

HOW TO

ASSESS WATER GOVERNANCE

*A Methodology Based
on the OECD Principles
on Water Governance*



This document is published under the responsibility of the Secretary-General of the OECD. The opinions expressed and arguments employed herein do not necessarily reflect the official views of OECD member countries. The document and any map included herein are without prejudice to the status of or sovereignty over any territory, to the delimitation of international frontiers and boundaries and to the name of any territory, city or area.

© OECD 2022

You can copy, download or print OECD content for your own use, and you can include excerpts from OECD publications, databases and multimedia products in your own documents, presentations, blogs, websites and teaching materials, provided that suitable acknowledgement of OECD as source and copyright owner is given. All requests for public or commercial use and translation rights should be submitted to rights@oecd.org.

Photo credits: @ Adobe Stock, 2022

Table of Contents

Implementing the OECD principles on water governance	3
A guide to assessing water governance	3
Who is the guide for?	3
Recipients for a successful assessment	4
PART I. Understanding the OECD principles and indicators on water governance	
The OECD principles on water governance	6
The OECD water governance indicator framework	7
12 principles, 36 indicators, and 106 checklist questions	8
PART II. Ten-step methodology for assessing water governance systems	
Getting started	34
PHASE 1. PREPARATION	
The preparation phase: setting the foundation of the assessment	36
Definitions	36
How-to	37
Think ahead	41
Lessons from implementing the ten-step methodology	41
PHASE 2. DIAGNOSIS	
The diagnosis phase: making the workshops result-oriented	44
Definitions	44
How-to	44
Think ahead	49
Lessons from implementing the ten-step methodology	50
PHASE 3. ACTION	
The action phase: implementing and measuring progress	54
Definitions	54
How-to	55
Think ahead	56
Lessons from implementing the ten-step methodology	57
Acknowledgements	60



Implementing the OECD Principles on Water Governance

Effective, efficient and inclusive water governance seeks to enhance water security and ensure access to safe drinking water and sanitation for all, while responding to environmental, economic and social objectives. Assessing the performance of water governance systems can help identify gaps and priorities, needs and responses, with the ultimate goal of delivering better water policies for better lives. Since the adoption of the OECD Principles on Water Governance in 2015, the OECD Water Governance Initiative has developed an implementation strategy based on:

- 1. An indicator framework to facilitate the assessment of the governance system:** The OECD Water Governance Indicator Framework provides a tool to collectively appraise the state of play of water governance policy frameworks (what), institutions (who) and instruments (how), and their needed improvements over time. It is applicable at different scales (city, basin, national or other) and for different water management functions (water resources, water services, water disasters). The framework is composed of a *traffic light system* based on 36 input and process indicators and a *checklist* with questions on a number of more specific governance conditions. It concludes with an *action plan* to prepare and prioritise actions over the short, medium and long run.
- 2. 50+ practices to foster learning:** The evolving water governance practices help policy makers, practitioners and other stakeholders learn from each other and identify pitfalls to avoid when designing and implementing water policies. Collected amongst members of the Water Governance Initiative and the Global Coalition for Good Water Governance, the 54 practices were published in the OECD 2018 report *Implementing the OECD Principles on Water Governance*. Overall, they showed three common elements for success: stakeholder engagement, financing and political will.

► A GUIDE TO ASSESSING WATER GOVERNANCE

This document provides a one-stop-shop guide to conduct an effective, efficient and inclusive assessment of water governance systems in a shared responsibility with the broad range of stakeholders engaged in water-related policy or decision-making. It is based on a ten-step methodology, and provides examples to motivate and inspire the end users throughout the process.

The Guide is divided in two parts:

PART I: A Background Section to understand the OECD Principles and Indicators on Water Governance.

PART II: A ten-step Methodology to undertake the assessment of water governance systems through a multi-stakeholder consultation process.

► WHO IS THE GUIDE FOR?

The target audiences of the Guide are:

- **Policy-makers** at various levels of government, aiming to improve the performance of water governance systems
- **Governance bodies**, such as river basin organisations, deconcentrated authorities, decentralised bodies, and other organisations federating or representing water users to be engaged in the assessment process.
- **Third parties** such as regulators, civil society organisations, academics, experts, and other stakeholders willing to organise a multi-stakeholder assessment process.

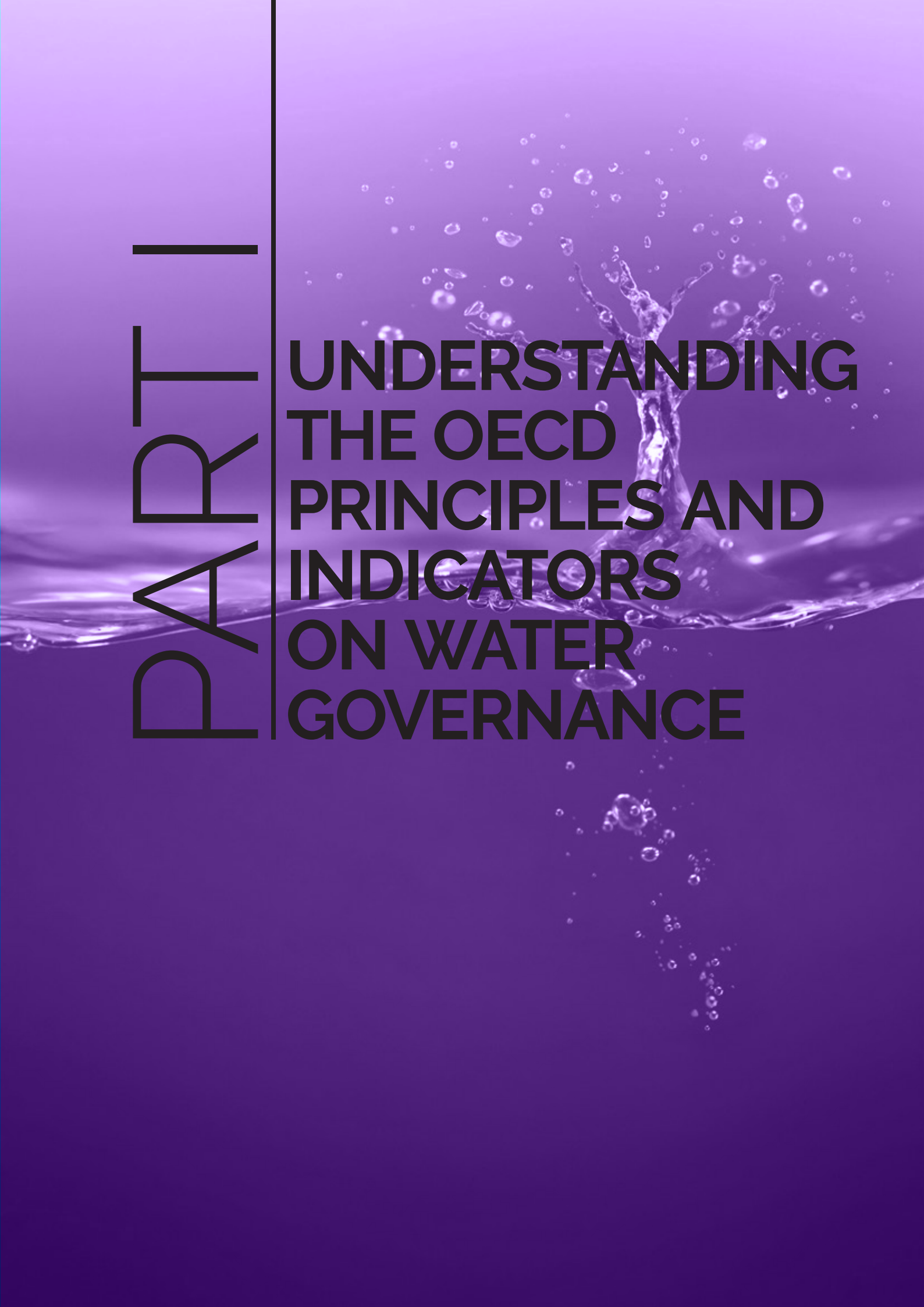
► A SUCCESSFUL ASSESSMENT SHOULD BE...

- **INDEPENDENT**: it should be an inward looking process led by a trusted and non-biased party in cooperation with all relevant stakeholders in a given city, basin, or country.
- **TRANSPARENT**: information should be shared, decisions motivated and discussed, and objectives clarified from the beginning of the process.
- **NEUTRAL and NON-DISCRIMINATORY**: in capturing different degrees of consensus by stakeholders involved in the assessment.
- **OWNED by ALL STAKEHOLDERS**: to ensure the needed buy-in and trust.
- **OPEN**: by going beyond the “usual suspects” and including non-water sector stakeholders.
- **FORWARD-LOOKING**: by concluding with concrete actions for improvements.



