Accounting for Every Drop!

Water Resource Users Associations Capacity Assessment Tool

Knowledge & skills

Communication

WRUA ethics & culturre

WRUA policy development

Information management

Corporation & participation

Legislation

WRUA general organization

Financial management

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Accounting for Every Drop!

WATER RESOURCE USERS ASSOCIATION CAPACITY ASSESSMENT TOOL

Foreword

Water Resources Authority (WRA) is the lead agency in the regulation of water resources in the country according to section 12 of the Water Act 2016. In the implementation of its mandate, the Authority has adopted an Integrated Water Resource Management Approach (IWRM) for sustainable management of water resources in the country through the involvement of Water Resource Users Associations (WRUAs) at the sub-catchment level.

The WRUAs have been instrumental in the implementation of the Sub-Catchment Management Plans (SCMPs) which has resulted to improved catchment conditions in areas where WRUAs exist (WRUA Impact Assessment Report 2013).

In light of this, WRA developed a WRUA Development Cycle (WDC) framework of engaging and training Water Resources Users Associations on Integrated Water Resources Management (IWRM). However, there has been an increasing need for the capacity of WRUAs to be assessed in order to identify any gaps in governance and implementation of their mandate.

GIZ-International Water Stewardship Programme (IWaSP) in collaboration with the Water Integrity Network (WIN), WRA, World Wide Fund for Nature (WWF), Imarisha Naivasha and Center for Social Planning and Development (CESPAD) have developed a WRUA capacity assessment tool to assess the institutional capacity of WRUAs and identify gaps for training to enhance WRUA capacity. The tool has been tested with the WRUAs in Naivasha and Sondu Basins and has been effective in identifying institutional capacity gaps for the WRUAs and trainings have been organised to address those gaps resulting to remarkable improvement in the performance of the WRUAs.

It is therefore envisaged that the use of the WRUA capacity assessment tool will help the WRUAs to improve their performance in the management of water resources at the sub-catchment level. We therefore call upon all stakeholders and other interested groups to support WRA in applying this tool across all WRUAs in the country to improve the performance of these important institutions

Mohamed M. Shurie
The Chief Executive Officer
Water Resources Authority

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 capacity assessment tool.

Partners:

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Abbreviations

CAT — Capacity assessment tool

CBOs — Community Based Organisations

CESPAD — Centre for Social Planning and Administrative Development

CFAs — Community Forest Associations

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

KFC — Kenya Flower Council

LANABWRUA — Lake Naivasha Basin Umbrella Water Resources Users Associations

NGOs — Non-governmental organisations

NZV — Noorderzijlvest

SCMP — Sub-Catchment Management Plan

SHGs — Self Help Groups

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

WWF-KCO — World Wide Fund for Nature - Kenya Country Office

I Introduction

Background to IWRAP and the WRUAs

The WRUA Capacity Assessment Tool was developed as part of the Integrated Water Resource Action Plan (IWRAP) Programme in Naivasha, Kenya, that was implemented with financial support from the Netherlands Embassy in Nairobi. IWRAP's aim was to create essential enabling conditions for water regulation and governance, sustainable land and natural resource use and sustainable development in the Lake Naivasha Basin. The programme had seven result areas and was implemented under the leadership of WWF Kenya Country Office (WWF-Kenya) through a partnership, consisting of : WWF-Kenya, Imarisha Naivasha, the Water Resource Authority (WRA), Kenya Flower Council (KFC), ITC /Technical University Twente (The Netherlands) and two Dutch Regional Water Authorities, Hoogheemraadschap de Stichtse Rijnlanden (HDSR) and Noorderzijlvest (NZV). There were also sub-contracted partners involved to provide specific contributions to the programme, such as the Water Governance Centre (WGC) in The Netherlands and the Water Resource User Associations (WRUAs) in Lake Naivasha Basin, Kenya.

WRUAs are community-based organisations that have a legal authority under the Water Act to manage water resources in their geographic area. They are supported and monitored by the WRA office in their region, with whom they collaborate closely. It is envisaged that WRUAs will become official agents of WRA, carrying out specific tasks in communities on behalf of WRA, such as water monitoring, monitoring of abstractions and discharges, implementing water management projects, conflict resolution and providing information and education services. One of the objectives of IWRAP is to strengthen WRUAs and WRA and their cooperation in order to improve water governance and management in the Naivasha Basin.

Background of the WRUA - CAT

The WRUA Capacity Assessment Tool (CAT) is based on a more general tool that is widely used for organisational capacity assessment of non-governmental organizations (NGOs), community based organizations (CBOs) and other organisations worldwide, since the mid-1990s. It is especially used by NGOs from donor countries to assess and support their partner NGOs in developing countries. The methodology of the tool is taken from management audit practices and the original focus of the tool was to self-assess the management capabilities of an organisation, in order to strengthen it. The tool has evolved since, through adaptations to many different types of organisations and needs. It was adapted in 2014 by a WWF consultant (Sasse Advisory Services) to assess the organisational capacity of WRUAs in the Lake Naivasha Basin, Kenya, as part of the IWRAP programme in close collaboration with WRA staff and WRUA

members. Next, the structuring of the tool was aligned with a governance assessment method, developed by the Dutch WGC Academic Round Table, to ensure homogeneity of tools used in the IWRAP programme and further improved on in partnership with GIZ, Imarisha Naivasha and Lake Naivasha Basin WRUA (LANABWRUA).

The water governance assessment method was based on nine building blocks, identified from different academic working fields such as civil engineering and hydrology, public administration, law and economics. The nine building blocks of the method were developed into a "three layer model of water governance". Core element of this approach is that good water management comprises of three inter-related layers:

a) A content layer (water management policies, knowledge and skills in water management, information management)

b) An institutional layer (the organizational framework, legislation and legal instruments and the financing structure)

c) A relational layer (communication and cooperation between different actors and with the public, stakeholder participation, transparency, ethics, culture, values and trust).

When adjusting the CAT to the WRUA context, it was restructured to reflect those three layers.

The Capacity Assessment Tool is a flexible methodology to assess organisational capacity through scoring mechanism, along a number of defined indicators, with clearly described standards for four stages of organisational development. The tool has a symbolism of growth, using the planting cycle, for each level; planting, seedling, maturing, harvesting. This symbolism shows that the scores follow a natural process of organisational development.

The assessment is meant to encourage continuous improvement of the WRUA.

Following the first pilot assessment of two WRUAs in the Naivasha Basin, the tool was further revised and improved through a partnership between WWF-Kenya (Naivasha Office), GIZ (IWaSP programme), WRA (Nakuru-Naivasha Sub-regional Office and Nakuru Regional Office), Imarisha Naivasha and Lake Naivasha Basin WRUA (LANABWRUA). The current tool now allows for more focussed and informative self-assessment by WRUAs.

This WRUA CAT is flexible depending on the requirements and context of the institutions for which it is used. The description of indicators and standards can be adapted and re-formulated.

Purpose and use of the WRUA CAT

The objectives of the capacity assessment are:

1) to assess the organisational capacity of the WRUA in terms of;

- leadership and governance- accountability, transparency, participation, gender representation, inclusive decision-making

- organizational structure – understanding roles and responsibilities, whether right committees are in place, separation of roles and responsibilities, existence of organogram

- resource mobilization and financial management – proposal development, book

keeping, expenditure returns and submission of financial accountability statement (FAS)

- constitution and by-laws – knowledge, accessibility and implementation
- communication and information management – access, data capture, processing, storage and dissemination
- knowledge management - documentation of lessons, application of best practices and lessons learnt
- networking and collaboration – link and cooperation with county governments, government agencies, other WRUAs, community, donors as well as development of partnerships

2) To establish the capacity requirements for the WRUA based on the needs assessment for WRUA and support agencies.

3) To enable WRA to gain better understanding of WRUAs' expectations and how to better engage with them

4) To establish a baseline and subsequent monitoring in order to assess whether capacity is indeed increasing over time, as a result of organisational change, training and inputs provided.

5) To create a shared awareness, understanding and agreement among key water resource stakeholders about the WRUA and about actions to be taken to strengthen it.

6) To be a learning tool for increasing knowledge on good practices in governance and management of WRUAs.

II   Instructions for using the WRUA capacity assessment tool

Participants

█ FACILITATORS

A mixed group of stakeholders involved in the WRUA should facilitate the assessment. These include WRA staff and where present, other stakeholder agencies, who have experience with the WRUA (e.g. a support agency, like an NGO, a donor organisation, a government office other than WRA etc.).

█ ASSESSMENT PARTICIPANTS

Participants in the exercise would typically involve:

- WRUA committee members
- All staff, if applicable
- At least two members who have no official position (not being relatives or close friends of office holders)
- At least two inhabitants of the WRUA who are water users/stakeholders, but are not members of the WRUA (not being relatives or close friends of office holders)
- One to two representative from another WRUA (or from the WRUA umbrella organisation)
- Local administration, ward representative

The WRUA officials should identify and invite the above categories of participants.

WRUA capacity assessment implementation approach

DAY 1: the facilitators and a few WRUA members go on a field visit to meet stakeholders who are potential members but may not be present during the workshop. The objective is to know their level of awareness about the WRUA: if they know about it and the reason for not joining it. This serves to inform the stakeholder about the WRUA but more so in the context of the assessment, to enlighten the WRUA on their level of relationship with stakeholders in their sub-catchment.

