

**What makes frontline duty-bearers act with integrity?  
Conditions and approaches that influence teachers and health workers  
to deliver services with integrity  
- ANNEXES TO FINAL REPORT -**

**List of Annexes**

<b>Annex 1. Data collection and analysis framework .....</b>	<b>II</b>
<b>Annex 2. Question guide for KIIs at global level.....</b>	<b>IV</b>
<b>Annex 3. List of global experts interviewed in Phase 1 .....</b>	<b>V</b>
<b>Annex 4. List of conditions and approaches resulting from Phase 1 .....</b>	<b>VI</b>
<b>Annex 5. Question guide for KIIs with Integrity Action’s partners .....</b>	<b>VII</b>
<b>Annex 6. Respondents from the KIIs with Integrity Action’s partners.....</b>	<b>VIII</b>
<b>Annex 7. Minisurvey for teachers .....</b>	<b>IX</b>
<b>Annex 8. Minisurvey for teachers – Respondents profiles.....</b>	<b>XII</b>
<b>Annex 9. Minisurvey for sectoral experts .....</b>	<b>XIII</b>
<b>Annex 10. List of networks contacted for the minisurvey for sectoral experts .....</b>	<b>XVI</b>
<b>Annex 11. Minisurvey for sectoral experts – Respondents names and contacts.....</b>	<b>XVII</b>
<b>Annex 12. Minisurvey for sectoral experts – Respondents profiles .....</b>	<b>XXI</b>
<b>Annex 13. Question guide for focus country work .....</b>	<b>XXIII</b>
<b>Annex 14. List of persons interviewed – Nepal focus country work.....</b>	<b>XXVII</b>
<b>Annex 15. List of persons interviewed – Kenya focus country work .....</b>	<b>XXVIII</b>
<b>Annex 16. Results from teachers’ self-assessment on integrity .....</b>	<b>XXIX</b>
<b>Annex 17. Relative importance of limiting conditions.....</b>	<b>XXXI</b>
<b>Annex 18. Relative importance of limiting conditions per country .....</b>	<b>XXXIV</b>
<b>Annex 19. Relative importance of limiting conditions per sector .....</b>	<b>XXXVII</b>
<b>Annex 20. Teachers’ responses on questions related to Participation .....</b>	<b>XXXIX</b>

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## Annex 1. Data collection and analysis framework

Tool	Question	Types of questions	Purpose
<b>Phase 1– Analysing existing knowledge and research</b>			
<b>Act 1.2. KIIs at global level (Annex 2)</b>		Collecting existing knowledge Initial Formulated in positive Generic	<ul style="list-style-type: none"> <li>• <b>For RQ1.1.:</b> To deduce an initial list of conditions.</li> <li>• <b>For RQ 1.2. and RQ 1.3.:</b> To get insights into how these conditions vary with the country context and sectors.</li> <li>• <b>For RQ 2.1.:</b> To deduce an initial list of good practices and/or promising approaches.</li> <li>• <b>For RQ 2.2.:</b> To get insights into how the success of these approaches vary with the context.</li> </ul>
<b>Phase 2 – Capturing context and sectoral variability</b>			
<b>Act 2. KIIs with Integrity Action’s partners (Annex 5)</b>		Question guide to remain fluid Open-ended questions Formulated in positive or negative	<ul style="list-style-type: none"> <li>• <b>For RQ 1.2.:</b> To get an overview of the country specificities (legal and institutional framework), and country variability of the main conditions.</li> <li>• <b>For RQ 2.1.:</b> To validate and/or identify good practices or promising approaches to enable or motivate teachers to act with more integrity.</li> <li>• <b>For RQ 2.3.:</b> To get feedback from Integrity Action’s partners on citizen-centred accountability approaches.</li> </ul>
<b>Act 3. Mini survey – teachers (Annex 7)</b>	Q7, 9, 11	Self-assessment Initial Formulated in positive Specific questions (integrity pillars)	<ul style="list-style-type: none"> <li>• <b>For RQ 1.2.:</b> To assess country variability of the extent to which teachers are currently able to work with integrity.</li> </ul>
	Q 8, 10, 12	Multiple-choice questions Initial Formulated in negative Specific questions (integrity pillars)	<ul style="list-style-type: none"> <li>• <b>For RQ 1.1.:</b> Get teachers’ views on the relevance and the relative importance of the conditions from Phase 1.</li> <li>• <b>For RQ 1.2.:</b> To assess the country variability of the relative importance given to each condition, according to teachers.</li> </ul>
	Q 14	Multiple-choice question ideal Formulated in positive Specific questions (participation)	<ul style="list-style-type: none"> <li>• <b>For RQ 1.2.:</b> To get specific information on the current practices around participation and to analyse the country variability of these practices.</li> </ul>
	Q 13.	Multiple-choice question Initial Formulated in positive	<ul style="list-style-type: none"> <li>• <b>For RQ 2.2.:</b> To get feedback on the level where teachers think interventions are most needed.</li> </ul>

		General	
	Q15	Multiple-choice question Initial Formulated in positive Specific questions (citizens' level)	<ul style="list-style-type: none"> <li>• <b>For RQ 2.3.:</b> To get feedback from teachers on the activities at the school level where community engagement is most useful (and compare per country).</li> </ul>
	Q 16, 17	Open-ended questions Ideal Formulated in positive Specific questions (intervention levels)	<ul style="list-style-type: none"> <li>• <b>For RQ 2.1.</b> To get teachers' views on what more could be done to help them work with integrity (good practices that could be replicated and/or promising approaches).</li> </ul>
<b>Act 4. Minisurvey – sectoral experts (Annex 9)</b>	Q8, 9, 10	Multiple-choice questions Initial Formulated in negative Specific questions (integrity pillars)	<ul style="list-style-type: none"> <li>• <b>For RQ1.1.:</b> To get experts' views on the relevance and relative importance of the conditions from Phase 1.</li> <li>• <b>For RQ 1.3.:</b> To get insights on the sector variability of the relevance and relative importance of the conditions according to experts.</li> </ul>
	Q11, 12, 13, 14, 15, 16	Open-ended questions Ideal Formulated in positive Specific questions (intervention levels)	<ul style="list-style-type: none"> <li>• <b>For RQ 2.1.:</b> To validate and/or identify good practices and/or promising approaches.</li> </ul>
	Q 17	Open-ended question Specific questions	<ul style="list-style-type: none"> <li>• <b>For RQ 1.2 and 2.2.:</b> To get experts' views on the extent to which the conditions influencing duty-bearers' integrity and/or the approaches' effectiveness vary with the context.</li> </ul>
<b>Focus country work (Annex 13)</b>		Inductive (open-ended) Initial and ideal Formulated in positive or negative	<ul style="list-style-type: none"> <li>• <b>For RQ 1.1.:</b> To evaluate the relevance and relative importance of the conditions from Phase 1 and capture specific examples of what is in place in specific schools and HCFs.</li> <li>• <b>For RQ 1.2.:</b> To get insights into how the conditions vary with the country context and sector.</li> <li>• <b>For RQ 1.3.:</b> To assess the sector variability of conditions.</li> <li>• <b>For RQ 2.1:</b> To validate and/or identify good practices and/or promising approaches.</li> <li>• <b>For RQ 2.3.:</b> To get feedback from duty-bearers on citizen-centred accountability approaches.</li> </ul>

## Annex 2. Question guide for KIIs at global level

### Preliminary clarifications

By “acting with integrity” we mean when there is consistency between a duty-bearer’s words and actions, both in public and in private, and when these actions reflect the best interests of the citizens who rely upon them. It includes keeping promises that have been made to citizens, and responding positively to citizens’ feedback – which may include changing or retracting a promise where citizen feedback suggests this is appropriate.

This research focuses on the work of frontline duty bearers in schools and Health Care Facilities (HCFs). With ‘front line duty bearers’, we are specifically interested in teachers and head teachers in schools, and nurses, doctors, and responsible persons in HCF. The study focuses on developing countries, especially in East Africa, South Asia, and the Middle East.

**ONLY FOR WASH EXPERTS:** Access to adequate infrastructures such as classrooms or health care units, but also Water, Sanitation and Hygiene (WASH) facilities/services are known conditions for provision of quality education and health services. Therefore, this research also looks into conditions and approaches that help ensure that these infrastructures are well constructed and well maintained.

Considering your experience, we would like to focus this questionnaire on the situation in schools/HCF.

### Questions

1. What are the main sector/s and countries where you have working experience?
2. From your experience working in the education/health sector in developing countries, what do you think are the most important conditions for enabling or inspiring teachers and head teachers/health workers to act with integrity?
3. Have you seen these conditions vary in different country contexts (cultural, political, economic, etc.)? if so, how?
4. Have you come across any approaches, methodologies or tools that have proven successful to create or strengthen these conditions? If so, could you please give some example of the most relevant ones according to you?
5. If you have come across these approaches in different contexts, have you observed any difference in the extent to which they are successful?
6. **ONLY FOR WASH EXPERTS:** Could you please share your experience on the extent to which ‘well-constructed and maintained’ infrastructure (including WASH) influence the way teachers and head teachers/health workers can do their job?
7. **ONLY FOR WASH EXPERTS:** Looking at contractors for infrastructure: Poor construction quality, inappropriate design or choice of technologies are real challenges in low-income countries: What could be done to improve this situation? (either by the community, school stakeholders, the local government or by supporting agencies such as NGOS?)
8. **ONLY FOR WASH EXPERTS:** What do you think could be done to ensure that infrastructure (including WASH) is better maintained? (either by the responsible stakeholders, the local government or by supporting agencies such as NGOs?)

**Important note:** We aim to use the content of this interview for our research. The research findings will be made publicly available. We would like to acknowledge your support in this research (name and organization). In case you prefer to remain anonymous, please inform us.