PART I

UNDERSTANDING THE OECD PRINCIPLES AND INDICATORS ON WATER GOVERNANCE

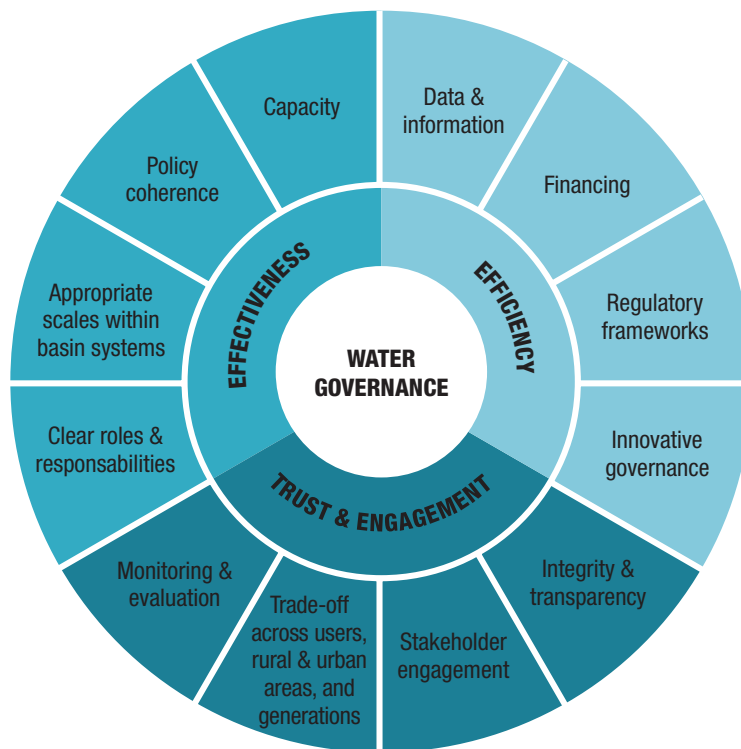


The OECD Principles on Water Governance

The Principles provide 12 must-haves for efficient, effective and inclusive water governance. Adopted in May 2015 by the OECD Regional Development Policy Committee and backed by ministers at the OECD Council Meeting at Ministerial Level in June 2015, the Principles provide a framework to guide better water policies and reforms.

The Principles apply to all **water management functions** (e.g. drinking water supply, sanitation, flood protection, water quality, water quantity, rainwater and storm- water); **water uses** (e.g. domestic, industry, agriculture, energy and environment); and type of **ownership** of water management, resources and assets (e.g. public, private, mixed).

OECD Principles on Water Governance



Source: OECD (2015), OECD Principles on Water Governance, www.oecd.org/governance/oecd-principles-on-water-governance.htm.

The Principles are clustered around three main dimensions:

- **Effectiveness** of water governance relates to the contribution of governance to defining clear sustainable water policy goals and targets at different levels of government, to implement those policy goals, and to meet expected objectives or targets.
- **Efficiency** of water governance relates to the contribution of governance to maximising the benefits of sustainable water management and welfare at the least cost to society.
- **Trust and engagement** in water governance relate to the contribution of governance to building public confidence and ensuring inclusiveness of stakeholders through democratic legitimacy and fairness for society at large.

The OECD Water Governance Indicator Framework

► KEY OBJECTIVES



Foster dialogue at local, basin, regional and national levels. The indicators can promote discussion and build consensus across a range of public authorities and stakeholders on the strengths and weaknesses of water governance systems, as well as the ways forward to better manage too much, too little and too polluted water now and in the future.



Promote inclusiveness across stakeholders. This can be achieved through in-depth consultations with public and private institutions and civil society on who can do what to improve water governance as a shared responsibility.



Stimulate transparency in the performance of water-related institutions. Indicators can reduce information gaps and lead to greater accountability of governments and stakeholders in how they deliver intended outcomes, while shedding light on whether institutional and regulatory arrangements are fit-for-purpose and fit-for-the future.



Increase awareness on specific issues, shortcomings and pitfalls that would otherwise not receive the same attention to guide policy reform or adjustment. They can also enhance data production and collection, as well as promote capacity development.



Trigger actions to bridge water governance gaps. Indicators can inform policy makers on the performance of systems in place in order to redefine policy priorities. Within the context of the global agenda, they can also support countries in achieving the Sustainable Development Goal (SDG) 6 and other water-related targets, by shedding light on institutional implementation capacity and related improvements.

12 Principles, 36 Indicators, and 106 Checklist Questions

For each of the 12 Principles, the OECD Water Governance Indicator Framework provides 3 indicators on policy frameworks (what), institutions (who) and instruments (how). In addition, a Checklist composed of 106 questions allows further analysis governance dimensions that are not captured by the 3 indicators.

► PRINCIPLE 1. Clear roles and responsibilities

Clearly allocate and distinguish roles and responsibilities for water policy making, policy implementation, operational management and regulation, and foster co-ordination across these responsible authorities. To that effect, legal and institutional frameworks should:

- Specify the allocation of roles and responsibilities, across all levels of government and water-related institutions in regard to water:
 - policy making, especially priority setting and strategic planning
 - policy implementation, especially financing and budgeting, data and information, stakeholder engagement, capacity development and evaluation
 - operational management, especially service delivery, infrastructure operation and investment
 - regulation and enforcement, especially tariff setting, standards, licensing, monitoring and supervision, control and audit, and conflict management.
- Help identify and address gaps, overlaps and conflicts of interest through effective co-ordination at and across all levels of government.

Indicators

1.a. WHAT	Existence and level of implementation of a water law .	This indicator helps evaluate the existence and level of implementation of a water law, either at national or subnational level depending on the institutional feature of your country (unitary or federal). The law should clearly assign and distinguish water-related roles and responsibilities for policy making (especially priority setting and strategic planning).
1.b. WHO	Existence and functioning of ministry, line ministry, central agency with core water-related responsibilities for policy making.	This indicator seeks to appraise the existence and functioning of institutions in charge of setting water-related policy goals and strategies and delivering them; these can be at national or subnational level depending on the scale of the assessment and the institutional feature of the country (unitary, federal).
1.c. HOW	Existence and implementation of mechanisms to review roles and responsibilities , to diagnose gaps and adjust when need be.	This indicator seeks to appraise the existence and level of implementation of mechanisms that can help identify areas of water management where there is little clarity on who does what; areas with incoherent and/or contradictory objectives; areas with deficient implementation and/or limited enforcement; and/or areas with overlaps/duplication of responsibilities. They can take the form of analytical reports, regulatory impact assessments, regulatory reviews, or open stakeholder consultations.

Checklist

- ☑ Is there a dedicated water policy, indicating goals, duties, and resources needed?
- ☑ Have applicable **binding and non-binding water-related international or supranational frameworks** and regulations been transposed at national (or subnational) level(s)?
- ☑ Are there **horizontal co-ordination mechanisms** across subnational authorities to manage interdependencies for water policy design and implementation?
- ☑ Are there **vertical co-ordination mechanisms** or incentives that foster policy alignment, complementarities and co-operation across central and subnational governments?



► PRINCIPLE 2. Appropriate scales within basin systems

Manage water at the appropriate scale(s) within integrated basin governance systems to reflect local conditions, and foster co-ordination between the different scales.

To that effect, water management practices and tools should:

- respond to long-term environmental, economic and social objectives with a view to making the best use of water resources, through risk prevention and integrated water resources management
- encourage a sound hydrological cycle management from capture and distribution of freshwater to the release of wastewater and return flows
- promote adaptive and mitigation strategies, action programmes and measures based on clear and coherent mandates, through effective basin management plans that are consistent with national policies and local conditions
- promote multi-level co-operation among users, stakeholders and levels of government for the management of water resources
- enhance riparian co-operation on the use of transboundary freshwater resources.

Indicators

2.a.
WHAT

Existence and level of implementation of **integrated water resources management policies and strategies**.

This indicator seeks to appraise the existence and level of implementation of integrated policies and strategies from the sub-basin to upper levels to capture and distribute freshwater and to release wastewater and return flows, with a circular economy perspective; to manage water from sources to sea; and to foster conjunctive use and management of surface, groundwater and coastal water(s).

2.b.
WHO

Existence and functioning of **institutions managing water at the hydrographic scale**.

This indicator seeks to appraise the existence of a basin approach to water management that follows hydrographic boundaries rather than (only) administrative frontiers. Such institutions can be decentralised or deconcentrated bodies, catchment-based or catchment-oriented, depending on the country's institutional organisation. Besides their existence, the indicator should also appraise the extent to which these institutions carry out their functions related to monitoring, collecting water revenues, co-ordination, regulation, data collection, pollution prevention, issuance of water abstraction permits and effluent discharges licences, allocation of uses, planning, asset maintenance and operation, capacity development, public awareness, conflict resolution, and stakeholder engagement. Their activities should be based on basin management plans that are consistent with national policies and local conditions, defined according to international best practices (for EU member countries, the provisions of the Water Framework Directive could be used as screening criteria).

2.c.
HOW

Existence and level of implementation of **co-operation mechanisms** for the management of water resources across water-related users and levels of government from local to basin, regional, national and upper scales.