DAY 2: the facilitators take the invited WRUA members and stakeholders through the capacity assessment process using the WRUA capacity assessment tool.

DAY 3: the facilitators should have analysed the scores and picked out areas with low scores. They then present the results, guide the WRUA members in iden-

tifying and prioritizing areas that require capacity strengthening and finally assist them to develop a time bound action plan. Action plans should have 6 months to one year timeframe. The facilitator should then organize monitoring visits to the WRUA to track progress on implementation of the plan and adjust the capacity strengthening plan.

NOTE: In case a workshop is not possible, one can adjust the tool to a questionnaire and interview or send around the questions to stakeholders and then compile the results. This however provides less space for interaction and mutual understanding and learning. The analyst should then present the results (back) and discuss in a meeting with the participating stakeholders and members. A facilitated workshop approach is however recommendable as in this case WRUAs provide feedback on each indicator based on consensus.

Materials

- Flipchart and felt pens
- Copies of the self-assessment tool for the facilitators and participants
- Scoresheets for the facilitators
- Overhead projector (if there is a power source, if not, the flipcharts will suffice)

Climate Setting

▌ WELCOME AND INTRODUCTIONS

i.)   Welcome the WRUA participants and introduce yourself.

ii.)   Ask participants to introduce themselves, role in the WRUA, expectations for the assessment process in general

iii.)   Take notes on feedback given. The facilitators should meet these expectations, or clarify early what is realistic and what is not. This will help in the smooth implementation of the assessment.

iv.)   Review the objectives for the assessment meeting.

▌ EXPLAIN THE PURPOSE OF THE ASSESSMENT

- Explain that you are present only to guide the assessment process; the participants will provide all the input in the assessment.
- Assure the WRUA that the assessment is only for them to know their status and to determine alongside WRA and support agencies on action plans for their strengthening.
- Emphasize on the need for genuine, honest participation, which is crucial to the validity of the capacity assessment results and thus commitment to the capacity strengthening. Make a request that the WRUA leadership should try not to dominate the discussion and allow all members to have an equal opportunity to share their opinions.

WRUA capacity levels

The tool describes different levels of development (capacity stages) of a WRUA, resembling the maturing process of a crop. For each indicator, four levels are described:

- Capacity Stage 1 (planting)
- Capacity Stage 2 (seedling)
- Capacity Stage 3 (maturing)
- Capacity Stage 4 (harvesting)

Each indicator has the capacity stages described, setting the standard for that stage of development.

1)   Planting Stage

This is the initial stage of an organisation where a group of people with a common vision come together for a common purpose. The organisation tends to be underdeveloped. Direction is normally lacking and roles and functions are not clear. It is not yet clear which direction the organisation is going to develop. Decision-making is on ad hoc basis

2)   Seedling Stage

At this level the organisation has somewhat risen above the surface and developed into a more structured body. The organisation is still operating within the setup of volunteer work but is beginning to put a number of organisational systems in place. The organisation also develops more focused organisational objectives and goals. There are still no proper organisational structures.

3)   Maturing stage

The organisation is able to plan its activities on a wider scale. There is a proper management structure. Procedures are well in place and documented. May have full time staff. They are able to make strategic plans for the future. The organisation starts to become more output- than input-oriented.

4)   Harvesting stage

This is the stage where the organisation is sustainable and can survive on its own.

Scoring methodology

- The scores range between:

    ◊   1.1 - 1.4 in Planting

    ◊   2.1 - 2.4 in Seedling

    ◊   3.1 - 3.4 in Maturing

    ◊   4.1 - 4.4 in Harvesting

- The WRUA will determine the level of score for each development stage by judging how much the descriptions/ characteristics therein describe the WRUA e.g. 1.1 would mean that the WRUA is in the least level of development in Planting (capacity stage 1), 1.4 would mean that, based on the description provided in Planting (capacity stage 1), they are almost crossing but not yet in Seedling (capacity stage 2)
- The scores agreed upon for each indicator are entered into the scoresheet by the group facilitator

- The perfect score is 4.4, meaning that teh WRUA is performing as should be performed for the particular indicator
- The total average score of all indicators will show the overall development stage of the WRUA.

Conducting the Capacity Assessment

The capacity assessment tool has three broad layers covering forty eight indicators. The participants are meant to understand all of them with the assistance of the facilitator as they assess themselves; to achieve this, the below indicated steps are to be followed:

Step 1: Organize the participants into four working groups.Ensure balanced representation of the groups. The groups will cover the following topics:

◊ Group1: Content layer

◊ Group 2: Institutional Layer (Indicators 2.1.1 - 2.2.3)

◊ Group 3: Institutional Layer (Indicators 2.2.4 - 2.3.8)

◊ Group 4: Relational Layer

Step 2: The facilitators assign themselves to each of the groups, at least one facilitator per group.

Step 3: Distribute the scoring sheet to each participant and explain to the group the general layout of the tool and the process that they will follow. Also, distribute a few copies of the tool.

Step 4: In the workgroup setting, the assessor / facilitator reads out the indicator and the four stages of development. First, the facilitator should check that all participants have a good and common understanding about the meaning of the indicator and the four stages. Next, the participants score at which level the WRUA is at that moment. When there is no direct consensus, participants discuss it, providing examples and other arguments in their perception. The facilitator fills in the score that reflects the level of development best in the eyes of the participants on the scoring sheet. The group can reach the final score per indicator preferably by consensus, but also by voting or by calculating the average of all scores. Consensus is best, if possible, as it means there is common agreement. After this, the group will discuss the next indicators, until they score all indicators.

The facilitator should note in the scoring sheet the comments the groups make to describe or justify the score that they have indicated for themselves. This is useful information for action planning and follow-up.

Step 5: The facilitator then collects the compiled scoring sheets for each group and explains to the participants that the facilitators will compile and share the results.

Step 6: Compile and analyse the data on a score sheet or spreadsheet highlighting the weak areas, especially where they are in planting and seedling. If these are too many, identify a score e.g. below 2.2 so that you have manageable number of weak areas to discuss after the presentation.

Step 7: The facilitators then presents the results to the participants. Project the results or print out copies for the participants to see the results. The presentation of the results should be positive and non-judgemental. This will then allow for identification of priority areas that the WRUA will address.

Step 8: On basis of the findings, the WRUA, WRA and support agencies can make an action plan for measures to be taken by WRUA or both to further strengthen the WRUA. Let the participants come up with short-term action plans that do not require a lot of capital to implement. It is best to develop a timed work plan.

Note: The discussion is not between the facilitator and the participants but among the participants. Ask open-ended questions to avoid suggesting responses.

As a facilitator, you should balance the conversation so that everyone has the opportunity to share his or her opinion. You should also ask probing questions to help the participants accurately describe the WRUA. A facilitator should not dispute the participants' opinions.

Follow-up

The WRUA and WRA should archive the results of the assessment. After twelve to eighteen months, depending on how fast the WRUA implements the actions, WRA should conduct the same assessment to assess whether there are indeed improvements based on the actions taken by the WRUA and trainings done.

III   Capacity Assessment Tool for WRUAs

Level 1 - Content layer

Issues:

