

Lesson 5: Governance and Community Based Approaches

Topics covered in this lesson

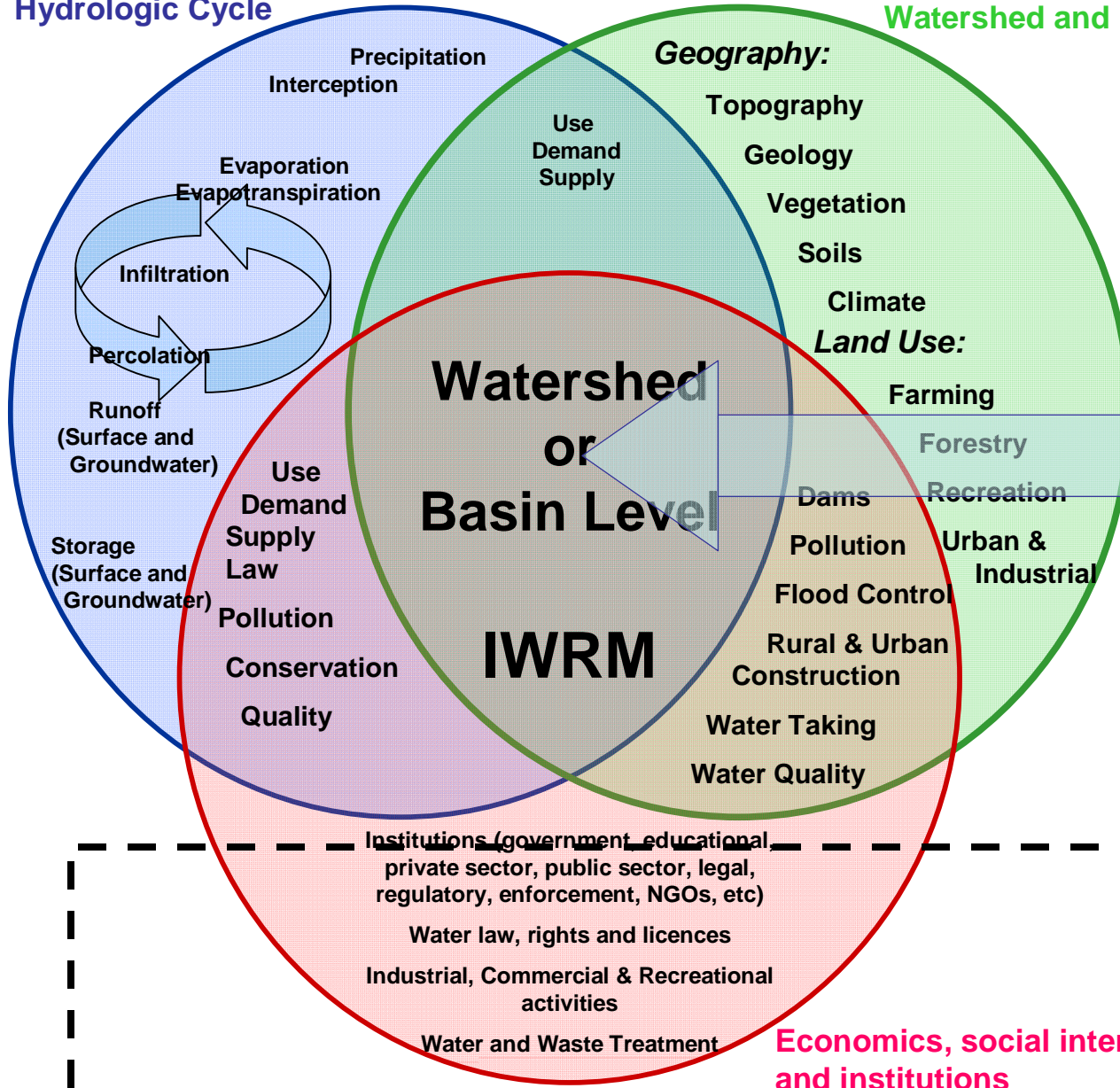
- # A quick revision of what is IWRM
- # What is good governance
- # Role of Community participation in good governance
- # Gender Equality
- # Conflict resolution/prevention
- # Relevance of IWRM/Governance to leadership

Revision

What is Integrated Water Resource Management?