This indicator seeks to appraise the existence and level of implementation of mechanisms to foster co-operation across users, stakeholders and levels of government for the management of water resources. Examples of such mechanisms could include shared data and information system, joint programmes of measure, joint projects or contracts, co-financing, or forms of multi-level dialogue.

Checklist

- ☑ Where they exist, do catchment-based organisations have the adequate level of **autonomy, staff and budget** to carry out their functions?
- ☑ Are there policy and economic instruments in place to manage too much, too little and too polluted water at hydrographic scale?
- ☑ In the case of **transboundary** rivers, lakes or aquifers, are there **mechanisms or incentives** to co-ordinate among riparian states?
- ☑ Are there **co-ordination mechanisms to combine territorial and hydrographic scales** for water resources management, for instance in metropolitan areas?



► PRINCIPLE 3. Policy coherence

Encourage policy coherence through effective cross-sectoral co-ordination, especially between policies for water and the environment, health, energy, agriculture, industry, spatial planning and land use, through:

- encouraging co-ordination mechanisms to facilitate coherent policies across ministries, public agencies and levels of government, including cross-sectoral plans
- fostering co-ordinated management of use, protection and clean-up of water resources, taking into account policies that affect water availability, quality and demand (e.g. agriculture, forestry, mining, energy, fisheries, transportation, recreation and navigation) as well as risk prevention
- identifying, assessing and addressing the barriers to policy coherence from practices, policies and regulations within and beyond the water sector, using monitoring, reporting and reviews
- providing incentives and regulations to mitigate conflicts among sectoral strategies, bringing these strategies into line with water management needs and finding solutions that fit with local governance and norms.

Indicators

3.a.
WHAT

Existence and level of implementation of **cross-sectoral policies and strategies** promoting policy coherence between water and key related areas, in particular environment, health, energy, agriculture, land use and spatial planning.

This indicator seeks to appraise the existence and the level of implementation of integrated policies and strategies fostering coherence across sectors, while minimising contradictory objectives and negative impacts.

3.b.
WHO

Existence and functioning of an **inter-ministerial body or institutions for horizontal co-ordination** across water-related policies.

This indicator seeks to appraise the existence and functioning of bodies or institutions to facilitate coherent policies across ministries, discussing synergies and managing trade-offs across water, environment, health, energy, agriculture, industry, spatial planning and land use and other relevant areas.

3.c.
HOW

Existence and level of implementation of **mechanisms to review barriers to policy coherence** and/or areas where water and related practices, policies or regulations are misaligned.

This indicator seeks to appraise the existence and level of implementation of mechanisms to identify barriers that hinder the coherent management of water and key related domains. These could include outdated legislation, distortive subsidies, conflicting interests, competition between ministries, overlapping roles and responsibilities, lack of integrated planning, split incentives or poor enforcement. Examples of such mechanisms include (multi-)sectoral reviews, regulatory impact assessment, inter-ministerial platforms or integrated legislation, among others.

Checklist

- ☑ Is there a **dedicated policy or high-level political support to water management** as a driver to economic growth as featured in the Sustainable Development Goals?
- ☑ Are **data and projections on water demanded from agriculture, industry (including energy) and households** available and used to guide decisions on competing uses now and in the future?
- ☑ Is there an **assessment of the distributional impacts on water management** of decisions taken in other areas such as energy subsidies, spatial development, agriculture or environment?
- ☑ Are the **costs** of a lack of water-related policy coherence evaluated and available to decision makers?
- ☑ Are **benefits** from policy coherence and policy complementarities evaluated and showcased to decision makers and key stakeholders?
- ☑ Are there provisions, frameworks or instruments to ensure that decisions taken in other sectors are **water-wise**?
- ☑ Are there **horizontal co-ordination mechanisms** at subnational and national levels?
- ☑ Are there **conflict mitigation and resolution mechanisms** to manage trade-offs across water-related policy areas?



► PRINCIPLE 4. Capacity

Adapt the level of capacity of responsible authorities to the complexity of the water challenges to be met, and to the set of competencies required to carry out their duties, through:

- identifying and addressing capacity gaps to implement integrated water resources management, notably for planning, rule-making, project management, finance, budgeting, data collection and monitoring, risk management and evaluation
- matching the level of technical, financial and institutional capacity in water governance systems to the nature of problems and needs
- encouraging adaptive and evolving assignment of competences upon demonstration of capacity, where appropriate
- promoting the hiring of public officials and water professionals that uses merit-based, transparent processes that are independent from political cycles
- promoting education and training of water professionals to strengthen the capacity of water institutions as well as stakeholders at large and to foster co-operation and knowledge-sharing.

Indicators

4.a.
WHAT

Existence and level of implementation of hiring policies, based on a **merit-based and transparent professional and recruitment process** of water professionals independent from political cycles.

This indicator seeks to appraise the framework conditions (not necessarily water-specific) in place and their level of implementation to ensure the presence of competent staff able to deal with technical and non-technical water-related issues across agencies, responsible ministries and water management bodies.

4.b.
WHO

Existence and functioning of **mechanisms to identify and address capacity gaps in water institutions.**

This indicator seeks to appraise the existence and functioning of mechanisms to identify the level of capacity of responsible authorities in carrying out their duties and coping with water challenges. Duties cover planning, rule-making, project management, finance, budgeting, data collection and monitoring, risk management and evaluation.

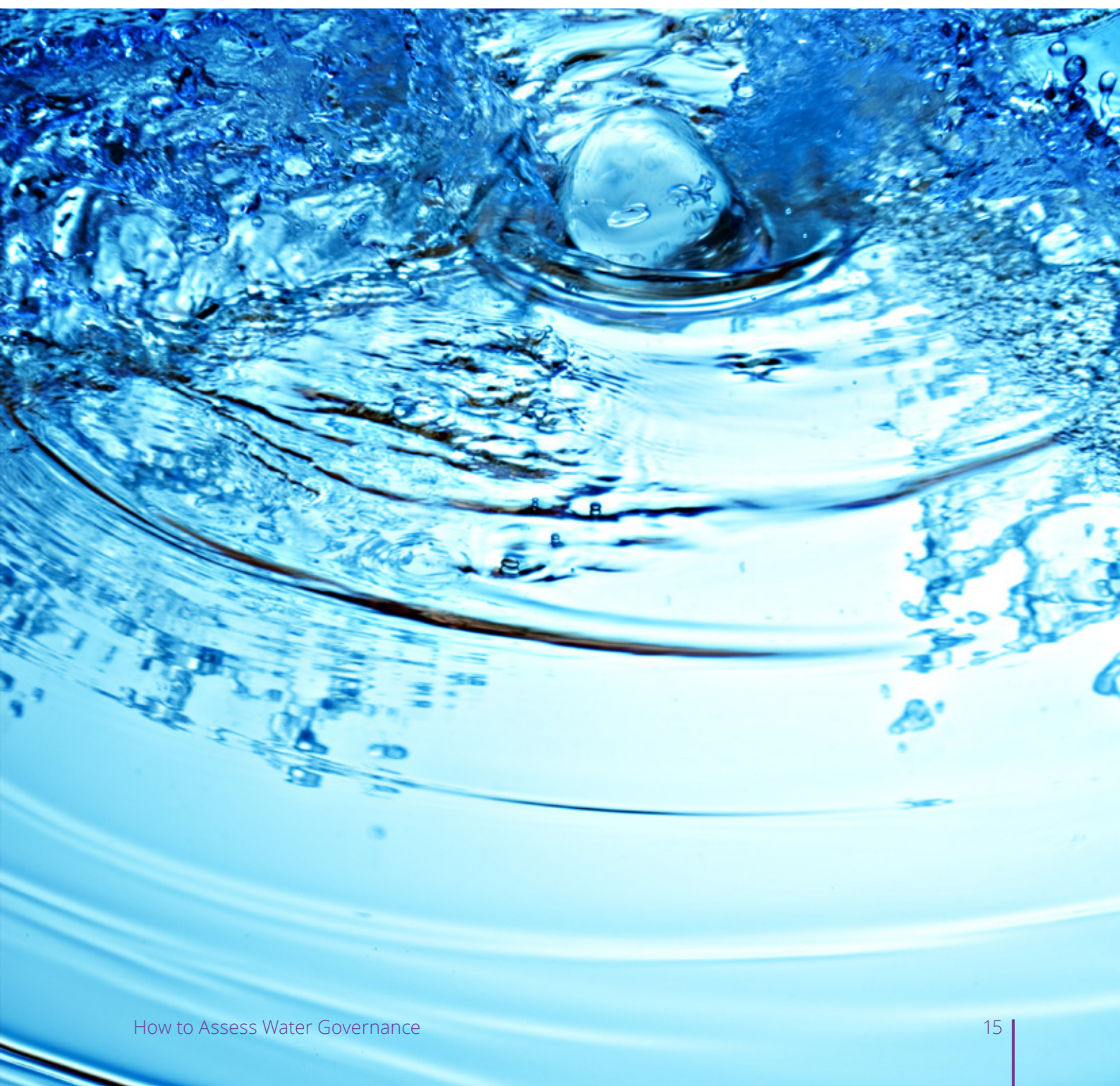
4.c.
HOW

Existence and level of implementation of **educational and training programmes** for water professionals.