- WRUA policy development
- Knowledge and skills
- Information management

1.1 Policy development

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
1.1.1 Vision, Mission and Overall Goals The extent to which the WRUA has a clear vision and mission or an awareness of its overall goals, known and shared by management committee and members.	WRUA has no clear vision of the desired situation in its sub-catchment. The mission, objectives and role of the WRUA is not clear to the management committee, members or external stakeholders. The WRUA committees and members have no clear understanding of the overall goals on why they exists.	The WRUA has some basic idea of a desired situation in its sub-catchment. The vision and mission are not clear and does not exist on paper. Key stakeholders, WRUA members and Management committee can explain in general terms the WRUA's aims, roles and overall goal. The WRUA has not clearly described its aims, roles and overall goals, which only some people know them.	The vision on the desired situation is present but might not yet be fully clear and covering all aspects. The vision and mission exists on paper and all management committee and active members known them. The management committee and active members can explain the role, tasks and overall goal of the WRUA. Active WRUA members and management committee are involved in the development and review of vision, mission and goals.	The vision of the organization is clear and covers all aspects. The vision and mission exists on paper and all members and external stakeholders know them. A written mission statement or explanation of goals, roles and tasks exists and all members who can understand its core contents have them. WRUA members are involved in updating the vision, mission and goals.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
1.1.2 WRUA Constitutions, by-laws and other policies The extent to which the WRUA constitution, by-laws and other policies are in place, known, respected, practiced and monitored by the WRUA staff and members.	The WRUA does not recognize the need for Constitution, procedures, rules, and by-laws and only a few of them are in place. The management committee make decisions without prior planning. The WRUA does not document decisions well and may sometimes even be inconsistent or unfair. No financial procedures are established and documented.	Written Constitution /rules /procedures /by-laws are in place but they are incomplete or inconsistent and awareness of them among members/staff is low The WRUA does not do enforcement or at times, over-enforce, blocking progress and performance. There are informal decision-making procedures that are used, but they are not consistently applied. The WRUA has developed some financial procedures but are still inadequate and/or inconsistently applied	Written Constitution/ rules/procedures/by-laws cover most areas of need and are applied. Members/WRUA staff are aware of Constitution/ rules/procedures/by-laws and know how to apply them. Some Constitution/rules/ procedures/by-laws may be outdated, unpractical frustrating progress. Written financial procedures are in place, widely known, understood and applied In case of WRUA staff, HR policies are developed and applied. Staff members know their duties & rights.	Constitution/rules/procedures/by-laws fully reflect the WRUA's values and purpose. They are, regularly reviewed and updated, widely known and consistently applied, monitored and enforced Policies and procedures generally facilitate good operations and do not block progress Financial policies and procedures are adequate and are regularly reviewed and updated The WRUA regularly reviews and updates its HR policies. The WRUA staff feel policies and sanctions are fair and are involved in improving policies & practice.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
1.1.3 Decision making (Top down approach versus participatory) The extent to which WRUA staff and members are involved in decision making about programs/projects plans/SCMP implementation, policy and operational issues of the WRUA	WRUA Management committee make most decisions without consultation or explanation. Explanations on why some decisions are made without consultation is not shared	Management committee consult occasionally with some members but often do not consider member's decisions. Information is sometimes shared with most members.	Management committee value and try to encourage participation in decision-making, but not consistently. Information is usually shared with some members and some decisions are made before asking for input.	Management committee value input of others in decision-making and is open to ideas from members and staff. Information is freely shared and inputs from members/ staff are usually requested to assist in making good decisions.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
1.2.1 Understanding and knowledge of Water Resources Management (WRM) The extent to which the WRUA applies knowledge and skills on water resources management in its work and has capacity to perform its tasks	WRUA does not apply WRM knowledge in their project and rarely shares requested information. Does not know about WRM Does not know how to analyze relevant WRM information or observe trends. WRUA is not yet able to develop plans/SCMPs and measures to address WRM issues.	WRUA only applies WRM knowledge when instructed to do so and shares information requested. WRUA is not able to identify problems and solutions to water issues in its sub-catchment area. WRUA is not able to analyze basic WRM information and take action. WRUA occasionally does water abstraction observation and monitoring (read meters, gauge reading, water quality etc.) by itself. WRUA has the ability to develop plans/SCMPs and measures to address WRM issues.	WRUA occasionally applies WRM knowledge and shares related information. WRUA is able to monitor water levels, abstractions and water quality at a basic level. Depends on outside support to implement WRUA initiatives, plans/SCMPs and analyze the results. They understand when issues require action and are able to seek support when this occurs. WRUA does not implement its plans/SCMPs and measures in place to address water management issues	WRUA always applies WRM knowledge and regularly shares information. WRUA is able to independently monitor analyze and interpret the data collected on water levels, abstractions, effluent and water quality WRUA is able to implement initiatives and plans/SCMPs to address WRM issues, WRUA is able to involve and mobilize the relevant stakeholders in WRM in their sub-catchment

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
1.2.2 Training and technical support received from WRA or Other institutions on water resource management The extent to which the WRUA has received training and/or support from WRA/Other institutions on WRM	WRUA has indigenous knowledge on WRM Few WRUA members have received basic training on WRM issues from WRA/Other institutions WRUA is yet to receive technical support from WRA/Other institutions on WRM	WRUA has received up to two trainings from WRA/Other institutions To some extent WRUA received technical support from WRA/Other institutions to implement WRM activities (SCMPs) WRUA has requested WRA to train them further on specific WRM aspects to address specific issues in their sub-catchment	WRUA has received more than five trainings by WRA/Other institutions WRUA occasionally receive technical support from WRA/Other institutions on WRM Upon request, WRUA receives trainings/support to conduct technical aspects of WRM (Water pollution and abstraction survey) relevant to their sub-catchment	WRUA has received more than ten trainings by WRA/other institutions on technical aspects of WRM WRUA often receives technical support from WRA/Other institutions on WRM WRUA is able to access relevant training from WRA and/or other partners on request

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
1.2.3 **Performance of WRUA as an agent of WRA** The extent to which the WRUA is implementing the tasks as WRA's agent.	WRUA is not aware of the concept of WRUA as an agent of WRA. WRUA is not yet an official agent for WRA Some WRUA members perform water resource management tasks allocated to them by WRA (reading gauges) but this is not organized through the WRUA	Some WRUA members are aware of the concept of WRUA as an agent of WRA. WRUA has begun the process of officially becoming WRA agent (development of MoUs, agreements etc.) More WRUA members perform WRM tasks allocated to them by WRA (reading gauges) but this is not organized through the WRUA.	Most WRUA members are aware of the concept of WRUA as agent of WRA. MoU and agreements signed for WRUA to work as agents of WRA WRUA is implementing its tasks as an agent with close support from WRA including communication to water abstractors.	All WRUA members are aware of the concept of WRUA as an agent of WRA. WRUA is an official agent of WRA. WRUA is independently implementing its tasks (distributing bills or letters, calling meetings, gauge reading and observing client compliance and ensuring data sharing) and has improved communication between water abstractors and WRA. Water resources problems are being addressed by the WRUA, in close communication with WRA

Indicator \ Stage	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
1.2.4 **Knowledge management and best practices** The extent to which the WRUA documents and applies experiences, best practices and lessons learnt.	Experiences, lessons learnt and best practices of the WRUA are not documented Experiences, lessons learnt and best practices are not applied/shared.	Experiences, lessons learnt and best practices of the WRUA are not regularly documented Some experiences, lessons learnt and best practices are known by a few members of the WRUA but not shared in the WRUA	Documentation of experiences lessons learnt and best practices is regularly done and is systematic Knowledge documents on experiences, lessons learnt and best practices are available and shared in the organization The WRUA searches for new knowledge and best practices as done by others (WRUAs, institutions) but does not always share and or implement. The WRUA does not regularly update knowledge documents.	Knowledge management is part of the WRUA strategy for communication and learning. Experiences, lessons learnt and best practices are well documented and disseminated to WRUA members and stakeholders. The WRUA actively searches for new knowledge as done by others, incorporates, and implement best practices. The WRUA regularly updates knowledge.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
1.2.5 WRUA Organizational Skills The extent to which the WRUA has internal skills that match the required tasks (financial, monitoring, community engagement, conflict resolution, basic technical skills- water sampling and gauge/meter reading)	Some members have basic knowledge and skills that match WRUA various tasks as an organization There is poor application of skills to tasks WRUA has no capacity to engage professional WRUA staff (project officers)	WRUA Committee members have been trained to conduct some tasks (financial, monitoring, community engagement, conflict resolution, basic technical skills- water sampling and gauge/meter reading) Some committee members can undertake and accomplish a few tasks Capacity to engage of professional WRUA staff still not achieved	Some WRUA committees and a few members have been trained to conduct some core tasks and are able to accomplish them. WRUA has the capacity to engage professional WRUA staff as need arises	All WRUA committees and majority of members have been trained to conduct core tasks and are able to accomplish them. Professional staff have been engaged and all tasks are being performed

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
1.2.6 Definition of roles and responsibilities The extent to which roles and responsibilities are well defined, available and respected.	WRUA has no clear roles and responsibilities for WRUA Committees, members and staff. WRUA has no written roles and responsibilities for WRUA Committees, members and staff. WRUA Committees, members and staff are confused and have no clear understanding of their roles and responsibilities.	WRUA has developed written roles and responsibilities but are inadequate and/or very rigid WRUA Committees, members and staff have a basic understanding of their roles and responsibilities, but do not always comply fully	Roles and responsibilities are written and adequate. Roles and responsibilities are periodically revised and updated. Individuals take responsibility for their allotted tasks and comply with them. New roles and responsibilities are introduced when new tasks arise	Roles and responsibilities are clear and periodically updated to reflect changes in the WRUA. When updating roles and responsibilities, WRUA members, staff and external stakeholder's inputs are considered. WRUA Committees, members and staff readily take on additional responsibilities in response to changing circumstances.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
1.2.7 Employment of staff by the WRUA The extent to which the WRUA employs sufficient staff (as need arises) who have the required levels of knowledge, skills and attitudes for the implementation of the specific WRUA projects.	The WRUA implements some SCMP activities and projects without employing staff. The WRUA members are overburdened and over-worked when implementing or supervising activities There are no guidelines on how and when to employ staff	The WRUA employs staff to implement or supervise some SCMP activities when need arises but not always The WRUA does not have clear guidelines on how and when to employ staff There is little connection between the knowledge and skills of the staff employed by the WRUA and the projects being implemented Employment of WRUA staff is based on personal relations /tribalism The WRUA staff employed by the WRUA are few and overburdened The WRUA Staff are externally funded	The WRUA always employs staff to implement or supervise most of the SCMP activities The WRUA has guidelines on how and when to employ staff but is not very clear There are generally sufficient staff for the tasks at hand with good qualifications and skills but are not given the right tasks The number of WRUA staff does not match the tasks that need to be undertaken WRUA staff are externally funded	The WRUA employs staff to implement or supervise most of the SCMP activities every time need arises The WRUA has very clear guidelines on how and when to employ staff There are generally sufficient staff for the tasks at hand with good qualifications and skills and are given the right tasks The number of WRUA staff match the tasks that need to be undertaken The WRUA staff number matches the number of tasks. The staff are not over-burdened or over worked WRUA staff are internally funded