Hydrologic Cycle

Watershed and Land Use



External Impacts

- Global Climate Changes
- Water transfer between watersheds
- Movement of people and human activity
- Atmospheric pollution

← This lecture's focus

Revision cont'd ...

- # What is Integrated Water Resource Management?
- # Ecological Principle
- # Institutional Principle
- # IWRM Principle

WWDR II



*...water
transcends
national
boundaries and
must be
managed
cooperatively
and equitably,
using the best
science
available*

Key messages:

- # *The emerging water culture is about sharing water: IWRM looks for a more*
 - *effective and equitable management of the resource through increased cooperation.*
 - *Bringing together institutions leading with surface water and aquifer resources, calling for new legislative agreements all over the world,*
 - *Increasing public participation and exploring alternative dispute resolutions are all part of the process.*

source: WWDR II

What is Governance



- # *Governance* is the process in which stakeholders communicate their interests, their input is absorbed, decisions are taken and implemented, and decision makers are held accountable

What is Governance?

- # *Governance* - the process in which stakeholders communicate their interests, their input is absorbed, decisions are taken and implemented, and decision makers are held accountable
- # Since institutions are created through repeated social practices, governance of these institutions is a practice that regulates social behavior.

Governance

- # "the act or process of governing, specifically authoritative direction and control"
- # It refers to how the organization controls its actions
- # Mechanisms to ensure that constituents follow established processes and policies
- # Primary means of maintaining oversight and accountability in a loosely coupled organizational structure
- # Proper **governance** strategy implements systems to monitor and record what is going on, takes steps to ensure compliance with agreed policies, and provides for corrective action in cases where the rules have been ignored or misconstrued



Governance

World Bank definition

"Good governance is epitomized by predictable, open and enlightened policy-making, a bureaucracy imbued with a professional ethos acting in furtherance of the public good, the rule of law, transparent processes, and a strong civil society participating in public affairs.

Poor governance (on the other hand) is characterized by arbitrary policy making, unaccountable bureaucracies, unenforced or unjust legal systems, the abuse of executive power, a civil society unengaged in public life, and widespread corruption."

Governance

British Council definition

"Governance involves interaction between the formal institutions and those in civil society.

Governance refers to a process whereby elements in society wield power, authority and influence and enact policies and decisions concerning public life and social upliftment."

Governance

- # **Domestic governance** : local/national level; between agencies and organizations within the country
- # **International governance** : between countries (governments and nongovernment organizations); mechanism of governing relations and actions within the international community (not limited to government relations)
- # **Trans-governmental governance**: between governments; Transgovernmental network is defined as a group of sub-units of governments which collaborate with one another to solve a certain common issue, with shared values, understandings about issues, policy goals, and policy tools across governmental boundaries.

Why Good Governance

- # Enforcing rules
- # Adapting rules as required
- # Mediating conflict
- # Building trust and legitimacy
- # Ensuring accountability



Water Governance

- # *Water governance* - the range of political, organizational and administrative processes through which communities articulate their interests, their input is absorbed, decisions are made and implemented, and decision makers are held accountable in the development and management of water resources and delivery of water services.

Options for Effective and Improved Governance

- # ***Regulatory mechanisms*** - legislation backed by tax incentives (details discussed in the economics section)
- # ***Voluntary mechanisms*** - there are three types of voluntary mechanisms:
 - Unilateral commitments
 - Public voluntary programs
 - Negotiation agreements
- # ***Market mechanisms*** (details discussed in the economics section)

Why Have Water Laws?