This indicator seeks to appraise the existence and level of implementation of capacity-related programmes (e.g. educational curricula, executive training, technical assistance, etc.) to strengthen the capacity of water institutions as well as stakeholders at large in critical areas such as planning, financing and monitoring.

Checklist

- ☑ Are there **incentives** to create water careers in the public sector?
- ☑ Are there **guidelines** or standards for capacity building across authorities at all levels?
- ☑ Are there **peer-to-peer dialogue platforms** across river basin organisations?
- ☑ Are there **networks** of utilities and networks of basin organisations at national level?
- ☑ Are institutional strengthening and soft capacity included in **technical assistance programmes**?
- ☑ Are there **decentralised co-operation mechanisms** to foster north-south, south-south and north-north experience learning, capacity building and knowledge transfer?



► PRINCIPLE 5. Data and information

Produce, update and share timely, consistent, comparable, and policy-relevant water and water-related data and information, and use it to guide, assess and improve water policy, through:

- defining requirements for cost-effective and sustainable production and methods for sharing high-quality water and water-related data and information, e.g. on the status of water resources, water financing, environmental needs, socio-economic features and institutional mapping
- fostering effective co-ordination and experience-sharing among organisations and agencies producing water-related data between data producers and users, and across levels of government
- promoting engagement with stakeholders in the design and implementation of water information systems, and providing guidance on how such information should be shared to foster transparency, trust and comparability (e.g. data banks, reports, maps, diagrams, observatories)
- encouraging the design of harmonised and consistent information systems at the basin scale, including in the case of transboundary water, to foster mutual confidence, reciprocity and comparability within the framework of agreements between riparian countries
- reviewing data collection, use, sharing and dissemination to identify overlaps and synergies and track unnecessary data overload.

Indicators

5.a.
WHAT

Existence and functioning of **updated, timely shared, consistent and comparable water information systems.**

This indicator seeks to appraise the existence and functioning of water information systems that can guide decisions and policies related to water. Data can cover, for instance, the status of water resources, water financing, environmental needs, socio-economic features and institutional mapping.

5.b.
WHO

Existence and functioning of public **institutions, organisations and agencies** in charge of producing, co-ordinating and disclosing standardised, harmonised and official water-related statistics.

This indicator seeks to appraise the existence and functioning of institutions producing independent data and official water-related statistics at national or subnational level. Selected criteria for the functioning of institutions include whether they are endowed with sufficient resources to carry out their mandate, and whether they produce information that is reliable, credible and free from political intervention.

5.c.
HOW

Existence and level of implementation of mechanisms to identify and review **data gaps, overlaps and unnecessary overload.**

This indicator seeks to appraise the existence and level of implementation of mechanisms to review data collection, use, sharing and dissemination, to identify overlaps and synergies and to track unnecessary data overload. They can take the form of reviews, reports and open consultations, among others.

Checklist

Water Services

- Are the following data on water and sanitation services available?
 - service coverage
 - cost of water services (transporting and supplying water; collecting and treating wastewater; identification of records relating to personnel and equipment)
 - cost recovery and prices in relation to consumer income and purchasing power
 - knowledge of assets, maintenance of infrastructure programmes to ensure sustainable operation, maintenance and renewal
 - drinking water and wastewater quality controls against specified standards.
- Are key data on water services **publicly available** and communicated to customers?
- Is the water supply and sanitation information system **harmonised, integrated, standardised and co-ordinated** across relevant agencies and responsible authorities across relevant governance scales?

Water Resources

- Are the following **data on integrated water resources management** available?
 - qualitative and quantitative state of resources including hydrogeological data
 - user registry and entitlement permits for water withdrawal
 - withdrawals and consumption by sectors (domestic, energy, agriculture, industry)
 - pollution sources, registry, permits and measurement of quality parameters of pollution emission
 - hydrological connection between surface water and groundwater resources
 - water charges collected and subsidies given and their expenditure.
- Are key data on water resources management **publicly available** and communicated to users?
- Is the integrated water resources management water information system **harmonised, integrated, standardised and co-ordinated** across relevant agencies and responsible authorities across relevant governance scales?

Risk Management

- Are the following data on **risk management** available?
 - projections/scenarios with reference to climate change and exposed lives and goods, risks of floods, drought and accidental pollution
 - meteorological data, including data on rainfall
 - data on water flows and pressures and extension of flooded areas for known events
 - historical data on water disasters
 - data on vulnerability (human beings and properties)/ exposure to risk.
- Are key data on water risk management **publicly available** and communicated to citizens?
- Is the risk management water information system **harmonised, integrated, standardised and co-ordinated** across relevant agencies and responsible authorities across relevant governance scales?
- Are there **real-time data** and do they guide decision making?
- Are there **bottom-up mechanisms** to produce and disclose water-related data and information in a shared responsibility across levels of government, public, private and non-profit stakeholders?
- Are there **platforms for dialogue** between data producers and users?
- Are there incentives or forms of **co-operation between primary and other data producers**?
- Do **online** platforms/tools/agreements exist for experience and knowledge sharing?
- Do incentives exist to produce, disclose and use **water-related data and information**, in innovative ways?

► PRINCIPLE 6. Financing

Ensure that governance arrangements help mobilise water finance and allocate financial resources in an efficient, transparent and timely manner, through:

- promoting governance arrangements that help water institutions across levels of government raise the necessary revenues to meet their mandates, building through, for example, principles such as the polluter-pays and user-pays, as well as payment for environmental services
- carrying out sector reviews and strategic financial planning to assess short-, medium-, and long-term investment and operational needs and take measures to help ensure availability and sustainability of such finance
- adopting sound and transparent practices for budgeting and accounting that provide a clear picture of water activities and any associated contingent liabilities, including infrastructure investment, and aligning multi-annual strategic plans to annual budgets and medium-term priorities of governments
- adopting mechanisms that foster the efficient and transparent allocation of water-related public funds (e.g. through social contracts, scorecards and audits)
- minimising unnecessary administrative burdens related to public expenditure while preserving fiduciary and fiscal safeguards.

Indicators

6.a.
WHAT

Existence and level of implementation of **governance arrangements** that help water institutions collect the necessary revenues to meet their mandates and drive water-sustainable and efficient behaviours.

This indicator seeks to appraise the existence and level of implementation of governance arrangements that help water institutions collect the necessary revenues to meet their mandates, based on key principles such as the polluter-pays, user-pays and interest-pay-say, as well as payment for environmental services.

6.b.
WHO

Existence and functioning of **dedicated institutions** in charge of collecting water revenues and allocating them at the appropriate scale.

This indicator seeks to appraise the extent to which water management institutions (e.g. utilities, regulators, basin organisations) are responsible for collecting water revenues (taxes and tariffs) and allocating them in a transparent, efficient and timely manner.

6.c.
HOW

Existence and level of implementation of mechanisms to assess **short-, medium-, and long-term investment and operational needs** and ensure the availability and sustainability of such finance.

This indicator seeks to appraise the existence and level of implementation of mechanisms to identify investment needs and funding gaps in terms of physical infrastructure and governance functions to manage too much, too little, and too polluted water, and to sustain/achieve universal coverage of water services. Examples include ex ante and ex post evaluation (e.g. related to the use of economic instruments), sectoral reviews, economic and affordability studies (e.g. to assess users' capacity or willingness to pay), forecasts and projections, and multi-annual budgeting or planning.

Checklist

- ✓ Are there enough **financial revenues** (taxes, tariffs, transfers) to cover operational costs and long-term asset renewal to protect ecosystems services and to finance biodiversity programmes?
- ✓ Is there **standardised/harmonised guidance** at national or subnational level for setting and governing economic instruments such as tariffs, abstraction or pollution charges?
- ✓ Are **abstraction charges** in place to foster efficient water-use and to collect revenues?
- ✓ Are **pollution charges** in place to foster water quality and to collect revenues?
- ✓ Are there schemes or incentives for **payment for environmental services**?
- ✓ Do flexible and **solidarity-based mechanisms** exist in case of water-related disasters?
- ✓ Are there **multi-annual strategic plans** to review short-, medium- and long-term investment needs and support policy continuity?
- ✓ Are there **investment plans and programmes** and do they guide decision making?
- ✓ Are there **clear budget transparency principles and rules** applied at all levels of government?
- ✓ Are there measures to minimise unnecessary **administrative burdens** when collecting and disbursing water-related revenues?
- ✓ Are there **reporting mechanisms** and audits of financial administration for water-related expenditure?
- ✓ Are there mechanisms or incentives to foster the efficient and transparent **allocation of water-related revenues**?