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
1.2.8 WRUA Staff supervision, assessment and development The extent to which the WRUA provides adequate supervision, assessment and opportunities to improve performance to the WRUA staff.	The WRUA management committee does not undertake regular supervision, assessment and development of work and of staff performance. The WRUA irregularly provides feedback it arises and the WRUA staff feel threatened.	Supervision, assessment and development of WRUA staff is undertaken regularly, but not always Supervision, assessment and development reviews of WRUA staff follow some guidelines but there is no follow up on staff. The WRUA Staff is sometimes enabled and supported in improving performance	Supervision, assessment and development reviews are undertaken regularly Supervision, assessment and development reviews of WRUA staff follow some guidelines and there are clear follow up on staff. The organization encourages plans and training for improvement of performance of staff.	The WRUA Staff is well supervised, and performance evaluation takes place systematically There are clear guidelines for evaluating WRUA staff based on job descriptions and performance indicators. Staff is required to indicate how they plan to improve their performance gaps and/or develop themselves. WRUA supports and evaluates these plans.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
1.2.9 Incentives for performance The extent to which good performance by committee and WRUA members is defined, recognized and rewarded within the WRUA.	Good performance by committee members or WRUA members is not recognized, and not rewarded. Weak performance has limited consequences.	The WRUA has clearly defined criteria for good performance is Good performance is occasionally recognized or rewarded and weak performance addressed but sanctions are not very effective.	The WRUA systematically evaluates performance based on clearly defined criteria and good performance is formally recognized. Good performance is systematically rewarded and bad performance systematically sanctioned	The WRUA applies clearly defined criteria to systematically evaluate and recognize good performance by committee and WRUA members. Good performance is systematically rewarded and bad performance systematically sanctioned The WRUA takes initiatives for improving individual and team-performance of committee and WRUA members

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
1.2.10 Openness to innovation, feedback and learning The extent to which systems are in place and WRUA committee/ members are encouraged to undertake innovative action, share thinking and provide feedback to the management and towards each other.	The WRUA is not open to innovation in management, conservation and income generating activities and no feedback mechanisms are in place. The WRUA does not recognize or acknowledge Mistakes and hide them from others.	The WRUA aspires to be a learning organization but does not yet (exactly) know how to do this. The WRUA has limited feedback mechanisms to see how they can improve practices. WRUA is open to innovation and Experiments Mistakes are recognized but not actively shared or used for learning purposes	The WRUA applies limited innovations in management, conservation and income generating activities The WRUA uses limited feedback mechanisms. Innovation and experiments are done at a limited scale. Mistakes are recognized and actively shared but discussed but not always used for learning purposes	The WRUA committee and members are supported to express and experiment new ideas on management, conservation and income generation Feedback is systematic and mistakes are used for learning, and discussions on how to improve practices are regular Innovation and Experiments are done at a wider scale. Findings are discussed and shared within the WRUA and with external stakeholders Constructive discussions on how to improve practices are encouraged and steered by the management. The organization is known by external stakeholders as an innovator

1.3 Information management

Indicator \ Stage	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
1.3.1 Availability of information The extent to which information is available to WRUA internally to fulfill its mandate	Not all necessary information on WRUA management, mandates and tasks is available i.e. SCMP, Water Rules, Water Act etc.	Most essential information is available to execute the main WRUA tasks	Essential information is available to execute main tasks. Additional information is available to execute other basic tasks.	All essential and additional information is available to execute all tasks according to mandate.

Indicator \ Stage	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
1.3.2 Collecting and storing of information The extent to which information is collected and stored in a structured way by WRUA	No data is collected. No information management system (e.g. a filing system) is in place	The WRUA collects and stores data for execution of main tasks only. Information management system is set up.	The WRUA collects and stores data for execution of main tasks and collect additional data to execute other tasks. Information management system is in place.	The WRUA collects and stores data for execution of all tasks. Information management system is in place and functioning according to mandate.

Level 2 - Institutional layer

Issues:

• WRUA general organization

• Legislation

• Financial management

2.1 Organization: General

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
2.1.1 Functioning of the governance structure The extent to which the WRUA committee members are answerable to the membership in implementing WRUA activities and/or guides the WRUA in its strategic decision making processes	Governance structures not clearly formulated If formulated, governance structures not shared and applied. There is no organizational chart. No clear defined working relationship between members, committee members and WRUA staff. WRUA committee members do not know the need and value of a governance structure and have made no effort to put it in place.	The governance structure is formulated but does not enable effective division of tasks A basic organizational chart exists WRUA committee holds meetings occasionally with some members active, some not. Members think a committee member or only a few committee members can define direction of the WRUA and make decisions. Committee members not accountable to the members.	WRUA has a clear governance structure, which defines hierarchy, lines of responsibility and communication, and division of tasks. Both committee and members meet quite regularly Elections take place as is in the WRUA Constitution. The organizational structure presents bottlenecks to solve problems when WRUA faces new situations. The committee does not always adhered to its roles / tasks. Not all committee members equally involved. The member meetings are used more for information sharing than for decision-making and strategy direction. Limited accountability and control by the committee members.	Members, staff and external stakeholders understands the governance structure. The governance structure allows for flexibility and changes if and when needed to face new challenges. The WRUA has a well-balanced, experienced and functioning management committee that consistently follows clear procedures, roles and responsibilities. Committee members and all members meet regularly, as planned. The WRUA elects the committee members when term has ended as stated in the constitution. The committee is accountable to the members. The committee submits annual return to the AG. All members are involved in strategy formulation and are accountable

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
2.1.2 Accountability mechanisms / Openness / Transparency The extent to which the WRUA holds itself accountable towards its own members and towards external parties such as relevant non-members in the area, the government and other organizations	Information and details about activities, projects and funding is held solely by the committee members No external reporting takes place on Sub-catchment management plans, activities or budgets. The constitution and by-Laws are unavailable to external parties.	The management committee shares information and details with committee members but rarely with other WRUA members. Some external reporting takes place to meet formal/ legal external requirements. No accountability to membership and non-required external stakeholders.	Relevant documents are available to committee members and shared with WRUA staff and members, but not always are detailed discussion done. Reports containing limited information are prepared to fulfill legal requirements but are not regularly made available to all external stakeholders	All relevant documents are openly available to WRUA members and staff. The WRUA well elaborates the contents of these documents to WRUA members for their understanding and they are given opportunity to respond to them. Regular reports on plans, activities, progress, results and budget is part of routine procedures. The WRUA pro-actively shares this information and informs others.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
2.1.3 Efficiency in use of resources The extent to which the resources of the WRUA are used efficiently	The WRUA committee does not consider how best to use the available resources. WRUAs often use resources inefficiently and not necessarily for the purpose they were meant for or it is unclear how they were used.	The management committee considers how best to use the available resources, to their personal opinion. Sometimes, WRUAS spend on activities that do not contribute clearly to the objectives of the WRUA/ project. In practice, there is some level of inefficient use of time and resources	Management's consideration of efficient use of available resources is systematic and all members are aware. Generally, the WRUA uses resources efficiently on planned activities.	Efficient use of resources is part of organizational culture and practice, and nurtured as value at all levels of the organization. Whenever possible, the WRUA flexibly reschedules and redesigns plans, activities and practices for more efficient resource use.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
2.1.4 Assets, infrastructure and transport facilities The extent to which the WRUA has adequate facilities for offices and transport to allow it to function effectively.	No or inadequate facilities (office, storage or equipment) for the organization's needs. Organization has no means of transport. No systematic management of any WRUA assets.	Basic facilities are available but limitations or shortages cause frustration and inefficiencies. Equipment not serviced. The WRUA has insufficient means of transportation at its disposal to operate efficiently. The WRUA does asset management on need basis. Regularly, items are not working.	Most facilities are adequate but are sometimes old, too limited or the WRUA need to replace. The WRUA services the equipment occasionally. Sufficient means of transportation are available but some of them are old and unreliable. There is a staff/member responsible for asset management and inventories and the WRUA does procurements on a need basis. Members/staff feel responsible for quality of assets	Facilities are adequate to allow the organization to function efficiently. There is regular All equipment is maintenance and servicing of equipment. The WRUA meets current transportation needs adequately and periodically replaces transport facilities. Reimbursement is applied. There are clear responsibilities for asset management and inventories and procurement is systematic. All members/staff feels responsible for maintaining the quality of assets.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
2.1.5 Encouragement of teamwork The extent to which the WRUA promotes shared responsibility, coordination and teamwork.	The WRUA members work individually, each with their own responsibilities, tasks and functions. No team meetings or team-work takes place.	Management committee encourages teamwork to some extent, but does not allocate much time or space for it. Meetings of teams take place occasionally, to discuss who will do what task.	Management committee appoints working teams, encourages teamwork and allocates time, space and resources for it. Management committee initiates meetings on a regular basis.	The WRUA systematically works with teams having joint planning and shared responsibilities. Teams are self-organized, set their tasks and define individual responsibilities together. WRUA Members plan and coordinate well, and support and learn from each other.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
2.1.6 Anti-discrimination and anti-corruption The extent to which the WRUA promotes diversity in gender, ethnical background and religion and has regulations (in their constitution and bylaws) on anti-corruption and anti-discrimination that are implemented and adhered to.	The WRUA is not diverse in terms of gender, ethnical background, & religion. Certain families or friends tend to participate and benefit more than others. The WRUA responds to complaints and concerns depending on who they know or prefer. Socially marginalized groups (aged, People with disabilities, women, people with albinism, children, People Living with HIV/AIDS) are not given extra consideration in the WRUA, nor its activities Irregular Payments are made to obtain favors There are no measures taken against discrimination.	The WRUA shows some diversity in terms of gender, ethnical background & religion. The WRUA has guidelines on gender, ethnical background and religion drafted in their Constitution and by-laws, but this they do not actively share and enforce. There is diversity existing beyond a small circle of friends and family but the WRUA has not ensured that the benefits are open and equal to all, based on need. No irregular services or payments are requested The WRUA makes some limited effort to include marginalized groups as part of activities.	The WRUA shows diversity and takes actions to preserve it. The WRUA has guidelines on gender, ethnical background and religion drafted in their Constitution and by-laws. There is a tolerant attitude towards discriminated groups. The WRUA has ensured there is diversity and benefits sharing is open and equal to all based on need. This is clearly guided and monitored. There is no clear complaints handling System and the management committee does not know how to respond to them. The organization is active in including discriminated groups as part of its activities and taking special measures to address their needs	The WRUA is pro-active in implementing measures to maintain and further enrich diversity in the organization. The organization has a well-defined anti-discrimination and anti-corruption regulation in their constitution and by-laws and the WRUA puts this into practice. Management committee monitors and ensures that they and all members adhere to the regulations and failure is punished according to the constitution. There is functioning complaints handling system The WRUA promotes the inclusion of discriminated groups in all its activities, and actively promotes equal rights for them.

