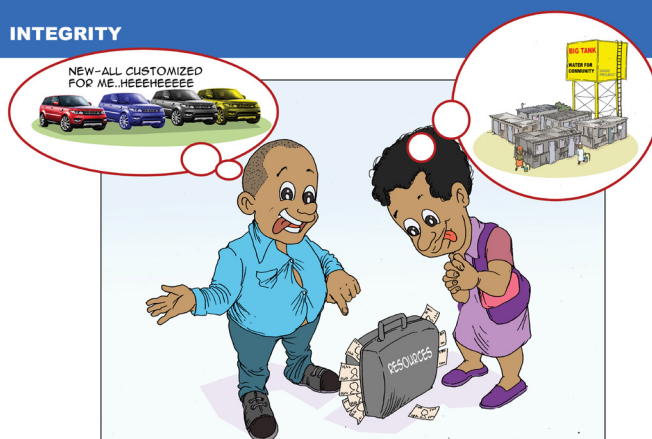
# WRUA INSTITUTIONAL GOVERNANCE & INTEGRITY TRAINING MODULE

## INCLUSIVENESS

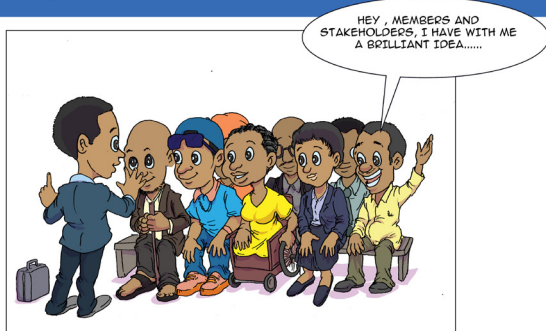


TO GROW AND EXPAND, EVERY MEMBER NEEDS TO FEEL THAT THEY HAVE A STAKE IN THE RUNNING OF THE WRUA AND ARE NOT EXCLUDED FROM DECISION-MAKING PROCESSES.

## INTEGRITY



## PARTICIPATION:



PARTICIPATION IMPLIES THAT ALL STAKEHOLDERS, INCLUDING MARGINALISED AND RESOURCE POOR GROUPS ARE MEANINGFULLY INVOLVED IN DECISION MAKING WITHIN THE WRUA

## ACCOUNTABILITY



*A training module on strengthening transparency, accountability and participation in Water Resource Users Associations in Kenya*

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August 2017

*Accounting for Every Drop!*

# **WATER RESOURCE USERS ASSOCIATIONS INSTITUTIONAL GOVERNANCE AND INTEGRITY TRAINING MODULE**

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## ACKNOWLEDGEMENTS

Water Resources Authority institutes and recognizes the significant role of the water resources users associations in integrated water resources management in Kenya. This, therefore is an acknowledgement of the contribution and work of our partnering organizations indicated below that made possible the realisation of this WRUA governance and integrity training module.

### Partners:



We also thank Seecom and MetaMeta for their work in development of content for this training module.

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## ABBREVIATIONS

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BWRC	Basin Water Resource Committees
CBNRM	Community Based Natural Resources Management
CBOs	Community Based Organisations
CESPAD	Centre for Social Planning and Administrative Development
CFAs	Community Forest Associations
CoK	Constitution of Kenya
CSOs	Civil Society Organisations
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
HDSR	Hoogheemraadschap De Stichtse Rijnlanden
IGAs	Income Generating Activities
IWaSP	International Water Stewardship Programme
IWRAP	Integrated Water Resources Action Plan Programme
KEWI	Kenya Water Institute
LEPCs	Local Environmental Planning Committees
MWI	Ministry for Water and Irrigation
NWHA	National Water Harvesting and Storage Authority
SCMP	Sub-Catchment Management Plan
SHGs	Self Help Groups
WAGs	Water Action Groups
WASREB	Water Services Regulatory Board
WDC	WRUA Development Cycle
WGC	Water Governance Centre
WIN	Water Integrity Network
WRA	Water Resources Authority
WRM	Water Resources Management
WRUAs	Water Resources Users Associations
WSPs	Water Service Providers
WSTF	Water Sector Trust Fund
WWDA	Water Works Development Agency
WWF	World Wide Fund for Nature
WWF-KCO	World Wide Fund for Nature - Kenya Country Office





## BACKGROUND

The Kenyan water sector has undergone substantial changes and development in the past 15 years. The National Water Policy 1999 and the Water Act 2002 introduced a clear separation between water resources management and service delivery functions. The promulgation of the Constitution of Kenya (CoK) 2010 introduced devolution of government functions and also put more emphasis on public participation. In view of these changes, the Water Act 2002 was revised and the Water Act 2016 enacted. The Act provides a legal framework for the establishment of the Water Resources Authority (WRA) at national level and Water Resource Users Associations (WRUAs) at local level for increased participation of water users in water resources management (WRM).

WRUAs provide a pivotal stakeholder engagement platform in WRM in Kenya. To develop their potential fully, the WRUAs need to be a credible representation of the water users in their sub catchment, advocating for the shared interests of water users, and a reliable partner for the government in carrying out WRM functions at sub-catchment level.

This module has been developed to strengthen transparency, accountability and participation of WRUAs in water resources management. The module therefore enhances the capacity of WRUAs to take part in WRM by having a clear understanding of their roles and responsibilities while increasingly complying with international and national best practices on organisational governance.

### INTRODUCTION TO THE TRAINING MODULE

The WRUA governance and integrity training module was developed under the project “Strengthening transparency, accountability and participation in and through Water Resources Users Associations (WRUAs)”. The project was implemented in partnership between Water Resources Authority (WRA), GIZ International Water Stewardship Programme (IWaSP), Water Integrity Network (WIN), World Wide Fund for Nature (WWF) (through Integrated Water Resources Action Plan Programme (IWRAP) and Community Based Natural Resources Management (CBNRM) Programmes in Kenya) and Center for Social Planning and Administrative Development (CESPAD).

The development of the module was informed by a WRUA organizational capacity assessment that was conducted on 12 Lake Naivasha Basin WRUAs in 2015 by WWF and WRA in partnership with Imarisha Naivasha and GIZ IWaSP. The assessment tool was developed by WWF, HDSR and WGC through the Integrated Water Resource Action Plan (IWRAP) Programme.

This module has been developed to enhance the organisational governance of the WRUAs in Kenya. The module is to be used by organisational capacity developers that work with WRUAs and natural resources management groups to strengthen their organizational governance capacity.

The Governance Training module is based on WRUA framework provided through the WRUA Development Cycle (WDC) and borrows from good practices around the world including Global Water Partnership Tool Box, CEWAS, GIZ and WIN. This module contains nine sessions:

- a) Session One: Climate setting
- b) Session Two: Kenya water sector governance
- c) Session Three: Introduction to good governance in WRUAs
- d) Session Four: WRUA governance structure and Constitution
- e) Session Five: The WRUA election process
- f) Session Six: Inclusive decision making
- g) Session Seven: Good governance tools in WRUA
- h) Session Eight: Action planning
- i) Session Nine: Training Evaluation

### OBJECTIVES OF THE TRAINING MODULE

The development of the training module is crucial in contributing towards achieving more effective and

sustainable WRUAs in Kenya. To foster sustainability, it is very central for the WRUAs to internalise and implement good governance principles within their organisations and in implementing activities.

The objectives include:

- To strengthen management of the WRUA as an organisation
- To enhance members' understanding of the WRUA's organisational structure, use of management tools and the responsibility of WRUAs in water resource management
- To ensure clear understanding of the duties and responsibilities of the management committee by the members
- To improve WRUA members' knowledge and skills for transparency in election process and effective conflict management (before, during and after elections)
- To increase members' involvement in decision-making processes

## METHODOLOGY AND PREPARATION

This training module is designed as a three-day training for WRUA members to enhance good organisational governance skills and effective WRUA management. The module is based on adult learning principles with the aim to build on and enhance past experiences as well as maintaining ownership of the process, periods of critical participants' reflection, participation and constructive feedback, role-plays, illustrations, case studies and energisers. The sessions are designed to be interactive and participant centred with only a few lecture sessions.

Note: Some of the case studies and role-plays used may be adapted to suit the local context and reality.

### Seating arrangement

The recommended seating arrangement of the participants is similar to a round dinner table with the participants seated around facing inwards. This will enhance full participation and involvement of participants in the training. It also allows for easy movement of the facilitator around the room as he/she makes his/her presentations. In addition, the facilitator should take into consideration space and cultural issues in regards to sitting arrangement.

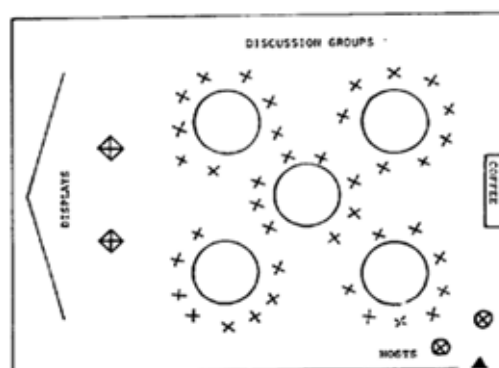


Figure 1: Training seating arrangement

### Preparation

In preparation for the training, the facilitator should inform the WRUA to bring a copy of their constitution, by-laws and membership register to the training. If possible, the facilitator should obtain a copy of these documents beforehand to get an impression where the WRUA stands in terms of governance. The facilitator should also ensure that the following facilitation materials are available:

- Flip charts
- Several coloured markers
- Coloured cards
- Large brown papers
- Pin boards (alternatively, you may work with brown papers on tables or the floor)

- Pins
- Sticky gum (especially if you plan to work on tables or the floor)
- Copies of hand-out in sufficient numbers
- A copy of each Governance Tool (Annex 7) for each group
- At least one copy of the Water Act 2016

The following flip charts should be prepared before each day of the training:

- Training agenda and objectives
- Guiding questions for all the group works
- Program of the day

### **Facilitation**

In order to ensure that the participants have sufficient support throughout the training, it is emphasised that there should always be one lead facilitator and one co-facilitator: the lead facilitator explains and directs the sessions while the co-facilitator supports in terms of taking notes, guiding smaller groups and providing general guidance to ensure a smooth execution of the activities and overall sessions.

At the end of most of the sessions there is a facilitator's summary sheet providing additional guidance, advice and pointers to the facilitators on how to organise the activities under the sessions.

### **Taking notes**

Depending on the specific activity, the facilitators should be aware of different ways of taking notes for example using flip charts, separate (coloured) cards and/or Manila paper. Specific guidance on this will be provided in each session and/or activity across the module.

Further details on facilitator's preparation and logistics are provided in Annex 2.

## SESSION 1: CLIMATE SETTING

<b>Introduction</b>	This session aims at setting the scene, exploring expectations and creating a training atmosphere where participants and facilitators are at ease.
<b>Objective</b>	At the end of this session the participants should: <ul style="list-style-type: none"> <li>▪ know and appreciate each other</li> <li>▪ understand the overall training objectives</li> <li>▪ have voiced their expectations</li> <li>▪ be in a conducive learning environment</li> </ul>
<b>Methodology</b>	Plenary, group exercises and group work.
<b>Materials</b>	A roll of thick thread, writing cards (different colors), marker pens (different colors), flipchart, pins or masking tape, pin board and program of the day drawn on a paper.
<b>Activities</b>	Welcome remarks, introductions and expectations, objectives of the training and establish working groups.
<b>Time</b>	60 minutes

### TOPIC SUMMARY: SESSION 1

- Activity 1: Welcome remarks
- Activity 2: Introduction and expectations
- Activity 3: Objectives of the training
- Activity 4: Establish working teams

### ACTIVITY 1: WELCOME REMARKS

*Brief introductory and welcoming remarks (10 minutes)*

Step 1: The facilitator makes the participants and co-facilitators feel at ease. Note that some communities may opt to pray at the beginning of the meeting.

Step 2: The facilitator briefly introduces the objectives and provides a brief overview of the training outline.

### ACTIVITY 2: INTRODUCTION AND EXPECTATIONS

*Introduction and expectations session (15 minutes)*

Step 1: Participants and facilitators introduce themselves and state their expectations using either of the options below:

**Option 1:** The web of thread game

**Purpose of this game:** icebreaker

**Tools/equipment needed:** a bundle of thread

**Procedure:** Ask the participants to stand in a circle. There should be enough space for all the participants. Hold on to the end of the thread and tell something about themselves (i.e. name, age, position in the WRUA, where they are from in the catchment and expectation for the training). Then throw the roll of thread to the next participant. Guide each participant to proceed in the same way, while holding on to one part of the thread. In this way, everyone holds a part of the thread and the group will have created a web by the end of the game/ exercise. Let one facilitator write the participants' expectations on cards and pin them on a wall for discussion.

**Discussion:** Once every member has shared their information, the facilitator asks the participants about the meaning of the web.



**Figure 2: Illustration of the people standing in a circle and holding on to the thread to make a web**

**Possible web meaning:** interaction as a WRUA, interdependency as water resources are shared and everyone's actions have an influence on the others, respecting each other's experiences, openness, playing one's part in the WRUA and so on.

#### Option 2:

**Procedure:** give each participant a card and coloured marker pens. Ask each participant to find a partner that she or he does not know. Ask the partners to draw each other on the flip charts in 5 minutes. Assure the participants that the drawing does not have to be perfect. Once they have completed drawing, each participant writes down their name, WRUA/organization, most memorable moment and expectations.

**Discussion:** Once each participant has finished interviewing their pair, ask them to introduce their partner one by one until all participants and trainers are introduced. During this exercise, let one facilitator note the expectations on coloured cards or a flip chart.

### ACTIVITY 3: OBJECTIVES OF THE TRAINING

*Explanation of objectives, programme and logistics (20 minutes)*

- Step 1: Explain the objectives of the training and the importance of each objective
- Step 2: Write the objectives of the training on a flip chart
- Step 3: Relate the training objectives to the expectations expressed before. Summarize the main type of expectations mentioned and explain how they the training will meet them. In case there are expectations that the training will not cover, outline why and how else this expectation can be met
- Step 4: Discuss the program of the day previously drawn on a flip chart. Put in the key breaks during the day after discussion with the participants to create ownership
- Step 5: Let participants agree on rules and norms. Some of the training rules and norms include:
  - Phones should be on silent mode
  - Reduce on unnecessary noise making
  - Minimise movements while sessions are ongoing
  - Everybody to participate actively in the discussions
  - Respect for everybody's opinions and ideas
- Step 6: Let the participants select a welfare person, a daily feedback team and a timekeeper (the

lead facilitator will remain in charge of the overall time management).

Step 7: Clarify the logistics, doubts and fears (food, accommodation, transport, finances etc.)

## **ACTIVITY 4: ESTABLISH WORKING TEAMS**

*Forming smaller working teams and selection of supporting persons (15 minutes)*

Step 1: Form five small groups of 5 to 7 people depending on the number of participants. The groups can be interchanged on a daily basis. For each session, the groups should select a chair to lead the discussions and a secretary to take down notes on a flip chart (these should rotate).

Step 2: Allow questions to ensure that the participants have understood this session

### **Form working groups in a fun way**

Write down different occupations found within a river basin. For instance, a farmer, a pastoralist, a doctor, a warden, a teacher, etc. If the group has 35 participants, tear 35 small pieces of paper. Write down the occupations above in equal numbers so that each occupation forms a group. For instance for five groups of seven people each, write seven papers for teacher, 7 for farmer, etc. Fold the papers, put them in bowl and mix them up. Let each participant pick one. Once everyone has gotten a paper, let him or her read it without telling their neighbour. Give them one minute to memorise an action associated with the occupation listed in the paper. Then without speaking, let them act out the occupation and keep doing it as they look for other participants acting out the same occupation. Once they identify each other, they can assemble at different points in the training room.

## SESSION 2: KENYA WATER SECTOR GOVERNANCE

<b>Introduction</b>	This session introduces the roles and responsibilities of WRUAs as stipulated in the Water Act 2016. It gives an overview of the water sector reforms and the place of WRUAs in the broader water sector framework.
<b>Objective</b>	At the end of this session the participants should: <ul style="list-style-type: none"> <li>▪ have understood the roles and responsibilities of a WRUA</li> <li>▪ have understood the WRUA's place in the broader sector governance framework</li> </ul>
<b>Methodology</b>	Plenary discussions, group discussions and group exercises.
<b>Materials</b>	Writing cards, markers, masking tape, flip charts, notebooks and pens, printed illustration on good governance (Annex 5) and institutional set-up handouts
<b>Activities</b>	Overview of the Water Sector, WRUAs and their roles.
<b>Time</b>	1 hour and 30 minutes

### TOPIC SUMMARY: SESSION 2

- Activity 1: Overview of the water sector reforms
- Activity 2: WRUAs and their roles

### ACTIVITY 1: OVERVIEW OF THE WATER SECTOR REFORMS

*Live drawing and guided discussion (45 minutes)*

- Step 1: The facilitator hands out a copy of water sector institutional set-up (see Annex 3) to each group and draws the pyramid on a manila paper. The facilitator asks participants to discuss for 10 minutes at their tables: Which of the actors do you know and what is the role of these actors?
- Step 2: The facilitator collects feedback from the groups and explains the roles of the most important actors. The facilitator also clarifies the separation of duties at policy, management and implementation levels including separation of water resources and water services.

### ACTIVITY 2: WRUAS AND THEIR ROLES

*Story and guided discussion (45 minutes)*

- Step 1: The facilitator asks the participants what is a WRUA according to their understanding. He/she collects feedback and the co-facilitator record the answers on a flip chart (5 -10 minutes).
- Step 2: The facilitator tells the following story and invites participants to discuss it in groups of 2-3 people:
- Once upon a time, there lived a man with his 2 wives and 10 lovely children (5 boys and 5 girls). The man also had 100 sheep, 50 goats, 20 cows, 2 donkeys, 2 cats and 2 dogs. He used to irrigate a half an acre of land for his family's food supplies. Assuming he has only 100 litres of water to distribute to the family, the animals and the piece of land. If you were to put yourself in his shoes, how would you share out the water between the family, the farm and livestock? What are you putting into consideration as you make the decisions? Are you making the decisions alone (10-15 minutes)?
- Step 3: The facilitator collects feedback from different groups and discusses it. Co-facilitator



notes main points on the flip chart. Facilitator highlights the relationship between the story and the stakeholders who make up the WRUA in a basin (10 minutes).

Step 4: Based on the story and the discussion, the facilitator explains the role of the WRUA briefly. Allow for questions and provide clarification as needed.

### ► **Facilitator's Notes (Activity 1)**

*Refer to Annex Water sector institutions and institutional framework*

### ► **Facilitator's Notes (Activity 2)**

#### ***What is a WRUA?***

A WRUA is an association of water users, riparian land owners, or other stakeholders who have formally and voluntarily associated for the purposes of cooperatively sharing, managing and conserving a common water resource (WRM Rules)

#### ***Who forms/constitutes a WRUA?***

In broad terms the membership of a WRUA comprises the following 5 categories, namely:

- Riparian members
- Abstractor members
- Non-consumptive members
- Observer members
- CBOs and SHGs

Membership is based on a certain amount of annual subscription fee dictated by individual WRUA. These categories can be further broken down into:

- |                            |                             |  |
|----------------------------|-----------------------------|--|
| ▪ LEPC representatives     | ▪ Small-scale farmers       | ▪ Ecotourism practitioners                                       |
| ▪ Small scale irrigation   | ▪ Urban traders             | ▪ Hoteliers  |
| ▪ Large scale irrigation   | ▪ Persons with disabilities | ▪ Institutions (schools, hospitals, religious institutions etc.) |
| ▪ Livestock keepers        | ▪ Women                     | ▪ Water Service Providers  |
| ▪ Swamp/wetland committees | ▪ Youth                     |  |
|                            | ▪ Miners                    |  |

#### **How to relate the story to a WRUA (Step 2)**

The wives, children, animals represent the different stakeholders found within a river basin who depend on water for life. The farm represents the basin. The land represents environment and thus important to leave some water for the environment. The man is tasked with the responsibility of making wise decisions regarding how the little water they have will be distributed equitably within the household. He is in charge of bringing together all the members of his family to discuss the issue and see how best the water can be shared among them and also how best they can conserve or recycle the little water they have. The man represents the WRUA that ensures that all stakeholders (water users) are involved and their opinions included in decision making for equitable water sharing.