► PRINCIPLE 7. Regulatory frameworks

Ensure that sound water management regulatory frameworks are effectively implemented and enforced in pursuit of the public interest, through:

- ensuring a comprehensive, coherent, and predictable legal and institutional framework that sets rules, standards and guidelines for achieving water policy outcomes, and encourages integrated long-term planning
- ensuring that key regulatory functions are discharged across public agencies, dedicated institutions and levels of government and that regulatory authorities are endowed with the necessary resources
- ensuring that rules, institutions and processes are well co-ordinated, transparent, non-discriminatory, participative, and easy to understand and enforce
- encouraging the use of regulatory tools (evaluation and consultation mechanisms) to foster the quality of regulatory processes and make the results accessible to the public, where appropriate
- setting clear, transparent and proportionate enforcement rules, procedures, incentives and tools (including rewards and penalties) to promote compliance and achieve regulatory objectives in a cost-effective way
- ensuring that effective remedies can be claimed through non-discriminatory access to justice, considering the range of options as appropriate.

Indicators

7.a.
WHAT

Existence and level of implementation of a **sound water management regulatory framework** to foster enforcement and compliance, achieve regulatory objectives in a cost-effective way, and protect the public interest.

This indicator seeks to appraise the existence and level of implementation of regulatory frameworks to foster enforcement and compliance, achieve regulatory objectives in a cost-effective way, and protect the public interest. Assessing the functioning of regulatory frameworks should consider their clarity, comprehensiveness, coherence and predictability.

7.b.
WHO

Existence and functioning of **dedicated public institutions** responsible for ensuring key regulatory functions for water services and resources management.

This indicator seeks to appraise:

- 1) the extent to which key regulatory functions are entrusted to and carried out by responsible authorities, in particular tariff setting and affordability; standard setting; licensing, monitoring and supervision; control and audit; conflict management;
- 2) how such institutions perform in carrying out their responsibilities. The indicator deliberately encompasses the entire water cycle (services and resources) and may require trade-offs when building consensus across stakeholders, as some institutions may perform better than others depending on the water management function.

7.c.
HOW

Existence and level of implementation of **regulatory tools to foster the quality of regulatory processes** for water management at all levels.

This indicator seeks to appraise the existence and level of implementation of regulatory tools, such as evaluation and consultation mechanisms, to ensure that rules, institutions and processes are fit for purpose, well co-ordinated, cost-effective, transparent, non-discriminatory, participative, and easy to understand and to enforce.

Checklist

- ☑ Is there a systematic requirement to consider existing **international standards and norms** in the development and revision of national and/or subnational legal frameworks?
- ☑ Are there a **dedicated regulatory agency(ies)/bodies or capacities (e.g. within a ministry)** in charge of enforcement and compliance for water resources, water services and disaster risk management?
- ☑ When they exist, are regulatory agencies **subject to by-laws or internal regulations** that clearly state their mandate and powers?
- ☑ Are relevant regulatory and inspection authorities endowed with resources in line with the scope of their mandate?
- ☑ In case of dedicated regulatory agency(ies), are they **financially independent**?
- ☑ Do regulatory authorities take decisions that can be legally binding?
- ☑ Are evaluation **mechanisms in place** to systematically and regularly review the effectiveness, gaps and overlaps in the regulatory framework?
- ☑ Are water-related laws subject to **regulatory impact assessment**?
- ☑ Are there **reviews** of the governance and performance of regulatory and inspection agencies or bodies?
- ☑ Are there water-specific **inspectors** (e.g. a water “police”) or other specific enforcement tools in place?
- ☑ Are there **co-ordination instruments** between water-relevant ministries and bodies?
- ☑ Are there **requirements to disclose information** and inputs used for regulatory decisions?
- ☑ Can regulatory decisions taken be **repealed**?
- ☑ Are there mechanisms to solve **water-related disputes** (be they water-specific or not)?
- ☑ Where **self-regulation** mechanisms exist, are they object of regular performance assessments?



► PRINCIPLE 8. Innovative governance

Promote the adoption and implementation of innovative water governance practices across responsible authorities, levels of government and relevant stakeholders, through:

- encouraging experimentation and pilot testing on water governance, drawing lessons from successes and failures, and scaling up replicable practices
- promoting social learning to facilitate dialogue and consensus-building, for example through networking platforms, social media, information and communication technologies and user-friendly interfaces (e.g. digital maps, big data, smart data and open data) and other means
- promoting innovative ways to co-operate, pool resources and capacity, build synergies across sectors and search for efficiency gains, notably through metropolitan governance, inter-municipal collaboration, urban-rural partnerships and performance-based contracts
- promoting a strong science-policy interface to contribute to better water governance and bridge the divide between scientific findings and water governance practices.

Indicators

8.a. WHAT	Existence and level of implementation of policy frameworks and incentives fostering innovation in water management practices and processes.	This indicator seeks to appraise the existence and level of implementation of policy and regulatory incentives that foster water-related innovation in terms of products, institutional and contractual design, and governance processes. Examples include frameworks that can incentivise experimentation or pilots to draw lessons and share experience prior to generalising a given reform or process at a larger scale; incentives for innovative financing; and incentives for the use of alternative water sources.
8.b. WHO	Existence and functioning of institutions encouraging bottom-up initiatives, dialogue and social learning as well as experimentation in water management at different levels.	This indicator seeks to appraise the existence and functioning of institutions encouraging water governance innovation and responding to new needs for water governance practices. They could be in charge of promoting innovative ways to co-operate across government and stakeholders, pool resources and scale up water governance innovation.
8.c. HOW	Existence and level of implementation of knowledge- and experience-sharing mechanisms to bridge the divide between science, policy and practice.	This indicator seeks to appraise the existence and level of implementation of knowledge- and experience-sharing instruments to foster the science-policy interface, such as multi-stakeholder co-creation processes and tools supporting decision-making processes based on scientific evidence, communicated for example through interactive maps or simulation models.

Checklist

- ☑ Are there any **public bodies or accredited bodies** fostering innovation (financing, sharing feedback, assessing, incentivising)?
- ☑ Do innovative **tools and processes** exist to:
 - build capacities
 - raise awareness
 - engage stakeholders
 - share information
 - engage within and across organisations?
- ☑ Are **information and communication technologies** used to guide better public action in water management and how?
- ☑ Are there **reviews** to evaluate the state of play of and potential for technical and non-technical innovation, the costs and benefits of innovation, as well as regulations and standards hindering innovation?
- ☑ Do **platforms** exist to draw lessons from failures in water policy and governance, and to catalyse and scale -up best practices and success stories?
- ☑ Are there innovative **co-operation mechanisms** across territories and water users?



► PRINCIPLE 9. Integrity and transparency

Mainstream integrity and transparency practices across water policies, water institutions and water governance frameworks for greater accountability and trust in decision making, through:

- promoting legal and institutional frameworks that hold decision makers and stakeholders accountable, such as the right to information and independent authorities to investigate water-related issues and law enforcement
- encouraging norms, codes of conduct or charters on integrity and transparency in national or local contexts and monitoring their implementation
- establishing clear accountability and control mechanisms for transparent water policy making and implementation; diagnosing and mapping on a regular basis existing or potential drivers of corruption and risks in all water-related institutions at different levels, including for public procurement
- adopting multi-stakeholder approaches, dedicated tools and action plans to identify and address water integrity and transparency gaps (e.g. integrity scans/pacts, risk analysis, social witnesses).

Indicators

9.a.
WHAT

Existence and level of implementation of **legal and institutional frameworks** (not necessarily water-specific) on integrity and transparency which also apply to water management at large.

This indicator seeks to appraise the existence and level of implementation of legal and institutional frameworks that hold decision makers and stakeholders accountable (e.g. public procurement), and whereby the public interest can be safeguarded, malpractices can be identified and sanctioned, and effective remedies can be claimed. Examples include the right to information, public procurement (in accordance with best international practice), and the transposition of applicable international conventions.

9.b.
WHO

Existence and functioning of **independent courts** (not necessarily water-specific) and **supreme audit institutions** that can investigate water-related infringements and safeguard the public interest.

This indicator seeks to appraise the existence and functioning of independent authorities and audit institutions (be they water-specific or not) to investigate water-related infractions through inspections and controls, enact sanctions in case of violation. Selected criteria for assessment include the effectiveness, capacity, independence and accessibility of such institutions.

9.c.
HOW

Existence and level of implementation of **mechanisms** (not necessarily water-specific) **to identify potential drivers of corruption and risks in all water-related institutions** at different levels, as well as other water integrity and transparency gaps.

This indicator seeks to appraise the existence and the level of implementation of mechanisms that can diagnose, discourage and/or prevent poor transparency and integrity practices at different levels. Examples include integrity scans, multi-stakeholder approaches, social witnesses, social monitoring (e.g. to track consumer perceptions and petty corruption in water management), auditable anti-corruption plans, risk analysis and risk maps.