2.2 Process and program management

Indicator / Stage	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
2.2.1 Development of WRUA Project Proposals Extent to which the meaning of the terms project objectives, outputs, outcomes and performance are understood and considered in proposal development or undertaking of SCMP implementation projects/ activities	Terms are unfamiliar or not understood, or meanings of these are not shared between the key players in a project / activity Proposals are not well defined and do not contain these terms (objectives, expected/targeted outputs, outcomes). There is no monitoring and evaluation plan in place to measure performance	Terms are familiar, and understood by most of the key players in the project Project proposals contain some information pertaining to these terms, but the WRUA has not clearly defined them. A monitoring and evaluation plan is only partially considered important and hence, not clearly defined within the project proposal	All the terms are well understood by all the key players in the project Project proposals clearly state the information pertaining to these terms, but actions that result from them are not yet clear. A monitoring and evaluation plan is in place and considered important, but again not fully defined	Terms are well understood and meanings shared by all key players in the project / activity The WRUA has clearly defined the terms in the project proposal and actions that result from them are clearly defined. A monitoring and evaluation plan to measure performance against these terms is in place and considered important.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
2.2.2 Problem analysis and Needs assessment The extent to which the problem analysis and needs assessment was participatory (stakeholder involvement)	The WRUA undertakes needs assessment with little or no input from community or intended beneficiaries. No problem analysis is undertaken. Other stakeholders are not involved in definition or validation of problems and situations.	The WRUA undertakes needs and problem analysis but only consider community leaders, their close families or friends, and not the specific needs of the targeted beneficiaries. Limited involvement of other stakeholders, mainly to satisfy the donor/funding entity requirement. Inadequate translation from the problem analysis and needs assessment findings to plans.	The WRUA undertakes needs and problem analysis with involvement of target groups and include desk-research. Relationships developed with different members of community. Involvement of other stakeholders is systematic and they have confirmed their inputs. Plans address some problem analysis and needs assessment findings, but not systematically.	The WRUA undertakes problem analysis and needs assessment basing on a combination of desk studies, stakeholder mapping and analyses, involvement of target groups, community leaders and active involvement of well-selected stakeholders. The problem analysis agreed on by stakeholders. The problem analysis and needs assessment are used as input for participatory process of planning

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
2.2.3 Setting project objectives and plans The extent to which the project objectives and plans are realistic, and reflect the needs of the target groups.	The WRUA does not have clear project objectives	The WRUA has defined project objectives but are not specific and mainly focus on immediate results, outputs or (individual) benefits	The WRUA has defined project goals and objectives that are specific, realistic based on the problem analysis and needs assessment. The project objectives refer to medium and long- term results and outcomes, but they may not take into account issues of sustainability and scale.	The WRUA base the project objectives and plans on an inspiring long-term vision. The objectives are specific and realistic in terms of resources available. They reflect the needs and dreams of the target group, both in the short and long-term. They address root causes, issues of sustainability and create impact at scale.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
2.2.4 Activity Planning The extent to which the planning of the activities is clear to all WRUA Members and staff /stakeholders/target groups, and is consistent with the objectives and outputs required.	Activities carried out without clear plan of action or without coordination between management committee and WRUA members or other stakeholders.	Management and members/staff follow a basic action plan and activities are coordinated by management committee and WRUA members In activities there is limited space for participation of target groups or only a small group of friends/families is involved.	The WRUA carries out activities according to well-elaborated plans The activities are well coordinated: well organized and systematic. In activities there is ample room for participation of a wide range of members and target groups	There is good coordination mechanisms that follow through on work plans to achieve project outputs. Coordination allows for timely detection of problems and re-planning of activities. Participation of target groups is systematic not only in activities as well as in planning.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
2.2.5 Coordination and cooperation in implementation The extent to which the WRUA effectively co-ordinates its activities internally and externally (with other stakeholders, including the local community) through planning meetings and other communications.	No coordination with other stakeholders takes place except when necessary and/or upon request of other parties.	The WRUA sometimes organize coordination meetings mainly to inform members on plans or changes in plans. The WRUA occasionally organize coordination meetings with other stakeholders, but mainly those that are essential to get access to resources.	Internal coordination meetings are systematic and frequent. The WRUA organizes regular coordination meetings with other stakeholders, though only on need basis.	The WRUA effectively coordinates its activities internally and externally (with other stakeholders) through regular planning meetings and other communications. The WRUA is pro-active in detecting changes and new stakeholders and invites them at the coordination table.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
2.2.6 Reporting on outputs and outcomes for monitoring / supervision The extent to which the WRUA committee members / staff produce and present clear activity and output reports for supervision and discussion.	WRUA Committee members / staff are not required or do not report on activities or outputs, except if the management committee or a donor explicitly asks for this information. The WRUA has limited written information compiled; this is neither analyzed nor stored.	The WRUA produces regular activity reports for the management committee and donors only, but are often not properly prepared. The management committee sometimes uses the reports for reflection and adjustment of planning and after this documentation and storage is often not systematic.	The WRUA produces regular activity reports and discuss them among the management committee and members in the team. The WRUA analyzes documented and stored reports and after this apply lessons from them in new plans and projects.	Activity reports are complete and answer to all reporting requirements. The WRUA systematically analyze and discuss the reports in the management, among members and in teams. Filing is systematic The WRUA uses the reports routinely/ immediately for monitoring of planned versus implemented activities and adjust plans accordingly. The WRUA can demonstrate changes in its methods from lessons learned from monitoring.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
2.2.7 Sustainability and scale of outcomes The extent to which the achieved changes have far reaching impact.	WRUA shows no interest in ensuring project sustainability or scale. No follow-up monitoring and support to past projects.	Sustainability is measured mainly in terms of own (financial) ability to continue operation and less in terms of ecological and social sustainability. WRUA occasionally provides follow-up monitoring and support to past projects The WRUA looks at scale of the outcome for its own membership and not beyond.	Project design, execution and follow-up usually address different – though possibly not all - aspects of sustainability (Financial, Institutional, Environmental, Technical, Social) Existing community structures (Chiefs, Local elders, other government agencies) are mobilized to sustain and upscale project results, but sometimes with limited results WRUA systematically follows-up on past projects to sustain and up-scale impacts.	Project objectives are clearly sustainable and scalable even after the project's end and without external donor resources or interventions coming in. Some WRUAs have set up independent project committees around the projects WRUA considers all different aspects of sustainability (Financial, Institutional, Environmental, Technical and Social).

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
2.2.8 **WRA – WRUA relation on programme development and management** The extent to which WRA supports the WRUA in programme development and management	WRA has not supported the WRUA to develop the Sub catchment management plan (SCMP) WRA has not supported WRUA to develop programme proposals or monitoring and evaluation (M&E) frameworks	WRA has supported the WRUA to develop the Sub catchment management plan WRA has trained the WRUA on programme management and development of M&E frameworks	WRA has supported the WRUA to implement the Sub catchment management plan The M&E committee members are implementing M&E framework on a lower scale. WRUA has consulted with WRA on the development of proposals and M&E frameworks	WRA has supported the WRUA to review the Sub catchment management plan The M&E committee members are fully implementing M&E framework, analyzing the findings and using it to inform the implementation.