## Annex 3. List of global experts interviewed in Phase 1

	Name	Organization	Sector
1	Nicole Rähle	Swiss Red Cross	Health
2	Marco Gerritsen	Ministry of Foreign Affairs of the Netherlands	Health
3	Alejandra García Naranjo	Médecins Sans Frontières	Health
4	Nicole Uhlick	Friends Without a Border	Health
5	Wim Groenendijk	Health Pooled Fund (Crown Agents) and Girls Education (Mott MacDonald)	Health and Education
6	Tom Aston	Independent Consultant	Health and Education
7	Tracy Ledger	Gordon Institute of Business Science	Education
8	Jessica Gregson	Lutheran World Federation	Education
9	Bella Monse	GIZ and Sustainable Sanitation Alliance (SuSanA)	Education and WASH
10	Sareen Malik	African Civil Society Network for Water and Sanitation	Integrity and WASH
11	Binayak Das	Water Integrity Network (WIN)	Integrity and WASH
12	Jacopo Gamba	Transparency Trust Fund, Inter-American Development Bank	Integrity and WASH
13	Florencia Guertzovich	Global Partnership for Social Accountability (GPSA)	Integrity
14	Daniel Burwood	Integrity Action	Integrity
15	Jasmina Haynes	Integrity Action	Integrity
16	Hannah Hudson	Integrity Action	Integrity
17	Annalisa Renna	Integrity Action	Integrity
18	Derek Thorne	Integrity Action	Integrity

## Annex 4. List of conditions and approaches resulting from Phase 1

### Conditions

Conditions	Responsiveness	Equity	Transparency
1. Effective sanctions and disciplinary actions	✓	✓	✓
2. Effective incentives	✓		
3. Clear management structures			✓
4. Clear internal protocols and procedures			✓
5. Autonomy	✓		
6. Support from supervisor			✓
7. Support from oversight institutions	✓	✓	✓
8. Adequate physical infrastructure		✓	
9. Adequate tools and equipment		✓	
10. Adequate human resources	✓	✓	
11. Being aware of needs and expectations from citizens	✓	✓	
12. Citizens actively demand integrity			✓
13. Social pressure/recognition		✓	✓
14. Adequate skills and competences	✓		

### Approaches

#### Interface with citizens

- Raising awareness of citizens on their rights and responsibilities
- Participatory planning and budgeting
- Citizens playing a role in monitoring the quality of services
- Feedback mechanisms
- Taking part in decision making

#### Within the institution: Good practices that can be implemented to improve integrity

- Awareness raising for duty bearers
- Platforms for engagement/participation at different moments
- Improving transparency of information
- Clarifying responsibilities
- Protocols and procedures to improve integrity

#### At the individual level

- Sanctioning / Incentives
- Training/capacity building

#### At the level of the oversight authorities

- Reforms
- External oversight and control
- Performance monitoring and evaluation at country level

#### Media: Role that the media or other lobby groups could play

#### Role that CSOs/NGO could play to help or motivate teachers to act with more integrity

## Annex 5. Question guide for KIIs with Integrity Action's partners

### ➔ Starting by explaining the purpose of the research and clarifying the definition of integrity

#### Confidentiality and Data Protection

The information gathered from these interviews will be included in documentation that will become part of Integrity Action's internal data. It may be shared with other organizations or individuals. Your identity will not be used, nor your personal information shared.

**Integrity Action's approach** is citizen-centered and focuses on supporting citizens to engage in constructive dialogue with duty-bearers on commitments that have been made and not delivered, and on how these shortfalls can be collaboratively overcome. More specifically:

- Duty bearers should inform citizens on what is promised;
- Citizens are involved in checking that it is delivered and provide feedback;
- Information on whether it is delivered should be made public;
- In case the promise are not delivered, even if it is the responsibility of duty bearers to find a solution, citizens and duty bearers can discuss on how best to address the issues (collaborative approach).

#### Context

- What is the legal or regulatory framework in your context with regards to integrity, particularly with regards to participation of citizens?

#### Assessing the extent of the problem

- Please explain some of the issues around integrity in the context you work in.
- What are some of the reasons why frontline duty-bearers in schools and HCFs do not act with integrity?

#### Main conditions that need to be in place

- What are some of the conditions that are **currently present** in your context that help duty bearers to act with integrity?
- Can you identify other conditions that **need** to be in place to support and motivate duty bearers to act with integrity?

#### Approaches that can strengthen these conditions

- What are some approaches/good practices that you have seen that can strengthen these conditions? Here, think of the different levels:
  - Working with citizens;
  - Improving the interaction between citizens and frontline duty-bearers;
  - Working from within: with the duty bearers;
  - Working to improve the interaction between frontline duty-bearers and governmental institutions;
  - Other? Media?

#### Feedback and opinion on Integrity Action's approach

- Do you think increasing citizens' participation and feedback can help improve the integrity of frontline duty-bearers?
- Do you find the approach of Integrity Action feasible for the context/s you work in?
- Do you think teachers would feel comfortable to involve citizens in monitoring that the promises that are made are implemented and evaluate the quality of services provided?
- What challenges do you see? What would it require to be implemented effectively?
- Do you find it works better in certain contexts?

## Annex 6. Respondents from the KIIs with Integrity Action's partners

	Country	Person met	Organisation	Position
1	Afghanistan	Anonymous 1	Integrity Watch Afghanistan	Community Based Monitoring Specialist
		Anonymous 2	Integrity Watch Afghanistan	Community Based Monitoring Specialist
2	Nepal	Sarala Maharjan	CAHURAST	Program Manager
		Bhuvan Bhusal	Youth Initiative- Youth Empowerment	Program Coordinator
3	Congo	Sylvine M'Kabaka Kahasha	CEDEJ	Coordinatrice et Directeur de Programme
		Espoir Ihiseelela Sango	CEDEJ	Chargé de Programme
4	Kenya	Damaris Aswa	KESHO	Project Officer- SHINE



## Annex 7. Minisurvey for teachers

### Preliminary remarks

This mini survey is part of a research commissioned by Integrity Action. The aim of the research is to identify what can help and motivate you to improve the way you work so that you better respond to the expectations from your community, treat everyone with equity and act transparently. Your input is greatly valued. We would like to acknowledge your participation in the final report. However, if you prefer to remain anonymous, please indicate so in the respondent profile. Thank you very much for your support!

### Respondent profile:

**1. Country:**

**2. Name:**            or Anonymous

**3. Gender:** M, F, Prefer not to disclose

**4. Age:**

- 18-24
- 25-34
- 35-44
- 45-59
- 60+

**5. Where are you working?**

- In a school
- In a health care facility

**4. Position:**

Teacher  
Director  
Other, please specify

Nurse  
Doctor  
Manager/Director  
Other, please specify

**5. Type of institution:**

Primary school  
Secondary school  
Both primary and secondary  
Other, please specify

Health post at community/village level  
Health center at district level  
Health center/hospital at regional level  
Other, please specify

**6. Location of the institution**

Rural  
Urban

peri- urban  
Other, please specify

## Research questions – the problems

### Responsiveness

**7. Does your school/health care facility manage to respond to the expectations from the community?**

1	2	3	4	5
Never	Rarely	Sometimes	Often	Always

**8. What limits you most to respond to the expectations from the community? Please select the three most important options.**

- Lack of **incentives** (condition 2)
- Unclear **responsibilities** (condition 3 and 5)
- Unaware of **expectations** from the community (condition 11)
- Lack of **specific skills** (condition 14)
- Lack of **sanctions** (condition 1)
- Too **high workload** (condition 10)

### Equity

**9. Does your school/ health care facility manage to take care of every student/patient according to their specific needs?**

1	2	3	4	5
Never	Rarely	Sometimes	Often	Always

**10. What limits you most to take care of every student/patient according to their specific needs? Please select a maximum of three options.**

- Lack of **materials and tools** (condition 9)
- Lack of adequate **infrastructure** (condition 8)
- Too **high workload** (condition 10)
- **Social pressure** to act otherwise (condition 13)
- Unawareness **of the specific needs** of some individuals (condition 11)
- Lack of **sanctions** (condition 1)

### Transparency

**11. Does your school/health care facility manage to share information on decisions and actions with the community?**

1	2	3	4	5
Never	Rarely	Sometimes	Often	Always

**12. What limits you most to share information on decisions and actions with the community? Please select a maximum of three options.**

- Lack of **platform for dialogue** with citizens (condition 3)
- Unclear **protocols and procedures** (condition 4)
- Lack of **guidance from your manager** (condition 6)
- **Social pressure** to act otherwise (condition 13)
- The community **does not ask for such information** (condition 12)
- Lack of **sanctions** (condition 1)

**Research questions – the solutions**

**13. What could help or motivate you to be more responsive, transparent and treat everyone with equity?** *Please select a maximum of three options.*

- More **engagement** of the community in decision making
- More **consultation** with the community
- More **incentives** for staff
- Better **internal rules and processes**
- More **support** from the local and national government
- **Pressure** from media or other external actors

**14. Whom from the community is actively engaged in your school/ health care facility?**

<p><b>School answers:</b>                  Parents                  Students                  Local government                  Community leaders                  Women’s groups                  Other: if so, please specify.</p>	<p><b>HCF answers:</b>                  Community members                  Local government                  Community leaders                  Women’s group                  ‘Marginalised’ groups                  Other: if so, please specify.</p>
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**15. In which activities is community engagement most useful?** *Please select a maximum of three options.*

- In planning
- In budgeting
- In monitoring of the quality of services
- In construction and maintenance of infrastructure
- In voicing expectations and needs
- In providing constructive feedback
- In taking part in management meetings

**16. At the level of a school/ health care facility, what more could be done to help or motivate teachers/health workers to be more responsive, transparent and treat everyone according to its specific needs?**

*Please give examples of good practices that could be replicated in other schools/health care facilities, or new ideas.*

**17. What more could be done by the local or national government to help or motivate teachers/health workers to be more responsive, transparent and treat everyone according to its specific needs?**

*Please give examples of good practices that could be replicated in other schools/health care facilities, or new ideas.*

**THANK YOU SO MUCH FOR YOUR PARTICIPATION!**

## Annex 8. Minisurvey for teachers – Respondents profiles

	Nepal	DR Congo	Afghanistan	Kenya	Global
<b>TOTAL RESPONDENTS</b>	<b>13</b>	<b>24</b>	<b>21</b>	<b>16</b>	<b>74</b>
<b>Gender</b>					
Male	9	17	20	10	56
Female	4	6	1	6	17
Not disclosed	0	1	0	0	1
<b>Age group</b>					
Between 18-24	0	1	0	2	3
Between 25-34	6	18	6	6	36
Between 35-44	3	3	7	7	20
Between 45-59	4	2	7	1	14
60 and above	0	0	1	0	1
<b>Position</b>					
Teacher	12	21	13	15	61
School Director	0	2	4	1	7
Other	1	1	4	0	6
<b>Type of school</b>					
Primary School	1	3	0	0	4
Secondary School	8	20	4	15	47
Both Primary and Secondary	4	1	2	1	8
Other	0	0	15	0	15
<b>Location of the school</b>					
Urban	6	17	1	1	25
Rural	7	5	10	13	35
Peri-urban	0	2	8	2	12
Other	0	0	2	0	2

## Annex 9. Minisurvey for sectoral experts

### Preliminary remarks

This minisurvey is part of a research commissioned by Integrity Action titled: 'what enables and inspires frontline duty bearers to act with integrity'.