The WDC defines the roles and responsibilities of a WRUA as:

- Represent interests of water users at the community level ensuring that all stakeholders' opinions are taken into account



- Participate in decision-making such as in the application of water permits for water abstraction
- Mobilise water users for collective water resources management and catchment conservation
- Provide local information on water use
- Mobilise resources in water resource management
- Promote compliance with water laws
- Support WRMA Support water users in monitoring of water use
- Provide a forum to discuss and resolve conflicts on water use
- Liaise with the county government on matters to do with water resources management

## SESSION 3: INTRODUCTION TO WRUA GOOD GOVERNANCE

<b>Introduction</b>	This session introduces what good governance is with respect to WRUAs as institutions. It introduces the different principles of good governance in WRUAs and their importance for the success of WRUAs.
<b>Objective</b>	At the end of this session participants appreciate and understand good governance and its importance for WRUAs.
<b>Methodology</b>	Plenary discussions, group discussions and group exercises.
<b>Materials</b>	Writing cards, markers, masking tape, flip charts, notebooks and pens, printed illustrations on different principles of good governance.
<b>Activities</b>	Introduction to Governance, good governance principles in a WRUA and reflection on the importance of good governance.
<b>Time</b>	1 hour and 30 minutes

### TOPIC SUMMARY: SESSION 3

- Activity 1: Introduction to governance
- Activity 2: Good governance principles in a WRUA
- Activity 3: Reflection on the importance of good governance

### ► Facilitator's Notes (Activity 1)

Definition of key terms:

- 'Governance' comprises the formal and informal rules and processes by which actors articulate interests, manage resources, take decisions, regulate human behaviour, and exercise power in a sector.
- Leadership is a process whereby an individual influences a group of individuals to achieve a common goal (Northouse, 2003). A WRUA must have an effective leader in order to set a good example for the other WRUA members. The leaders must be accountable, competent, have good communication skills, and have integrity and personal values.
- Therefore, leadership is included in governance, which is a broader term

Please relate the role-play to the definitions to make it easier to understand.

### ACTIVITY 1: INTRODUCTION TO GOVERNANCE

*Role-play and guided plenary discussion, reflection (15 minutes)*

#### Role-Play

The Chairman calls for a meeting to develop the Sub-Catchment Management Plan (SCMP). WRUA representatives from the upper, middle and lower zones and key stakeholders attend the meeting. The participants raise different issues affecting their catchment and come up with solutions. They then prioritise what activities they will do first and their budget. The Chairman assures the participants that the office bearers (Chairman, Secretary and Treasurer) will go through the document and send a final clean document to the rest of the WRUA members and other key stakeholders.

However, the Chairman, the Secretary and the Treasurer meet with a small group of influential large-scale farmers and some stakeholders and pick up only the issues that affect these stakeholders including the Chairman who is a large-scale farmer/irrigator. This is after the influential stakeholders promise them handouts.

The WRUA officials do not even inform the rest of the WRUA members what happened in the meeting. They remain in the dark. A few influential members who pursue their own interests end up having only

their agenda represented in the SCMP.

- Step 1: The facilitator selects about 15 participants and asks them to act out the role-play (a Chairman, Secretary, Treasurer, 3 representatives each for Upper, Middle, Lower zones and other stakeholders). Note: The facilitator has to select and brief the participants in the tea break before the session, so that they can prepare!
- Step 2: The facilitator asks the participants to decode what they have learnt from the role-play. Guiding questions include:
- What did you learn from the role-play?
  - What aspects of the role-play bring out leadership? (Bring out bad leadership and good leadership)
  - What aspects of the role-play bring out governance? (Based on the definition of governance)

### ► Facilitator's Notes (Activity 2)

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Refer to the handouts on Annex 5.

## ACTIVITY 2: GOOD GOVERNANCE PRINCIPLES IN A WRUA

Group work and world café (60 minutes)

- Step 1: The facilitator explains that governance as such is neutral; it can be good or bad. Introduce the good governance principles as the characteristics of good governance.
- Step 2: The facilitator lets each group discuss one good governance principle (ask one group to discuss both participation and inclusiveness if you only have five groups) for 10-15 minutes based on handouts with a cartoon (Annex 5) and a definition. Guiding questions can be:
- How does the principle play out in key activities of the WRUA?
  - What is the importance of the principle to the WRUA?
  - What is it that they may need to improve within their WRUA regarding a certain principle?

The facilitators rotate across the tables and make sure all the groups have understood the principles assigned to them and have selected a rapporteur.

- Step 3: Presentation is in world café format: a rapporteur from each group stays at the table. All other group members rotate to another table. The rapporteurs explain the principle that they discussed to the other participants that have joined their table in a maximum of 5 minutes. Allow discussions at the table for additional 5 minutes. Afterwards, participants move to the next table and the rapporteurs explain again. Repeat four rounds so that all participants have joined every other table. Provide clarifications as needed.

Note: if you have many weak groups and no resource persons, you can also ask the groups to present in plenary to make sure the facilitator can address open questions on each principle.

### ► Facilitator's Notes (Activity 3)

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#### Key principles of good governance

**Transparency** comprises all means to facilitate citizens' access to information and their understanding of decision-making mechanisms (Cap-Net et al., 2009). Key issues around transparency in Water Re-

source Management are for example that information on quality and quantity of water resources, but also on licences, water use are publicly available. Within a WRUA, it means that information on key areas like membership, budget, core activities and proceedings of the general meeting and the committees, is freely available and directly accessible to all WRUA members and actively communicated to other water users. The trainer should simplify the information for easy understanding of the WRUA members. Transparency also means that decisions are made and their enforcement done in a manner that follows the set out rules and regulations.

**Accountability** means leaders are held responsible for carrying out certain duties or tasks, and for conforming with rules and standards applicable to their positions (OECD, 2013). In a WRUA, this means that the management committee should ensure timely flow of information within the membership and other stakeholders to facilitate inclusive decision-making. They should answer for their actions to the members and external stakeholders; and they have to ensure financial statements are correct, understandable and shared publicly (e.g. through a signboard). The WRUA by-laws and the consequences for the violation of the by-laws must be clearly spelled out.

**Integrity** is enshrined in the CoK 2010 with a dedicated chapter. Integrity refers to compliance with laws and ethical values, honesty in decision-making and being free from corruption. It means that organisations ensure that processes are implemented according to the rules and that they serve their agreed mandate and not just the interests of some powerful groups or people. For WRUA officials, this implies that they use resources for the intended purpose, and that they truly represent the interests of all WRUA members and not just their own. Personal integrity means that people are honest, fair and professional, and that they practice what they preach. It is also guided by the values and culture of each community around where the WRUA is based.

**Participation:** The CoK 2010 and the Water Act 2016 emphasise the need for stakeholders' participation in decision-making. The WDC 2014 also outlines the need for stakeholders' participation and how the WRUA can achieve this. Participation implies that all stakeholders, including marginalised and resource poor groups are meaningfully involved in decision making within the WRUA (WGF et al., 2009). WRUAs themselves are the key participation mechanism that enables local water users to have a say in how water resources are managed, so it is crucial that they live up to this principle internally. This means that all WRUA members, either directly or through legitimate representatives, need to have a chance to voice their opinion and be heard in a decision, also if this involves conflicts. The role of the WRUA is to make sure all members have the relevant information and to organize the discussion process. Participation involves obligations as well as rights: it also implies that all stakeholders inform themselves, engage openly and respect each other.

**Inclusiveness** refers to how people from all backgrounds (paying special attention to women, youth and people with disabilities) are involved in an organisation or decision making, how their perspectives are valued, and how their needs are understood (Monique, 2015). For WRUA to grow and expand, every member needs to feel that he or she has a stake in the running of the WRUA and are not excluded from decision-making processes. Every member should have an equal opportunity to contribute to the WRUA's development, sharing in benefits and burdens.

**Rule of law:** derived from internationally accepted standards, the World Justice Project's definition of the rule of law is a system where everyone is accountable under the law; the law is clear, fair and efficient and justice is delivered on time. Good governance requires fair legal frameworks that are enforced by an impartial regulatory board (committee), for the full protection of stakeholders.

### Importance of good governance

- Promotes WRUA members confidence: Members are more likely to have confidence and to engage actively in their organisation if decisions are made in a transparent and accountable way and if everyone can have a say in the process. It reminds the management committee that they are acting on behalf of their members (MAV, et al., 2012)
- Leads to better decisions: Decisions that are informed by good information and data, by stakeholder views, and by open and honest debate will generally reflect the broad interests of the WRUA members and stakeholders.
- Effectiveness: If WRUA actions reflect the interests of all relevant stakeholders and funding is strictly used for intended purposes, the WRUA has better chances to meet its objectives and to receive support from external partners.

- Reduce legal, regulatory and reputational risks: If decision-making is open and followed by members, the management committee is less likely to be accused of wrongdoing, to face legal and regulatory penalties, or to lose external support.
- Supports ethical decision making: Good governance creates an environment where members ask themselves 'what is the right thing to do?' when making decisions. Making choices and having to account for them encourages honest consideration of the choices.
- Fighting corruption: Good governance plays a major role in sealing gaps that allow corruption to take place since it is more likely that corruption will be caught and punished.

### **ACTIVITY 3: REFLECTION ON THE IMPORTANCE OF GOOD GOVERNANCE**

*Plenary discussion (15 minutes)*

- Step 1: The facilitator asks participants to quickly discuss in pairs: Which elements of good governance are important for our WRUA and why?
- Step 2: The facilitator collects feedback from the participants and summarises why good governance is important for the WRUA.

## SESSION 4: WRUA GOVERNANCE STRUCTURE AND CONSTITUTION

Introduction	This session introduces the WRUA governance structure and different sub-committees within the WRUA structure and their mandates. It also encourages the WRUAs to go through their Constitution and to have a deeper understanding of WRUA organizational governance.
Objective	At the end of this session participants should: <ul style="list-style-type: none"> <li>understand the WRUA organisational structure and responsibilities of the different bodies.</li> <li>know what the constitution says about key governance processes in the WRUA and how they can put this into practice.</li> </ul>
Methodology	Plenary discussions, group discussions and group exercises.
Materials	Markers (different colours), note cards (different colours), flipchart, flipchart, copies of the model Constitution and copies of the WRUA current Constitution.
Activities	Introduction, Key governance and sub-committees within the WRUA and WRUA Constitution.
Time	2 hours and 50 minutes

### TOPIC SUMMARY: SESSION 4

- Activity 1: Introduction and key governance and sub-committees within the WRUA
- Activity 2: WRUA Constitution

### ACTIVITY 1: INTRODUCTION

*Introductory plenary session (15 minutes)*

Step 1: The facilitator hands out the content and objectives of the session

Step 2: The facilitator explains that governance comprises of rules, processes and actors. The WRUA constitution is the key document that sets rules, establishes decision making processes and gives powers and responsibilities to specific actors (committees and individuals) (5 - 10 minutes).

### ► Facilitator's Notes (Activity 2)

WRUA organogram

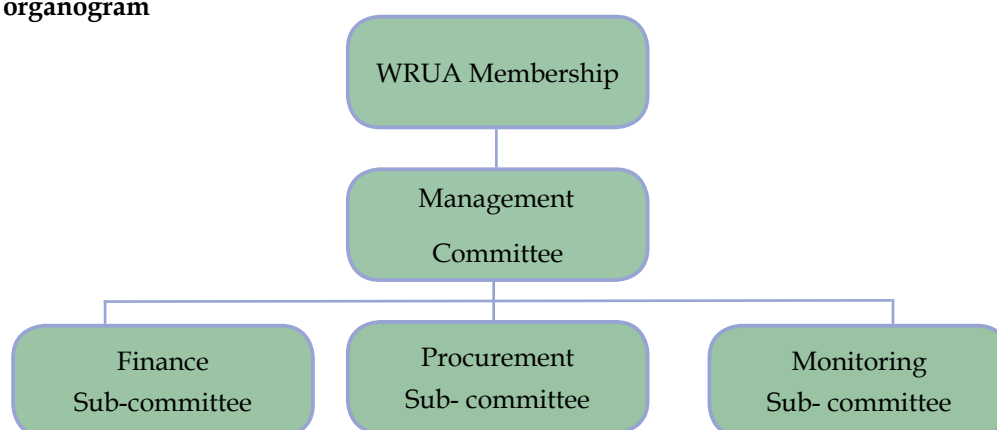


Figure 3: WRUA Organogram, WDC 2014

- For the discussion on the governance structures, see annex 4.
- For the general structure and functions of the WRUA management committee and other bodies, refer to the model constitution

### Separation of roles

The three primary objectives of separating roles and responsibilities of different actors in a WRUA are:

- To facilitate smooth and efficient management of programmes
- To provide a framework for good collaboration and mutual trust between different people, units and projects
- To establish reporting and control systems that prevents or detects conflict of interest, wrongful acts, fraud, abuse and errors

Separation of roles and responsibilities in an organisation is establishing processes and procedures that involve more than one person/actor in the management of an organisation. It plays a crucial role in risk mitigation. By having different levels that have specific roles and responsibilities, a WRUA is able to protect itself and its members from potential mismanagement of the organisations resources and fraud. It prevents one person from gaining complete control of the organisation thereby reducing the opportunity for such acts to occur.

By setting up clear roles and responsibilities for each level, it enhances accountability. The different actors are well aware of what the WRUA expects them to do, when they are to do it and who will be reviewing their work. The WRUA is thus able to reach its goal faster since everyone is able to embrace team spirit. If the WRUA does it in a transparent manner, it vastly increases the credibility of the WRUA management and trust from members.

## ACTIVITY 2: KEY GOVERNANCE STRUCTURES WITHIN THE WRUA

*Group discussions, plenary presentations and guided discussions (1 hour 15 minutes)*

Step 1: Hand out copies of the model constitution and a copy of their own constitution to each group. Each group discusses one specific committee or sub-committee foreseen in the model constitution guided by the following questions:

- What are the responsibilities?
- Who are the members of the committee or sub-committee and how are they recruited?
- How active is this body in your WRUA and what can you do to strengthen it?

The groups will discuss the following (group discussions (15 minutes)):

- Group 1: Management committee
- Group 2: Finance sub-committee
- Group 3: Procurement sub-committee
- Group 4: Monitoring and evaluation sub-committee
- Group 5: WRUA membership

Step 2: Each group presents on the subject they discussed. During each presentation, the facilitator collects ideas for improvement from the groups and other participants and notes them on a flip chart. The facilitator provides clarifications where needed based on the organogram and allows for feedback by other participants on each presentation to ensure a common understanding. (Plenary presentations and guided discussions (45 minutes))

Step 3: The facilitator asks what the participants noticed about composition of the different committees as foreseen in the model constitution and whether this is the case in their WRUA. The facilitator introduces other options for the governance and management structure that have stronger roles for different zones/member categories and invites participants to

reflect whether this would be useful for their WRUA. (Guided discussions (15 minutes))

### ► **Facilitator's Notes (Activity 3)**

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Ensure that the WRUA has their constitution with them and a copy of the model constitution (see over-leaf)

## **ACTIVITY 3: WRUA CONSTITUTION**

*Group discussions and plenary presentations (1 hour and 20 minutes)*

Step 1: Ask each group to discuss one section of the constitution based on following guiding questions:

- What are the most important points provided in that section?
- What (if at all) are the differences between your constitution and by-laws and the model constitution?

Allocation of sections to the groups (group work for 20 minutes):

- Group 1: Membership (section 4)
- Group 2: Office bearers and their duties (sections 5, 6)
- Group 3: Funds and financial management (section 14)
- Group 4: Auditing and inspection of accounts by members (sections 13, 17)
- Group 5: Trustees (section 12)

Step 2: Ask each group to present the section they have discussed to the plenary. The facilitator provides clarifications where needed based on the organogram and allows for feedback by other participants on each presentation to ensure a common understanding (30 minutes).

Step 3: Ask participants to discuss in small groups of 2-3 people for 5-10 min:

- Which sections of the constitution or governance bodies should the WRUA further clarify and what do you recommend.
- Do all the members of your WRUA know the constitution? If not, how can we share the knowledge with them after this training?

Collect feedback from the participants and note ideas for action and important shortcoming that the WRUA needs to address on a flip chart (20 minutes).



## WRUA MODEL CONSTITUTION

Name of WRUA: xxxxxxxxxxxxxxxxxxxxxxxxx

### CONTACT PERSON

Chairman: xxxxxxxxxxxxxxx

### CONTACT ADDRESS

xxxxxxxxxxxxxxxxxxxxxx

### TELEPHONE

xxxxxxxxxxxxxxxxxxxxxx

Date: xxxxxxxxxxxxxxx

**1. NAME**

The name of the organization shall be known as xxxxxxxxxxxxxxxxxxxx herein referred as the "Society" of;

P.O. BOX \_\_\_\_\_

Tel \_\_\_\_\_

E-mail \_\_\_\_\_

**Area of Operation/ County(ies)**

The WRUA shall have its operations covering \_\_\_\_\_

\_\_\_\_ Locations (Counties).

**2. OBJECTIVES**

- xxxxxxxxxxxxxxxxxxxxxxxxxxxx
- xxxxxxxxxxxxxxxxxxxxxxxxxxxx
- xxxxxxxxxxxxxxxxxxxxxxxxxxxx

**3. GEOGRAPHICAL AREA**

- xxxxxxxxxxxxxxxxxxxxxxxxxxxx
- xxxxxxxxxxxxxxxxxxxxxxxxxxxx
- xxxxxxxxxxxxxxxxxxxxxxxxxxxx

**4. MEMBERSHIP**

- a) The membership of the association shall comprise the following categories of members:
  - Riparian land owners
  - Abstractors
  - Non-consumptive members
  - Observer members
- b) Any person as described in 4 a) above over the age of 18 years shall be eligible for membership of the society and shall subject to the approval of the committee, become a member on payment of an registration fee of xxxxxxxx. Every member shall pay xxxxxxxxof registration fee as an annual subscription as categorized in 4 b) above not later than xxxxxxxxxx of the first month of calendar year.
- c) Any member desirous to resign from the society shall submit his resignation to the secretary within one month notice of his/her intention.
- d) Any member may be expelled from the membership if the committee so recommends and if a general meeting of the society shall resolve by a two-thirds majority of the members present that such a member should be expelled on the grounds that his/her conduct has adversely affected the reputation or dignity of the society. The committee shall have powers to suspend a member from his/her membership until the next general meeting of the society, following such suspension but no withstanding such suspension a member whose expulsion is proposed shall have the right to address the general meeting at which his/her expulsion is to be considered.
- e) Any person who resigns or is removed from membership shall not be entitled to a refund of his/her subscription or any part thereof or any monies contributed by him/her at any time.
- f) Any member who falls into arrears with his/her annual subscription for more than six months shall automatically cease to be a member of the society and his/her name shall be struck off the register of members. The committee may however, at its discretion, reinstate such member on payment of the total amounts of subscription outstanding.

## 5. OFFICE BEARERS

- a) The office bearers of the group shall be;
1. The Chairperson
  2. The Vice Chairperson
  3. The Secretary
  4. Assistant Secretary
  5. The Treasurer

All of who shall be fully paid up members of the society and shall be elected at the annual general meeting to be held after every three years.

- b) Any of the office bearers who cease to be a member of the society shall automatically cease to be an office bearer thereof.
- c) Office bearers may be removed from office in the same way as is laid down for the expulsion of members in the rule 4 (e) and vacancies thus created shall be filled by persons elected at the general meeting resolving the expulsion.
- d) The office bearers should represent all categories of members (camps and hoteliers, community and institution member)

## 6. DUTIES OF OFFICE BEARERS

- a) Chairman

The Chairperson shall unless prevented by illness or other sufficient cause, preside over all meetings of the committee and at the general meetings.