- # Ensure responsible use
- # Prevent overuse that may lead to habitat destruction
- # Ensure that the diluting capacity of water bodies and aquifers is maintained
- # Provide mechanisms to deal with water during extreme events (floods and droughts)
- # Provide a legal framework to achieve water use objectives and prevent conflicts between different water uses

The Government's Role:

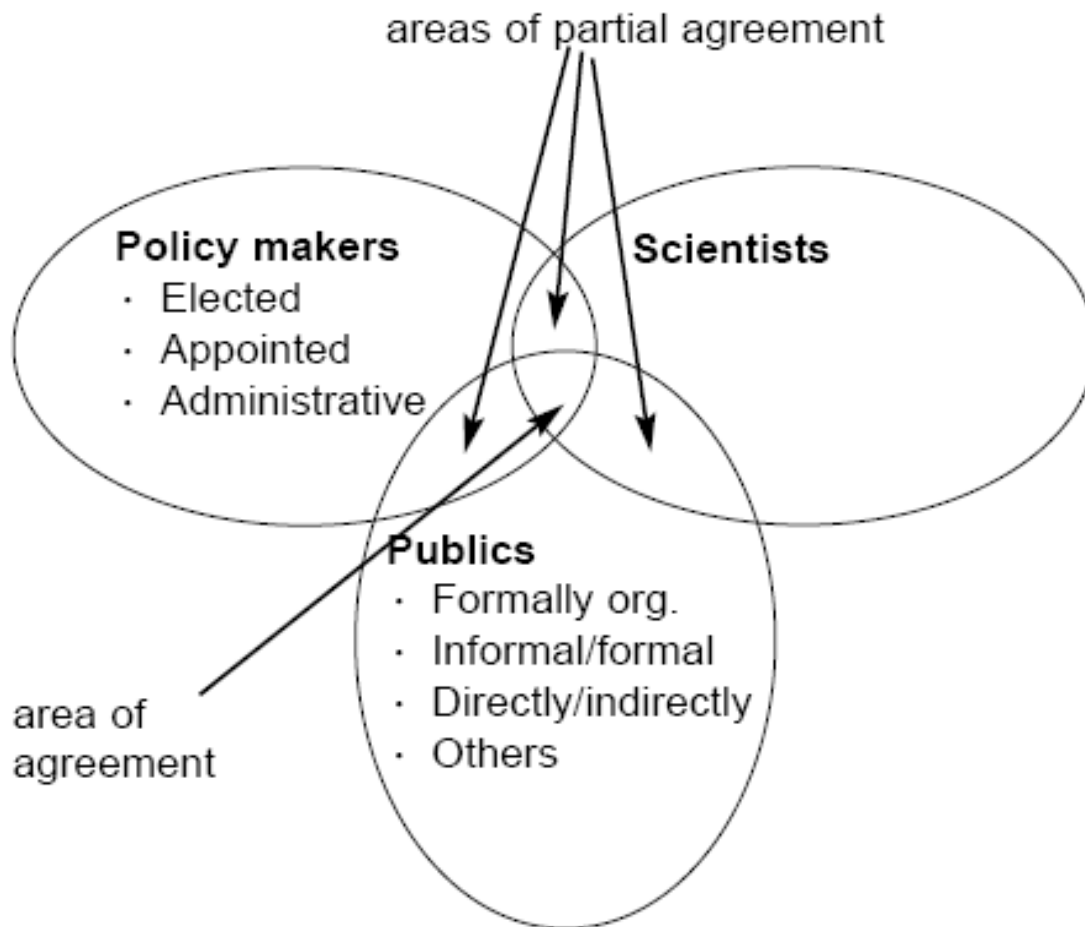
- # Implement water management regimes
- # Minimize disputes over water
- # Develop mechanisms to resolve disputes
- # Prevent pollution
- # Set policy in place to ensure access to water resources

Steps in Developing Policy

- # Determine if problems are real or perceived
- # Verify the extent of the problem, particularly the time and space involved
- # Focus on hot spots as an early indicator
- # Recognize social costs, balance the benefit of reducing pollution with the cost of achieving reduction

Forms of Governance

- # Top down
- # Bottom up
- # Hybrid



Community Based Approaches



"Local people know how to get out of their own mess because they live in it."