2.3 Legislation and financial administration and management

Indicator \ Stage	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
2.3.1 Sustainability of the WRUA Level to which the WRUA has developed strategies for income-generating activities to sustain its financial needs.	WRUA shows no interest in ensuring sustainability. No strategy in place to develop income-generating activities. WRUA fully relies on donors and WRA to function There are no income-generating activities taking place that create an income to the WRUA.	WRUAs SCMP does not have the livelihood component The management committee has undertaken some income generating activities (such as a tree nursery), often with external support. Sometimes it is unplanned for and not long term. Only a small group of leaders know the income generation strategy and heavily dominate the revenue generated from the activity The WRUA does not use the income generated to sustain itself or the income is very limited.	The WRUA has a clear strategy for its sustainability. It undertakes some systematic income generating activities. The activities, strategy and revenues are widely known and understood by the WRUA members The WRUA uses the income generated to sustain itself and are transparent, but the revenues are still very limited. Investments depend on external funding.	The WRUA has a clear, systematic and successful strategy for income generation that members and the community know and accept. The activities generate a significant income to sustain the WRUA and allow it to invest in expansion or maintenance. Bookkeeping is clear and transparent to all. The WRUA is fully in charge and accountable.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
2.3.2 Financial Policies and Procedures The extent to which financial policies and procedures are adequately described and respected, and meet current needs for documentation, accountability and transparency.	The WRUA has financial guidelines in the constitution but does not enforce them. The management committee personally manages all funds and decides on investments, payments (what amount and to whom).	The WRUA has financial guidelines in the constitution but most times ignores them in practice. The WRUA has a basic accounting function, but it is not clearly separated from other functions Approval and control of funds is often by one person or a small group of people	Written financial guidelines and procedures are in place, although some of these might need revision and updating The WRUA regularly applies, monitor and enforce policies and procedures. The WRUA has a well-defined accounting function that is clearly separated from other functions. There is independent financial control. At least 2 office holders, not being the accountant, do signing off cheques and payments.	A Financial Handbook describes all financial guidelines and procedures and it is regularly revised and updated The WRUA fully applies policies and procedures in practice and meet current needs for documentation and reporting. Authorization is clear and shared, separate from the accounting function. The accounting function in the WRUA is regularly audited independently.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
2.3.3 Financial Planning, budgeting, monitoring and administration The extent to which the financial budgets, purchases, stocks and assets are adequately prepared, handled, monitored and administrated, and corrective action is taken when deficits arise.	No WRUA committee or staff members know how to prepare budgets properly as per the WRUA Development Cycle The funds on hand determine the WRUA expenditure No procedures set up for procurement of goods and services. Purchasing often done only by the Management committee with no consultation. No inventory or stock control system in place.	The procurement committee members and management committee have capacity to prepare basic project budgets. However, the WRUA does not always consider budgets in spending decisions or budget are sometimes changed without appropriate approval. Some procurement procedures exist but are not always functional and applied by management and staff Some items listed in an inventory but are not always available when needed or are missing or (regularly) used for non-official purposes.	The procurement committee members and managers are capable to prepare complex project and short-term organizational budgets, have them approved according to the governance system. The WRUA can only make expenditures that are in the budget. Clear procurement procedures are in place, with proper authorization obtained in most instances. The WRUA lists and labels all major items as required. Stock control is systematic. There is no systematic private use made of official items.	Project and long-term WRUA budgets are prepared on a routine basis. The WRUA monitors expenditures against budgets and corrective actions taken when problems arise. There is system of monitoring budget depletion. Procedures consistently followed. Several quotations required for purchases over a specified amount. The WRUA lists and labels all significant items and routinely updates and verifies its inventory list. No private use made of official items.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
2.3.4 Financial reporting The extent to which clear and accurate financial reports meet the requirements for management decisions and those of funders	Financial reports are rarely prepared and do not present an accurate account of income and expenditures. There is no link between financial and narrative reporting or original budgets. Only the Management committee knows the real financial position of the WRUA. Unable to inform funders properly how use of money.	Financial reports are regularly prepared but often contain inaccuracies. The links with narrative reporting and budgets are weak and there is no proper explanation of deviations. The quality of financial information is insufficient for managing the WRUA or projects. Reports to funders contain errors and/or are not provided on time. Sometimes projects are audited on request of donors.	The WRUA prepares regular and accurate reports and link the financial reports to narrative reports and budgets. It explains deviations, although sometimes poorly. Management has reasonably accurate and timely financial information on which to make decisions. Reports to funders are accurate and timely. Additionally the WRUA produces yearly institutional audited financial statements.	The WRUA does accurate reports, clearly differentiating projects and income sources. Financial and narrative reports are well integrated. The WRUA compares expenditures with original work plans and budgets and deviations are well explained, including measures taken to address the situation. Requests for future changes in budgets are linked to the reports. Management has complete, accurate and timely reports on the WRUA and each project and is capable to anticipate future financial developments The WRUA consistently submits clear and accurate to funders and on time. Additionally the WRUA produces yearly institutional audited financial statements and publish these reports externally.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
2.3.5 Local community / members financial contributions Level to which the WRUA is able to systematically raise funds from the local community / members	There are no resources mobilized from the local community neither membership fees from WRUA members. There is no clear and agreed guidelines in the Constitution or by laws on membership fees or community contributions. The WRUA depends fully on external funds for financial resources.	Some members contribute money, but the percentage of water users that are systematically paying membership fees is limited. There are clear and agreed guidelines on community contribution or membership fees, but are not widely agreed and shared neither systematically applied. Conflicts may emerge when contributions are requested. Members' contributions do not cover much of the financial needs of the WRUA.	Active members or main water users voluntarily contribute some funds, through membership fees or other agreed on contributions. Non-active members are not contributing. The WRUA has written down guidelines, but once adopted, not regularly reviewed. The member contributions, possibly in conjunction with income generating activities, covers only a part of the resources needed to sustain the WRUA.	All members or water users are fully aware of the payment system and voluntarily contribute what they are supposed to pay. The WRUA regularly updates guidelines with the members and communicates it well. The members' contributions covers all financial needs of the WRUA, either alone or in conjunction with income generating activities.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
2.3.6 Funding from Water Services Trust Fund To what extent is the WRUA able to receive progressive funding from the Water Services Trust Fund (WSTF)	No funds received yet, may have applied for level 1. WRUA is not able to write proposals to the WSTF independently, but relies on WRA for this	Received first level funding, with support from WRA or another external organization. Requires assistance with implementation of funding received and reporting	Finalized first round and received (approval of) second round. Is able to write proposals and reports with limited support. Fulfills criteria well. Funds are paid with long delays and WRUA is unable to address this alone.	WRUA is moving independently through consecutive cycles of WSTF funding. WRUA fulfills requirements, writes good proposals and reports and manages contacts independently and timely. WRUA has contacts to ensure funds arrive timely.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
2.3.7 Sustainable financing mechanism, other external financial resource mobilization and diversification of funds The extent to which the WRUA is capable of mobilizing sufficient and sufficiently diverse, external resources for the attainment of its objectives.	There is no vision of a sustainable financing mechanism WRUA has no members that can prepare a basic project proposal and there is little or no idea of how to approach potential donors for support Support only from WSTF (arranged with external support) which are close by. (0-10% of total budget covered from 1 or 2 funding sources)	The vision on the sustainable financing mechanism is focusing on WSTF and some external donors. Only a few members can prepare a basic project proposal. WRUA lacks strategic approach to identify new and other donors, but knows the main local ones. WRUA has limited knowledge of funding sources and donor criteria. (10-20% of total budget covered from 3 -5 funding sources)	There is a vision of a sustainable financing mechanism, but the WRUA is not yet able to achieve all and it may still be unbalanced, depending heavily on specific project funding. WRUA has capacity to prepare project proposals and to develop basic longer-term program proposals. Organization targets relevant funding sources, with specific strategies for program and projects. It is aware of which initiatives match best with which donors or potential funding sources. Accesses local and national donors independently and international donors with support. (20-60% of total budget covered from 5-10 funding sources)	There is a clear vision and strategy for a sustainable financing mechanism that balances different sources of income and is implemented successfully. Organization has acquired routine in preparing project and program proposals, including comprehensive and long-term program proposals. Organization is selective in deciding with whom to enter funding agreements. The organization monitors new potential funding sources and trends in funding and acts on this. Can access local, national and international donors independently. (60-100% of total budget covered from 5-10 funding sources)

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
2.3.8 Resources received from WRA, as their agent Level to which the WRUA is paid by WRA to implement tasks and to which the WRUA is an official agent of WRA	WRUA and its members are not involved in implementing paid tasks for WRA. They may receive an allowance though, when requested to join to the field.	WRA has appointed WRUA as agent, but the WRUA is implementing tasks for WRA. Alternatively, WRA has appointed WRUA as agent but there is no performance contract that arranges payment for tasks. Possibly, there are individuals in the WRUA who are paid for specific tasks like gauge reading, but if so, it is an individual arrangement and not a performance contract	WRA has appointed WRUA as agent indicating specific tasks and there is a performance contract indicating the payment per task. The tasks are still very limited and the payment is marginal as a source of income for the WRUA. Still, a lot of work done for WRA is unpaid. The WRUA does not regularly update the performance contract or sometimes do not make payments on time.	WRA has appointed the WRUA as an agent and has a performance contract with the WRUA to pay them for tasks done. The list of tasks is expanded and the income is consistent and provides a considerable source of income for the WRUA (at least 1/3 of budget required). The WRUA does regular monitoring and updating of performance contracts.