- b) Vice Chairperson

The Vice Chairperson shall perform any duties of the Chairperson in his/her absence.

- c) Secretary

The Secretary shall deal with all correspondences of the society under the general supervision of the committee. In case of urgent matters where the committee cannot be consulted, he/she shall consult the chairperson or if he/she is not available the vice Chairperson. He/she shall issue notices convening all meetings of the committee and all general meetings and for the preservation of all records of the proceeding of the group and of the committee.

- d) Assistant Secretary

In the absence of the secretary, the assistant secretary shall perform all the duties of the secretary and such other duties as shall be assigned to him/her by the secretary or committee whether the secretary is present or not.

- e) Treasurer

The Treasurer shall receive and shall also disburse under the directions of the committee, all moneys belonging to the society and shall issue receipts for all moneys received by him/her and preserve vouchers for all moneys paid by him/her. The treasurer is responsible to the committee and to the members that proper book of account of all moneys received and paid by the society are written up and available for inspection

## 7. THE MANAGEMENT COMMITTEE

- a) The management committee shall consist of five office bearers of the society comprising representatives from the upper and lower catchment areas elected after the stipulated period of three years. Such committee members shall hold office until the following three annual general meetings for the founding office bearer while two subsequent annual general meetings. The committee shall meet at such times and places as it shall resolve but shall meet not less than once in any three months.

- b) Any vacancies for members of the committee caused by death or resignation or transfer of the official shall be filled by the committee until the next annual meeting of the society. Vacancies caused by members of the committee removed from office will be dealt with as shown in rule 4 (e).

## **7.2 Procurement Sub-committee**

- a) The procurement sub-committee shall consist of five members of the society comprising representatives from the upper and lower catchment areas elected after the stipulated period of three years.
- b) Such sub-committee members shall hold office until the following three annual general meetings for the founding office bearers while two subsequent annual general meetings for the next generation of committee members. The committee shall meet at such times and places as it shall resolve but shall meet not less than once in any three months.
- c) The chairman and secretary shall not be members of subcommittee .

## **7.3 Financial sub-committee**

- a) The Financial sub-committee shall consist of five members of the society comprising representatives from the upper and lower catchment areas elected after the stipulated period of three years.
- b) Such sub-committee members shall hold office until the following three annual general meetings for the founding office bearers while two subsequent annual general meetings for the next generation of committee members. The committee shall meet at such times and places as it shall resolve but shall meet not less than once in any three months.
- c) The chairman and secretary shall not be members of subcommittee.

## **7.4 Monitoring and Evaluation sub-committee**

- a) The Monitoring sub-committee shall consist of five members of the society comprising representatives from the upper and lower catchment areas elected after the stipulated period of three years.
- b) Such sub-committee members shall hold office until the following three annual general meetings for the founding office bearers while two subsequent annual general meetings for the next generation of committee members. The committee shall meet at such times and places as it shall resolve but shall meet not less than once in any three months.
- c) The chairman and secretary shall not be members of subcommittee.

## **8. DUTIES OF THE MANAGEMENT COMMITTEE**

- a) The committee shall be responsible for the management of the society and that purpose may give directions to the office bearers as to the manner in which, within the law, they shall perform their duties. The committee shall have power to appoint such sub-committees as it may deem desirable to make reports of the committee upon which such action shall be taken as seems to the committee desirable.
- b) All money disbursed on behalf of the society shall be authorized by the committee except as specified in the rule 14 (b)
- c) The quorum for meetings of the committee shall be not less than two thirds of members.

## **9. ELECTIONS**

### **a) Election Period**

- i. Elections of the committee members shall be held after every three years.
- ii. An official may serve for a maximum of two consecutive terms

### **b) Election Procedure**

The elections shall be done through nomination. The nomination process shall be done by a proposer

and a seconder from amongst the members. The candidate shall be elected by secret ballot. Election will be presided over by a presiding officer from department of social services or any other relevant government agency.

## **10. GENERAL MEETING**

There shall be three classes of meetings: annual general ,general and special meetings.

### **a) The Annual General Meeting**

The annual general meeting shall be held not later than 31st January in each year. Notice in writing of such annual general meeting, accompanied by the annual statement of account and the agenda for the meeting shall be sent to all members not less than 21 days before the date of the meeting.

The agenda for any annual meeting shall consist of the following:

- a) Confirmation of the minutes of the previous annual general meeting
- b) Consideration of the accounts
- c) Election of office bearers and the committee members (and trustees necessary in accordance with rule 9 (b).
- d) Appointment of auditors in accordance with rule 13 (a)
- e) Such other matters as the committee may decide or as which notice shall have been given in writing by a member or members to the secretary at least four weeks before the date of the meeting.
- f) Any other business with the approval of the Chairperson

b) General Meetings, this are periodic planned meetings to appraise members on the activities of the WRUA

### **c) Special Meeting,**

i. A special general meeting may also be called for a specific purpose by the committee. Notice in writing of such meeting shall be sent to all members not less than 7 days before the date thereof.

ii. A special general meeting may also be called for a specific purpose by order in writing to the secretary of not less than two thirds of members and such meetings shall be as shown in rule 8 (c) and no matter shall be discussed other than that stated in the requisition.

Quorum for the meetings shall not be less than two thirds of the registered members of the society.

## **11. PROCEDURE AT MEETINGS**

a) At all meetings of the society the chairman, or in his absence, the vice chairman or in the absence of both these officers, a member selected by the meeting shall take the chair.

b) The chairman may at his discretion limit the persons permitted to speak in favor of and against any motion.

c) Resolution shall be decided by voting by a show of hands. In the case of equality of votes the chairman shall have a second casting vote.

## **12. TRUSTEES**

a) All land building and other immovable property and all investments and securities which shall be acquired by the society shall be vested in the names of not less than three trustees who shall be members of the society shall be appointed at an annual general meeting for a period of three years. On retirement such trustees shall be eligible for re-election. A general meeting shall have the power to remove any of the trustees and all vacancies occurring by removal, resignation or death, shall be filled at the same or next general meeting.

b) The Trustees shall pay all income received from property vested in the trustees to the Treasurer. The trustees shall report any expenditure in respect of such property which in the opinion of the trustees is necessary to the committee which shall authorize expenditure of such moneys at it thinks fit.

**13. AUDITOR**

- a) An auditor shall be appointed for the following year by the annual general meeting. The entire society's accounts records and documents shall be opened to the inspection of the auditor at any assets and liabilities made up to a date which shall not be less than six weeks and not more than three months before the date of the annual general meeting. The auditor shall examine such annual accounts and statements and either clarify that they are correct, duly vouched and in accordance with the law or report to the society in what respect they are found to be incorrect, unvoiced or not in accordance with the law.
- b) A copy of the auditor's report on the accounts and together with such accounts and statements shall be furnished to all members at the same time as the notice convening the annual general meeting is sent out. An auditor may be paid such honorarium for his duties as may be resolved by the annual general meeting appointing him.
- c) No auditor shall be an office bearer or a member of the committee of the society.
- d) The auditor will be appointed from a reputed audit firm and the cost arising from such services shall be borne by the society.

**14. FUNDS**

Sources of funds of the society shall come, from but not limited to;

- XXXXXXXXXXXXXXXXXXXX
- XXXXXXXXXXXXXXXXXXXX
- XXXXXXXXXXXXXXXXXXXX

The funds of the society may only be used for the following purposes;

- XXXXXXXXXXXXXXXXXXXX
  - XXXXXXXXXXXXXXXXXXXX
  - XXXXXXXXXXXXXXXXXXXX
- a) All moneys and funds shall be received by and paid to the treasurer and shall be deposited by him/her in the name of the Society in any bank or banks approved by the management committee.
  - b) No payments shall be made out of the bank account without a resolution of the committee authorizing such payments and all cheques on such bank account shall be signed by the treasurer, chairman and the secretary but the signature of the chairman and treasurer shall be mandatory.
  - c) The treasurer for petty disbursement of which proper accounts shall be kept may keep a sum not exceeding Kenya shillings Five thousand only (Ksh 5000)
  - d) The Committee shall have the power to suspend any office bearer who it has reasonable cause to believe is not properly accounting for any of the funds or property of the society and shall have power to appoint another person in his place. Such suspension shall be reported to a general meeting to be convened on a date not later than two months from the date of such suspension and General meeting shall have full power to decide what further action should be taken in matter.
  - e) The Financial year of the Society shall be from xxxxxxxxxxxx to xxxxxxxxxxxx.

**15. AMENDMENTS TO THE CONSTITUTION**

Amendments to the constitution of the society must be approved by at least a two-thirds majority of members at a general meeting of the society.

**16. DISSOLUTION**

- a) The society shall not be dissolved except by a resolution passed at a general meeting of members by a vote of two-thirds of the members present. The quorum at the meeting shall be as shown in rule 8 (c). If no quorum is obtained the proposal to dissolve the society shall be submitted to a further general meeting, which shall be held one month later. Notice of this meeting shall be given to all members of the society at least 14 days before the date of the meeting. The quorum for this second meeting shall be the number of members present.

- b) Provided however, that no dissolution shall be effected without prior permission in writing of the registrar obtained upon application to him made in writing and signed by three of the office bearers.
- c) When the dissolution of the society has been approved by the registrar, no further action shall be taken by the committee or any office bearer of the society in connection with the aims of the society other than to get in and liquidate for cash all the assets of the society. Subject to the payment of all the debts of the society the balance thereof shall be distributed in such other manner as may be resolved by the meeting at which the resolution is passed.

#### **17. INSPECTION OF ACCOUNTS AND LISTS OF MEMBERS;**

The books of account and all documents relating thereto and a list of members of the society shall be available for inspection by any officer or member of the society on giving not less than seven days notice in writing to the society.

## SESSION 5: THE WRUA ELECTION PROCESS

<b>Introduction</b>	This session introduces the importance of following proper WRUA election procedures in order to elect leaders with integrity into the office and for smooth running of WRUA activities. The participants are also able to know different ways of managing election conflicts should they arise.
<b>Objective</b>	At the end of this session the participants should: <ul style="list-style-type: none"> <li>understand the importance of transparency in WRUA elections and know good practices in election and voting procedures.</li> <li>know the possible risks of conflicts in election process (before, during and after election period) and how to manage conflicts if they arise.</li> </ul>
<b>Methodology</b>	Role-play, guided discussions, information sharing and plenary discussions.
<b>Materials</b>	Writing cards, markers, flip chart and role-play printed out.
<b>Activities</b>	Election procedure, Conflict management: before and after elections.
<b>Time</b>	1 hr 10mins

### TOPIC SUMMARY: SESSION 5

- Activity 1: Election procedure
- Activity 2: Conflict management: before, during and after elections

#### ► Facilitator's Notes (Activity 1)

The role-play (see Annex 3) highlights the process the WRUA should undertake in a bid to enhance transparency in elections. It shows the main steps from announcing that there will be an election to announcement of the election results. The person acting out the chairperson's role should come out as a very corrupt person who does not appreciate good governance. The WRUA member vying for the chair's position is a person of high integrity and has the interest of the WRUA at heart. The election is conducted and the facilitator probes the results of the election and advises further based on best practices on election process and qualities of a good leader.

#### Transparency in WRUA Election Administration

Free electoral process is one where everyone can decide freely who to vote for without having any fear of discrimination. A fair electoral process is one with a level playing field accessible to all parties and candidates where nobody tries to unduly influence or bribe voters.

Every WRUA member has:

- The right to vote on a non-discriminatory basis
- Access to effective and impartial procedures for the voting process
- Equal access to the WRUA election venue in order to vote
- The right to exercise his or her vote equally with others and to have his or her vote accorded equivalent weight to all others
- All WRUA members can express their election opinions without interference or intimidation
- Candidates can move freely within the sub catchment in order to campaign
- Candidates to campaign on an equal basis with other candidates including the incumbent(s). All candidates to be treated equally

Note: The tools that promote transparency in elections can be found in the Governance Tool kit (Tool 2.7).



## ACTIVITY 1: ELECTION PROCEDURE

*Role-play and guided discussion (30 minutes)*

Step 1: About six participants do a role-play on elections.

**Role-play (see also in the handout Annex (3) at the end of the module)**

### *Scene 1: Announcement of elections*

The chairperson makes an announcement of an oncoming election.

### *Scene 2: Nominations*

Two candidates express their interest in the chairperson position. One is the current chair and the other one is just a WRUA member.

### *Scene 3: Campaigns*

The current chairperson appoints his chief campaigner who goes around convincing members to vote for him or her. Together with the chairperson, they give false promises and threaten to throw out members out of the WRUA if they do not vote for him. They also get their relatives to come and vote. He also gives bribes for people to vote him in.

The WRUA member has a fellow WRUA member who is helping him campaign. Their campaign is on what they will do to make their WRUA better. He does not give any bribes but tries to convince people by telling them what they will do through his/her leadership to improve their catchment.

The two aspirants have to campaign in front of the other participants at different times.

### *Scene 4: Voting*

All participants are allowed to vote for their preferred candidate. Voting takes place through casting votes (secret ballot) in clear balloting boxes located in voting booth.

### *Scene 5: Tallying and announcement of results*

Tallying of the votes is done and the winner is announced.

Note: The facilitator has to select and brief the participants at least an hour before the session, so that they can prepare!

Step 2: The selected participants act out the role-play.

Step 3: The facilitator asks participants to reflect the role-play based on the following questions:

- What did you learn?
- Why did the candidate who won win in the first instance?
- How would you do it differently?

Participants decode the role-play and identify the good and bad aspects in the election. The facilitator records key points on the flip chart.

## ► Facilitator's Notes (Activity 2)

### Definition of Terms

**Conflict :** A conflict is defined as a 'clash of interests between two or more parties when at least one of the parties seeks to assert its interests at the expense of another party's interests' (WDC 2014). Implications of the definition depend on the parties' level, hierarchy, multi-dimensionality, and power dimension, interests at stake, negative perception, time dimension and environmental issues.

**Conflict management:** This is the practice of being able to identify and handle conflicts sensibly, fairly, and efficiently.

## Causes of conflicts

Generally, conflicts normally arise in WRUAs due to vested interests and misconceptions. Conflicts in the election process increase as members assert their demands for an increased share in WRUA's rewards, such as position, acknowledgment, appreciation, monetary benefits and independence. As a result election conflict may erupt aimed at:

- Disrupting elections by individuals or members who do not want the elections to take place at all
- Or a conflict triggered by the rivalry between the contesting candidates/parties which may be as a result of rivalry candidates not agreeing on leadership techniques/approaches or one group having been left out/ignored for a long time.

## Conflict resolution for WRUAs (before, during and after election conflict)

The goals of a transparent election process are to contribute to "free and fair" elections and the acceptability of the results. WRUA Members have the right to be voted for, to vote for a candidate of their choice on a secret ballot, and to see the results of their vote in a timely manner.

Ways to incorporate transparent methods in the WRUA election process:

- Clear written election by-laws that include transparent methods for conducting an election
- Adopt administrative rules that election officials will follow

To manage election conflict:

- Establish open procedures within the electoral guidelines
- Include/Work with WRUA members and Stakeholders in coming up with guidelines to run
- Transparent and fair elections
- Establish impartial and non-discriminatory policy
- Allow for WRUA members full participation and input into decision-making

\*Probe the participants on what they think would have resulted into conflict before, during and after the elections. This should be linked to the role-play.

## ACTIVITY 2: CONFLICT MANAGEMENT: BEFORE, DURING AND AFTER ELECTIONS

*Information sharing and plenary discussions (40 minutes)*

### Step 1: Discussion questions

Based on the role-play discuss:

- What conflict is and what causes conflicts in a WRUA elections?
- What practices before and during the elections could have contributed to the conflicts? How can the WRUA manage conflicts within itself?
- What are the steps for the WRUA to follow in resolving election conflicts?
- What are some of the conflict resolution methods used by your WRUA?

Step 2: The facilitator notes down the points from the participants and clarifies the areas that are not clear.

Note: The facilitator also links this session with the tools on transparent elections in the Tool Kit for improved governance and internal communication. (see Annex 7)

## SESSION 6: INCLUSIVE DECISION MAKING

<b>Introduction</b>	The session discusses inclusive decision making in a WRUA and understanding the importance of applying inclusive decision making in WRUA activities.
<b>Objective</b>	At the end of this session, the WRUAs will be able to; <ul style="list-style-type: none"> <li>understand the importance of inclusive decision making in an organisation.</li> <li>understand the importance of applying inclusive decision making in their WRUAs.</li> <li>understand the importance of equal participation of women, men, youth and people with disability in the WRUA.</li> </ul>
<b>Methodology</b>	Case study, plenary discussion, guided discussion, buzz groups (2-3 people groups) and reflection.
<b>Materials</b>	Writing cards, printouts of the case studies, markers and flipcharts.
<b>Activities</b>	Introduction to Inclusive decision-making, and making the WRUA more inclusive.
<b>Time</b>	1 hour and 15 minutes

### TOPIC SUMMARY: SESSION 6

- Activity 1: Introduction to inclusive decision making
- Activity 2: Making our WRUAs more inclusive

### ► Facilitator's Notes (Activity 1)

#### Definition of inclusive decision-making

Includes making a decision or considering options that actively involve all those members within the WRUA whom decision made directly affects.

The table below shows the difference between information, consultation and inclusive decision-making.

Information	Consultation	Inclusive decision making
WRUA members participate by being informed about what is going to happen or has already happened. Their feedback is minimal or non-existent.	WRUA members are engaged in discussions or projects which are pre-determined by the WRUA committee members.	WRUA members are willing and able to be part of the process and participate in joint analysis which leads to joint decision making about what should be achieved and how.

Some of the steps the WRUA should take to involve all members in decision making include;

- Create systems that ensure involvement of all the members and groups from the beginning of the process
- Value each members input
- Acknowledge their culture, values and beliefs
- Encourage youth and other marginalised communities to get involved in sharing ideas and decision making
- Recognise efforts by all the members in the WRUA activities
- Develop a sense of belonging and security
- Provide feedback

## ACTIVITY 1: INTRODUCTION TO INCLUSIVE DECISION MAKING

Case study and plenary discussion (30 minutes)

- Step 1: Introduce the session by explaining the session objectives. Ask the participants to discuss in groups of 2 or 3 what they think of the illustration for about 3 minutes. (see Annex 5 on inclusiveness)
- Step 2: Introduce the case study (see annex 6) by reading it out to the participants. Let the participants discuss questions below in the groups at their table:
- How does this story relate to your WRUA?
  - How do the members currently discuss their different perspectives and share knowledge?
  - What were the key changes the WRUA in the story should have made to become to make the WRUA more effective?
- Step 3: After 10 minutes of discussion, collect participants' feedback on the 3 questions in plenary discussion. Write down the points on a flip chart for discussion and link the points with what inclusive decision-making is and its importance.

### ► Facilitator's Notes (Activity 2)

Inclusive decision making helps the WRUA to have better decisions, better implementation and better group relationships.