Although **outsiders** have good intentions to help, it takes them much longer to understand the local conditions and come to a sustainable solution without involving local community.

Definitions



- # ***Community*** - residents living in a particular area
- # ***Participation*** - a process through which stakeholders influence and share control over the development initiatives, decisions and resources which affect them

Definitions

- # ***Community Participation*** - a process based on dialogue with a community to identify its problems and possible solutions that, ultimately, empowers communities
- # ***Stakeholders*** - those who are affected by or those who can affect the outcome of a proposed intervention

Who are the stakeholders?

How to identify them?

To involve the right people in the project, **stakeholders identification** is crucial and can begin by asking questions like:

- Who might be positively or negatively affected?
- Who are the "voiceless" for whom special efforts may have to be made?
- Who are the representatives of those likely to be affected?
- Who is responsible for what is intended?
- Who is likely to mobilize for or against what is intended?
- Who can make what is intended more effective though their participation or less effective by their non-participation or outright opposition?
- Who can contribute knowledge, technical or financial resources?

Why Community Participation?

- # ***Efficient*** - with the community's help, essential information that may not be known otherwise is made available and important issues identified quickly - (**Local Knowledge**)
- # ***Financially beneficial*** - costly mistakes and obstructions may be avoided
- # ***Interactive*** - helps build up the community's commitment to and continuing involvement with initiatives
- # ***Ethical*** - in a world that calls for more justice and respect for human rights

Levels of Stakeholder Involvement

Techniques	Participation
Top-Down - from experts # Public information, Hearings	# Listening, observing
Hybrid - experts and decision makers listen to other opinions # Conference, Task force, Workshop	# Reviewing, advising
Participatory - from stakeholders # Participatory Rural Appraisal # Mediation	# Local cooperative or joint decision making

Ensure Community Participation

- # Leadership needed to cultivate an environment to support participatory approach

Two main ingredients for effective public participation are:

- Leadership
- Teamwork

A good leader must be able to perform a number of roles, including:

- Facilitator
- Meeting Manager
- Progress Documenter
- Innovator
- Data and Information Gatherer
- Presenter
- Motivator
- Task Performer
- Networker

Quantitative Indicators of Participation:

- # Improved and more effective service delivery
- # Greater numbers of project-level meetings and higher attendance levels
- # Higher percentage of different groups attending meetings (e.g. women, landless)
- # Greater numbers of direct project beneficiaries
- # Increased project input take-up rates
- # Greater numbers of local leaders assuming positions of responsibility
- # Greater numbers of local people acquiring positions in formal organizations
- # Greater numbers of local people involved in different stages of the project

Qualitative Indicators of Participation:

- # Organizational growth at the community level
- # Growing solidarity and mutual support
- # Knowledge of the project's financial status
- # Desire to be involved in decision making at different stages
- # Project group is increasingly able to propose and undertake actions
- # Representation in other government or political bodies with relation to the project
- # Emergence of people willing to take on leadership
- # Interaction and the building of contacts with other groups and organizations
- # People begin to have a say in and to influence local politics and policy formulation

Characteristics of Community based approaches

- # People centered
- # Community oriented
- # Resource based
- # Partnership based
- # APPROACH

- Is to focus on community but also to recognize the need for horizontal and vertical links to sustain such action.

Gender Equality

- # Gender in projects
- # Impacts on women
- # Evaluation and feedback by women

Why Gender in Water Projects?

Examining gender roles in water projects leads to an understanding that *women already are managers of water*, they:

- Retrieve the water in most places
- Use the water at home

This understanding will:

- Improve the economy
- Benefit children
- Empower women



Successful gender-sensitive approaches:

- # Bring women into management and policy making in order to hear their opinions.
- # *Focus on men AND women* and not just on women.
- # Form the basis of water resources development and management



Is a Project Gender Sensitive?

CHECKLIST

- # Who has access to information and knowledge?
- # Who does the physical work?
- # Who makes the decisions?
- # Who gets the benefits, such as water, training, income, and jobs, as a result of the projects?
- # Who controls the benefits, services, income, training, and access?
- # Who conducts the project?