This minisurvey focuses on schools and health care facilities at community level in developing contexts. It aims to identify what can help and motivate teachers and health workers better respond to the expectations from their community, treat everyone according to their specific needs and share information on decisions and actions of their institution.

We aim to acknowledge your contribution. In case you prefer to remain anonymous, please indicate so in the next question. Thank you so much for your support!

### Respondent profile

**1. Name:** or anonymous.

**2. Gender:** M, F, Prefer not to disclose

**3. Name of the organization you work for:.....** prefer not to disclose

**4. Type of organization:**

- International NGO
- National NGO/CSO
- Private sector
- Research
- Government
- Other. Please specify.

**5. Position: ....** Prefer not to disclose

**6. What type of institutions are you most familiar with?**

- Schools
- Health care facilities

*As the following questions can be context specific, we would like to ask you to focus on the country where you have most experience.*

**7. Please indicate the country for which you will fill the answers below:**

### Research questions – the problems...

#### 8. What limits teachers/health workers to respond to the expectations from the community?

*Please select a maximum of three most important options.*

- Lack of **incentives** (condition 2)
- Unclear **responsibilities** (condition 5)
- Unaware of **expectations from the community** (condition 11)
- Lack of **specific skills** (condition 14)
- Impunity/lack of **sanctions** (condition 1)
- Too **high workload** (condition 10)

#### 9. What limits teachers/health workers most to take care of every student/patient according to their specific needs? *Please select a maximum of three most important options.*

- Lack of **materials and tools** (condition 9)
- Lack of adequate **infrastructure** (condition 8)
- Too **high workload** (condition 10)
- **Social pressure** to act otherwise (condition 13)
- Unaware **of the specific needs** of some individuals (condition 11)
- Impunity/lack of **sanctions** (condition 1)

#### 10. What limits teachers/health workers most to share information on decisions and actions with the community? *Please select a maximum of options.*

- Lack of **platform for dialogue** with citizens (condition 3)
- Unclear **protocols and procedures** (condition 4)
- Lack of **guidance from your manager** (condition 6)
- **Social pressure** to act otherwise (condition 13)
- The community **does not ask for such information** (condition 12)
- Impunity/lack of **sanctions** (condition 1)

### Research questions – the solutions...

*For the following questions, we are looking for good practices that you have seen being implemented in some schools/HCF and could be replicated, or new ideas.*

**11. Within the school/ health care facility:** What good practices can be implemented at the level of a school/ health care facility to improve transparency?

**12. Interface with citizens:** What good practices can help increase citizens 'engagement in the school/health care facility and the value given to citizens' participation?

**13. At the individual level:** What can be done to motivate individual teachers/health workers to be more responsive, equitable and transparent towards the community they serve?

*Here, 'integrity' is defined as going beyond teaching students, but also ensuring that teachers respond to the expectations of the community, take care of each student according to its specific needs, and share information on decisions and action of the school.*

**14. Oversight authorities:** What (more) can be done by local or national governmental authorities to help or motivate teachers/health care workers to act with more integrity?

**15. Role of CSOs/NGO:** What role could CSOs/NGOs play to help or motivate teachers/health care workers to act with more integrity?

**16. Media:** What role could the media or other lobby groups play to help or motivate teachers/health care workers to act with more integrity?

#### Variability in different contexts

**17. To which extent do the conditions and solutions influencing the integrity of teachers/health care workers vary with the context (socio-economic, political, cultural, etc.)? Thanks for sharing your experience in different countries or contexts.**

**THANK YOU SO MUCH FOR YOUR PARTICIPATION!**

## Annex 10. List of networks contacted for the minisurvey for sectoral experts

Network Name	Link/Website
All key informants interviewed in Phase 1	
Swiss Water and Sanitation Consortium - project teams and head offices of Swiss organisations	<a href="https://waterconsortium.ch/">https://waterconsortium.ch/</a>
Sustainable Sanitation Alliance	<a href="https://www.susana.org/en/">https://www.susana.org/en/</a>
FRESH Partnership	<a href="https://www.fresh-partners.org/">https://www.fresh-partners.org/</a>
Water Integrity Network	<a href="https://www.waterintegritynetwork.net/">https://www.waterintegritynetwork.net/</a>
MIET Africa	<a href="https://www.mietafrica.com/">https://www.mietafrica.com/</a>
Simavi Networks <ul style="list-style-type: none"> <li>• Get Up Speak Out Programme</li> <li>• More than Brides Alliance</li> <li>• WASH Alliance</li> <li>• Watershed Alliance</li> </ul>	<a href="https://simavi.org/">https://simavi.org/</a>
Swiss Agency for Cooperation and Development (SDC) Health and Education Network	<a href="https://www.shareweb.ch/site/Education">https://www.shareweb.ch/site/Education</a>
Community of Practitioners on Accountability and Social Action (COPASAH)	<a href="https://www.copasah.net/">https://www.copasah.net/</a>
Forum for African Women Educationalist (FAWE)	<a href="http://fawe.org/">http://fawe.org/</a>
Inter-Agency Network for Education in Emergency (INEE)	<a href="https://inee.org/">https://inee.org/</a>
Global Partnership for Education	<a href="https://www.globalpartnership.org/">https://www.globalpartnership.org/</a>
Global Campaign for Education for All	<a href="https://www.campaignforeducation.org">https://www.campaignforeducation.org</a>
Education International	<a href="https://www.ei-ie.org">https://www.ei-ie.org</a>
International Union for Health Promotion and Education	<a href="https://www.iuhpe.org/index.php/en/">https://www.iuhpe.org/index.php/en/</a>
Health (and WASH) Practitioners	<a href="#">Health and WASH Interest Group.</a>
Global Education Cluster	<a href="https://www.educationcluster.net/OurTeam">https://www.educationcluster.net/OurTeam</a>
Peregrine - Peregrine Discussion Group for Better Evaluation	<a href="mailto:discussion-peregrine@community.betterevaluation.org">discussion-peregrine@community.betterevaluation.org</a>
Open Government Partnership Network (OGP)	
Dynamic Accountability Community of Practice	
Women in Transparency Network	
the Basel Institute on Governance	
Linked in profiles	



## Annex 11. Minisurvey for sectoral experts – Respondents names and contacts

(While 104 experts have responded, this is the list of respondents that provided their email address)

	Name	Gender	Name of the organisation	Organisation	Position	Country	Institutions	Email
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4	Alice DARAN	Female	HELVETAS	INGO	Coordination de project	Bénin	Schools	alice.chabi-guiya@helvetas.org
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7	Ampofo Adino	Male	Success children college	Private sector	Teacher	Ghana	Schools	adinodem@gmail.com
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11	Bekelech Demesie	Female	Save Generation Development Association (SGDA)	National NGO/CBO	Executive Director	Ethiopia	Schools	bekelech11@yahoo.com
12	Bella Akhagba	Female	Bella Foundation for Child and Maternal Care	National NGO/CBO	Founder/CEO	Nigeria	Schools	achildhealth12@yahoo.com
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28	Fannie Kachale	Female	Ministry of Health	Government	Director for Reproductive Health Services	Malawi	HCF	fankachale@yahoo.co.uk
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30	Godfrey Masinde Barasa	Male	Nairobi City Water and Sewerage Company Ltd	Government	Regional Manager	Kenya	HCF	masindegwb@gmail.com
31	Godfrey Rugumayo Mulinda	Male	Joint Effort to Save the Environment (JESE)	National NGO/CBO	Program Manager-WASH	Uganda	HCF	godfreymulinda@jese.org
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40	LINJOUOM NCHOUTPOUEN Abdou Aziz	Male	SOLDIS ( Solidarité pour le Développement et les Initiatives de Santé Publique)	National NGO/CBO	Promoteur / Project Team Leader	Cameroun	HCF	<a href="mailto:linabdoul@yahoo.fr">linabdoul@yahoo.fr</a>
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42	Luke Kapchanga	Male	Emony Yefwe International	National NGO/CBO	DIRECTOR	Kenya	Schools	wanjalaluke1@gmail.com
43	Mavuto Thomas	Male	Ministry of Health	Government	Acting Deputy Director of Preventive Health Services	Malawi	HCF	mavutothomas@yahoo.co.uk
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45	Micheal Fredrick Ssenoga	Male	ActionAid International	INGO	Monitoring, Evaluation, Learning and Research Coordinator	Global	Schools	micheal.ssenoga@actionaid.org
46	MOMO BOUTI GERVAIS	Male	Centre d'étude et réalisation en environnement, eau et assainissement	Private sector	FONDATEUR	Cameroun	HCF	gervaismomo42@yahoo.com
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69	Tigist Gebremedhin	Female	HEKS	INGO	WASH Coordinator	Ethiopia	Schools	tigist.gbremedhin@heks-eper.org
70	Tim Myers	Male	Haiti School Project	INGO	Board Member	Haiti	Schools	tim@haitischoolproject.org
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74	Vivek Sharan	Male	Water For People	INGO	State in Charge	India	Schools	mahanvivek@gmail.com
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## Annex 12. Minisurvey for sectoral experts – Respondents profiles

### Total number of respondents per gender (F/M)

Gender	Number
Female	33
Male	71
<b>Total</b>	<b>104</b>

### Total number of respondents per sector

Total number per sector	
Schools	66
HCF	39
<b>Total</b>	<b>104</b>

### Total number of respondents per country (alphabetical order)

Country	Total	Health	Education
Bangladesh	4	0	4
Bénin	1	0	1
Botswana	1	1	0
Cambodia	1	0	1
Cameroon	5	3	2
China	1	0	1
Ethiopia	4	0	4
Gambia	1	1	0
Ghana	3	1	2
Global	2	1	1
Guinée	1	0	1
Haiti	2	0	2
Honduras	3	1	2
India	6	0	6
Kenya	8	4	4
Kosovo	1	0	1
Lesotho	1	1	0
Madagascar	1	1	0
Malawi	4	2	2
Mali	4	3	1
Mozambique	2	1	1
Myanmar	1	1	0
Nepal	3	2	1
Niger	1	1	0
Nigeria	9	6	3

Pakistan	2	1	1
Philippines	1	0	1
Somalia	2	1	1
Somaliland	1	0	1
South Africa	2	0	2
South Sudan	2	1	1
Sri Lanka	1	0	1
Sudan	1	0	1
Tanzania	7	1	6
Togo	1	1	0
Uganda	7	3	4
Ukraine	1	1	0
USA	1	0	1
Zambia	3	0	3
Zimbabwe	2	0	2
<b>Total</b>	<b>104</b>	<b>39</b>	<b>65</b>
<b>Percentage</b>	<b>100%</b>	<b>37%</b>	<b>63%</b>

## Annex 13. Question guide for focus country work

→ For all KIIs, start by explaining the purpose of the research and clarifying the definition of integrity.