#### The Process of Inclusive Decision Making

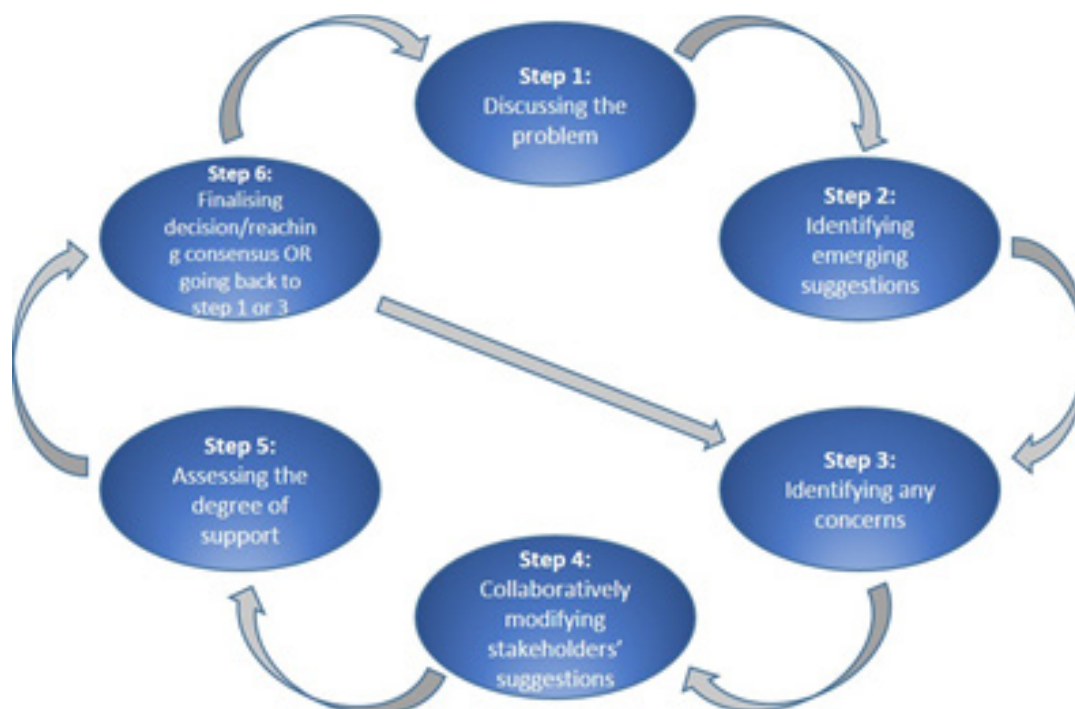


Figure 4: The process of inclusive decision making- CESPAD (2016)

## ACTIVITY 2: MAKING THE WRUA MORE INCLUSIVE

Mumbling groups, plenary discussion and group work (45 minutes)

- Step 1: In groups of 2 or 3, let the participants examine and reflect on their WRUA with regard to inclusive decision making using the guiding questions below.

Who are the main groups that need to be engaged in decision-making to tackle the water resource management problems in your area?

Are all of them active in the WRUA? If not, who is missing?

How do the members currently discuss their different perspectives and share knowledge?

Step 2: Collect feedback from the participants. Make sure you have identified the main groups who need to become more actively engaged in the WRUA.

Step 3: Ask each group to discuss possible ways to improve participation of a specific group or to make specific processes more inclusive. The exact topics for the groups need to be identified based on the points by participants in the previous exercise. Possible topics for the different groups include:

- Inclusion of youth, elders, women, men, people with disabilities, people living with HIV/AIDS, different races
- Inclusion of pastoralist communities, small-scale farmers or others who are not yet active
- Introduction and knowledge sharing for new members
- Representation of different groups in management committee and other WRUA decision-making

Possible guiding questions for discussing the topics:

- What has your WRUA done to encourage participation from different groups of society in the past?
- What worked? What was not so successful?
- What would you improve in the coming 6 months?
- How can you improve this?

Step 4: The groups to present their findings. Make sure all suggestions for action and or main shortcoming that still need to be addressed are documented.

## SESSION 7: GOOD GOVERNANCE TOOLS IN WRUAS

<b>Introduction</b>	The session discusses the good governance tools required to make a WRUA better and able to carry out its mandates effectively.
<b>Objective</b>	Participants know available tools to improve governance and information sharing in their WRUA and are motivated and able to implement the tools.
<b>Methodology</b>	Reflection, group work and plenary discussion.
<b>Materials</b>	Colour cards with areas for improvement (from previous sessions) and tools, print-outs of the tool descriptions, markers and flipcharts.
<b>Activities</b>	Reflection on what makes a well governed WRUA, tools to improve governance and communication within a WRUA.
<b>Time</b>	2 hours and 30 minutes

### TOPIC SUMMARY: SESSION 7

- Activity 1: Reflection on what makes a well-governed WRUA
- Activity 2: Tools to improve governance and communication within the WRUA

### ► Facilitator's Notes (Activity 1)

A well governed organisation is one which:

- Has timely information sharing (internal and external) for purposes of growth, decision making and ability to implement the decisions.
- Strives towards sustainable WRUA objectives and values. This provides inspiration and motivation among members.
- Promotes teamwork thus ensuring that WRUA members accomplish more objectives rather if they did it individually
- Has a clearly defined WRUA management structure with clear expectations of each member
- Has WRUA policies (by-laws and constitution) that are well known by members and defined so that they are able to adhere to them.
- Complies with by-laws and constitutional order
- Adapts to opportunities and changes (recognises and seizes good opportunities for improving the WRUA in terms of social, economic and environmental sustainability).
- Has a WRUA management committee that has good relationship with clear synergies and interrelationship between the members and different WRUA sub-committees.
- Identifies and rectifies poor performance
- Has quality risk management skills

### ACTIVITY 1: REFLECTION ON WHAT MAKES A WELL-GOVERNED WRUA

*Buzz groups and guided discussion (20 minutes)*

Step 1: Ask participants to discuss for 5 minutes in pairs:

- Based on discussions over the last days, what do you think makes a well governed WRUA?
- What are the key mechanisms to practice good governance in a WRUA?

Step 2: Collect feedback from the participants. Let them reflect on areas where their own WRUA is well governed and areas where they see need for improvement.

## ► Facilitator's Notes (Activity 2)

Please refer to the toolkit on tools that improve WRUA governance and internal communication. (Annex 7.) The facilitator should go through the tools beforehand. The WRUA can work in details on the tools that the participants select during the follow up visit. The facilitator should spare at least 1 day during the follow up visits to work on the selected tools practically.

### ACTIVITY 2: TOOLS TO IMPROVE GOVERNANCE AND COMMUNICATION WITHIN THE WRUA

*Group work and presentations (2 hours and 10 minutes)*

Step 1: The facilitator presents overview of tools to the participants and relates them to the characteristics of a well governed WRUA and to areas that had been identified for improvement in Activity 1. He/she explains that several sessions looked more deeply into specific tools (e.g. constitution, elections), and that this session will provide a chance to explore the remaining tools (5 minutes). See Annex 7

Step 2: The facilitator prepare all the tools on coloured cards, pins them on the wall and asks each participant to vote for top 3 tools that they find most important for their WRUA and would like to explore. The participants votes by putting a coloured dot or sticker on the cards for the tools of their choice. Based on this, the facilitator identifies the 7-10 tools that received most votes (10 minutes).

Step 3: The facilitator announces which of the 7-10 identified tools will be discussed in each group in the first round (assuming you have only 5 groups) and asks participants to join the group of the tool they are most interested in (5 minutes). A second round will discuss the remaining identified tools..

Note: There will be two rounds to explore the prioritised tools in groups (3-5 tools in each round, depending whether there are several groups working on the same tool). In case some tools received 10 votes or more, the facilitators may decide to form two groups to work on these tools.

Step 4: The facilitator hands out the detailed tool descriptions to each of the groups and invites them to explore that tool in more detail. The groups discuss the tool based on the guiding questions (25 minutes):

- How does the tool contribute to improving governance in our WRUA?
- What are the steps involved in implementing this tool?
- What resources and preconditions are necessary to implement this tool?
- Why should we make this tool a priority or not?

*Note: The facilitator should have printed out the tool descriptions provided in Annex 7*

Step 5: The facilitator asks each group to present the tool they discussed briefly, focussing on

- What the tool entails and
- Whether or not they would recommend to prioritize this tool and why?

In case more than one groups discussed the same tool, only one group presents and the other provides comments (25 minutes).

Step 6: Conduct a second round repeating steps 3, 4 and 5 with the second set up of prioritised tools (55 minutes)



## SESSION 8: ACTION PLANNING

<b>Introduction</b>	This session is a culmination of the 3 days training whereby the WRUA with the guidance of the facilitator develop short-term (say 3 months) action plans based on the gaps they have identified in all the previous sessions concerning their WRUA internal governance.
<b>Objective</b>	After this session the participants should: <ul style="list-style-type: none"> <li>develop an action plan</li> <li>put into practice lessons learnt during the 3 days training</li> </ul>
<b>Methodology</b>	Group discussion, plenary presentations and discussions and voting.
<b>Materials</b>	Markers, flip charts, coloured cards, pens, colour cards with all the action points and identified areas for improvement from previous sessions.
<b>Activities</b>	Introduction, recap, prioritisation, and planning exercise.
<b>Time</b>	2 hours

### TOPIC SUMMARY: SESSION 8

- Activity 1: Introduction
- Activity 2: Recap and prioritisation
- Activity 3: Planning exercise

### ► Facilitator's Notes

#### Action plan template

Issue	Activity	Steps	Responsible (lead & team)	When	Resources	Desired Outcome
1. Inadequate implementation of WRUA constitution	1. Review the WRUA constitution	a. Print and share copies of old constitution with members for reading	Secretary	Sept., 2017	-Printing papers -Printer toner	WRUA constitution printed, disseminated and read by members
		b. Constitution review	Secretary			
		c. Members endorse the amended constitution	Members			
		d. Present amendments to WRA	Chairperson			
		e. File the amended constitution with Attorney General	Chairperson			
	2.					

### ACTIVITY 1: INTRODUCTION

*Guided discussion (10-15 minutes)*

Step 1: The facilitator introduces the session objectives and expected outputs (the action plan).

Step 2: The facilitator asks the participants to form 3-5 groups (depending on the number of activities prioritized during the previous Sessions).

- What does it mean to plan?
- How is planning helpful?

Participants reflect times in their lives when they had to plan. Drawing on these examples,



the participants share ideas about the usefulness of planning and what is important for a plan to be successful. The plans need to be achievable, realistic, specific, time-bound etc.

## ACTIVITY 2: RECAP AND PRIORITISATION

*Guided discussion and decision-making (30 minutes)*

- Step 1: The facilitator pins up all the cards with ideas for actions from the previous sessions.
- Step 2: The facilitator goes over the areas that the training has covered in the 3 days. The participants look at areas that they identified as weakness areas or areas that require improvement in the previous Sessions.
- Step 3: The facilitator asks the participants to prioritise on what the WRUA can do within the first 3 months and to choose the 3-5 most important activities. Depending on the group dynamics, the WRUA can make the decision through group discussions followed by each group making proposals and a guided plenary discussion, or by plenary discussion followed by voting. The facilitator introduces factors to take into account in the decision-making process:
- Why is the activity more important than others or a precondition for others?
  - How will the proposed activity improve WRUA institutional governance?
  - Which resources (people's time, money, in-kind materials as input) will the WRUA need for the activity and how does that relate to the expected improvements?

The facilitator explains to the participants that the WRUA can still add the other actions that they have left out for now to their work plan during the follow up if resources allow them.

## ACTIVITY 3: PLANNING EXERCISE

*Groups work and presentations (1 hour and 15 minutes)*

- Step 1: The facilitator asks the participants to form 3-5 groups (depending on the number of activities prioritized during the previous activity) and invites participants to join the group planning for the activity that they want to contribute to the most. In case there is a very uneven participation, the facilitator may encourage participants to join a group that does not have enough people. (5 minutes)
- Step 2: The facilitator asks each group to fill in the action plan template for their activity using coloured cards. The groups should discuss the following questions in order to fill in the action plan (30 minutes):
- What activity are we going to do?
  - How are we going to do it?
  - Who will take the lead for making sure that it happens? Who will be involved in undertaking specific steps?
  - When are we going to do which step?
  - What resources will we need?
  - What do we want to achieve with the activity?
- Step 3: In plenary, the facilitator invites one group after the other to put their cards into the action plan template on a pin board and present for about 5 minutes. The facilitator invites participants to provide feedback on the proposed actions as developed by the groups. If needed, to the facilitator guides participants to further clarify and/or prioritize the planning (40 minutes).

## SESSION 9: TRAINING EVALUATION

<b>Introduction</b>	The session focuses on assessing the facilitator's delivery of the various sessions and the understanding of the content by the participants.
<b>Objective</b>	Each participant will assess: <ul style="list-style-type: none"> <li>the facilitators' delivery of the topics</li> <li>their own understanding and ability to apply the training in their day-to-day running of the WRUA</li> </ul>
<b>Materials</b>	Coloured pins, marker pens, pin board, coloured cards, flip chart, flip chart stand and evaluation forms
<b>Time</b>	30 minutes

### TOPIC SUMMARY: SESSION 8

- Activity 1: Evaluation of the training

### ACTIVITY 1: TRAINING FEEDBACK / EVALUATION

*Individual feedback on the training programme (content and logistics, 15 minutes)*

#### Option 1: Using pin boards

- Step 1: Draw three faces on three different coloured cards and stick at the top of the flip chart
- Step 2: Draw three columns and several rows representing the different topics done on the 3-day training
- Step 3: Turn the pin board towards the wall. Let the participants pick pins as per the total number of items they will be assessing, queue and pin them on the different faces depending on their level of satisfaction as shown in Figure 5. Each participant should do this (secret ballot).



Figure 5: An example of a feedback pinboard

#### Option 2: Collecting information through evaluation forms

The facilitator hands out evaluation forms. Participants fill in their feedback and put the forms on a pile. (Annex 8)

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## ANNEXES

### ANNEX 1: THE 3 DAYS TRAINING MODULE PROGRAM

Time	Activity	Responsible
<b>Day 1</b>		
8.30 am – 8.40 am	Session 1, Activity 1: Introductory remarks and welcome	
8.40 am – 8.55 am	Session 1, Activity 2: Introduction and expectations	
8.55 am – 9.15 am	Session 1, Activity 3: Objectives of the training	
9.15 am – 9.30 am	Session 1, Activity 4: Establish working teams	
9.30 am – 10.15 am	Session 2, Activity 1: Overview of the water sector reforms	
10.15 am – 10.30 am	Tea break	
10.30 am – 11.15 am	Session 2, Activity 2: WRUAs and their roles	
11.15 am – 11.30 am	Session 3, Activity 1: Introduction to governance	
11.30 am – 12.30 pm	Session 3, Activity 2: Good governance principles in a WRUA	
12.30 pm – 12.45 pm	Session 3, Activity 3: Reflection on the importance of good governance	
12.45 pm – 13.45 pm	Lunch break	
13.35 pm – 15.05 pm	Session 4, Activities 1 and 2: Introduction and key governance and management bodies within the WRUA	
15.05 pm – 16.25 pm	Session 4, Activity 3: WRUA Constitution	
<b>DAY 2</b>		
8.30 am – 8.45 am	Recap of previous day	
8.45 am – 9.15 am	Session 5, Activity 1: Election procedure	
9.15 am – 9.55 am	Session 5, Activity 2: Conflict management: before, during and after elections	
9.55 am – 10.10 am	Tea break	
10.10 am – 10.40 am	Session 6, Activity 1: Introduction to inclusive decision making	
10.40 am – 11.25 am	Session 6, Activity 2: Making our WRUAs more inclusive	
11.25 am – 11.45 am	Session 7, Activity 1: Reflection on what makes a well-governed WRUA	
11.45 am – 12.55 pm	Session 7, Activity 2: Tools to improve governance and communication within our WRUA	
12.55 pm – 14.00 pm	Lunch break	
14.00 pm – 15.00 pm	Session 7, Activity 2 (continued): Tools to improve governance and communication within our WRUA	
<b>DAY 3</b>		
8.30 am – 8.40 am	Recap of previous day	
8.40 am – 8.55 am	Session 8, Activity 1: Introduction	
8.55 am – 9.25 am	Session 8, Activity 2: Recap and prioritisation	
9.25 am – 9.45 am	Tea break	
9.45 am – 11.00 am	Session 8, Activity 3: Planning exercise	
11.00 am – 11.30 am	Session 9: Evaluation of the training	
11.30 am – 11.45 am	Closing remarks	
11.45 am – 13.00 pm	Lunch	

## ANNEX 2: LOGISTICAL ARRANGEMENT AND PREPARATIONS

### Preparation

In preparation for the training, the facilitator should inform the WRUA to bring a copy of their constitution, by-laws and membership register to the training. If possible, the facilitator should obtain a copy of these documents beforehand to get an impression where the WRUA stands in terms of governance.

It is important to prepare materials and the venue for the training beforehand.

### Facilities

- The venue should be conducive for learning (Ventilation, light and space).
- The toilets should be clean
- The venue should have enough space for display and group work

### Equipment, tools and materials

a) Pin Board (alternatively, work with brown papers on the wall)	b) Large brown papers
c) Flip chart stand	d) Sticky gum for sticking cards on the wall
e) Flip charts	f) Copies of hand-out in sufficient numbers
g) Coloured markers	h) Copies of communication toolkit
i) Pins	j) Coloured cards
k) Roll of knitting thread	l) At least one copy of the Water Act 2016
m) Masking tape	n) Scissors
o) Stapler/staples	p) Notepads and pens for participants

### Things to prepare before each day of the training

- Flip chart with training agenda and objectives
- Flip charts with guiding questions for all the group activities
- Check activity descriptions for other brown papers to prepare beforehand!

### Seating arrangement

- Check if there are enough seats and tables
- The training venue should have adequate space to allow mobility of the participants during the training, role-plays and group activities

## ANNEX 3: HANDOUTS

### **Role-play for session 5**

#### **Scene 1: Announcement of elections**

The chairperson makes an announcement of an oncoming election.

#### **Scene 2: Nominations**

Two candidates express their interest in the chair position. One is the current chair and the other one is a WRUA member.

#### **Scene 3: Campaigns**

The chairperson appoints their chief campaigner who goes around convincing members to vote for the current chair. Together with the chairperson, they give false promises and threaten to throw out members out of the WRUA if they do not vote for him. They also get their relatives to come and vote. They also gives bribes for people to vote him in.

The WRUA member has a fellow WRUA member who is helping in the campaign. Their campaign is focuses on what they will do to make their WRUA better. They do not give any bribes but try to convince people by telling them what they will do to improve their catchment.

The two aspirants have to campaign in front of the other participants at different times.

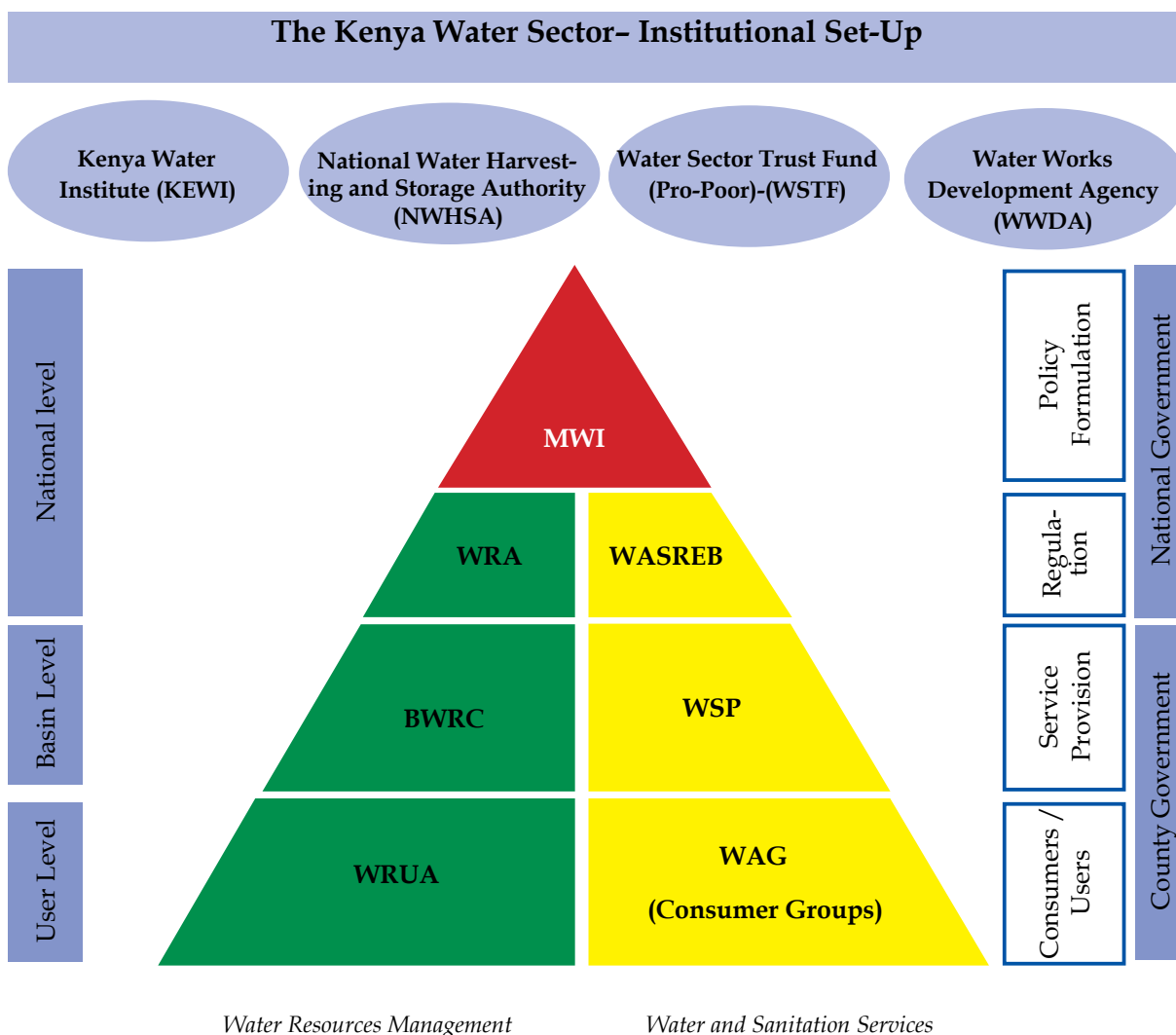
#### **Scene 4: Voting**

All participants are allowed to vote for their preferred candidate. Voting takes place through casting votes (secret ballot) in clear balloting boxes located in the voting booth.