Problems with Involving the Community



- # Arranging participation and cooperation of large and diverse groups of people
- # Making a great deal of time available for extensive rounds of consultations and discussion
- # Ensuring that participants fully understand the issues, including the technical and scientific implications of options and proposals
- # Requires significant capacity building and dependent on external facilitation and support.

Conclusion

- # Participation is an *ongoing process*.
- # Community participation must go beyond participation to *community management*.

Conflict Resolution and Good Governance



UNITED NATIONS
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Transboundary Issues

Water crosses border

- Nature has no respect for man-made physical boundaries of countries
- It transfers pollutants
 - DDT from Asia to North America (Northern Territories)
- Raises questions such as: does a country have sovereign right over water when it passes through its territory

“Rivers have a perverse habit of wandering across borders . . . and nation states have a perverse habit of treating whatever portion of them flows within their borders as a national resource at their sovereign disposal.”

John Waterbury, *Hydropolitics of the Nile Valley*, 1979.

Upstream and downstream users

- Sharing information/data
- Sharing water quality monitoring
- Standards - does it help if one country has stringent standards and the other neighbors can pollute water - industrial discharge, agricultural run off,
- IWRM - sustainable management on a watershed level rather than political boundary level

Technical Projects together

South Africa and Lesotho

State of Washington and BC

Kasib Dam (LHDA 2000)

Delivery tunnel
(LHDA 1995)

Muela Dam

Outfall in South Africa
(LHDA 1995)

Source: Values of Water in Cooperative International River Basin Management: Case of the Lesotho Highlands Water Project
Naho MIRUMACHI, June 6, 2005, Workshop on Governance of Transboundary Waters

Main Message

Build trust

Conflict Resolution



Alternative Dispute Resolution Methods (ADR)

- Negotiation
- Mediation
- Reconciliation
- Arbitration

Litigation

ADR

- # Preferred method
- # Elements needed for ADR
 - Good communication
 - Trust
 - Perception of similar beliefs and values
 - Acceptance of each other's legitimacy
 - Stakeholder Participation