Checklist

- ✓ When roles and responsibilities for water supply and sanitation service delivery, water resources management, or disaster risk reduction are delegated to dedicated public or private entities, are there **contractual arrangements** between organising and executive bodies?
- ✓ Are relevant **international conventions, resolutions or frameworks** related to transparency and integrity transposed into national legislation?
- ✓ Are there institutional **anti-corruption plans, codes of conduct** or integrity charters?
- ✓ Are executive, legislative and judiciary **powers** clearly **separated**?
- ✓ Are there provisions for **whistle-blower protection** in legal and institutional frameworks? Are **whistle-blower policies** embedded in all public water sector organisations?
- ✓ Are **corruption risks** and actual corruption in the water sector (e.g. manipulation of knowledge and information, bribery, extortion) diagnosed?
- ✓ Are there evaluation tools to track **budget transparency** in the water sector?
- ✓ Are water accounts separated to ensure **traceability** of water money?
- ✓ Are there **evaluation tools** to track reporting on nepotisms and graft; evasion of rules and regulations; political capture; fraud; unethical practices, including those linked with petty corruption manipulated accounting; bad corporate management?
- ✓ Are there mechanisms/tools to track **transparency, accountability and participation** in the water sector?
- ✓ Are there mechanisms to assess the **economic, social and environmental costs of water-related corruption**?
- ✓ Are there **processes and/or platforms** for dialogue on the **drivers** of corruption and malpractice?
- ✓ Are there **requirements in place for regular financial disclosure** of assets, income and interests?
- ✓ Are **anti-bribery management systems** in place?



▶ PRINCIPLE 10. Stakeholder engagement

Promote stakeholder engagement for informed and outcome-oriented contributions to water policy design and implementation, through:

- mapping public, private and non-profit actors who have a stake in the outcome or who are likely to be affected by water-related decisions, as well as their responsibilities, core motivations and interactions
- paying special attention to under-represented categories (youth, the poor, women, indigenous people, domestic users) newcomers (property developers, institutional investors), and other water-related stakeholders and institutions
- defining the line of decision making and the expected use of stakeholders' inputs, and mitigating power imbalances and risks of consultation capture from over-represented or overly vocal categories, as well as between expert and non-expert voices
- encouraging capacity development of relevant stakeholders as well as accurate, timely and reliable information, as appropriate
- assessing the process and outcomes of stakeholder engagement to learn, adjust and improve accordingly, including the evaluation of costs and benefits of engagement processes
- promoting legal and institutional frameworks, organisational structures and responsible authorities that are conducive to stakeholder engagement, taking account of local circumstances, needs and capacities
- customising the type and level of stakeholder engagement to the needs and keeping the process flexible to adapt to changing circumstances

Indicators

10.a.
WHAT

Existence and level of implementation of **legal frameworks to engage stakeholders** in the design and implementation of water-related decisions, policies and projects.

This indicator seeks to appraise the existence and level of implementation of legal frameworks to engage stakeholders in water-related decision making. In all cases, they should discourage consultation capture and consultation fatigue through balanced representation, and ensure clarity and accountability on the use of stakeholders' inputs.

10.b.
WHO

Existence and functioning of **organisational structures and responsible authorities** to engage stakeholders in water-related policies and decisions.

This indicator seeks to appraise the existence and functioning of dedicated stakeholder engagement institutions or platforms, such as catchment-based authorities, decentralised assemblies, governing boards, national or subnational water councils or committees, as well as more informal forms of community-based engagement.

10.c.
HOW

Existence and level of implementation of **mechanisms to diagnose and review stakeholder engagement** challenges, processes and outcomes.

This indicator seeks to appraise the existence and level of implementation of mechanisms to diagnose prominent challenges or risks such as consultation capture, consultation fatigue or lack of resources (capacity and funding), but also processes and outcomes. This is important in order to learn, adjust and improve accordingly, including the evaluation of costs and benefits of engagement processes. Examples include satisfaction surveys, benchmarks, impact assessment, financial analysis, evaluation reports or multi-stakeholder workshops/meetings.

Checklist

- ☑ Is the **Arhus Convention** and/or other legal and institutional frameworks for stakeholder engagement adopted?
- ☑ Was a stakeholder **mapping** carried out to make sure that all those who have a stake in the outcome or that are likely to be affected are clearly identified, and their responsibilities, core motivations and interactions understood?
- ☑ Are the ultimate **line of decision making**, the **objectives** of stakeholder engagement and the expected **use of inputs** clearly defined?
- ☑ Are there mechanisms or regular assessments of stakeholder engagement **costs or obstacles** at large?
- ☑ Is the **information** needed for result-oriented stakeholder engagement **shared**?
- ☑ Is the type and level of engagement **customised** and the process flexible to adjust to changing circumstances?
- ☑ Is there a national **multi-stakeholder co-ordination platform** that includes representatives from public, private and non-profit sectors and different categories of users?
- ☑ Are there mechanisms in place to engage **science in decision making**?
- ☑ Are there **formal and informal mechanisms** to engage stakeholders?
- ☑ Do tailored **communication strategies** exist for relevant stakeholders, including the general public, regarding all aspects of water management?



► PRINCIPLE 11. Trade-offs

Encourage water governance frameworks that help manage trade-offs across water users, rural and urban areas, and generations, through:

- promoting non-discriminatory participation in decision making across people, especially vulnerable groups and people living in remote areas
- empowering local authorities and users to identify and address barriers to access quality water services and resources and promoting rural-urban co-operation, including through greater partnership between water institutions and spatial planners
- promoting public debate on the risks and costs associated with too much, too little or too polluted water to raise awareness, build consensus on who pays for what, and contribute to better affordability and sustainability now and in the future
- encouraging evidence-based assessment of the distributional consequences of water-related policies on citizens, water users and places to guide decision making.

Indicators

11.a.
WHAT

Existence and level of implementation of formal provisions or legal frameworks fostering **equity** across water users, rural and urban areas, and generations.

This indicator seeks to appraise the existence and functioning of provisions and frameworks fostering equity across users, rural and urban areas and generations. Equity can be understood in terms of outcomes (to ensure that costs and benefits are distributed fairly) as well as in terms of processes (to ensure that water users are treated fairly). Such frameworks should incentivise non-discriminatory participation in decision-making across people, especially vulnerable groups and people living in remote areas; promote rural-urban linkages; and minimise social, financial and environmental liabilities for future generations. Examples of such frameworks include the effective transposition of international binding and non-binding regulations or soft law that the country may be subject to (e.g. recognition of the human right to drinking water and sanitation, sustainable development goals, new urban agenda) as well as other forms of incentives.

11.b.
WHO

Existence and functioning of an **Ombudsman or institution(s)** to protect water users, including vulnerable groups.

This indicator seeks to appraise the existence and functioning of an Ombudsman or dedicated institutions (not necessarily water-specific) protecting vulnerable groups, mediating disputes, addressing users complaints and managing trade-offs when need be.

11.c.
HOW

Existence and implementation of **mechanisms or platforms to manage trade-offs across users, territories and/or over time in a non-discriminatory, transparent and evidence-based manner.**

This indicator seeks to appraise the existence and level of implementation of mechanisms or platforms to promote non-discriminatory, transparent and evidence-based decision making on trade-offs needed across people, time and places. This could include public debates and rural-urban co-operation (partnerships, projects, etc.).

Checklist

- ☑ Are there requirements/frameworks for **prioritisation among water uses** in case of scarcity or emergency situations?
- ☑ Are there **explicit measures** in place to identify access to water services by vulnerable groups, such as First Nation communities, refugees, economic migrants and the homeless?
- ☑ Are there **social tariffs or other measures** for vulnerable categories of water users?
- ☑ Are the **capacity to pay** and **willingness to pay** of water users evaluated through solid economic analysis and dedicated surveys?
- ☑ Are analyses for **supporting decision making** carried out in case of conflicting objectives across users, or geographical/social disparities in accessing water resources and services? (e.g. multi-criteria decision analysis, cost-benefit analysis).



▶ PRINCIPLE 12. Monitoring and evaluation

Promote regular monitoring and evaluation of water policy and governance where appropriate, share the results with the public and make adjustments when needed, through:

- promoting dedicated institutions for monitoring and evaluation that are endowed with sufficient capacity, the appropriate degree of independence and resources as well as the necessary instruments
- developing reliable monitoring and reporting mechanisms to effectively guide decision making
- assessing to what extent water policy fulfils the intended outcomes and water governance frameworks are fit-for-purpose
- encouraging timely and transparent sharing of the evaluation results and adapting strategies as new information becomes available.

Indicators

12.a.
WHAT

Existence and level of implementation of policy frameworks promoting regular **monitoring and evaluation** of water policy and governance.

This indicator seeks to appraise the existence and functioning of frameworks promoting regular monitoring and evaluation of water policy and governance, in order to effectively guide decision making.

12.b.
WHO

Existence and functioning of **institutions in charge of monitoring and evaluation of water policies** and practices and help adjust where need be.