#### **Scene 5: Tallying and announcement of results**

The returning officer tallies the votes and the winner is announced.

## Kenya Water Sector Institutional Set - Up (Session 2)



- **Ministry of Water (MWI):** Formulates policy and provides oversight in the water sector. Sector coordination, monitoring, finance and supervision.
- **Water Resources Authority (WRA):** Plans and regulates water resources through developing principles, guidelines and procedures for the allocation of the water resources.
- **Water Services Regulatory Board (WASREB):** Protects the interests and rights of consumers in the provision of water services through setting standards & license conditions, regulating tariffs, and monitoring compliance and performance.
- **Basin Water Resource Committees (BWRC):** Advises WRA and county governments on water resources management in the basin area.
- **Water Service Providers (WSPs):** Provide water (and sewerage) services and develop and manage county assets for the same.
- **Water Action Groups (WAGs):** Consumer groups that receive and handle customer complaints, provide feedback to WSPs and support WASREB in monitoring compliance and performance of a WSP
- **National Water Harvesting and Storage Authority (NWHSA):** Develops, maintains and manages national public water works for water resources storage and flood control; develops a water harvesting policy and enforces water harvesting strategies.
- **Water Works Development Agency (WWDA):** The Water Act provides the Cabinet Secretary for Water with the power to establish an undefined number of “Water Works Development Agencies” to develop, maintain and manage national public water works (which extend across more than one county by nature of the water resource they use and are funded from national government budget).
- **Kenya Water Institute (KEWI):** Training and research.
- **Water Sector Trust Fund (WSTF):** Assists in financing the development and management of water services in marginalised and underserved areas.



## ANNEX 4: ROLES AND RESPONSIBILITIES OF WRUA GOVERNANCE BODIES

Relevant information based on the WDC 2014

### Roles and Responsibilities of Management Committee

The main responsibilities of management committee are:

- Supervision and management of the water resources in collaboration with WRA
- To organise and call for AGM
- To prepare project budgets, work plans and work Schedules
- To ensure auditing of project accounts
- To keep and maintain correct project records
- To recruit and employ project employees
- To recommend to AGM, water resources conservation measures
- To lead fundraising and partnership development
- To make sure (new) members are aware of the WRUA's objectives and constitution

### Qualifications for a WRUA committee member (to be defined in the WRUA by-laws)

- Basic education standard, e.g. Kenya Certificate of Primary Education (KCPE)
- Over 18 years of age
- Local resident
- No criminal records
- Sound mind
- High ethical standards and personal integrity
- Not having being declared bankrupt

### Responsibilities of Sub Committees

- **Procurement Sub-committee:** Consists of 5 members with representatives from upper and lower catchment areas. The Chairman and the Secretary are however not part of this sub-committee. They develop procurement plans based on the annual planning and budget and carry out procurement of materials and services. Hence, the need to be well versed with the procurement rules of the WRUA (as set in by-laws). Since procurement is a hot spot for illicit practices, the members of this committee need to have high ethical standards and act with transparency and integrity.
- **Financial sub-committee:** Consists of five members with representatives from the upper and lower catchment areas. Their role is to develop and check expenditures and resource mobilisation. Develop WRUA annual operational budget in consultation with the management committee. Document financial policies and procedures to strengthen the integrity in financial transactions. Develop and present financial reports to WRUA members and stakeholders. Create, approve and update WRUA financial policies that help ensure protection of the WRUA assets. Ensure adherence to approved WRUA financial guidelines, policies and procedures. They track the budget of WRUA activities.
- **Monitoring and Evaluation sub-committee:** Consists of five members with representatives from the upper and lower catchment areas. Audits whether the WRUA is following the Constitution, procedures and implements the action plans. Monitor water use in the sub catchment in order to assess the water allocations. Maintain a record of the valid authorisation and permits within the sub catchment. Develop a sub catchment monitoring plan so that the water users and WRUA members work together to ensure that the resource, abstraction, effluent discharge and catchment are properly monitored. Enforce water use rules and guidelines. Community education and on principles, guidelines and good practices on water management.

### **Roles and responsibilities of WRUA Members**

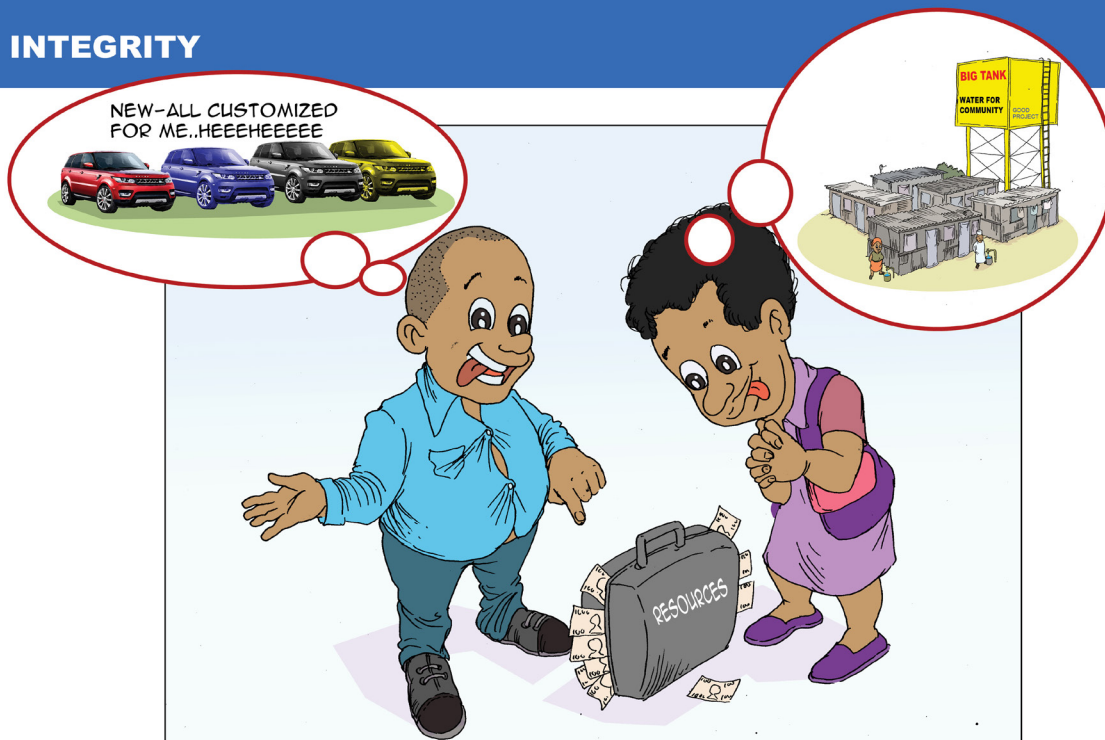
- Vote on resolutions, WRUA budgets and other key decisions at general meetings.
- Participate in implementing WRUA activities.
- Elect management committee members at general meetings.
- Attend WRUA meetings.
- Represent the WRUA in the community (WRUA members are ambassadors of the WRUA).
- Encouraging fellow members to undertake roles and responsibilities of the WRUA.
- Positively and constructively, analyze other members' opinions.
- Listen and be attentive whistle blowers about catchment degradation.
- Contributing their resources (labour, financial, time, ideas and material).

## ANNEX 5: PRINCIPLES OF GOOD GOVERNANCE- ILLUSTRATIONS

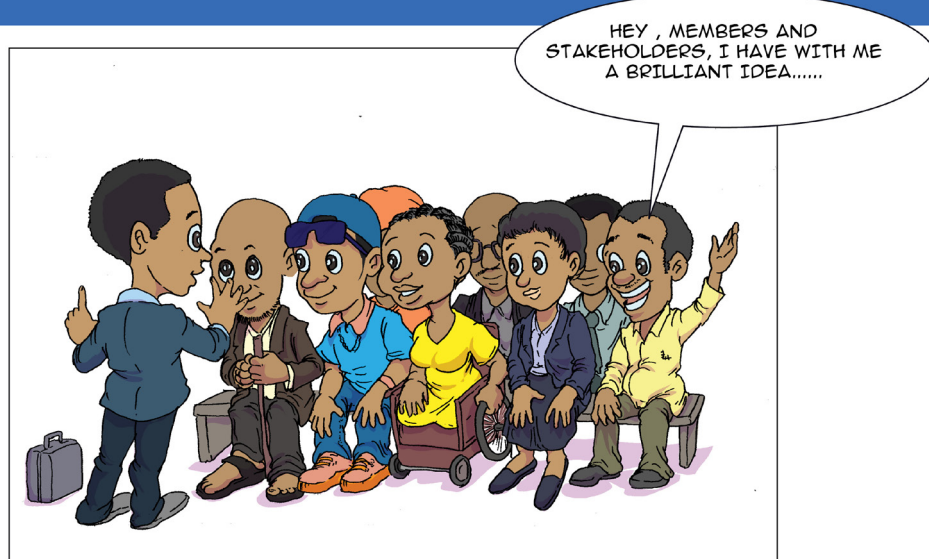
### ACCOUNTABILITY



### INTEGRITY



## PARTICIPATION:



PARTICIPATION IMPLIES THAT ALL STAKEHOLDERS, INCLUDING MARGINALISED AND RESOURCE POOR GROUPS ARE MEANINGFULLY INVOLVED IN DECISION MAKING WITHIN THE WRUA

## INCLUSIVENESS



TO GROW AND EXPAND, EVERY MEMBER NEEDS TO FEEL THAT THEY HAVE A STAKE IN THE RUNNING OF THE WRUA AND ARE NOT EXCLUDED FROM DECISION-MAKING PROCESSES.

## RULE OF LAW





## ANNEX 6: CASE STUDY ON INCLUSIVE DECISION-MAKING

Kibondeni River Basin has different kinds of stakeholders settled there. There is a major town with industries on the upstream, farmers (large and small scale) and wildlife (national parks) in the middle zone and pastoralists downstream. The area receives an average annual rainfall of 600mm. There has been a lot of catchment degradation due to uncoordinated water abstraction and pollution.

One day, the Chief invited a guest from WRA offices to address the different communities (upper, middle and lower zones) in the river basin on issues of water conservation. The sensitisation meeting went well. The community members formed a WRUA for collective conservation of the catchment. WRA then took them through training to develop a sub-catchment management plan for their sub catchment. The WRUA managed to register about 400 members.

However, with time the management committee started acting on SCP activities without consulting the members thus prompting disagreement with them. They also did not share information received after using WRUA funds to attend WRUA exchange tours and trainings in expensive hotels away from the WRUA sub-catchment. The chairperson would only select his/her close friends and family; some of whom were not even WRUA members when invited for trainings. The large-scale farmers and the industries were allowed more say in decision-making. The youths felt left out as they were not involved in decision making or any activities and thus continued selling sand. The men claimed that the youth owned no land so they had no seat on the decision making table. The WRUA was composed of a small number of people that came from one family and thus the community members deemed it a 'club' and refused to participate. The women attended meetings but never actively participated yet lack of water affected them most.

The ethnic community that was permanently settled practised farming and felt they had a bigger share on the table than the ethnic community that practised pastoralism and yet the pastoralist community were more affected by lack of water. This brought about conflict. This went on for about a year and the water conflicts kept growing. This made many WRUA members drop out of the WRUA.

One day WRA invited a guest who addressed the WRUA and assisted them to analyse the WRUA problems. They had invited all the members of the community in the river basin including the large and small farmers, industries, school heads, churches, housewives, youth, minority ethnic community, water services providers, game reserve wardens, people with disabilities, agricultural officers, forests officers, sand harvesters, the Chief and the area Member of County Assembly (MCA). After a series of meetings and trainings, the WRUA members realised that they needed to work together as a community. Everyone's input was important in the WRUA decision-making processes. They needed to include everyone who was affected or affecting the river.

The WRUA held fresh elections where a WRA officer presided over the tallying of votes. The WRUA elected a new management committee. After further discussions, the WRUA members amended their Constitution to represent the interests of all members. They made by laws that were available to all members. The management committee inducted all new and old members through the WRUA policies, laws and activities. The management committee respected all members' opinions, views and interests. The WRUA members started some income generating activities such as tree nurseries, rabbit keeping where they got the youth involved. Once a week, they would hold meetings with the youths on the need to conserve the catchment and how the management committee governs the WRUA. Eventually a few youth joined the WRUA. These young members then convinced others to join the WRUA. They were active in passing on WRUA activity information on social media such as Facebook and WhatsApp. The members also came up with an agreed water allocation plan and an inclusive sub-catchment management plan where everyone participated equally. The involvement of WRUA members to attend a training workshop was on rotational basis. The WRUA put in place measures to ensure transfer and sharing of information and knowledge gained to all WRUA members. The WRUA got zonal leaders who would pass on any information from the Chairperson. They started inviting other stakeholders such as CSOs and County and National Government to their meetings. This increased their knowledge base and resource base for WRUA activities. After sometime, the WRUA became one of the best in the country and even started attracting more stakeholders and donors who were willing to work with them.



## ANNEX 7: GOVERNANCE TOOLS

'Governance' comprises the formal and informal rules and processes by which actors articulate interests, manage resources, take decisions, regulate human behaviour, and exercise power in a sector.

Leadership is a process whereby an individual influences a group of individuals to achieve a common goal (Northouse, 2003). A WRUA must have an effective leader in order to set a good example for the other WRUA members. The leaders must be accountable, competent, have good communication skills, integrity and personal values. Therefore, leadership is included in governance, which is a broader term.

Key principles of good governance are transparency, accountability, integrity, participation, inclusiveness and rule of law. Good governance is important because it:

- Promotes WRUAs members confidence
- Leads to better decisions
- Increases effectiveness
- Reduces legal regulatory and reputational risks
- Supports ethical decision making
- Fights corruption

The tools presented in this chapter help WRUAs to put good governance into practice. They focus on internal communication and internal processes.



## TOOL 2.1 MEETING MINUTES

<b>What?</b>	Meeting minutes are notes of a meeting or hearing. They typically describe the events of the meeting and include a list of attendees, the agenda, related responses, decisions taken, and action points.
<b>Why useful?</b>	<p>Meeting minutes:</p> <ul style="list-style-type: none"> <li>▪ Help drive a plan of action for the WRUA's leadership and members. They clarify how, when, why, and by whom decisions were made. They map out a plan for the action items, which helps get the work done.</li> <li>▪ Describe how a WRUA arrived at reasonable decisions. They provide resolution structure.</li> <li>▪ Record meeting decisions, which makes them a useful review document when the WRUA needs to measure progress.</li> <li>▪ Act as an accountability tool as they make it clear whose duty it was to perform which action.</li> </ul>
<b>How to develop and use it</b>	<ul style="list-style-type: none"> <li>▪ The rapporteur can take minutes during the meeting on a computer</li> <li>▪ There is no standardized size for minutes. The size is highly dependent on the nature of the meeting. Generally, minutes should be as short as possible, as long as they highlight all key information.</li> <li>▪ Make detailed minutes in situations of critical importance, and where the record is important. If that is not the case, minutes can be simple lists of decisions made and actions they need to take (with the responsible person identified).</li> <li>▪ Minutes should include: <ul style="list-style-type: none"> <li>○ The name of the WRUA</li> <li>○ The date, time and location of the meeting</li> <li>○ Who attended and who was absent with or without apology</li> <li>○ The purpose of the meeting</li> <li>○ Decisions taken</li> <li>○ Action points</li> <li>○ If there's a quorum, they should also note all motions made, any conflicts of interest, when the meeting ended, and who developed the minutes</li> </ul> </li> <li>▪ The leadership team must then approve the meeting minutes at the next meeting</li> <li>▪ Secretary/minute taker should disseminate the minutes as soon as possible, preferably within 1 day by mail to the attendees</li> </ul>
<b>Requirements and costs</b>	<ul style="list-style-type: none"> <li>▪ Laptop / computer</li> <li>▪ Bundles or cyber café charges</li> </ul>

## TOOL 2.2 STAFF EMPLOYMENT CRITERIA

<b>What?</b>	Staff employment criteria are a simple description of the qualifications and skills required to be eligible for selection for a certain job in the WRUA. It sets clear guidelines on how to ensure that the WRUA recruits the best people on merit and that the recruitment process is free from bias and discrimination.
<b>Why useful?</b>	<ul style="list-style-type: none"> <li>▪ They help to provide equal access to employment for all</li> <li>▪ Ensures that the WRUA chooses the best person for each position, in terms of knowledge, skills, experience and aptitude which in turn can enhance the WRUA's overall performance</li> <li>▪ Enhances transparency in recruitment eliminating appointments that are based on favours, bribes and/or ethnic considerations hence avoiding work inefficiencies and poor service delivery</li> </ul>
<b>How to develop and use it</b>	<p>Before recruiting staff you need to determine if you have gaps in your WRUA and how staff can fill them, this entails:</p> <ul style="list-style-type: none"> <li>▪ Looking at your current WRUA needs and your goals to know what level of staff support you will need</li> <li>▪ Thinking carefully about how many hours the staff will need to work to meet the WRUA needs</li> <li>▪ Listing the tasks that the new staff member will be performing</li> <li>▪ Clarifying the required skills and competencies they should have</li> <li>▪ Outlining the results that you want for your WRUA from employing new staff</li> </ul> <p><b>Recruitment process steps</b></p> <p>Define your value proposition – what staff get from working for you.</p> <ul style="list-style-type: none"> <li>▪ Development of position description including background about the WRUA</li> <li>▪ Advertisement. Share out information using different communication tools to publicize the opportunity</li> </ul> <p><b>Create a selection process</b></p> <ul style="list-style-type: none"> <li>▪ Use your job description as a basis for your candidate selection. The selection factors are based on the competencies needed e.g. accounting skills (and the questions asked will test how the candidates have demonstrated the skills in the past)</li> <li>▪ Limit your selection factors to not more than 10 and keep in mind how important each selection factor is. Is it must have or optional?</li> </ul> <p><b>Make preparations for the interview</b></p> <ul style="list-style-type: none"> <li>▪ Before conducting an interview, form a team/panel of interviewers from your WRUA and train them on interview process and questions so they will all conduct and ask the same questions the same way.</li> <li>▪ Rehearse with the panel. This helps memorize your questions.</li> </ul> <p><b>Conduct interviews</b></p> <ul style="list-style-type: none"> <li>▪ Start with some small talk to build rapport. Do not go straight into your questions. Try to make the candidate as comfortable as possible.</li> <li>▪ Be natural: Make your question sound and feel like you are coming up with them right there.</li> <li>▪ Dress appropriately to the ambient you are in and to the kind of person you are interviewing.</li> </ul>