Level 3 - Relational layer

Issues:

• Culture & ethics

• Communication

• Cooperation & participation

3.1 Culture and ethics (awareness)

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
3.1.1 Understanding the role of the WRUA in its sub-catchment The extent to which the WRUA: Understand its sub-catchment (internal and external factors that drive it and affect it; political, social, environmental, etc.) Defines its roles and strategies in response to this	WRUA unaware of the need and use of tools (context and stakeholder analysis) to analyze their sub-catchment No context analysis too exists WRUA unaware of how it can be affected by internal and external factors/drivers – for example how it will be affected if its objective is not clear Role of WRUA is not clear or related to their context as a result of the roles outlined in the Water Act	Context and stakeholder analysis tools have been developed, partially understood but not analyzed nor updated. Some members are aware of the WRUA objectives and how the WRUA can be affected by internal and external factors/drivers WRUA is aware of its basic roles but cannot relate it well with other stakeholders that either affect it directly or indirectly in achieving its mandate	The WRUA does context and stakeholder analysis but the WRUA does not translate this well in its work and external relations. Most members are aware of the WRUA objectives and how the WRUA can be affected by internal and external factors/drivers Role of WRUA is defined on paper, shared with WRUA members and key stakeholders and are partially understood. WRUA occasionally involves stakeholders in executing its roles based on the context and stakeholder analysis.	The WRUA does context and stakeholder analysis and translates the results well in its work and its external relations. All members know and understand the role of the WRUA, its plans/ strategies to handle different factors affecting it, and the role of other stakeholders. WRUA frequently involves stakeholders in executing its roles based on the context and stakeholder analysis.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
3.1.2 Recognition by other stakeholders (target groups, other organizations) The extent to which the WRUA is recognized by other stakeholders as a relevant player in its context	Some non-members target groups have heard of the WRUA concept, but most do not know who they are and what they do A few stakeholders in the external context are aware and have heard of the WRUA concept	Most non-members know the WRUA by name and are aware of its mission, activities and how to contact it. Most stakeholders know the name of the WRUA, are aware of the WRUA activities and how to contact it.	Almost all non-members know and acknowledge the role and tasks of the WRUA, know how to contact it and for what. Almost all other stakeholders recognize the WRUA as a relevant player, with a significant contribution to its context and know how to get involved with it.	Entire target group and all relevant stakeholders recognize the WRUA and respect it for its valuable and significant contribution to its context.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
3.1.3 Relevance of WRUA activities among stakeholders (target group, organizations, etc.) The extent to which the target groups consider the activities and impact of the WRUAs' activities as relevant	WRUA does not make any attempts to listen to opinions of the target groups Target groups do not recognize the contribution of the WRUA in their community.	WRUA listens to some target-group members it is close to, but on some basis. Some target groups recognize the contribution of the WRUA in their community Active members and project beneficiaries confirm contribution of the WRUA to them.	The majority of the actual participants are from the identified target groups. The WRUA systematically uses target-group feedback for improving relevance of projects. Target groups widely recognize considerable contribution of the WRUA not only to the individual target group members but also at the level of communities as a whole.	The WRUA systematically design projects and involve the majority of the target groups during implementation. WRUA constantly monitors who are actually benefiting from projects and addresses if this is not inclusive. Target groups are highly enthusiastic about the contribution of the organization, particularly at the level of the community as a whole.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
3.1.4 Commitment towards performance and stakeholders The extent to which the WRUA management is committed to achieving tasks and results for the target group(s), Target groups – members, non-members, government, all key stakeholders in water resource management in the area	WRUA management/ WRUA staff are not committed to work hard and do not respect deadlines or commitments. WRUA management/ WRUA staff cannot be relied upon to undertake tasks without constant supervision, or prompting from external forces (example WRA or NGOs) WRUA management/ WRUA staff are more interested in personal gain/ opinion than committing to water resource management on behalf of their target groups The WRUA does not pick up themselves issues and concerns on water	WRUA management/ WRUA staff are committed and agreed tasks are usually finished properly, or on time. Performance of WRUA management/WRUA staff differs and depend on regular supervision / instruction by others. Personal benefits, like good relations, access to resources or payment are still largely the driver for performance and fulfilling tasks and less the water issue at hand. The WRUA does not proactively raise or address Concerns about water management issues unless when others request to work on it.	Commitment of WRUA management/WRUA staff is visible by timely finishing of good quality tasks, even if it would cost some overtime or extra effort. WRUA management/WRUA staff Performance is stable and they fulfill work on own initiative, independently. WRUA management/WRUA staff invest actively in improving relations with stakeholders and responding to their needs The WRUA actively raises or addresses. concerns about water management Job satisfaction is related to both the achievement of results and quality, and personal benefits	WRUA management/WRUA staff are highly committed to achieving results and provide constant quality services to the government, the members and to non-members. Extra efforts are made and inputs and feedback from stakeholders, the government, non-members and members are sought to improve quality WRUA management/WRUA staff (in teams) stimulate each other and teams strive for best results. WRUA management/WRUA staff believes in and enjoys what they are doing and rarely need to be pushed. Results and quality give more reason for job satisfaction than personal benefits.

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
3.1.5 Shared Core Values / Beliefs The existence, acceptance, and sharing of the WRUA's core values /beliefs (example integrity, cooperation, etc.) that inform the way in which the members conduct themselves when representing the organization.	WRUA has no core values/ beliefs	Core values/ beliefs are in place and aren't written formally Members have yet to understand them and adopt them into common practice when representing the WRUA or dealing with water issues	Core values/ beliefs are in place and written formally Most members understand the meaning of these values to their actions when representing the WRUA and dealing with water issues Most members accept and practice them WRUA does not have a plan/strategy to monitor the application of these	Core values/ beliefs are in place and written formally All members understand the meaning of these values to their actions All members accept them and practice them WRUA consistently monitors the application of these in all interactions

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
3.2.1 Documentation and communication of decisions The extent to which decisions are documented and communicated to all relevant persons involved, and used for monitoring and follow-up.	Minutes, records and reports are written and do not follow a consistent format. Only the WRUA management receive them. WRUA Members/staff have limited or no access to this information Actions are not clearly defined or assigned to a specific WRUA management committee member/ WRUA staff There is no follow up on actions planned. WRUA Members/ staff do not adhere to the decisions made.	The WRUA produces minutes, records and reports quite regularly but sometimes lack relevant information in an understandable format. WRUA actions are still not well defined but members responsible are defined The WRUA regularly delay or even skip documentation and communication. Key WRUA members/staff have access to this information, but they are not openly available. There is very little follow up on actions planned from the WRUA management Only those WRUA members/Staff who have access to the information adhere to the decisions made by the WRUA Management committee.	Minutes, records and reports are produced consistently and they contain relevant information, following a clear format with actions and responsibilities clearly defined Documentation and communication is not always timely. WRUA members and staff have access to this information Follow-up and adherence to the decisions made by done.	The WRUA produces minutes, records, reports and other relevant, informative documents are and submitted in time to relevant parties. WRUA members and staff have good and automatic access to Minutes, records, reports and other relevant, informative documents and is stimulated and supported to read it, adopt it, and provide follow-up

Indicator / Stage	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
3.2.2 Monitoring and communication of outputs and outcomes of the WRUA The extent to which the WRUA monitors and shares it outputs and outcomes as an organization, and draws lessons about them for adjustment of their plans to achieve goals.	No Monitoring and Evaluation (M&E) framework is used. The WRUA does not conduct baseline surveys and access to reliable data is limited Time planning is not well established or not adhered to The WRUA does not specify or record outputs of activities. Only a few lessons are learned but the WRUA does not adjust its plans as a result.	Basic M&E framework is in place and monitoring is done regularly The WRUA has baseline information on water resources in their sub-catchment. The monitoring system does not allow verification of the extent to which the activities realized will contribute to the outcomes and objectives.	The WRUA has a well-developed framework for M&E established on activities, outputs and (to a lesser degree) outcomes, with relevant indicators for this. Monitoring is systematic. Baseline surveys are standard and good quality data available Monitoring of progress towards reaching outcomes and objectives is done, but with limitations, particularly in the area of capacity development and behavioral change in the WRUA.	A fully developed framework for planning and monitoring of activities, outputs and impacts is operational. The WRUA establishes indicators and uses them to measure progress of activities and outputs towards relevant impact. Regular review progress of implementation of WRUA activities against plans through set mechanisms. The WRUA adjusts its strategies when required.