**Integrity Action's approach** is citizen-centered and focuses on supporting citizens to engage in constructive dialogue with duty-bearers on commitments that have been made and not delivered, and on how these shortfalls can be collaboratively overcome. More specifically:

- Duty bearers should inform citizens on what is promised;
- Citizens are involved in checking that it is delivered and provide feedback;
- Information on whether it is delivered should be made public;
- In case the promise are not delivered, even if it is the responsibility of duty bearers to find a solution, citizens and duty bearers can discuss on how best to address the issues (collaborative approach).

### KIIs with sectoral experts

#### Assessing the extent of the problem/ Main limiting conditions

- In this country, to which extent are teachers/health workers able to act with integrity? OR Is integrity of teachers/health workers a real problem?
- Please explain some of the issues around integrity in the context you work in.
- What are some of the reasons why frontline duty-bearers in schools and HCFs do not act with integrity?

#### Main conditions that need to be in place

- What are some of the conditions that are currently present in your context that help duty bearers to act with integrity?
- Can you identify other conditions that need to be in place to support and motivate duty bearers to act with integrity?

#### Approaches that can strengthen these conditions

- What are some approaches/good practices that you have seen that can strengthen these conditions? Here, think of the different levels:
  - Working with citizens;
  - Improving the interaction between citizens and frontline duty-bearers;
  - Working from within: with the duty bearers;
  - Working to improve the interaction between duty bearers and governmental institutions;
  - Other? Media?

#### Feedback and opinion on Integrity Action's approach

→ Explain the principles of approaches such as Integrity Action's

- Do you think increasing citizens' participation and feedback can help improve the integrity of frontline duty-bearers?
- Do you find the approach of Integrity Action feasible for the context/s you work in?
- Do you think teachers would feel comfortable to involve citizens in monitoring that the promises that are made are implemented and evaluate the quality of services provided?
- What challenges do you see? What would it require to be implemented effectively?
- Do you find it works better in certain contexts?

## KIIs with teachers and health workers

### Initial situation: Conditions in place to help act with integrity

- **Inductive and general:** What is currently in place in your school/HCF that helps or motivates you and your colleagues to work with integrity?
- **Or inductive and specific if the respondent struggle to answer the question:** What is currently in place in your school/HCF that helps or motivates you and your colleagues:
  - To respond to expectations from students-parents/patients? (responsiveness)
  - To take care of every student/patient according to their specific needs? (equity)
  - To share information on decisions and actions with parents-students/patients? (transparency)

### Problems: Main limiting conditions to act with integrity

- **Either general:** What limits you or your colleagues to always follow integrity principles in your work?
- **Or specific:** What limits you or your colleagues:
  - To respond to expectations from students-parents/patients? (responsiveness)
  - To take care of every student/patient according to their specific needs? (equity)
  - To share information on decisions and actions with parents-students/patients? (transparency)

### Solution: What could help you do your work with more integrity?

- **Either general or specific:** What could help or motivate you and your colleagues work with more integrity? Here, think of the different levels:
  - To improving the interaction with citizens;
  - At the level of the school;
  - To improve the interaction with governmental institutions;
  - Other? Media?

### Examples of more specific questions

Deductive and specific questions can be asked in case the respondent struggles to answer the questions above. This can help to assess whether some conditions from Phase 1 are in place, whether it would be helpful and motivating to put them in place, and what can be done to help this process. See below for examples. These can also be used for follow-up on some points mentioned. Not all questions need to be asked in each interview. Only a few each time, depending on the direction of the discussion.

### Effective sanctions and disciplinary actions & Effective incentives (condition 1 and 2)

- Are there any incentives to motivate you to go beyond just teaching or treating patients?
- If so, does that really motivate you? Can you give examples?
- If not: could that motivate you do your work better?

### Clear management structures & Being aware of needs and expectations from citizens & Citizens actively demand integrity (condition 3, 11 and 12)

- Are there specific platforms for engagement of citizens (students, parents, patients)? If so: which ones? Who do you engage and in what type of activities? Are these platforms efficient?
- If not: do you think it would help to engage citizens more? And if so, what would you suggest?
- Are parents-students/citizens usually happy or reluctant to be engaged? Please specify?

### Clear internal protocols and procedures (condition 4)



- Do you think protocols and procedures to ensure that information is available and transparent are clear? If so, what is in place?
- If not, what could be done to improve this?

#### **Level of responsibilities of frontline duty-bearer (condition 5)**

- Do you think you would be more able to act with integrity if you had more responsibilities? Please explain.

#### **Support from the direct supervisor (condition 6)**

- Do you feel you need more support from your supervisor to be able to do your work with integrity?

#### **Support from the oversight institutions (condition 7)**

- What type of support do you get from oversight authorities?
- What more could be done to help you do your work with integrity?

#### **Physical infrastructures & tools and equipment & human resources (condition 8, 9 and 10)**

- How adequate are the physical infrastructures and the tools and materials available in the school for you to do your work?
- Does this sometimes limit you from being able to do your work with integrity? If so, please explain how.
- In case it is not adequate, what could be done to better use these resources?

#### **Being aware of needs and expectations from citizens (condition 11)**

- How do you know/collect information on what citizens expect and whether they are satisfied with the services you provide? What could be done to improve these?

#### **Social pressures/recognition (condition 13)**

- Do you feel that, sometimes, external pressures from family or friends is a challenge for you to act with integrity (treating everyone equality, being transparent etc.).

#### **Adequate skills and competence (condition 14)**

- Do you feel you sometimes lack the specific skills to be able to act with integrity?

#### **A bit more on WASH infrastructure**

- What can be done to ensure that construction work is done with better quality and avoid shortcuts from contractors?
- What can be done to ensure that it is better managed?

#### **Feedback on opinion on integrity action's approach**

##### **→ Explain the principles of approaches such as Integrity Action's**

- Do you think increasing citizens' participation and feedback can help you and your colleagues to work with more integrity? If so, how? In which activity would it be most useful to engage citizens?
- Would you feel comfortable to involve citizens in monitoring that promised made are implemented and assess the quality of services you provide?
- Would you be comfortable if this information is made public?
- What benefit would you expect from such an approach?

(we are expecting answers such as: improved efficiency, money saved, better relationships with communities, no finger pointing")

## KIIs with local education and health authorities

### Assessing the extent of the problem/ Main limiting options for schools and/or HCF

- In this country, to which extent are teachers/health workers able to act with integrity? OR Is integrity of teachers/health workers a real problem?
- Please explain some of the issues around integrity in the context you work in.
- What are some of the reasons why frontline duty-bearers in schools and HCFs do not act with integrity?

### Current support provided to teachers/health workers

- What support are you currently providing to teachers/health workers to help them or motivate them to work with integrity? Do you think it is adequate? If not, what limits you? What more could you do?

### Influence of other actors on the integrity of teachers/health workers

- National government: what is currently done by the higher level authorities to help or motivate these teachers/health workers? What more could be done?
- Within the institution: What can be done at the level of the schools/HCF to influence its staff to work with integrity?
- At the individual level: What could be done to motivate teachers/health workers to act with integrity?
- Citizens: Do you think increasing citizens' participation can help improve integrity of teachers/health workers? If so, how? Do you have specific success stories or good practices that could be replicated, or new ideas?
- Role of CSOs/NGO: What role could CSOs/NGOs play to influence the integrity of teachers/health workers? Do you have specific success stories or good practices that could be replicated, or new ideas?
- Media: What role could the media or other lobby groups play to influence the integrity of teachers/health workers? Do you have specific success stories or good practices that could be replicated, or new ideas?

## Annex 14. List of persons interviewed – Nepal focus country work

### Frontline duty bearers

	Name	Gender	School	District	Designation
<b>Schools</b>					
1	Mr. Narayan Prasad Bhatta	Male	Chandeshwori Secondary School (Youth Initiative)	Sindhupalchowk	Teacher
2	Mr. Kailash Tamang	Male	Shree Chandi Adarsha Saral Secondary School (CAHURAST)	Chakupat, Lalitpur	Teacher
3	Mr. Ramjee Nepal	Male	Seti Devi Panchakanya Secondary School (Youth Initiative)	Sindhupalchowk	Teacher
4	Mr. Krishna Dhungana	Male	Terse Secondary School (CAHURAST)	Melamchi 6, Sindhupalchowk	Head teacher
5	Mr. Gyan Bahadur Lama	Male	Shree Nurbuling Manichaur Secondary School (Caritas)	Helambu Rural Municipality, Sindhupalchowk	Head teacher
6	Ms. Sabitri Dhital	Female	Shree Panchakanya Secondary School (Youth Initiative)	Kathmandu	Teacher
7	Mr. Ram Chandra Poudel	Male	Shree Chilaune Secondary School (CAHURAST)	Paanchpokhari Thangpalkot, Sindhupalchowk	Teacher
8	Ms. Mira Tamang	Female	Siddhartha Basic School (Caritas)	Sindhupalchowk	Head teacher
<b>HCF</b>					
1	Dr. Subarna Shrestha	Male	Sorahawa Primary Health Care (PHCC)	Bargiyatal Rural Municipality ward number-3, Bardiya	Doctor
2	Mr. Humanath Devkota	Male	Deudakala health post	Bangadhi Municipality ward number -7, Bardiya	HCF In charge
3	Mr. Tanka Prasad Gartaula	Male	Sanoshree health post	Madhuban Rural Municipality ward number-6, Bardiya	HCF In charge
4	Mr. Kriparam Gartaula	Male	Bagnaha health post	Thakurbaba Rural Municipality ward number-4, Bardiya	HCF In charge