	<ul style="list-style-type: none"> <li>▪ Be punctual</li> <li>▪ Listen; present yourself aware and interested. If your interviewee says something funny, smile. If it is something sad, look sad. React to what you hear.</li> <li>▪ Keep your goals in mind. Remember that what you want is to obtain information. Keep the interview on track; do not digress too much. Keep the conversation focused on your questions. Be considerate of your interviewee's limited time.</li> <li>▪ Do not take "yes/no" answers. With such answers, you will not get much information. Ask for an elaboration, probe, and ask why. Silence may also yield information. Ask the interviewee to clarify anything you do not understand</li> <li>▪ Show respect for the candidates and make interviewees feel like their answers are very important to you</li> </ul> <p><b>Rate of candidates</b></p> <ul style="list-style-type: none"> <li>▪ After the interviews, rate each candidate based on each selection factor. This you will do through giving scores based on: does not have the competency (1), partially has the competency (2) or has the competency (3).</li> <li>▪ The preferred candidate has the highest score.</li> <li>▪ Also, consider the other candidates to see if they are suitable for the job in the event that the preferred candidate does not accept the employment offer.</li> </ul>
<b>More info</b>	<ul style="list-style-type: none"> <li>▪ <a href="http://www.business.vic.gov.au/hiring-and-managing-staff/staff-recruitment/job-interview-and-reference-check-questions">http://www.business.vic.gov.au/hiring-and-managing-staff/staff-recruitment/job-interview-and-reference-check-questions</a></li> <li>▪ <a href="http://ctb.ku.edu/en/table-of-contents/assessment/assessing-community-needs-and-resources/conduct-interviews/main">http://ctb.ku.edu/en/table-of-contents/assessment/assessing-community-needs-and-resources/conduct-interviews/main</a></li> </ul>

### **DRAFT STAFF EMPLOYMENT CRITERIA TEMPLATE FOR EACH POSITION**

Name of WRUA:			
Position title:			
Selection factors (Maximum 10 on basis of Job description and the competencies you need)	Name Candidate 1	Name Candidate 2	Name Candidate 3
1. Accounting skills. CPA 3 qualification and above (Mandatory)			
2. Working experience (at least 3 years' experience in the same position.)			
3. Understanding of accounting computer software (added advantage)			
4. Criminal records			
5. Ethical standards and personal integrity			
6. Bankruptcy declaration			
7.			
8.			
<b>TOTAL (highest score should be the preferred candidate)</b>			
<b>ASSESSMENT</b>			
* Rating 1=Does not satisfy, 2= Partially satisfies, 3= Fully satisfies			
*Assessment P= Preferred, S=Suitable, U=Unsuitable			

## TOOL 2.3 COMMITTEE MEMBERS APPOINTMENT LETTER

<b>What?</b>	A Committee member's appointment letter is a document that confirms the position offered to a person to work in a certain capacity and they have accepted the terms and agreement.
<b>Why useful?</b>	To have formal records of employment and to confirm the appointment to the member including rights and responsibilities.
<b>How to develop and use it</b>	See an example of an appointment letter below
<b>Costs and requirements</b>	<ul style="list-style-type: none"> <li>▪ Bundles or cyber café charges in case it is sent by email</li> <li>▪ Transport costs in case of hand delivery</li> </ul>

### APPOINTMENT LETTER

WRUA Logo and address OR Letter head

Date, Month, Year]

[Candidate Name]

[Address]

Dear [Mr. / Mrs.] [Candidate Name],

**Subject: Appointment for post of [Designation]**

We are pleased to offer you, the position of [Designation] with [WRUA name] on the following terms and conditions:

**1. Commencement of duty**

You will be effective, as of [Starting Date, Month, Year]

**2. Job title**

Your job title will be [Designation], and you will report to [Mr./Mrs.] [Name], [Supervisor Designation].

**3. Salary**

There is no wage associated with this position (if it does indicate how much and whether it will be subjected to tax)

**4. Place of posting**

You will be posted at [name town]. Details may also include the name of the sub-catchment of the WRUA under which he/she is to work with.

**5. Hours of Work**

The normal working days are [Start Day] through [End Day]. The normal working hours are from [Start Time] to [End Time] and you are expected to work not less than [Number of Hours] hours each week. You may work for additional hours depending on your responsibilities.

## 6. Nature of duties

You will perform to the best of your ability all the duties as they are in your job description and any other duties as the WRUA may call upon you to perform, from time to time. Schedule I hereto Your specific duties are set out in.

## 7. WRUA property

You will always maintain in good condition WRUA property, which may be entrusted to you for official use during the course of your engagement with the WRUA and shall return all such property to the WRUA prior to relinquishment of your charge, failing which the cost of the same will be recovered from you by the WRUA.

## 8. Borrowing/accepting gifts

You will not borrow or accept any money, gift, reward or compensation or otherwise place yourself under anything to do with money to any person/stakeholders/WRUA member with whom you may be having official dealings for your personal gains.

## 9. Termination

9.1 Your appointment can be terminated by the WRUA, without any reason, by giving you not less than [Notice] months' prior notice in writing.

9.2 You may terminate your engagement with the WRUA, without any cause, by giving no less than [WRUA Notice] months' prior notice

9.3 The WRUA reserves the right to terminate your appointment summarily without any notice period or termination payment, if it has reasonable ground to believe you are guilty of misconduct or negligence, or have committed any fundamental breach of contract or caused any loss to the WRUA.

9.4 On the termination of your contract for whatever reason, you will return to the WRUA all property; documents and paper, both original and copies thereof, including any samples, literature, contracts, records, lists, drawings, blueprints, letters, notes, data and the like; and Confidential Information, in your possession or under your control relating to WRUA's affairs.

## 10. Confidential Information

10. 1 During your tenure, you will devote your whole time, attention and skill to the best of your ability for its success.

10.2 You must always maintain the highest degree of confidentiality and keep as confidential the records, documents and other Confidential Information relating to the WRUA which may be known to you or confided in you by any means and you will use such records, documents and information only in a duly authorized manner in the interest of the WRUA. For the purposes of this clause 'Confidential Information' means information about the WRUA's activities and that of its members which is not available to the general public and which may be learnt by you in the course of your employment. This includes, but is not limited to, information relating to the WRUA, its members personal information, engagement policies, personnel, and information about the WRUA's projects, processes including ideas, concepts, projections, technology, manuals, drawing, designs, specifications, and all papers, resumes, records and other documents containing such Confidential Information.

10.3 At no time, will you remove any Confidential Information from the office without permission.

10.4 Your duty to safeguard and not disclose Confidential Information will survive the expiration or termination of this Agreement.

10.5 Breach of the conditions of this clause will render you liable to summary dismissal under clause above in addition to any other remedy the WRUA may have against you in law.

## 11. Governing Law/Jurisdiction

Your engagement with the WRUA is subject to Kenyan laws. All disputes shall be subject to the jurisdiction of the [High Court] only.

## **12. Acceptance of our offer**

Please confirm your acceptance of this Contract of appointment by signing and returning the duplicate copy.

We welcome you, and look forward to receiving your acceptance and to working with you.

Yours Sincerely,

[Signature of Supervisor]

[Name of Supervisor]

[Supervisor Designation]

[Date]

Schedule I – Committee Member Duties & Responsibilities

Duties:

Responsibilities:

[Committee member's Name]

[Signature]

[Date]

## TOOL 2.4 MEMBERSHIP BOOKLET

<b>What?</b>	A small book consisting of only a few pages that contains information on WRUA membership
<b>Why useful?</b>	<ul style="list-style-type: none"> <li>▪ Offers a great opportunity to introduce a WRUA to new members since it answers the many questions they may have about a WRUA.</li> <li>▪ It provides the information new members need to know on the first day of their membership without overwhelming them with too much information.</li> <li>▪ Invites water users to enrol in the WRUA</li> <li>▪ It is specifically designed to give new members information on: <ul style="list-style-type: none"> <li>▪ What is a WRUA and its mandate</li> <li>▪ WRUA Member rights, good practice and obligations</li> <li>▪ WRUA Member benefits</li> <li>▪ Code of conduct (summary)</li> </ul> </li> </ul>
<b>How to develop and use it</b>	<ul style="list-style-type: none"> <li>▪ Come up with the text based on: <ul style="list-style-type: none"> <li>▪ What is a WRUA and its mandate</li> <li>▪ WRUA member rights, good practice and obligations</li> <li>▪ WRUA Member benefits</li> <li>▪ Code of conduct (summary)</li> </ul> </li> <li>▪ These topics can perfectly fit on eight pages in a 4 by 5 inch booklet.</li> <li>▪ Design your cover page (front and back). Remember an interesting "cover" makes your booklet enticing. It can make your book a highly effective marketing tool for your WRUA hence enhancing your visibility.</li> </ul>
<b>Requirements and costs</b>	<ul style="list-style-type: none"> <li>▪ Design and printing charges</li> </ul>
<b>More info</b>	<a href="https://support.office.com/en-us/article/Create-a-booklet-or-book-dfd94694-fa4f-4c71-a1c7-737c31539e4a">https://support.office.com/en-us/article/Create-a-booklet-or-book-dfd94694-fa4f-4c71-a1c7-737c31539e4a</a>



## TOOL 2.5 WHATSAPP GROUPS

<b>What?</b>	WhatsApp Messenger is a cross-platform instant messaging application that allows smartphone users to exchange text, image, video and audio messages
<b>Why useful?</b>	<ul style="list-style-type: none"> <li>▪ Instantly send message to anywhere in the world.</li> <li>▪ You can share your location, photos, status, images, videos with WRUA members</li> <li>▪ Exchange knowledge and ideas / keep the group up to date</li> <li>▪ To increase the visibility of the WRUA</li> <li>▪ Awareness creation</li> <li>▪ Campaign</li> <li>▪ Have an up-to-date presence</li> <li>▪ An important advantage of WhatsApp is that when you connect to internet you can receive a message that was shared when you did not have internet connection.</li> </ul>
<b>How to develop and use it</b>	<p><b>How to form a WhatsApp group</b></p> <ul style="list-style-type: none"> <li>▪ Download and install the application WhatsApp on your phone</li> <li>▪ At the top bar click on the 3 bullets on the right</li> <li>▪ Select the “new group” option</li> <li>▪ Select the members to be added to your group</li> <li>▪ Provide a group name and picture</li> </ul> <p><b>Sharing</b></p> <ul style="list-style-type: none"> <li>▪ Effectively engage the people in your group as they want to communicate with you and build a relationship with you. If they get to your group and find it inactive, they might leave.</li> <li>▪ Communicate the goal of the WhatsApp group to avoid topics that do not add value to the WRUA</li> <li>▪ Pictures and videos can be uploaded in the group to allow for WRUA members discussions.</li> <li>▪ Encourage conversations through moderating the conversations and encouraging respect for members comments and views</li> </ul>
	<p><b>Operating</b></p> <ul style="list-style-type: none"> <li>▪ Group members that have administrator rights are able to add new people to the group. The establisher of the group is administrator by default. He or she can make other members administrator. The chairperson should have administrator rights together with for example the secretary and the treasurer.</li> <li>▪ When the Chairperson becomes a regular member, he should de-administrate him or herself</li> <li>▪ A group can only be deleted by an administrator</li> </ul>
<b>Requirements and costs</b>	<ul style="list-style-type: none"> <li>▪ A smartphone with internet access</li> <li>▪ Subscription to data bundles</li> </ul>
<b>More info</b>	<a href="http://www.wikihow.com/Use-WhatsApp">http://www.wikihow.com/Use-WhatsApp</a>

## TOOL 2.6 PROJECT DOCUMENTATION SETUP

<b>What?</b>	A system for tracking, communicating and reporting on ongoing projects								
<b>Why useful?</b>	<p>The main purpose of project documentation is to communicate the scope and goal of a project to stakeholders and reviewers. Project Documentation may be used to:</p> <ul style="list-style-type: none"> <li>▪ Define the project, its scope and timeframe</li> <li>▪ Define how the project is to be managed and areas of responsibility</li> <li>▪ Track the progress of the project</li> <li>▪ Ensure transparency to all</li> <li>▪ Analyse reasons for project success or failure for the benefit of future projects</li> <li>▪ Manage expectations</li> <li>▪ Resource mobilization</li> <li>▪ Ensure a smooth transition to a new management committee</li> </ul>								
<b>How to develop and use</b>	<p>There are many ways to keep your project documentation organized. Choose what is appropriate for your WRUA. The main documents are mentioned in the table below, organized by project period.</p> <p><b>General tips:</b></p> <ul style="list-style-type: none"> <li>▪ Keep all files at one location (e.g. WRUA office).</li> <li>▪ Store files in different folders, organized per project</li> <li>▪ Next to project files, also keep copies of outputs such as brochures, posters</li> <li>▪ Spend time regularly to keep the folders up to date</li> <li>▪ When digitally stored, make sure backups are made and kept separately</li> </ul> <table border="1"> <thead> <tr> <th>Project phase</th><th>Main documents</th></tr> </thead> <tbody> <tr> <td>Initial stage</td><td>Concept note , Draft of ideas, Project proposal, Work plan</td></tr> <tr> <td>Implementations stage</td><td>Logframe, Budget, Communication plan, Midterm evaluation, Project outputs, Pictures</td></tr> <tr> <td>Evaluation</td><td>Project review, Financial overview, Final Report</td></tr> </tbody> </table>	Project phase	Main documents	Initial stage	Concept note , Draft of ideas, Project proposal, Work plan	Implementations stage	Logframe, Budget, Communication plan, Midterm evaluation, Project outputs, Pictures	Evaluation	Project review, Financial overview, Final Report
Project phase	Main documents								
Initial stage	Concept note , Draft of ideas, Project proposal, Work plan								
Implementations stage	Logframe, Budget, Communication plan, Midterm evaluation, Project outputs, Pictures								
Evaluation	Project review, Financial overview, Final Report								
<b>Costs and requirements</b>	Relatively cheap as it requires mainly time.								

## TOOL 2.7 FREE AND FAIR ELECTION PROCESS

<b>What?</b>	This is a WRUA committee election process that is accessible and respects the fundamental human rights and freedom of all parties and candidates.
<b>Why useful?</b>	<ul style="list-style-type: none"> <li>▪ It provides the voter with an opportunity to give his voice and ensures that the right leaders are in office</li> <li>▪ It enables members to elect leaders that will address their issues</li> <li>▪ It is an important step toward WRUA economic empowerment and financial sustainability</li> </ul>
<b>How to develop and use</b>	<p>In a free and fair election process:</p> <ul style="list-style-type: none"> <li>▪ Every WRUA member has:             <ul style="list-style-type: none"> <li>○ The right to vote on a non-discriminatory basis.</li> <li>○ Access to effective and impartial procedures for voting process.</li> <li>○ Equal access to the WRUA election venue in order to vote.</li> <li>○ The right to exercise his or her vote equally with others and to have his or her vote accorded equivalent weight to all others.</li> </ul> </li> <li>▪ All WRUA members can express their election opinions without interference or intimidation.</li> <li>▪ Candidates can move freely within the sub catchment in order to campaign.</li> <li>▪ Candidates can campaign on an equal basis with other candidates - including the incumbent(s). All candidates to be treated equally</li> </ul> <p><b>Steps to ensure an election process is free and fair include:</b></p> <p><b>Step 1: Announcement of elections:</b> The chairperson makes an announcement of an oncoming election. This is done through:</p> <ol style="list-style-type: none"> <li>1. Posters: These pass on information on the candidates, time and venue of election. The WRUA members are thus made aware of an upcoming voting process.</li> <li>2. Annual General Meeting: The list of all eligible voters should be available for members to see and verify. The WRUA can carry out the election through secret ballot depending on each WRUAs constitution.</li> <li>3. SMS: The WRUA can also send information regarding the Election Day and time to members via SMS.</li> <li>4. Calendar of election events: The WRUA should display the important WRUA events in the office so that all members are aware of them.</li> </ol> <p><b>Step 2: Nominations</b></p> <p>Candidates express their interest in various positions. The WRUA should vet nominated candidates to ensure that they are people of integrity and qualify to hold the positions. Their credentials should be shared out well in advance to allow for verification if need be.</p> <p><b>Step 3: Campaigns</b></p> <p>The WRUA allows aspirants to conduct campaigns, sell their manifestos to members. Some of the tools that can be used by candidates to conduct campaigns are Posters, Facebook page, SMS etc</p> <p><b>Step 4: Voting</b></p> <p>The WRUA allows all WRUA members to vote for their preferred candidate.</p>

	<ol style="list-style-type: none"> <li>1. The WRUA should make the election procedures/ guidelines clear to all members before they start voting</li> <li>2. If voting is through secret ballot, there should be clear/transparent ballot boxes labelled for the different posts available for vying</li> <li>3. The WRUA should get a presiding officer from outside the WRUA to oversee the elections such as an unbiased WRA officer</li> </ol> <p>After voting, the WRUA should carry out one of the following steps;</p> <ol style="list-style-type: none"> <li>1. If it is secret ballot, ensure to seal the boxes after elections</li> <li>2. Open the boxes in front of all the members</li> <li>3. Pour out all the ballot papers on a table that has already been cleared</li> <li>4. With the help of other non-partisan members, open each vote, one at a time as you raise it up for all to see the name of the contestant who has been voted for</li> <li>5. Let there be someone else who will be tallying on a board as the votes are being counted</li> <li>6. Add up the total and announce the winner</li> </ol> <p>If it is through queue voting:</p> <ul style="list-style-type: none"> <li>▪ With the help of other non-partisan members, count the number of people standing in each contestants queue aloud</li> <li>▪ Add up the numbers and announce the winner</li> </ul> <p>If it is by show of hands:</p> <ul style="list-style-type: none"> <li>▪ Mention the name of the contestant and ask the members who are in favour of the particular candidate to raise their hands up</li> <li>▪ Count the number of hands raised</li> <li>▪ Double-check the number</li> <li>▪ Tabulate the results and record the number</li> <li>▪ Let the people raising their hands stand up and move to a different part of the room to avoid double voting</li> <li>▪ Repeat the same process for the other candidates</li> </ul> <p><b>NB:</b> The rules for voting should be clearly written in the constitution</p> <p><b>Step 5: Tallying and announcement of results</b></p> <p>The WRUA should tally and announce voting results in the open and immediately after voting is closed. A delay in announcing election results can diminish all the transparent methods in place, because it gives the appearance of impropriety. It is therefore essential that tabulation methods and voting results be open for observation to all WRUA Members and stakeholders.</p> <p><b>Step 6: Election complaints</b></p> <p>The WRUA should also encourage responding to election related complaints in an open and timely manner. It should also acknowledge problems with proper corrective action taken. An evaluation of the election activities should be conducted in a realistic manner, with election officials maintaining impartiality regarding the results of the election</p>
<b>Costs and requirements</b>	It depends on individual WRUA