This indicator seeks to appraise the existence and functioning of monitoring institutions (not necessarily water-specific) that are endowed with sufficient capacity, resources, autonomy and legitimacy to provide evidence-based assessments of water management and governance and support decision making accordingly. Such institutions should be independent from political interference, at arm's length from water managers, and accountable for the outcomes of their evaluation and monitoring.

12.c.
HOW

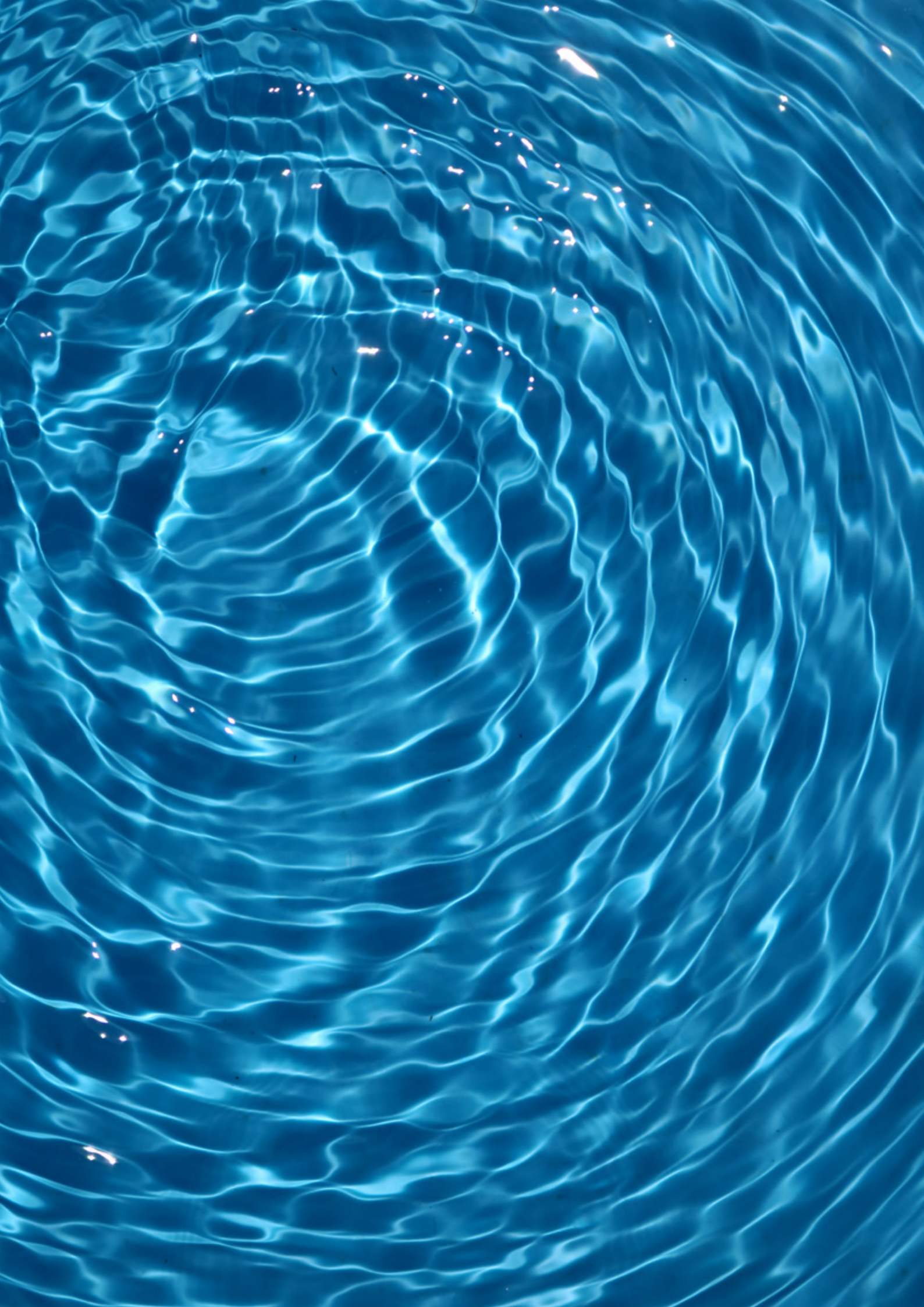
Existence and level of implementation of **monitoring and evaluation mechanisms** to measure to what extent water policy fulfils the intended outcomes and water governance frameworks are fit-for-purpose.

This indicator refers to mechanisms such as ex post evaluations, water governance reviews and national assessments.

Checklist

- ☑ Do **formal requirements** exist for **evaluation and monitoring**?
- ☑ Are there agreed-upon **key performance indicators**?
- ☑ Do monitoring and reporting **mechanisms** exist?
- ☑ Are there **provisions or incentives** for civil society monitoring?
- ☑ Are there **financial resources** available to train civil society organisations in project monitoring?
- ☑ Are the **results** of the monitoring and evaluation process shared with the wider public?
- ☑ Does a **national co-ordination** platform or alike produce evaluation and monitoring reports for parliamentary discussion on water issues?





PART II

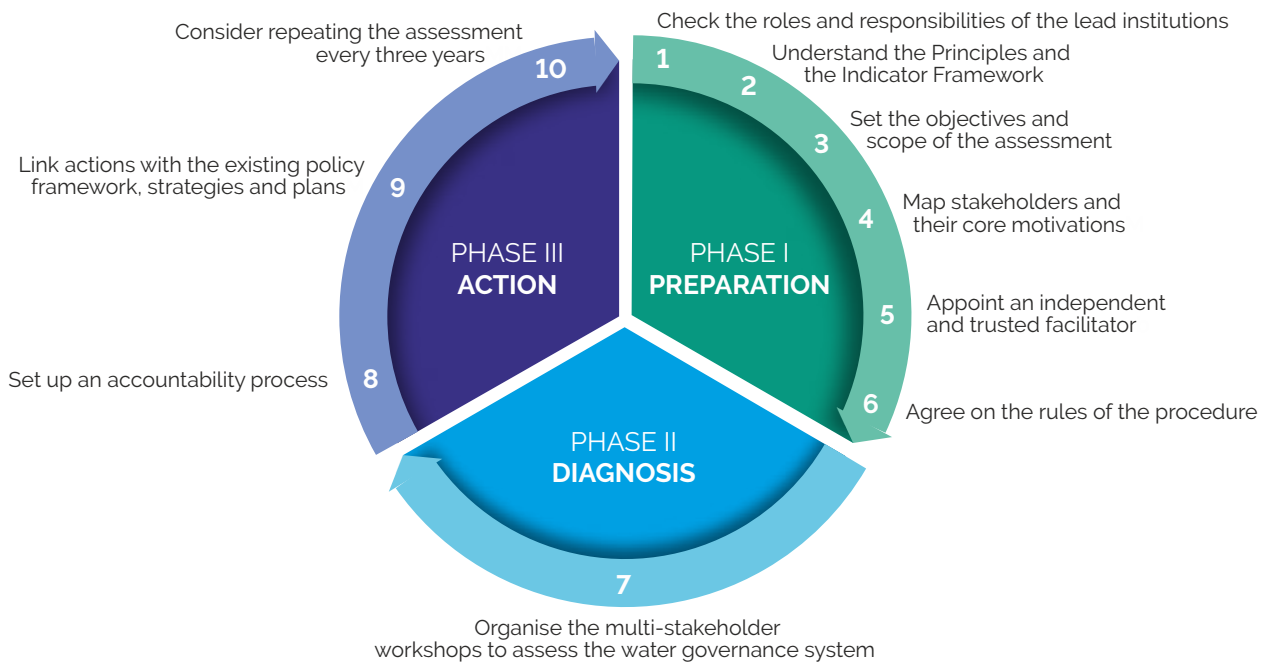
TEN-STEP METHODOLOGY FOR ASSESSING WATER GOVERNANCE



Getting Started

The methodology is divided into three phases: **Preparation**, **Diagnosis** and **Action**.

Ten-step methodology for a multi-stakeholder assessment of water governance

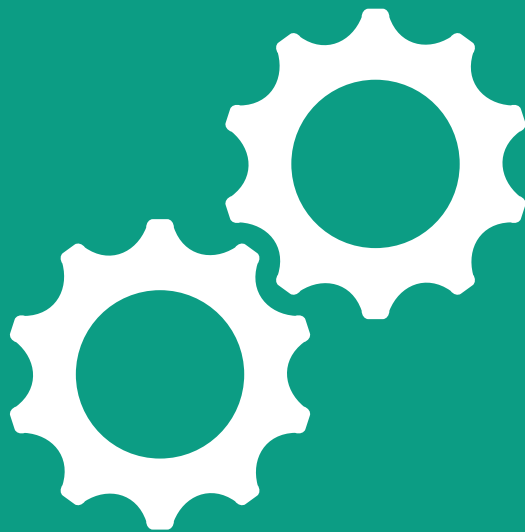


This methodology provides for each phase:

- **Definitions**
- **How-to guidance**
- Tips to help you **think ahead**

PHHASE I

PREPARATION



STEPS

- 1** Check the roles and responsibilities of the lead institutions.
- 2** Understand the Principles and Indicator Framework.
- 3** Set the objectives and scope of the assessment.
- 4** Map stakeholders and their core motivations.
- 5** Appoint an independent and trusted facilitator.
- 6** Agree on the rules of the procedure.