### Governmental representatives at municipal level

	Person met	Position	Organisation
1	Mr. Bhakta Bahadur GC	Health Coordinator, Health Section	Bangalachuli Rural Municipality, Dang, Gandaki Province
2	Mr. Obiram Roka	Education Coordinator, Education Section	Tribeni Rural Municipality, West Rukum, Karnali province

### Representatives from NGOs/key organisations

	Person met	Position	Organization
1	Mr. Kamal Baral	Director	Nepal Red Cross Society/Swiss Red Cross
2	Mr. Raj Kumar Kshetri	Deputy Director	Nepal Red Cross Society/Swiss Red Cross
3	Mr. Bodh Narayan Shrestha	WASH officer	UNICEF Nepal
4	Mr. Prakash Bohara	Health & WASH Coordinator	Terre des Hommes Nepal
5	Mr. Ek Dev Panthi	Central Committee Member	Nepal National Teachers' Association

## Annex 15. List of persons interviewed – Kenya focus country work

### Frontline duty-bearers

	Name	Gender	Institution	County	Designation
<b>Schools</b>					
1	Mutai Alfred	M	Kasisiyo Primary School	Kericho	Head teacher
2	Richard Korir	M	Kasisiyo Primary School	Kericho	Head teacher
3	Nixon Aswani	M	Kamasega Primary School	Kericho	Head teacher
4	Jackson Matangwony	M	Kamasega Primary School	Kericho	Teacher
5	Flossy Sirma	F	Kimugul Primary School	Kericho	Deputy Head teacher
6	Samwel K Sigei	M	Baraka Primary School	Kericho	Head teacher
7	Vincent Kanyingi	M	Hospital Hill Primary School	Nairobi	Teacher
8	Peter Kiguru	M	Hospital Hill Primary School	Nairobi	Senior teacher
9	David Chepkwony	M	Kapgetuny Primary School	Kericho	Deputy Head teacher
10	Simon K Mitei	M	Kimugul Primary School	Kericho	BoM chairman
<b>HCF</b>					
1.	Berlyl Okombo	F	Kaitui Dispensary (Level 2)	Kericho	Nurse in charge
2.	Phillip Mutisya	M	Kapsoit Dispensary (Level 2)	Kericho	Nurse in charge
3.	Trizah Wainaina	F	Githabai Dispensary (Level 2)	Nyandarua	Nurse in charge

### Governmental representatives at county level

	Person met	Position	Organisation
1.	Martin Muori	Health Administrator	Government of Kiambu county
2.	Patrick Gathirua	Education Officer	Government of Nakuru county
3.	Nickson Kibet	Clinical Officer	Government of Kericho county

### Representatives from NGOs/key organisations

	Person met	Position	Organization
1.	Mwangi Nyagah	Gilgil Sub-County Representative	Kenya National Union of Teachers
2.	Alvans Odero	Parklands Sub-County Representative	Kenya National Union of Teachers
3.	Patrick Munyeri	Water Systems Advisor, USAID	Mercy Corps
4.	Caroline Macharia	WASH Specialist	Rural Focus
5.	Benard Waweru	Contractor	Future Construction Company
6.	James Gakahu	Contractor	Super Extra Builders Construction Company
7.	Peter Kimuyu	Artisan	Consultant
8.	Samuel Matuku	Artisan	Consultant

## Annex 16. Results from teachers' self-assessment on integrity

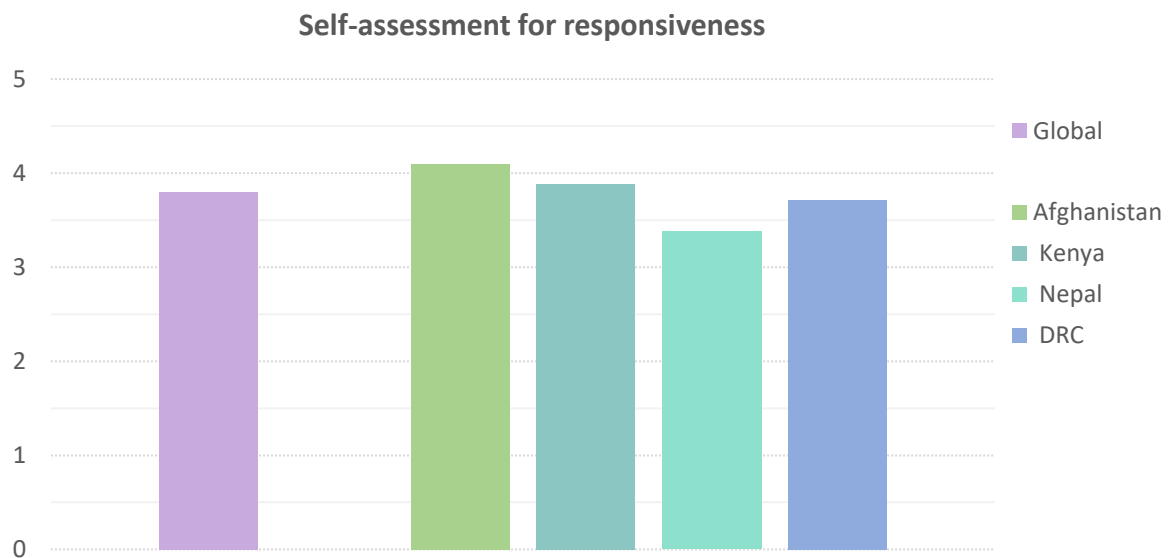


Figure 16.1. Teachers' self-assessment results on the extent their school or HCF is currently able to respond to the expectations from the community.



Figure 16.2. Teachers' self-assessment result on the extent their school or HCF is currently able to take care of everyone according to their specific needs.



Figure 16.3 Teachers' self-assessment result on the extend their school or HCF is currently able to are able to share information on decision & actions with the community.

## Annex 17. Relative importance of limiting conditions

### Summary

#### Results from the minisurveys

##### Responses from teachers - Summary of the most limiting conditions

###### Regarding what limits duty-bearers to be able to respond to the expectations of the community (responsiveness):

- 'Lack of incentives' was the most mentioned limiting conditions for duty-bearers, according to both experts and teachers;
- 'Lack of specific skills' was considered as the second most limiting conditions by experts, but was not often mentioned by teachers;
- Teachers selected being 'unaware of needs and expectations' of the community as the second most limiting condition;
- 'Lack of sanction' was the least selected limiting conditions for both experts and teachers.

###### Regarding what limits duty-bearers to be able to take care of everyone according to their specific needs, experts and teachers' views were similar (equity):

- 'Lack of materials and tools' and 'lack of infrastructure' were the two most limiting conditions selected by both teachers and experts;
- 'Lack of sanction' was one of the least selected limiting conditions.

###### Regarding what limits duty-bearers to share information on decisions and actions with the community (transparency):

- For teachers, 'community does not ask for such information' is the most limiting condition, while for experts, it is 'lack of platform for dialogue';
- 'Lack of sanction' was one of the least selected limiting conditions, for both experts and teachers.

#### Note:

- The Y axis displays the number of times a specific response was given compared to the total number of responses given by all respondents. Note that, as the number of answers given by a respondent could vary between 1 and 3, the % of responses displayed in this graphic cannot be interpreted as the % of respondents.
- The limiting conditions are ordered based on the results of the minisurvey for teachers: from the most limiting ones to the least limiting ones.

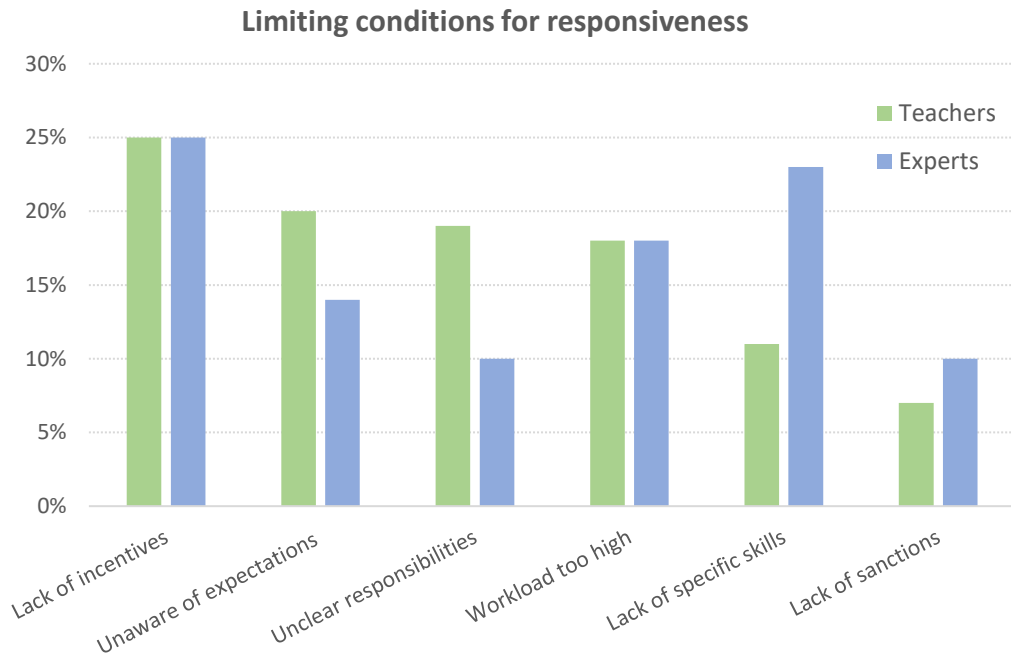


Figure 17.1. Experts' and teachers' perception of the relative importance of different limiting conditions to influence the way health workers/teachers are able to respond to the expectations from the community.