## TOOL 2.8 WRUA CONSTITUTION

<b>What?</b>	The WRUA Constitution is a document with fundamental and enriched rules governing the conduct of the WRUA and establishing its concept, character and structure
<b>Why useful?</b>	<ul style="list-style-type: none"> <li>▪ It guarantees the most basic rights, including the right to existence as a WRUA, freedom to conduct activities, own property and to participate freely in the management and conservation of water resources.</li> <li>▪ It articulates the values for which a WRUA stands and the goals which it strives to achieve.</li> <li>▪ It actively promotes the equality of all WRUA members and prohibits unfair discrimination of any kind.</li> <li>▪ Provides for the rules to be followed during elections, how they are to be conducted and the period of tenure</li> <li>▪ It entrenches the right to practice and advocate for best practices in water conservation and management as legal entities.</li> <li>▪ It provides a blueprint for peace, justice and harmony in a WRUA.</li> <li>▪ It provides for the roles and responsibilities for the different committees including members and their membership category</li> </ul>
<b>How to develop and use it</b>	<p><b>Steps to follow in development of a WRUA Constitution</b></p> <p><b>Step 1: Gathering Information</b></p> <p>It is the initial step in developing a constitution. Encourage participation of everyone to enhance ownership of the constitution. Ideas on what the constitution should include are gathered and compiled. Also, examine other constitutions.</p> <p>The constitution answers the following questions:</p> <ul style="list-style-type: none"> <li>▪ What are the functions of a WRUA?</li> <li>▪ How would they want the WRUA to be managed?</li> <li>▪ Who runs the WRUA (Committees, Sub-committees and their composition and their roles and responsibilities?</li> <li>▪ For how long will the committee and sub-committee members be in office (elections)?</li> <li>▪ How often will the committee hold meetings?</li> <li>▪ In what format would they like to keep the records of their discussions?</li> <li>▪ What laws and regulations impact the functions of a WRUA and require strict compliance?</li> <li>▪ What types of governance dilemmas have we faced in the past, and what types could we possibly face in the future</li> <li>▪ Are there any governance “grey areas” that we need to address?</li> <li>▪ What other things would they want in their rules e.g. on financing, different types of membership etc.?</li> </ul> <p>The result of the information-gathering process should be the creation of an outline that serves as the foundation for the development of the constitution.</p> <p><b>Step 2: Creating a Draft Constitution</b></p> <p>Clear, concise language that is free of legal jargon and easy to understand for the WRUA members should be used.</p>

	<p>The draft constitution should include the following information:</p> <ul style="list-style-type: none"> <li>▪ Functions of the WRUA</li> <li>▪ Objectives of the WRUA</li> <li>▪ WRUA Organizational structure with clearly defined roles and responsibilities</li> <li>▪ Who has authority to make decisions on behalf of the WRUA</li> <li>▪ Financials: What funds can be used and how they should be accounted for</li> <li>▪ How to elect members and how long they can stay in office</li> <li>▪ How often meetings should be held and how they should be conducted</li> </ul> <p><b>Step 3: Draft Constitution Review</b></p> <p>Take the draft constitution through a comprehensive review process to ensure it complies with the parameters developed in the initial step.</p> <p>Share out the draft constitution to a targeted group of WRUA members and stakeholders who were not otherwise involved in its development process and incorporate their feedback appropriately.</p> <p>It is at this point that the WRUA presents a lawyer or a constitutions expert with the document to go through it and ensure legal compliance. Note that the legal practitioners' role is only advisory and NOT actual drafting.</p> <p>The reviewed draft constitution is presented to the WRUA members and stakeholders in a meeting where they are guided through the constitution, their feedback is taken and they give an approval.</p> <p><b>Step 4: Registration and approval</b></p> <p>The WRUA submits the constitution to the Attorney General Chambers for approval after signing by all WRUA members.</p>
	<p><b>Step 5: Introducing</b></p> <p>A wide-scale introduction and dissemination process of the constitution is key for its successful implementation. Its acceptance and implementation starts at the top of the organization and trickles down through its various levels. The WRUA leadership is responsible for unveiling the constitution and providing educational resources to execute it effectively.</p> <p>The WRUA chairperson or any other top official should unveil the constitution during a WRUA meeting. It is during this meeting that copies of the constitution are given to WRUA members. It is also important that it becomes the culture of the WRUA to be sharing it with any new member as part of the orientation package.</p> <p>Other effective educational resources for supplementing constitution rollout include newsletter articles, emails to all WRUA members and stakeholders, and the use of strategically placed posters in the WRUA office. Most importantly the constitution popular version which is a summary of the WRUA Constitution is an effective tool for introducing and disseminating the constitution</p> <p>A training on the Constitution is also important for ensuring WRUA members understand the contents of the constitution and how it should be implemented on a daily basis.</p> <p><b>Step 6: Code Enforcement</b></p> <p>This entails the actual implementation of the constitution. It entails transforming what is on paper into action.</p>
<b>Costs</b>	<ul style="list-style-type: none"> <li>▪ Legal/Constitutions expert fee</li> <li>▪ Design and printing charges</li> </ul>
<b>More info</b>	WDC 2014

## TOOL 2.9 CODE OF CONDUCT

<b>What?</b>	<p>A code of conduct is a statement of principles and values that establishes a set of expectations and standards for how the WRUA committee will behave, including minimal levels of compliance and disciplinary actions for the committee, its staff, and volunteers.</p> <p>A code of conduct should for instance at minimum include the committee's policies regarding conflicts of interest, giving or accepting gifts and facilitation payments.</p> <p>A Code of Conduct is also known as Code of Ethics or Code of Practice</p>
<b>Why useful?</b>	<ul style="list-style-type: none"> <li>▪ It acts as a central guide and reference for the day-to-day conduct of the WRUA management committee in decision-making.</li> <li>▪ It clarifies the committee's vision, mission, values, and principles which members of the WRUA must uphold, and links them with standards of professional conduct.</li> <li>▪ It encourages discussion about ethics and guides employees when dealing with ethical dilemmas, prejudices and grey areas of everyday work and life encounters.</li> <li>▪ It promotes moral behaviour (members) and organizational culture for the WRUA</li> <li>▪ It enhances the reputation of a WRUA</li> <li>▪ A code of conduct can offer a number of important cultural benefits for any organization including:             <ul style="list-style-type: none"> <li>○ Helping the organization achieve its long-term ethics goals</li> <li>○ Raising the "ethical bar" for the entire organization</li> <li>○ Fostering an ethical decision-making process at all levels of the organization</li> <li>○ Providing a solid framework for addressing ethical violations</li> <li>○ Creating a healthy dialogue regarding potential ethical issues the organization may face</li> </ul> </li> </ul>
<b>How to develop and use it</b>	<p>The WRUA Code of Conduct should include the following basic elements:</p> <ol style="list-style-type: none"> <li>1. A title that does not make the code sound overly formal</li> <li>2. Introductory letter from the WRUA Chairperson detailing the purpose of the code, its importance, and the benefits it has to WRUA members, the community and stakeholders</li> <li>3. Table of contents</li> <li>4. Preamble-expands upon the purposes and benefits outlined in the introductory letter</li> <li>5. WRUA's mission statement and/or statement of key values</li> <li>6. Definition of the code's scope – to whom it applies, when it applies and how it applies</li> <li>7. Appropriate behaviour examples as it relates to each code provision</li> <li>8. A framework providing a WRUA with guidance for making decisions and taking appropriate actions when faced with an ethical dilemma</li> <li>9. References to disciplinary actions in cases of code violations</li> </ol> <p>A truly effective code of conduct should be positive, values-based and serves as a guideline for appropriate behaviour instead of merely a list of rules and regulations that the members must obey at all costs.</p>



Below are 6 simple steps to follow when creating an effective code of conduct

### **Step 1: Gathering Information**

It is the initial step in developing a code of conduct. The WRUA compiles ideas on what the code should include. Examine the values listed in the mission, other codes of conducts.

The code answers the following 4 questions;

1. What are the things we would never do in our WRUA to get support or buy in from stakeholders or community members?
2. What laws and regulations affect our functions and require strict compliance?
3. What types of ethical dilemmas have we faced in the past, and what types could we face in the future?
4. Are there any ethical “gray areas” that we need to address?

When developing a code of conduct one should consider the following topics:

- Conflicts of interest
- Personal and professional integrity
- Stakeholder/community relations
- Confidentiality
- The result of the information-gathering process should be the creation of an outline that serves as the foundation for the development of the code.

### **Step 2: Creating the Draft**

Avoid choosing an attorney or other legal expert to create the draft document at this level as it often results in a code of conduct that is filled with a lot of legal language that may be difficult to understand for most people. Clear, concise language that is free of legal jargon should be used.

It is important to keep the language positive and convey benefits rather than dwelling on the negative implications. For instance, point out the advantages for the WRUA its members and stakeholders in not engaging in the negative activity.

### **Step 3: Draft Code of Conduct Review**

Take the initial code draft through a comprehensive review process to ensure it complies with the parameters developed in the initial step.

“Test drive” the code by submitting it to a targeted group of WRUA members and stakeholders who were not otherwise involved in the code development process and incorporate their feedback as appropriate.

It is at this point that the WRUA presents the document to a lawyer to go through and ensure legal compliance. Note that the legal practitioners’ role is only advisory and NOT actual drafting.

### **Step 4: Formal Adoption of the Code of conduct**

This involves presenting it before the WRUA’s management committee for approval. Its adoption legitimizes the code and expresses the WRUA’s sincere commitment to instilling an ethical culture.

### **Step 5: Introducing the Code**

A wide-scale introduction of a code of conduct is essential for its successful implementation. As a commitment to ethical behaviour starts at the top of the organization and trickles down through its various levels, leadership is responsible for unveiling the

	<p>code and providing educational resources to execute it effectively.</p> <p>The WRUA Chairperson or any other top official should unveil the code during a WRUA meeting. It is during this meeting that WRUA members are given a copy of the code. It is also important that it becomes the culture of the WRUA to be sharing it with any new member as part of the orientation package.</p> <p>Other effective educational resources for supplementing code rollout include newsletter articles, emails to all WRUA members and stakeholders, and the use of strategically placed posters in the WRUA office.</p> <p>Code training is also important for ensuring employees understand the code and how it should be implemented on a daily basis. Training methods can involve presenting WRUA members with potential scenarios and ethical dilemmas and instructing them to resolve these situations based on the language found in the code.</p> <p><b>Step 6: Code Enforcement</b></p> <p>This entails the actual implementation of the code of conduct. It entails transforming what is on paper into action.</p>
<b>Costs and requirements</b>	<ul style="list-style-type: none"> <li>▪ Legal/Constitutions expert fee</li> <li>▪ Design and printing charges</li> </ul>
<b>More info</b>	<p><a href="https://www.oecd.org/mena/governance/35521418.pdf">https://www.oecd.org/mena/governance/35521418.pdf</a></p> <p>Ethics Codes And Codes Of Conduct As Tools For Promoting An Ethical And Professional Public Service: Comparative Successes And Lessons (Stuart C. Gilman, Ph.D., 2015)</p>

### SAMPLE TEMPLATE FOR A CODE OF CONDUCT

Common provisions	Details
Title	Code of conduct and ethics for (Name of WRUA).
Introduction	Introductory letter from the WRUA Chairperson detailing the purpose of the code, its importance, and the benefits it has to WRUA members, the community and stakeholders.
Table of Contents	
Preamble-	Expands upon the purposes and benefits outlined in the introductory letter. It gives rules and guidelines that govern the behaviour of committee members and a framework within which members bind themselves in regards to their work, conduct and behaviour.
WRUA's mission statement and/or statement of key values	In addition to the WRUA's mission statement, vision and values, the general principles under which the WRUA members shall operate to ensure that the WRUA maintains high standards of integrity are given here.
Definition of the code's scope	<p>This section answers the questions:</p> <ul style="list-style-type: none"> <li>a) to whom does the code apply,</li> <li>b) when it apply and</li> <li>c) how it is applied?</li> </ul>
Abuse of office	Appropriate behaviour examples as it relates to each code provision
Work place harassment	Talks about what is considered as harassment e.g use of unwelcome, abusive, belittling or threatening behaviour to other members and any kind of sexually harassment to stakeholders or fellow WRUA member.

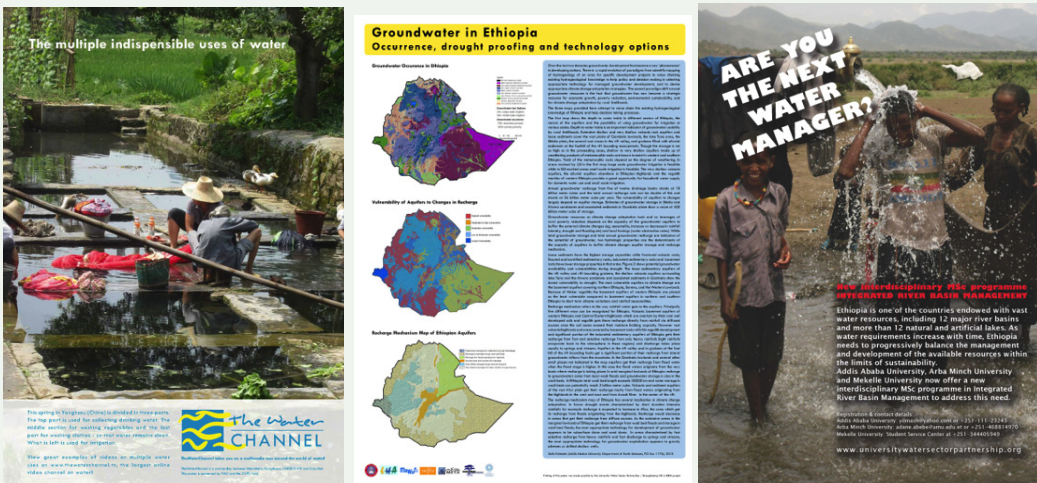
<p>A framework providing a WRUA with guidance for making decisions and taking appropriate actions when faced with an ethical dilemma</p>	<p>This section details what is to be considered to ensure that the WRUA enshrines the following components in and through the WRUA:</p> <p>Equal opportunity: Curbs direct or indirect discrimination of individuals on the ground of age, gender, race or disability.</p> <p>Good use of organization property: Encourages all members to take all responsible steps required to ensure that WRUA property that is entrusted to their care is adequately protected and not misused or misappropriated.</p> <p>Secure maintenance of WRUA records and information: Gives guidelines on what is to be done to ensure that WRUA information is safeguarded from removal, alteration, destruction and interference with material from files or documents and/or records without proper authorization.</p> <p>Avoiding conflict of interest: Talks about measures that help restrain members or the committees from giving favours to relatives, friends or associates in decision-making or provision of services.</p> <p>Gifts and gratuities-provision: Warns members against accepting gifts, benefits or favours where these may influence or may be seen to influence his or her decisions</p> <p>Punctuality/absenteeism: Emphasis is put on the need/importance of members being present at committee meetings in time and ensure they give out their very best effort during working hours, display a sense of urgency and endeavour to complete their assignments on time and avoid unnecessary delays.</p>
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## TOOL 2.10 WRUA ANNUAL GENERAL MEETING

<b>What?</b>	An annual general meeting (AGM) is a mandatory yearly gathering of WRUA members and interested shareholders.
<b>Why useful?</b>	<ul style="list-style-type: none"> <li>▪ It creates a positive sense of belonging and encourage WRUA members to participate in the functioning of the WRUA</li> <li>▪ Facilitates and encourages WRUA members to become better volunteers or undertake specific tasks in their WRUAs</li> <li>▪ Members who attend AGMs are more likely to follow the rules, pay their fees on time and be supportive of the WRUA activities and respect for the elected leaders</li> <li>▪ Inform WRUA members of previous and future WRUA activities</li> <li>▪ To present annual reports to WRUA members, shareholders and partners</li> <li>▪ Review fiscal information for the past year, and ask any questions regarding future undertakings of the WRUA on matters relating to WRUA governance</li> <li>▪ Making important decisions regarding strategies to be employed to improve WRUA governance</li> <li>▪ Firming up support from members and management (This could be both human and financial resources)</li> </ul>
<b>How to use it</b>	<p><b>Preparing your speech and presentations</b></p> <ul style="list-style-type: none"> <li>▪ <b>Beginning:</b> Start with an introduction that can grab the attention of the audience and set the tone of the speech. Examples: quick storytelling, a famous quotation, stating the issue and asking rhetorical questions to keep the interest of the audience, etc. While it is useful to thank sponsors and acknowledge their presence, that is if they are part of your audience, do not dwell on it so much. Avoid wasting much time on it.</li> <li>▪ <b>Middle:</b> This is the main content and substance of your speech, which should be organized and logical. If your speech is a bit long, infuse some jokes or short and amusing story about a real incident or person that relate to your speech, etc.</li> <li>▪ <b>End:</b> The conclusion is normally what listeners remember. A good conclusion can also build excitement in a listener and serve as a successful call to action; includes a brief statement/summary of the main points of the speech that is presented in a more memorable way.</li> </ul> <p>The organization of a speech or presentation depends on what the speaker is most comfortable with, and what is more appropriate to the type of audience.</p>
<b>Costs</b>	Free
<b>More info</b>	Victoria, January 2012, A guide to Holding a successful annual general meeting for your owners corporation <a href="http://vbcs.com.au/wp-content/themes/thalassa/pdf/A%20guide%20to%20holding%20a%20successful%20Annual%20General%20Meeting%20for%20your%20owners%20corporation.pdf">http://vbcs.com.au/wp-content/themes/thalassa/pdf/A%20guide%20to%20holding%20a%20successful%20Annual%20General%20Meeting%20for%20your%20owners%20corporation.pdf</a>

### 3. OTHER TOOLS

#### TOOL 3.1 POSTERS

<b>What?</b>	A large printed paper used to get your message across
<b>Why useful?</b>	<ul style="list-style-type: none"> <li>When placed on a strategic place, posters can reach a wide audience and they have the advantage that the audience can read them in their own way, taking as much time as needed. Posters get a large amount of attention for a relatively low investment. They are easy to develop which makes it also easy to keep them up to date. In awareness raising campaigns, WRUAs can use posters to share information or to trigger discussion. There are roughly three types of posters (combinations can be used as well):</li> <li>Participatory setting, open interpretation posters, which focus on invoking discussion and lead to creative thinking.</li> <li>Educational posters usually share a lot of information and details. They are meant for a closer look.</li> <li>Promotional posters are clear to the viewer at a glance and they often have one large slogan and few details.</li> </ul>
	 <p>The image shows three posters side-by-side. The left poster is titled 'The multiple indispensable uses of water' and features a photograph of people using a traditional water-lifting device (saqi) in a rural setting. The middle poster is titled 'Groundwater in Ethiopia: Occurrence, drought proofing and technology options' and contains several maps of Ethiopia showing groundwater distribution and recharge. The right poster is titled 'ARE YOU THE NEXT WATER MANAGER?' and features a photograph of a person holding a large water container, with text promoting a new interdisciplinary MSc programme in Integrated River Basin Management.</p>
	<ul style="list-style-type: none"> <li>Using a picture offers room for discussion (left)</li> <li>Educational poster on groundwater in Ethiopia (middle)</li> <li>Promotional poster to attract new MSc students (right)</li> <li>Posters can be used to improve governance and advocacy of the WRUA through sharing information on: <ul style="list-style-type: none"> <li>Vision / mission / values</li> <li>WRUA key activities / mandate</li> <li>Organogram</li> <li>Election process chat, dates, rules and guidelines</li> <li>Budget and expenditures</li> </ul> </li> </ul>

<b>How to develop and use it</b>	<ul style="list-style-type: none"> <li>▪ Think about the purpose the poster should serve. Keep in mind that the art is a tool to disseminate your message, not a purpose on its own.</li> <li>▪ Think about reader gravity, which is the phenomenon that readers tend to read in their own language-specific way. Readers' eyes in Western countries are pulled from top to bottom and from left to right. In this case, the upper left corner receives the most attention.</li> <li>▪ Put emphasis on the main message. It needs to be seen on the first sight: Use big letters, symbols or figures.</li> <li>▪ Minimize text whenever possible</li> </ul>
<b>How to develop and use it</b>	<ul style="list-style-type: none"> <li>▪ When doing text, answer the questions Who? What? When? Where? Why? And How? At the beginning.</li> <li>▪ Use a simple style with simple graphics</li> <li>▪ Make sure your message is simple and clear</li> <li>▪ Use a large font size, white spaces to organize your poster, appropriate colours (not too much) and check your spelling</li> <li>▪ Include contact information</li> <li>▪ Think about the material that you will print the poster on. Vinyl, for example, is waterproof and easy to carry along. It even allows writing on it with non-permanent markers, which is useful in trainings.</li> </ul>
<b>Requirements and costs</b>	<p>Ranges between 50 to 1000 KSH per poster if you get them printed, depending on size, material and number of copies. If you make them manually, for example for the announcement of 1 event, you can also use manila paper or cloth and markers.</p>