For ADR to succeed

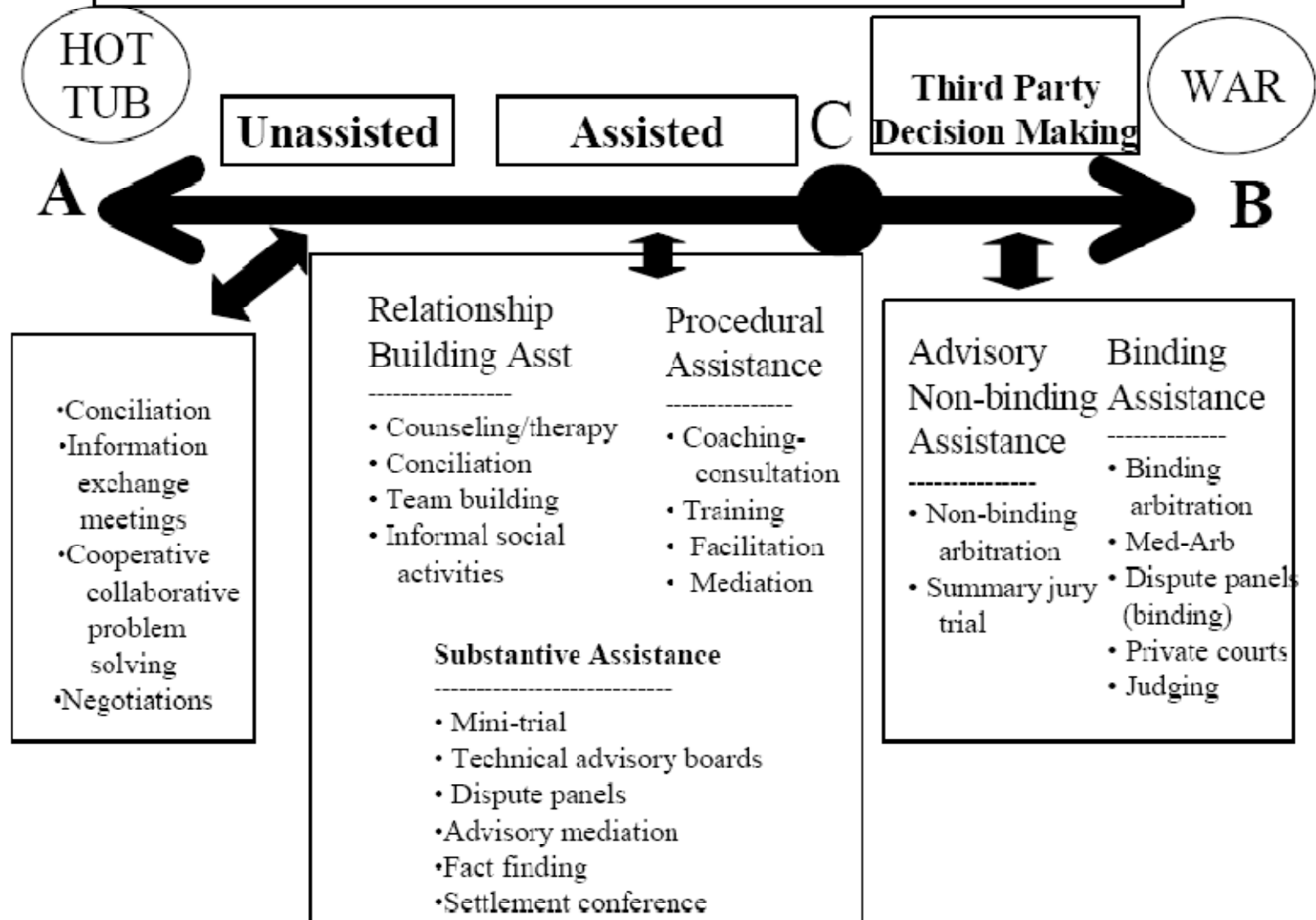
- # The issues should be negotiable
- # The interested parties trust each other
- # Interested parties are well prepared for negotiations
- # All groups directly involved in the conflict should participate in negotiations
- # Interested parties should be dependent on each other to some extent
- # An external conflict manager is available to facilitate
- # The parties should feel that there is some urgency or pressure to reach an agreement
- # Any agreement reached should be realistic and achievable
- # All parties have some authority to actually make a decision
- # No party is trying to use to gain unfair advantage over other parties in the negotiations
- # The parties should be willing to compromise

The Limits of Environmental ADR

- # Intractability of most serious environmental conflicts
- # Availability of better alternatives to a negotiated agreement (BATNAs)

A Continuum of Alternative Dispute Resolution Techniques

(from Delli Priscoli and Moore, 1985)



Conflict Prevention

- # *From Potential Conflict to Co-operation Potential (UNESCO initiative)*
- # Water has the power to move millions of people - let it move us in the direction of peace. (Mikhail Gorbachev, President, Green Cross International)
- # to nurture the idea of peace in human minds, and to prevent and resolve conflicts arising from environmental degradation, mismanagement and injustice.

Ethics

Ethics means promoting integrity and preventing wrongdoings. This definition includes the development and maintenance of interrelated mechanisms, such as adequate:

- Control
- Guidance
- Management

Elements of the Ethics Infrastructure

- # Political commitment
- # Workable codes of conduct
- # Professional socialization mechanisms
- # Ethics coordinating body
- # Supportive public service conditions
- # Effective legal framework
- # Efficient accountability mechanisms
- # Active civil society

Leadership and Governance

- # Create enabling environment
- # Better laws/policies
- # Just technology is not an answer - soft skills needed - trust building is important.

Conclusion - strong leadership needed because

- # In a lot of conflicts, the problems are the result of people, culture, history, and politics, and technology does not address these
- # Technology extends the range of the possible options, but does not resolve the problem
- # Logic is not central; emotions are important in water issues