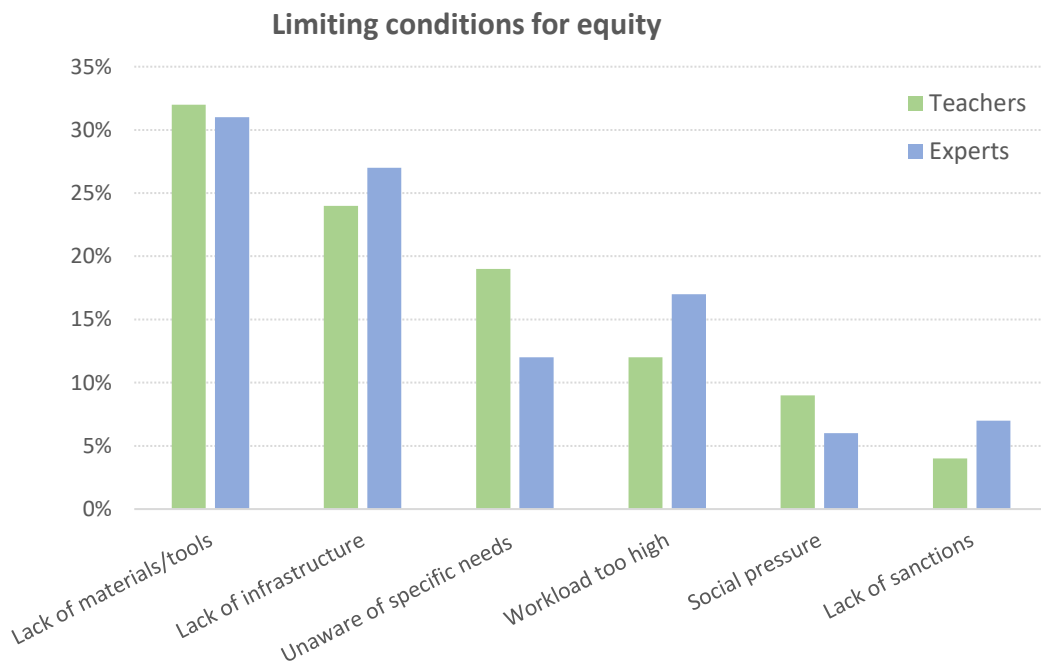


Figure 17.2. Experts' and teachers' perception of the relative importance of different limiting conditions to influence the way health workers/teachers are able to take care of everyone according to their specific needs.



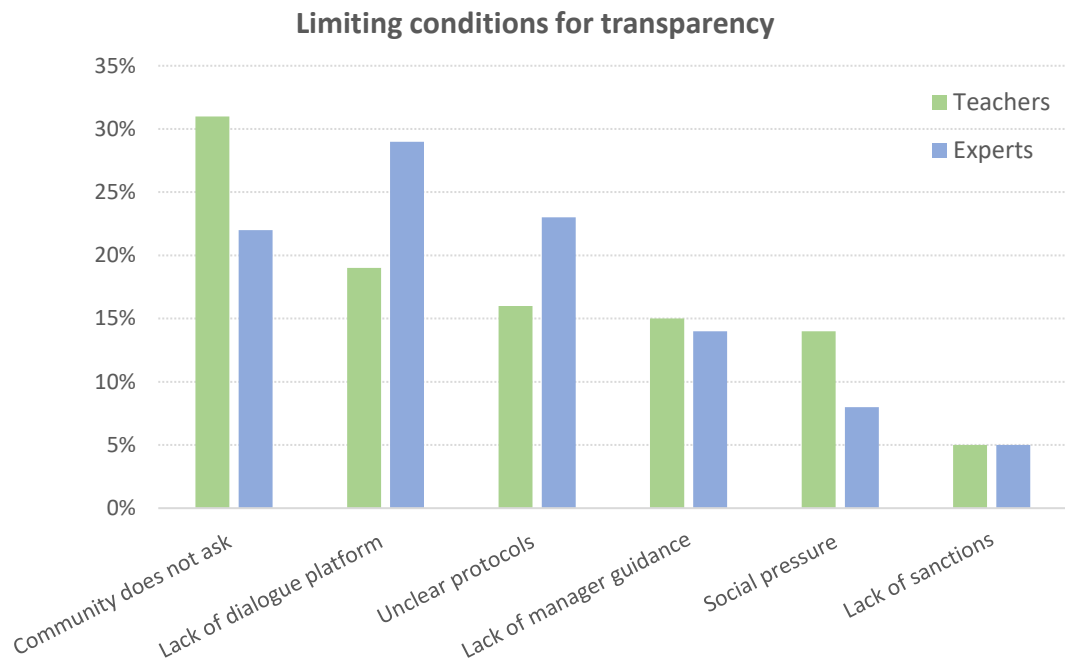


Figure 17.3. Experts' and teachers' perception of the relative importance of different limiting conditions to influence the way health workers/teachers are able to share information on decision & actions with the community.

## Annex 18. Relative importance of limiting conditions per country

### Results from the minisurveys - Responses from teachers.

Regarding limiting conditions for responsiveness, the differences worth noting include:

- In Afghanistan, teachers felt less limited by the 'lack of incentives' and 'unclear responsibilities' than teachers in other countries, while being 'unaware of expectations' and the 'lack of specific skills' appeared more limiting to them;
- In Kenya, teachers felt more limited than the average by 'workload too high' and hardly referred to 'lack of skills';
- In Nepal, teachers selected 'Lack of specific skills' as the main limiting conditions while this was comparatively less limiting in other countries; but 'high workload' and 'unaware of expectations of community' was less limiting to them;
- In the DRC, the most mentioned limiting condition was the 'lack of incentives'. No teacher mentioned 'lack of skills'.

In terms of equity, responses were quite similar among the four countries, with 'lack of materials and tools', 'lack of infrastructure' and 'unaware of specific needs' being the most limited conditions to take care of every students according to their specific needs.

In terms of transparency, all four countries considered the fact that 'community does not ask for information' as the main limiting condition and 'lack of sanctions' as one of the least important. Regarding the other conditions:

- In Afghanistan, 'social pressure' was the second most mentioned limiting condition, while 'unclear protocols' was hardly mentioned;
- In Kenya, 'unclear protocols' seem to particularly limit teachers, while 'lack of manager guidance' does not seem to be a real issue;
- In Nepal, the 'lack of dialogue platforms' seems less limiting than for other countries, while the 'lack of manager guidance' seems more limiting than for other countries;
- In the DRC, the 'lack of dialogue platform' was also relatively less limiting than for other countries, and 'lack of sanctions' was mentioned more than in other countries.

#### Note:

- The Y axis displays the number of times a specific response was given compared to the total number of responses given by all respondents. Note that, as the number of answers given by a respondent could vary between 1 and 3, the % of responses displayed in this graphic cannot be interpreted as the % of respondents.
- The limiting conditions are ordered based on the results from the average from all countries (pink colour): from the most limiting ones to the least limiting ones.

### Limiting conditions for responsiveness

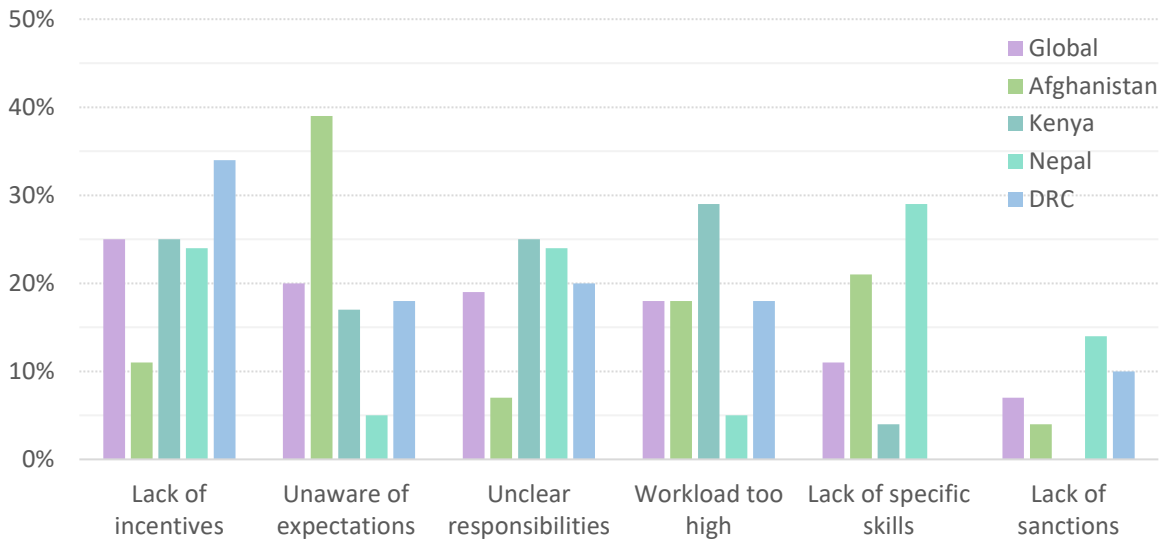


Figure 18.1. Teachers' perception of the relative importance of different limiting conditions to influence the way they are able to respond to the expectations from the community, per country.

### Limiting conditions for equity

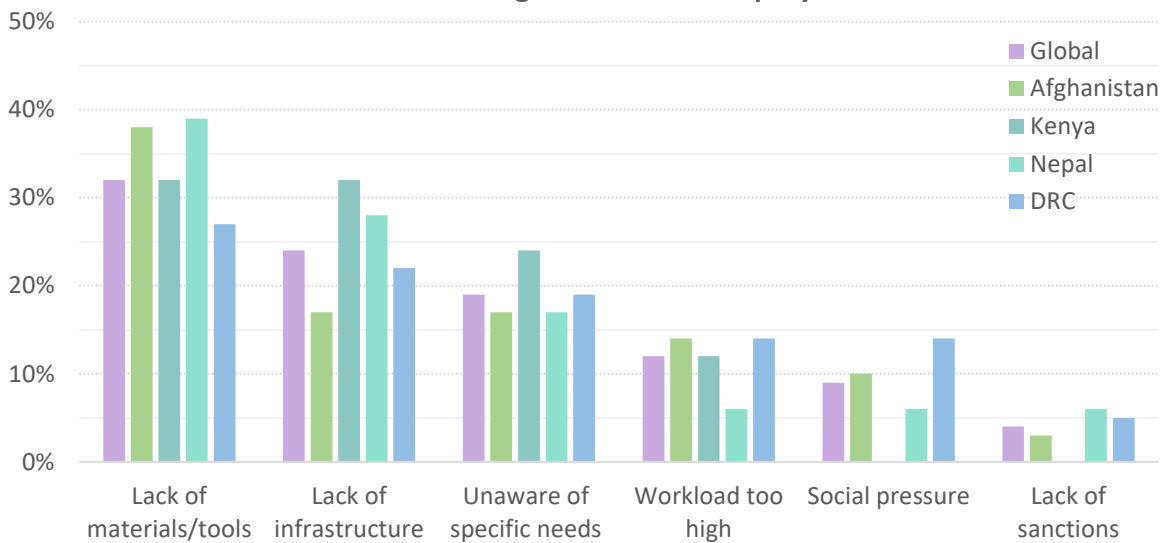


Figure 18.2. Teachers' perception of the relative importance of different limiting conditions to influence the way they are able to take care of everyone according to their specific needs, per country.