## TOOL 3.2 BROCHURES / FLYERS BASIC

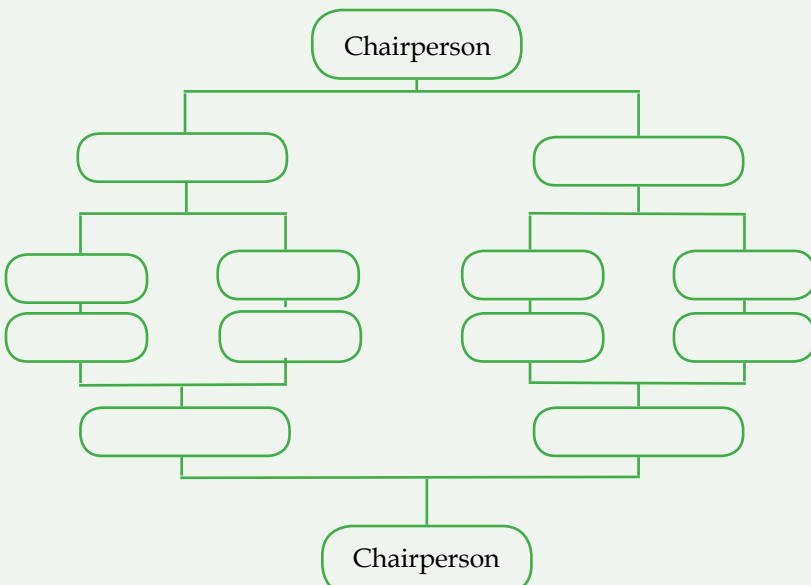
<b>What?</b>	An informative paper document (often also used for advertising) that can be folded into a template, pamphlet or leaflet.
<b>Why useful?</b>	<ul style="list-style-type: none"> <li>▪ Are promotional documents</li> <li>▪ Introduce and enhance WRUA advocacy activities</li> <li>▪ Introduce, share and enhance messages that improve WRUA governance</li> <li>▪ Share information on governance and advocacy issues/topics</li> </ul>
<b>How to develop and use it</b>	<ul style="list-style-type: none"> <li>▪ Plan your brochure for AIDA (Attention, Interest, Desire, and Action)</li> <li>▪ Place information that is relevant to your target audience on the cover page. Your brochure needs to focus on the benefits they will enjoy by associating with you.</li> <li>▪ Use benefits-oriented headlines inside your brochure, too.</li> <li>▪ Use bullet points to focus on the key features</li> <li>▪ Tell them what you want them to do after reading the copy</li> <li>▪ Give them a reason to act now</li> <li>▪ Make it easy to respond. Be sure your WRUA name, phone number and Facebook page are easily found in the brochure</li> </ul> <p>These forms are also very useful in information dissemination, especially to the public. To implement this at larger scale, it is advisable to cooperate with skilled writers / editors (e.g. through collaborating with NGOs and having reliable allies).</p>
<b>Costs</b>	20 shillings per piece
<b>More info</b>	<a href="http://www.businessknowhow.com/directmail/ideas/brochures.htm">http://www.businessknowhow.com/directmail/ideas/brochures.htm</a>



## TOOL 3.3 PHONE CALLS

<b>What?</b>	Using telephone for discussion
<b>Why useful?</b>	A telephone call is the best alternative for a face-to-face meeting. It allows you to take care of business on the spot. By having a conversation you can also immediately take temperature of the other persons attitude.
<b>How to develop and use it</b>	<p><b>Conversational call</b></p> <ul style="list-style-type: none"> <li>▪ Prepare your phone call by summarizing your message and thinking about the desired outcome</li> <li>▪ Think about timing. Make sure both you and the other person have enough time to discuss the matter. Replace yourself in the other person's daily activities (think about milking cows, picking up kids from school, etc.) to ensure convenient timing. Always ask at the beginning of the call, if your call comes at an appropriate moment for the other person. If not, reschedule a conversation right away.</li> <li>▪ Make notes during the phone call</li> <li>▪ Give time to the other person to respond</li> <li>▪ Summarize the conversation at the end in 2 or 3 lines</li> <li>▪ Close the call with follow up action points (if relevant)</li> <li>▪ If the person could not be reached, you can leave a voice message on the voice mail (if activated) to announce your call and the purposes of it</li> </ul> <p><b>Informing the WRUA through telephone trees</b></p> <ul style="list-style-type: none"> <li>▪ The WRUA can use telephone calls to inform people quickly e.g calling for meetings. In this case, you can set up a telephone tree to ensure the WRUA spreads the message quickly (see diagram).</li> <li>▪ The chairperson should be at the top followed by the subcommittee members and then the members below the subcommittees. As new members join the WRUA, the WRUA adds their names and numbers at the bottom of the tree. Each member should have a copy of the telephone tree kept safely but easily accessible.</li> <li>▪ When anyone in the WRUA has information he/she activates the telephone tree by calling the chairman</li> <li>▪ Each person in the tree is to call the names below him or her on the tree. If someone does not pick up then call the next person on the list.</li> <li>▪ Last person calls the chairperson. This is to ensure that the circle of communication is complete.</li> </ul> <p><b>WRUA Call centre</b></p> <p>If the WRUA is large enough and has the capacity, it could be valuable to set up a dedicated office space to handle a large volume of telephone calls, especially for taking orders and providing customer service. Call centres ensure better service delivery to citizens and other stakeholders. In a WRUA, a call centre can ensure improved water resources management efficiency through enhancing accountability and responsiveness of the community members. It enables community members to report mismanagement and misuse of water resources at the grass-roots for WRUAs to take action.</p>



	<p><b>Example of telephone tree</b></p>  <pre>graph TD; A[Chairperson] --&gt; B1[ ]; A --&gt; B2[ ]; B1 --&gt; C1[ ]; B1 --&gt; C2[ ]; B2 --&gt; C3[ ]; B2 --&gt; C4[ ]; C1 --&gt; D1[ ]; C1 --&gt; D2[ ]; C2 --&gt; D3[ ]; C2 --&gt; D4[ ]; C3 --&gt; D5[ ]; C3 --&gt; D6[ ]; C4 --&gt; D7[ ]; C4 --&gt; D8[ ]; D1 --&gt; E[Chairperson]; D2 --&gt; E; D3 --&gt; E; D4 --&gt; E; D5 --&gt; E; D6 --&gt; E; D7 --&gt; E; D8 --&gt; E;</pre>
<b>Costs and re-quirements</b>	<ul style="list-style-type: none"><li>▪ Members need to have (simple) telephones and network coverage.</li><li>▪ Costs per conversation are low, around 10 KSH</li></ul>

## TOOL 3.4 SMS (SHORT MESSAGE SERVICE)

<b>What?</b>	A texting messaging service on mobile telephones.
<b>Why useful?</b>	<p>Texting is commonly used for information dissemination. Kenyan NGOs such as Transparency International-Kenya have used this to mobilize indigenous communities and supporters around campaigns against corruption, violations, poor governance etc.</p> <p>WRUAs can use SMS to:</p> <ul style="list-style-type: none"> <li>▪ To share internal event details e.g. a call for meetings</li> <li>▪ To share important information on conservation activities in the basin</li> <li>▪ To publicize upcoming activities and events</li> <li>▪ To increase visibility</li> <li>▪ To increase awareness on the roles of WRUAs in the sub-catchments</li> <li>▪ To mobilize large groups</li> <li>▪ To alert inhabitants to floods</li> </ul>
<b>How to develop and use it</b>	<ul style="list-style-type: none"> <li>▪ From your own mobile phone, you can send out messages to contact persons in your own telephone contacts book. To address a larger group, for example the steering committee in your WRUA, you can use the functionality group SMS. This way, you only type your message once, while sending it to multiple contacts at the same time.</li> <li>▪ Messages can be up to 140 characters. Use simple and clear language</li> <li>▪ The WRUA can use Bulk SMS to mobilize a large group in the area. Some mobile providers offer packages that allow you to send out a message to everyone that is within reach of certain telephone towers.</li> <li>▪ Make sure your messages are appropriate</li> <li>▪ Be creative. Use bulk SMS to promote your WRUA, e.g. "Happy New Year on behalf of ...WRUA"</li> <li>▪ Don't use it too frequent as people will then take your SMS less seriously</li> <li>▪ Note: for public events that are being organized by use of SMS – Start 2 weeks before the event day. Harness the power of your connected WRUA members, family and friends by messaging them directly.</li> <li>▪ Share your website or social media for more details or to register.</li> </ul>
<b>Costs and requirements</b>	<ul style="list-style-type: none"> <li>▪ A simple telephone (does not need to be a smartphone)</li> <li>▪ 1 shilling per SMS and there are also packages for many SMS e.g. 10 shillings for 200 SMS</li> </ul>
<b>More info</b>	<p>A wide range of services at various providers is available. Safaricom offers for example:</p> <ul style="list-style-type: none"> <li>▪ 20 messages for 5 Ksh</li> <li>▪ 700 message during a period of 7 days for 50 Ksh</li> </ul> <p>These Safaricom options can be found by dialling *188#</p>

## TOOL 3.5 LETTERS

<b>What?</b>	A hand written or typed communication addressed to a person or organization and delivered via post or through hand delivery.
<b>Why useful?</b>	<ul style="list-style-type: none"> <li>▪ To highlight a specific topic to an individual</li> <li>▪ Call for meetings</li> <li>▪ To increase the visibility of the WRUA</li> <li>▪ Resource mobilization</li> </ul>
<b>How to develop and use it</b>	<ul style="list-style-type: none"> <li>▪ Develop a template (see below) that includes the WRUAs details in the header/footer, include</li> <li>▪ Make creative use of the opportunity, include slogan or combine other announcement.</li> <li>▪ Do not write too much – If they contain so much information nobody bothers to read them, they are not doing any good.</li> <li>▪ Make sure that the letter is addressed appropriately</li> <li>▪ Use official language and avoid grammatical errors</li> <li>▪ Read through before sending</li> </ul>
<b>Costs and requirements</b>	<ul style="list-style-type: none"> <li>▪ Postal charge for the stamps. Its dependent on the posting distance</li> <li>▪ Email will need used of bundles or cyber café charges</li> <li>▪ Hand deliver will be the transport cost of person making the delivery</li> </ul>
<b>More info</b>	<a href="http://writing.wisc.edu/Handbook/BusinessLetter.html">http://writing.wisc.edu/Handbook/BusinessLetter.html</a>

## TOOL 3.6 EMAIL

<b>What?</b>	Sending digital messages with a computer (or tablets / mobile phones).
<b>Why useful?</b>	<p>Emails are the most common used way of communication by NGOs, Government agencies and international organizations. WRUAs can use it to:</p> <ul style="list-style-type: none"> <li>▪ Highlight a specific topic to an individual or group</li> <li>▪ Call for meetings</li> <li>▪ To increase the visibility of the WRUA</li> <li>▪ Resource mobilization</li> </ul>
<b>How to develop and use it</b>	<ul style="list-style-type: none"> <li>▪ As a WRUA, you can set up an email address that will be used for official mailings, e.g. nameWRUA@gmail.com</li> <li>▪ Ensure that you have the right email address in the 'send to' box. This the main person that you are addressing</li> <li>▪ If you need to the share the same mail to other recipients just to make them aware of what is going on, then type their email address in the cc box.</li> <li>▪ The subject of the mail should be short and clear</li> <li>▪ Do not write too much in the body- If they contain so much information nobody bothers to read them, they are not doing any good.</li> <li>▪ The WRUA may write additional information in a Microsoft Word document attached to the mail.</li> <li>▪ Where you have an attachment make it clear in the main mail</li> <li>▪ Make sure that the letter is addressed appropriately</li> <li>▪ Use correct language and avoid grammatical errors. At the same time, do not be too official as email is in general less formal compared to letters.</li> <li>▪ Read through before sending</li> <li>▪ Make creative use of the opportunity, include slogan or combine other announcement at the bottom of the mail after signing off</li> </ul>
<b>Costs and requirements</b>	<ul style="list-style-type: none"> <li>▪ Access to computer</li> <li>▪ Email address</li> <li>▪ Internet access (can be bought through bundles or accessed at cyber café)</li> </ul>
<b>More info</b>	How to setup a Gmail address: <a href="https://www.digitalunite.com/guides/email/how-create-gmail-account">https://www.digitalunite.com/guides/email/how-create-gmail-account</a>

## TOOL 3.7 CONNECT TO WRUA ACTIVITIES

What?	These are activities organized by WRUAs for awareness creation, e.g tree planting, river cleaning and other conservation activities. This also addresses non-conservation activities like biking, marathons and village walks.
Why useful?	<ul style="list-style-type: none"> <li>▪ To highlight a specific topic to a large audience</li> <li>▪ To increase the visibility of the WRUA</li> <li>▪ Awareness creation</li> <li>▪ Alliance building</li> </ul>
How to develop and use it	<p>Once you have decided as a WRUA that this is what you want to do, identify who can help you on e.g. publicity, artwork etc. Also, include partner organizations.</p> <p><b>Preparations</b></p> <ul style="list-style-type: none"> <li>▪ Set up an organizing team that will address the following questions:</li> <li>▪ The goal of the event. From this you can come up with a theme</li> <li>▪ What do we want those coming to know/do/experience?</li> <li>▪ Ask yourself what it is that make people to participate in the activity. Did a majority of members decide or was it one person's idea?</li> <li>▪ When to hold the event: Is there sufficient time to organize and publicize it adequately? Does it coincide with other important events</li> <li>▪ Resources needed: Come up with an indicative budget: What resources can we muster for this event or meeting? Who else can help? Can we piggy bank it on other events? Do we charge or is it free entry?</li> <li>▪ Are there any possible legal aspects, such as acquisition of permits?</li> <li>▪ Develop an action plan: this will help to check periodically that things are on schedule.</li> </ul> <p><b>Who to invite and how</b></p> <ul style="list-style-type: none"> <li>▪ Invite everyone and publicize it widely so everyone has a chance to get involved.</li> <li>▪ To create a buzz about the event use all communication tools available to you; bill boards, radio, Facebook, word of mouth, barazas etc.</li> <li>▪ As you send out invites, keep in mind the objective and target audience – let the audience know what they will get out of attending.</li> </ul> <p><b>Organize a venue and consider:</b></p> <ul style="list-style-type: none"> <li>▪ Size – Is it adequate for your activity; Can you demonstrate everything you want to at the site?</li> <li>▪ Suitability of furniture and facilities – number of chairs and tables, comfort, equipment availability, power availability</li> <li>▪ Location – Is it near your project? Easy to find?</li> <li>▪ Access to refreshment facilities and toilets if it is a full day activity</li> <li>▪ Space for displays and other information</li> <li>▪ Occupational, safety and health hazards – undertake a site inspection prior to the event</li> <li>▪ Transport if needed</li> </ul>

- Traffic management (in cases of runs, walks or bike rides)
- Shade and shelter for participants
- Public address system
- Contingency plans for wet weather

#### **Set a date and time**

- For a small event, two weeks' advance notice.
- For big events, give 4-5 weeks' notice and request for confirmation of attendance. Follow this up 3-5 days before the event with a phone call or further general publicity.
- Consider the use of a 'telephone tree' to share the load or focus on people you think are critical to the success of your project. Sending out personally addressed invitations works well.
- Avoid clashes with other events or major projects.

#### **Contact and relations building**

Remember to have an attendance list for people to leave their name, address, and phone number. Also, ask for the names of those who could not come but want to be kept in contact. Also consider:

- Having ushers to hand out an information package, or gather registrations.
- A notice board with 'Welcome' and critical information posted underneath, such as the schedule, location of displays, toilets, refreshments etc.
- Making the process as inclusive as possible
- Using inclusive activities or methods to run the event and always strive to encourage participation
- Providing time for feedback at critical points as the event progresses and at the end.

#### **Tempo and timing**

To keep energy levels high, think about the order and length of activities:

- Allow sufficient time for breaks and social time/networking, particularly for long meetings
- Do not try to do too much or fit in too many speakers
- For meetings, consider how long people are sitting down – the average concentration span is about 20 minutes for any one topic. Do not have people sitting for more than an hour at a time.
- For field days, consider how long people will be able to stand in one place and how long it will take to move between sites

#### **Acknowledgements**

- Acknowledge all contributions on the day with public and personal thanks, including participants as well as the people who made it possible
- Send thank you notes to speakers, hosts, helpers, sponsors etc.
- Consider a gift for participants, such as a native tree

#### **Partnership**

- Structure the activity/event in such a way that your WRUA is a part of the group rather than always in charge. Invite feedback on your ideas or alternative

	<p>options. Consider what the local people are getting out of attending, not just your own needs. Think partnership!</p> <p><b>Planning your evaluation</b></p> <ul style="list-style-type: none"> <li>▪ Consider how you will evaluate your Activities/event at the design stage. Be specific about exactly what you want to review or evaluate, as this will help you decide the best way to go about it.</li> </ul>
Costs	Varies depending on the size of the event and partnerships
More info	<a href="http://www.doc.govt.nz/get-involved/run-a-project/community-project-guidelines/organise-meetings-and-events/">http://www.doc.govt.nz/get-involved/run-a-project/community-project-guidelines/organise-meetings-and-events/</a>



## TOOL 3.8 MASS MEDIA

What?	Any of the means of communication, as radio, television or newspapers, that reach very large numbers of people
Why useful?	<p>To highlight a specific issue/topic to very large numbers of people</p> <ul style="list-style-type: none"> <li>▪ Call for meetings</li> <li>▪ Announce upcoming WRUA activities</li> <li>▪ To intensify alliance building efforts</li> <li>▪ Create awareness, influence trends and introduce new concepts.</li> <li>▪ Garner support from the public</li> </ul>
How to develop and use it	<p><b>How to get space in the various tools under mass media i.e. radio, television and newspapers</b></p> <ul style="list-style-type: none"> <li>▪ The WRUA may do this in response to an invitation from the mass media companies or WRUA members proactively engaging the mass media companies to get an opportunity to address the public.</li> <li>▪ When approaching the organizers of the programs running on mass media tools to request for space, there is need for the WRUA to align its message with the current topics/issues being discussed to avoid being out of context. Show the relevance/importance of what you need to share and the value it adds to the community</li> <li>▪ Make no assumptions that you will automatically be given space, so make requests early in advance</li> <li>▪ Prepare and rehearse for the radio or TV show/interview</li> <li>▪ Do thorough research about the subject to be discussed, get the facts right.</li> </ul> <p>NOTE: Ensure you have written the time, date, length of the interview and any other details on your calendar for radio and TV. If you miss a scheduled interview or have to cancel or reschedule an interview, you risk losing it forever.</p>
Costs and requirements	Are normally costly. But as a WRUA you can negotiate free sessions like the mazingira programs where community people are invited to talk about the environment
More info	<a href="http://www.authorsandspeakersnetwork.com/radioguest.html">http://www.authorsandspeakersnetwork.com/radioguest.html</a>

**ANNEX 8: TRAINING COURSE EVALUATION FORM**

WRUA Name: .....

1. Please indicate if you feel the objectives of the workshop have been satisfactorily met (please tick the appropriate box)  

Very satisfied	<input type="radio"/>
Satisfied	<input type="radio"/>
OK	<input type="radio"/>
Not Satisfied	<input type="radio"/>
Very Unsatisfied	<input type="radio"/>
2. Did the workshop meet your expectations?  
Yes ☐ No ☐
3. What did you find as the most useful part of this training? Why?
4. What do you consider to be the least useful part of the workshop? Why?
5. Please comment on the length of the training period (too long, too short, etc).
6. What would be the best length and why?
7. How relevant was this workshop to the kinds of problems and issues that you face in the WRUA?
8. Are there any comments, suggestions that you would like to make about this course?



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