3.3 Cooperation and participation

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
3.3.1 Membership to networks and platforms The level at which the WRUA is an active member of existing platforms and connections	WRUA has few contacts with other organizations, like NGOs, private sector and government agencies. No activities but meetings where other organizations invite the WRUA management. Little participation within WRUA network. A few management members are known by other WRUAs and not from outside. No knowledge of possible sources for technical assistance that can be available for the WRUA. WRUA is unable or unwilling to put resources together to attend meetings	WRUA has good bilateral contacts with relevant NGOs, government authorities and private sector in area. Active participation in WRUA network but not beyond this. Limited partnership around concrete projects. Name known in own area and among WRUAs, but others do not know what the WRUA exactly does. There is some attempts to contact external sources for technical assistance. WRUA is willing but unable to put resources together to attend meetings	Regularly meets with local NGOs, private sector and government authorities and very occasionally at national level, in collective network settings. Active role in WRUA network and involved in other networks as well. With some established partners collaboration on projects Good reputation in wider project area. Able to recognize needs and take the initiative to contract technical expertise. WRUA is able and willing to put resources together to attend meetings but does so infrequently	Actively participates in network meetings of stakeholders, at local and as relevant national level. Invited to represent and plays leadership role in wider working area. Committed to cooperation and collaboration, with different concrete projects as examples The WRUA is well known and respected. Able to determine own needs and initiate contact with technical experts. The WRUA can give several examples of relevant technical assistance received. Organizes technical seminars with other stakeholders and relevant authorities. WRUA puts resources together to attend meetings

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
3.3.2 Developing partnerships and platforms for collaboration on specific issues / conflicts The level at which the WRUA is able to build partnerships and collaborate with other important stakeholders from different sectors to tackle specific issues/conflicts	WRUA does not have the capacity or will to bring together stakeholders to tackle issues There are no strategies or policies (for example MoU's, agreements, etc.) to put in place any partnerships Partnerships, if any, are small and focused around the key leaders, through personal contacts. Partners are not specific to the issue/conflict at hand	WRUA engages on and off with partners, but without any clear strategy or policy on engagement. WRUA is willing but unable to put together resources to deal with the issues/ conflicts The focus of partnerships is still mainly around the key leader.	WRUA has a written strategy and policy for partnership in place, as well as a means to fund this, but not yet put into action regularly Some partnerships still depend on the key leader being the focus, More partnerships have been created through the WRUA as a whole WRUA is not dependent on the personal contacts of the leaders.	WRUA is fully engaged in developing partners for specific issues and has clear strategy and policies to engage the relevant stakeholders WRUA has the capacity to develop these partnerships and collaborations, and is able to raise funds internally to promote these Partnerships are not reliant on key leaders Partnerships are different (for example drawn on various government, other CBOs, NGO and private sector stakeholders) and each targeted to the specific issue

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
3.3.3 Links and Cooperation with WRA as the key water resources management and regulations agency The extent to which WRUA and WRA recognize one another and communicate on key WRM issues in the sub-catchment; without being formal agents of WRA	WRUA is not registered with WRA locally WRUA does not know any of the WRA officers who work in their sub-catchment WRUA is not communicating with WRA on issues related to WRM in their sub-catchment WRA works in isolation within the sub-catchment	WRUA is registered with WRA locally WRUA knows the WRA officers relevant to WRM issues in the sub-catchment (water rights, community development, technical (ground and surface water) but rarely interacts with them WRA occasionally notifies the WRUA officials when conducting surveys/enforcement activities in their sub-catchment WRUA occasionally communicates their progress and issues with no or little official response or action from WRA WRA rarely consider WRUA's inputs while responding to the issues	WRUA is registered with WRA locally and recognized regionally WRA frequently notifies WRUA about their WRM activities in the sub-catchment WRA frequently seeks WRUA assistance in conducting WRM activities in the sub-catchment WRUA shares their progress and issues relating to WRM frequently with WRA with at least 50% of these being officially responded to by WRA	WRUA and WRA have a strong working relation based on a legal recognition and mutual respect All activities conducted by WRA are well known to WRUA and they participate in these all the time WRA takes up all issues raised by WRUA and together they find solutions to all of them

Stage / Indicator	Capacity Stage 1 (Planting)	Capacity Stage 2 (Seedling)	Capacity Stage 3 (Maturing)	Capacity Stage 4 (Harvesting)
3.3.4 Links and co-operation with other governmental agencies The extent to which the WRUA is informed about all relevant governmental plans and policies and cooperates with all relevant governmental agencies in planning and implementation of its activities.	The WRUA is only relating to a few government agencies only when the government invites them to meetings or visits, at their cost all the time. Very few or no mutual contacts with related agencies and generally do not go beyond management committee. Has no official registration of MoU with WRA or this expired without being renewed	The WRUA occasionally meets and co-ordinates with governmental agencies, beyond WRUA and WRUA-WRA meetings WRUA can occasionally be able to fund their own engagements with government but still depends mostly on government funding. The WRUA has an official registration / MoU and occasionally implement tasks for WRA only.	The WRUA regularly coordinates with governmental agencies, but sometimes effects of this coordination are limited. WRA and other government agencies are regularly involved in the implementation of WRUA but not systematic rather when need be. The WRUA Regularly aligns its planning and implementation with existing governmental policies and priorities. The WRUA has some basic ideas and capacity to adapt and change or passively provide inputs to the government agencies. WRUA can regularly be able to fund their own engagements with government and hence, be more independent	The WRUA is recognized by WRA and other government agencies, relates and operates with them as an integral part. It independently implements its tasks and relates on a continuous basis with WRA and other government agencies on issues coming up at its own cost. The WRUA aligns its planning and implementation with existing governmental policies and priorities. The WRUA has the capacity to adapt and change or pro-actively provide inputs to the government agencies. The WRUA structurally builds a close coordination with governmental agencies in the planning process, implementation procedures and practices. Proof of benefit and results in activities through cooperation can be seen at the project level.

IV   Scoring sheet

Name of WRUA: _____

Date of Assessment: _____

Type of Score: Individual / Group   (please cross out which one is not correct)

Affiliation to WRUA: Member / Non-member

Occupation/ Background if Individual:

Indicator	Score	Comments
1.1 Policy development		
1.1.1 Vision, mission and overall goals		
1.1.2 WRUA constitution, by-laws and other policies		
1.1.3 Decision making (top down approach participatory)		
Score Policy development (score 1.1.1 – 1.1.3 added / divided by 3)		

1.2 Knowledge and skills		
1.2.1 Understanding and knowledge of Water Resources Management		
1.2.2 Training and technical support received from WRA or other institutions on water resource management		
1.2.3 Performance of WRUA as agent of WRA		
1.2.4 Knowledge management and best practices		
1.2.5 WRUA organizational skills		
1.2.6 Definitions of roles and responsibilities		
1.2.7 Employment of staff by the WRUA		
1.2.8 WRUA staff supervision, assessment and development		
1.2.9 Incentives for performance		
1.2.10 Openness to innovation, feedback and learning		
Score Knowledge and skills (score 1.2.1 – 1.2.10 added / divided by 10)		
1.3 Information management		
1.3.1 Availability of information		
1.3.2 Collecting and storing of information		
Score Information management (score 1.3.1 – 1.3.2 added / divided by 2)		

2.1 Organization: General		
2.1.1 Functioning of the governance structure		
2.1.2 Accountability mechanisms / Openness / Transparency		
2.1.3 Efficiency of use of resources		
2.1.4 Assets, infrastructure and transport facilities		
2.1.5 Encouragement of teamwork		
2.1.6 Anti-discrimination and anti-corruption		
Score Organisational: General (score 2.1.1 – 2.1.7 added / divided by 6)		
2.2 Process and program management		
2.2.1 Development of WRUA project proposal		
2.2.2 Problem analysis and needs assessment		
2.2.3 Setting project objectives and plans		
2.2.4 Activity planning		

2.2.5 Coordination and cooperation in implementation		
2.2.6 Reporting on outputs and outcomes for monitoring / supervision		
2.2.7 Sustainability and scale of outcomes		
2.2.8 WRA – WRUA relation on programme development and management		
Score Process and program management (score 2.2.1 – 2.2.8 added / divided by 8)		
2.3 Legislation and financial administration and management		
2.3.1 Sustainability of the WRUA		
2.3.2 Financial Policies and Procedures		
2.3.3 Financial Planning, budgeting, monitoring and administration		
2.3.4 Financial reporting		
2.3.5 Local community / members financial contributions		
2.3.6 Funding from Water Services Trust Fund		
2.3.7 Sustainable financing mechanism, other external financial resource mobilization and diversification of funds		
2.3.8 Resources received from WRA as their agent		
Score Legislation and financial administration & management (score 2.3.1 – 2.3.8 added / divided by 8)		

3.1 Culture and ethics (awareness)		
3.1.1 Understanding of role of the WRUA in its sub-catchment		
3.1.2 Recognition by other stakeholders (target groups, other organizations)		
3.1.3 Relevance of WRUA activities among stakeholders (target group, organizations, etc)		
3.1.4 Commitment towards performance and stakeholders		
3.1.5 Shared core values / beliefs		
Score Culture and ethics (awareness) (score 3.1.1 – 3.1.5 added / divided by 5)		
3.2 Communication		
3.2.1 Documentation and communication of decisions		
3.2.2 Monitoring and communication of outputs and outcomes of the WRUA		
Score Communication (score 3.2.1 – 3.2.2 added / divided by 2)		
3.3 Cooperation and Participation		
3.3.1 Membership to networks and platforms		
3.3.2 Developing partnerships and platforms for collaboration on specific issues / conflicts		
3.3.3. Links and Cooperation with WRA as the key water resource management and regulations agency		
3.3.4 Links and cooperation with other governmental agencies		

Score Cooperation and participation (score 3.3.1 – 3.3.4 added / divided by 4)
Total Average Score (Scores from 1.1 to 3.3 added up / divided by 9)
Total Average Score for WRA-WRUA relations specifically (Scores from 1.2.2, 1.2.3, 2.2.8 and 3.3.3 added up / divided by 4)

The total average score can be seen as the level the WRUA is at now: planting (1.1-1.4), seedling (2.1-2.4), maturing (3.1-3.4), harvesting (4.1-4.4). From the different sub-scores you can see in what areas the WRUA is strong and what areas require extra attention.

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