### Limiting conditions for transparency

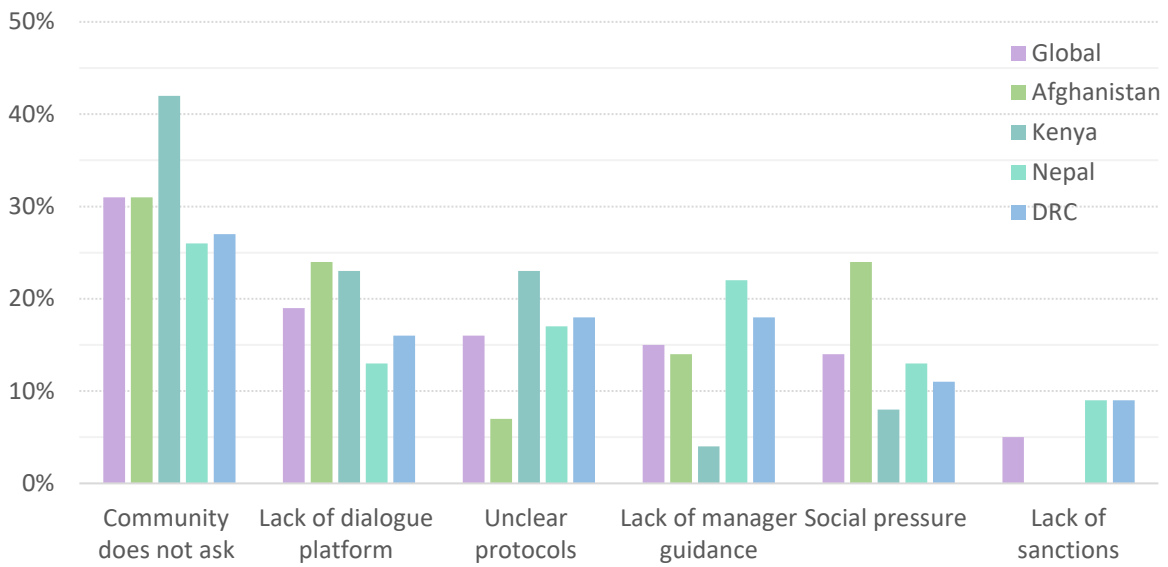


Figure 18.3. Teachers' perception of the relative importance of different limiting conditions to influence the way they are able to share information on decision & actions with the community, per country.

## Annex 19. Relative importance of limiting conditions per sector

Note:

- The Y axis displays the number of times a specific response was given compared to the total number of responses given by all respondents. Note that, as the number of answers given by a respondent could vary between 1 and 3, the % of responses displayed in this graphic cannot be interpreted as the % of respondents.
- The limiting conditions are ordered based on the results from the education experts: from the most limiting ones to the least limiting ones.

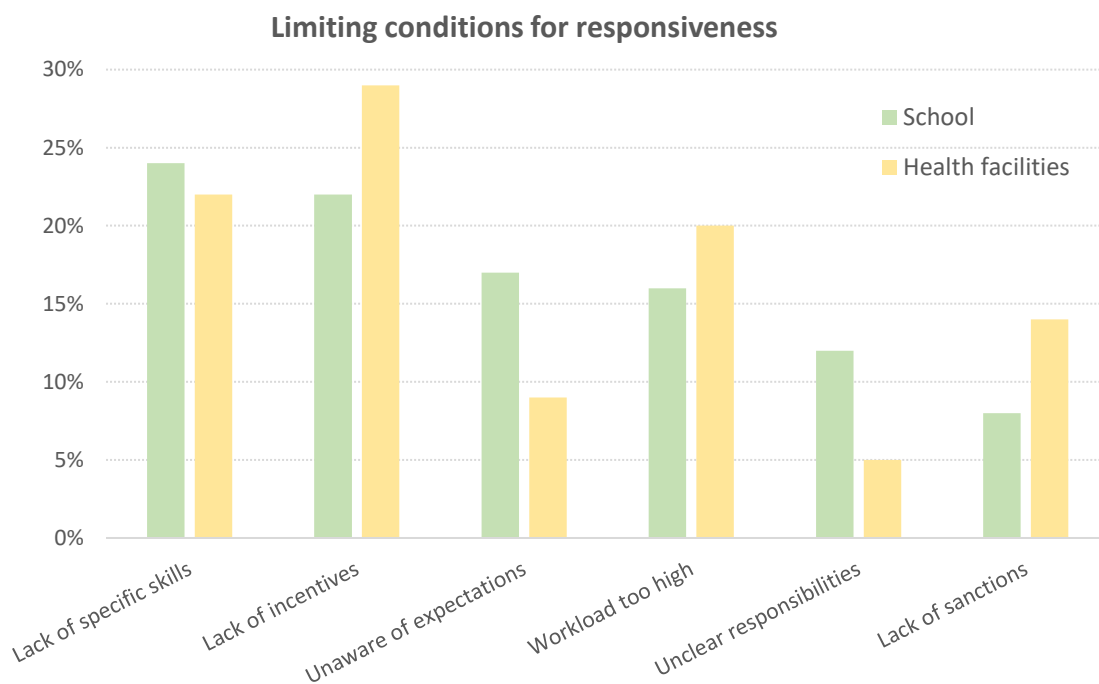


Figure 19.1. Experts' perception of the relative importance of different limiting conditions to influence the way duty-bearers are able to respond to the expectations from the community, per sector.

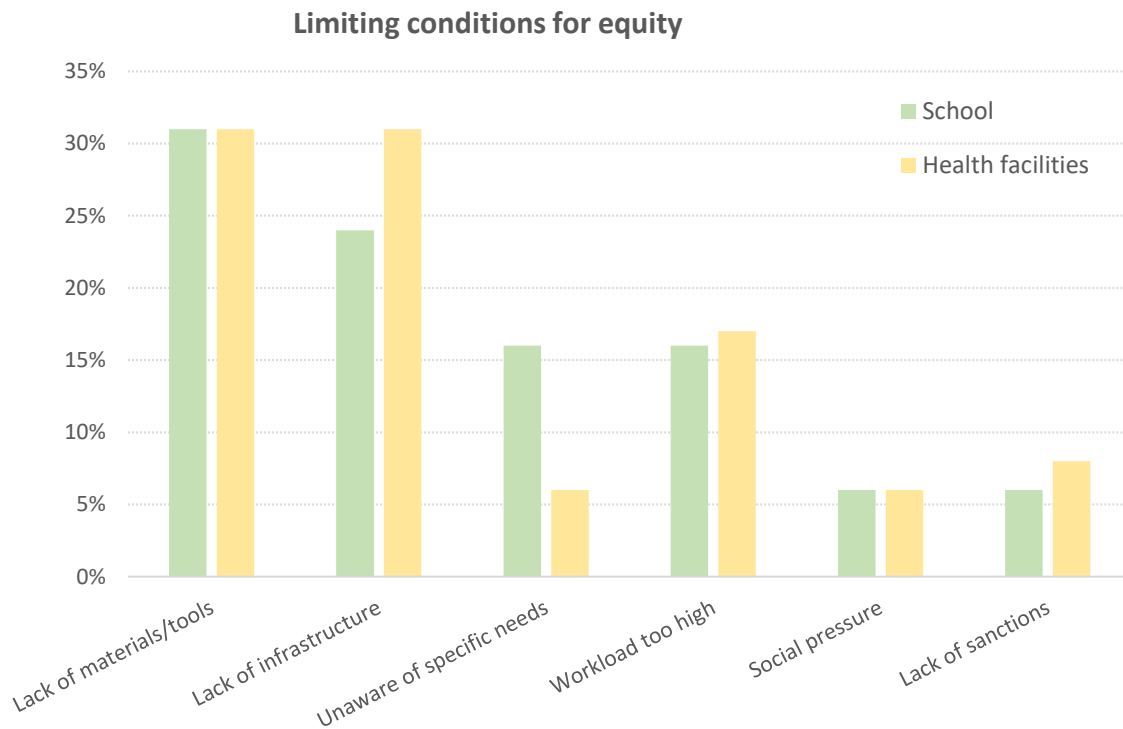


Figure 19.2. Experts' perception of the relative importance of different limiting conditions to influence the way duty-bearers are able to take care of everyone according to their specific needs, per sector.

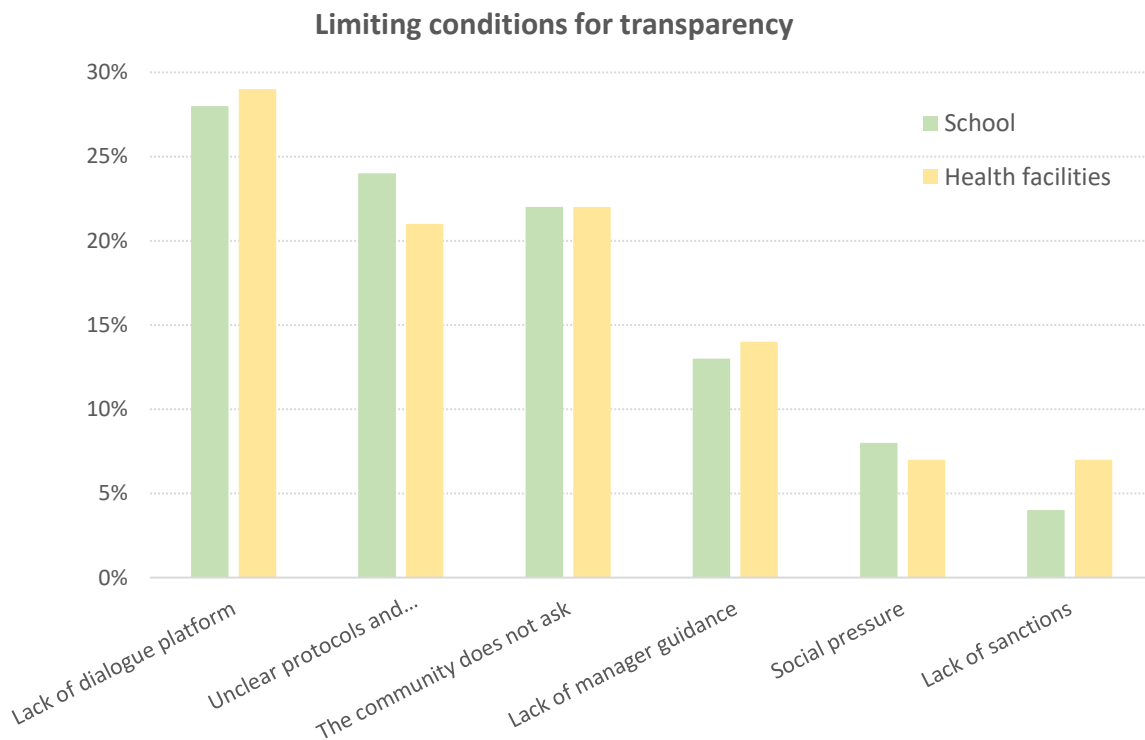


Figure 19.3. Experts' perception of the relative importance of different limiting conditions to influence the way duty-bearers are able to share information on decision & actions with the community, per sector.

## Annex 20. Teachers' responses on questions related to Participation

Note:

- The Y axis displays the number of times a specific response was given compared to the total number of responses given by all respondents. Note that, as the number of answers given by a respondent could vary between 1 and 3, the % of responses displayed in this graphic cannot be interpreted as the % of respondents.
- The responses are ordered based on the results from the average: from the most important to the least important.

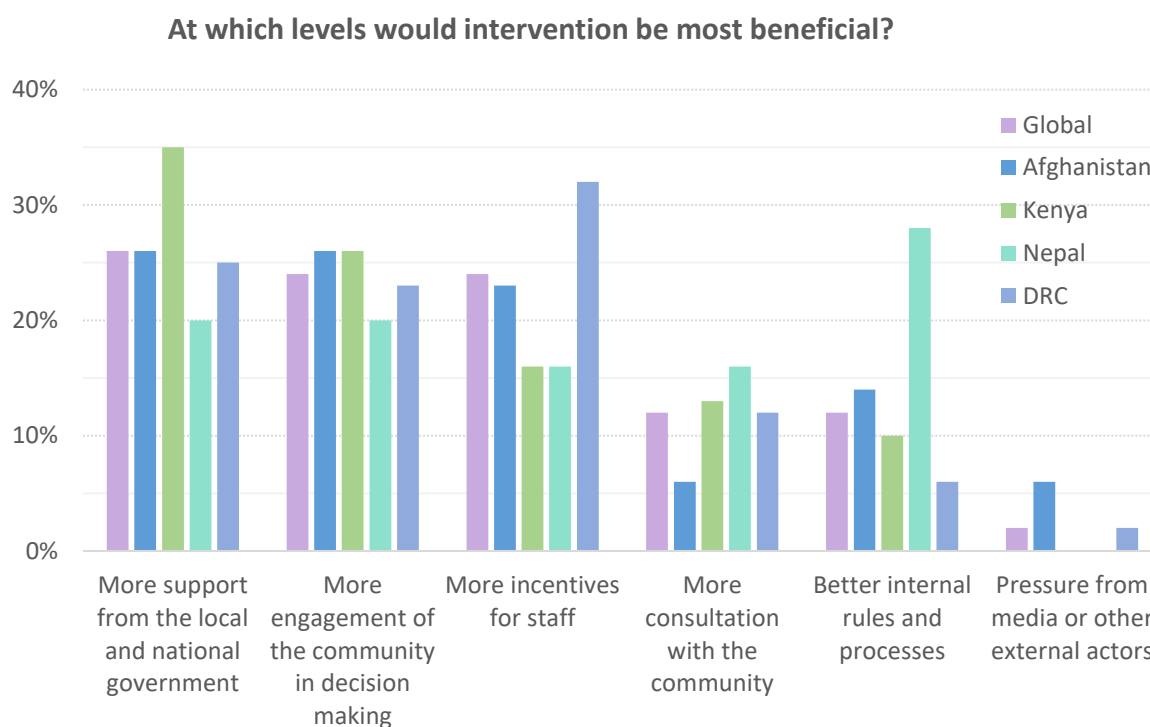


Figure 20.1. Teachers' opinion on what could help or motivate them to be more responsive, transparent and treat everyone with equity (type of interventions).

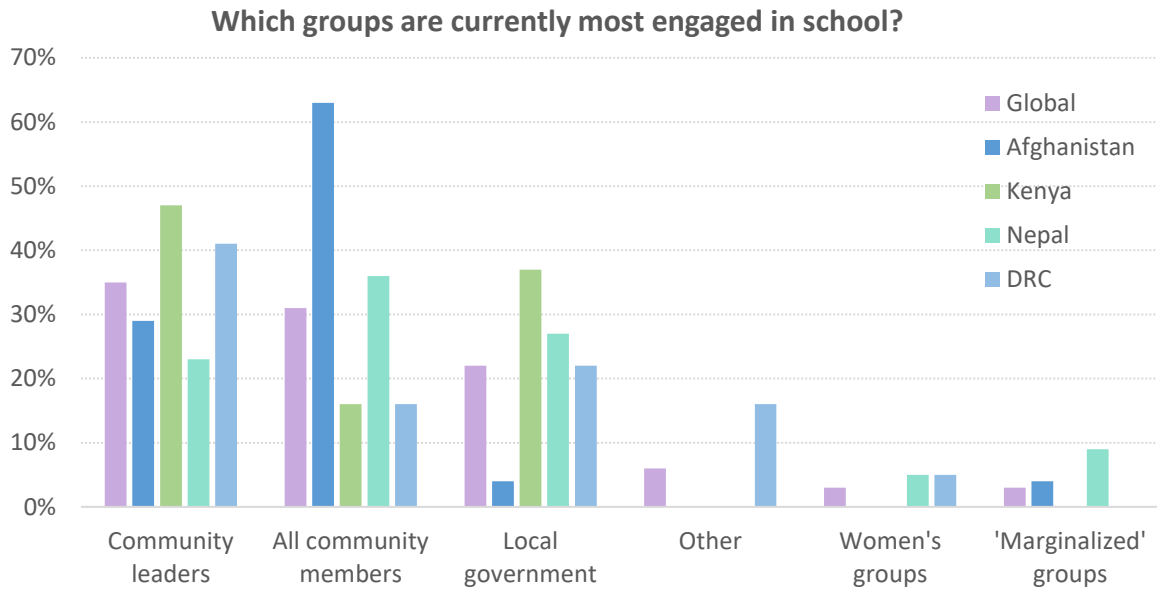


Figure 20.2. Teachers' answers on whom from the community is actively engaged in their school.

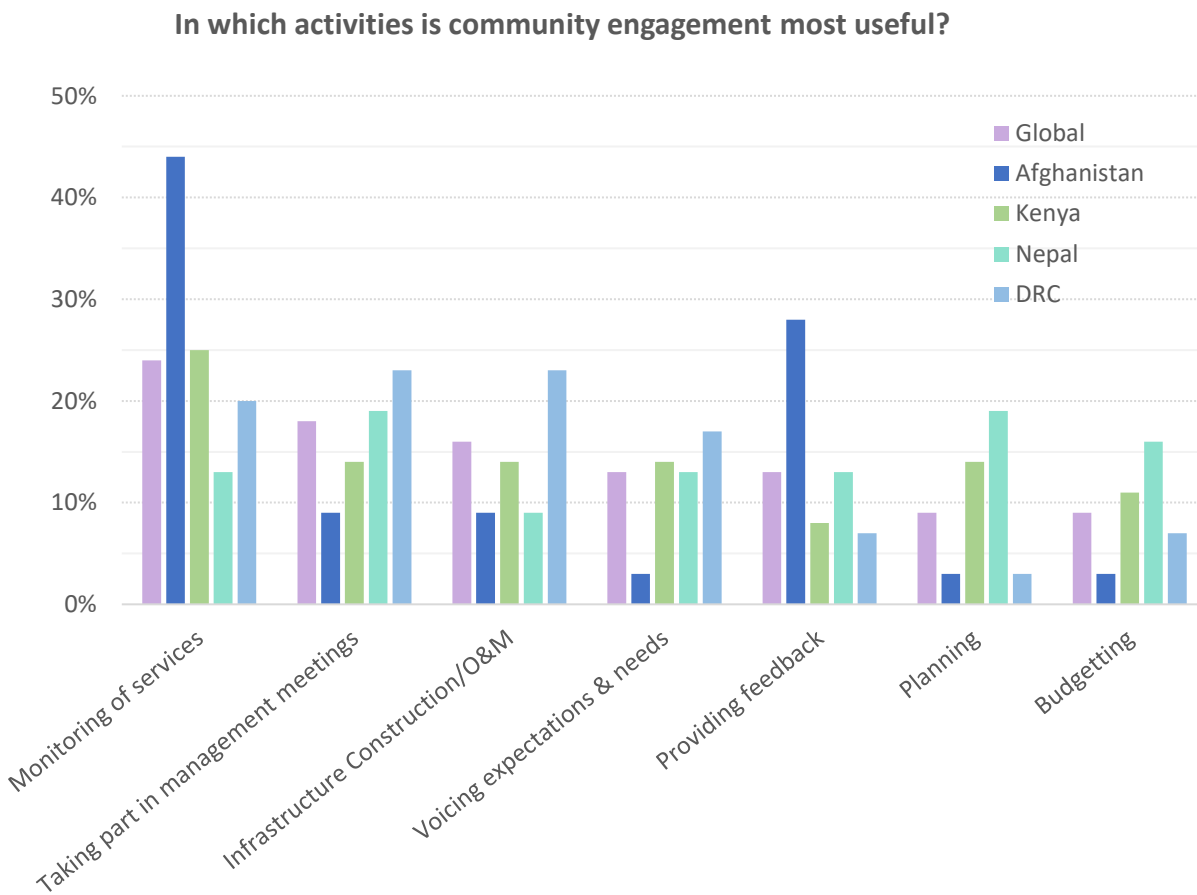


Figure 20.3. Teachers' opinion on the activities in which they think community engagement is most useful.