► SETTING THE FOUNDATIONS OF THE ASSESSMENT

During the preparation phase, the foundational elements that will determine the success of the assessment exercise are identified, evaluated, and put into place.

► DEFINITIONS

WATER GOVERNANCE: The OECD Principles consider water governance as a means to an end rather than an end in itself. They define “water governance” as the range of political, institutional and administrative rules, practices and processes (formal and informal) through which decisions are taken and implemented, stakeholders can articulate their interests and have their concerns considered, and decision-makers are held accountable for water management.

LEAD INSTITUTION(S): The main organising institution(s) responsible for the tasks of the self-evaluation process: defining the scope, objectives and rules, identifying all relevant stakeholders, designing the workshop convening all stakeholders, conducting the consultation process, and carrying out any other follow-up tasks.

FACILITATOR: An independent and trusted person or institution, who will aid the leading organisation(s) throughout the self-evaluation exercise and guarantee the neutrality of the process and its inclusiveness, ensuring that all the stakeholders are heard, even those less empowered to express their opinions.

STAKEHOLDER: Person, group or organisation who has an interest or stake in a water- and/or related topic, may be directly or indirectly affected by water policy, and/or have the ability to influence the outcome positively or negatively.

► HOW-TO

STEP 1. Check the roles and responsibilities of the lead institution(s)

- The assessment should be led by an institution with water resources or water services management responsibilities; or by a government authority or any public, private or non-profit organisation with no conflict of interest to facilitate an unbiased and methodologically sound assessment.
- In practice, the lead institution(s) should have the convening power to gather stakeholders around the table and to thoughtfully plan and manage the entire assessment process.
- The lead institution(s) will also be responsible for managing practical issues related to the workshops (e.g. following-up on administrative and financial procedures, gathering relevant data, arranging the logistics meetings, etc.).

How to make sure the lead institution(s) is the right one?

- The lead institution(s) should be motivated and able to promote the proposals for change resulting from the review.
- It needs to have experience in monitoring and assessing water policies, programmes and projects, as well as in the use of methodologies to collect inputs from different stakeholders in a transparent and open way.
- It should also take into account ex ante the need for sufficient human and financial resources to carry out the assessment and organise multi-stakeholder workshops.

STEP 2. Understand the principles and indicator framework

- The OECD Principles on Water Governance define the key water governance conditions to design and implement effective, efficient and inclusive water policies in a shared responsibility with a broad range of stakeholders. Having a clear understanding of the Principles is the first step for an effective self-assessment process (See Part I).
- To facilitate this process, the OECD Principles on Water Governance have been translated into 18 languages and are available online. The lead institution(s) should get familiar with the Principles and their corresponding indicators before starting the self-evaluation process.
- The lead organisations will determine how best to give access to and explain the Principles appropriately to stakeholders involved in the assessment, i.e. through preparatory training, the appointment of a facilitator who can guide stakeholders through background material, Q&A sessions, etc.

STEP 3. Set the objectives and scope of the assessment

- Generally speaking, the assessment is a tool for dialogue among stakeholders on whether existing water institutions, policies and governance instruments are performing well or whether adjustments are needed and if so, where.
- It is important to first agree collectively on the objectives of the assessment and to discuss related expectations. For instance, the assessment can be carried out in order to:
 - Promote collective thinking among stakeholders

- Share knowledge and address asymmetries of information
- Foster learning across water and related stakeholders, including in terms of who does what;
- Raise awareness about the performance or underperformance of the system
- Identify gaps to bridge in existing policies, institutions and instruments. Enhance transparency and accountability, resulting in increased levels of trust.

How to target the scope of the assessment exercise?

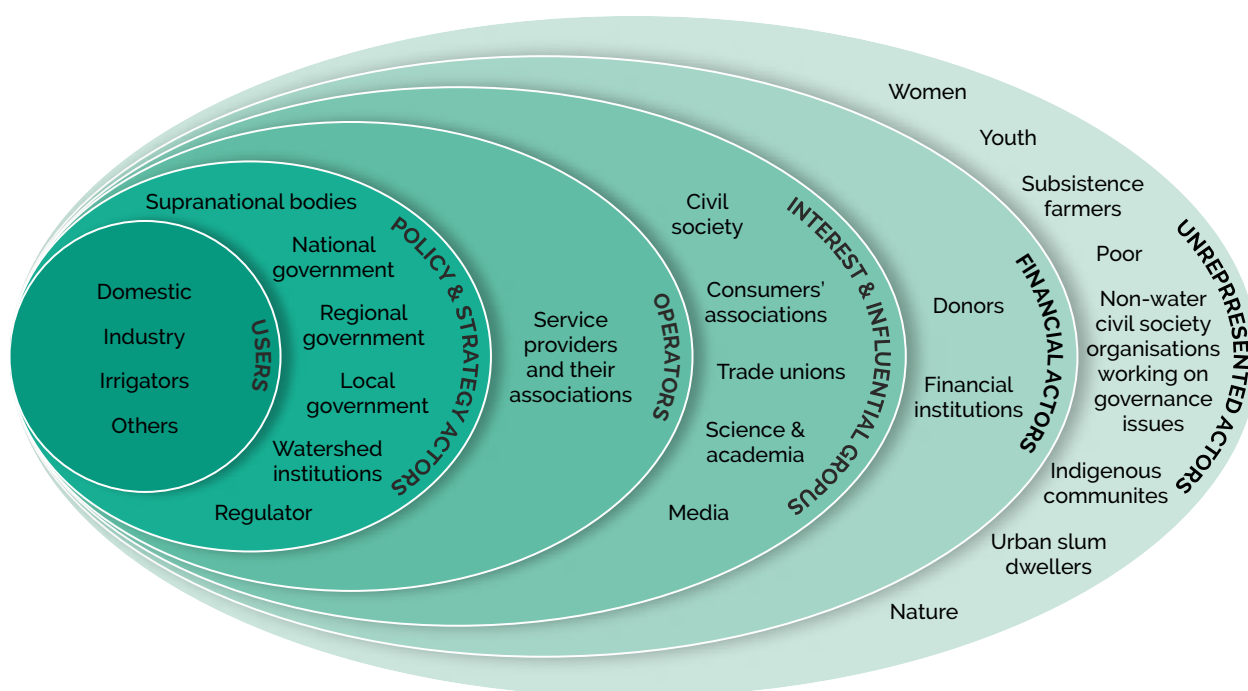
- The The objectives and scope identified by the lead institution(s) can be adjusted after the consultation with stakeholders engaged in the process.
- Discussing objectives and expectations can help gauge stakeholder engagement over the long term, to address the gaps and actions identified as part of the dialogue.
- Prior to getting started, the lead institution(s) should also clarify the scope of the assessment, which could concern a specific scale, a specific water function or the water system as a whole, all of the Principles or specific ones.
- Stakeholders should be able to see that their contribution will lead to a concrete output towards the improvement of the current water governance system.

STEP 4. Map stakeholders and their core motivations

- The assessment should be convened among a minimum level of representatives across categories of stakeholders, such as relevant ministries and public agencies across levels of government, current and potential future categories of water users, water and sanitation utilities, economic and environmental regulators, civil society, scientific organisations/ academia, key players from the private sector, donor agencies, financial institutions, etc. (see illustration below for a suggestion of key players).
- For an open debate, it is important to go beyond the “usual suspects” and involve other voices, such as the “under-represented or vulnerable stakeholders” that might be affected by project and policy outcomes, and that can influence decisions according to their needs, such as indigenous communities, low-income populations, youth, women, etc.
- Political will is key to take action after the review. Therefore, decision makers should be part of the process.



Who should be on board?



How to ensure a wide variety of knowledgeable stakeholders are engaged?

- Stakeholders will vary in terms of their background, experiences and interests, as well as their level of participation, i.e. some stakeholders may be more vocal than others.
- Answering the following questions can help the lead institution(s) carry out the stakeholder mapping:
 - Have all stakeholders likely to influence or be affected by the water policy/project under discussion been engaged, including in other sectors, and those who are likely not to support the measures proposed?
 - Have stakeholders' interests and motivations been clearly determined as regards the water policy/project under discussion (e.g. demands, aspirations, potential inputs and needs [information, facts, financial resources])?
 - Are incentives in place to actively involve groups whose voices are usually less heard, such as women, youth and low-income populations, in water decision making?
- Once stakeholders are mapped and involved in the process, they need access to material for the assessment, e.g. Principles, Indicators, Checklist, How-To Guide and glossary, to clarify concepts and definitions.
- Stakeholders should be given enough time to understand the Principles and be provided with the necessary support by the lead institution(s) and/or an external mentor.

STEP 5. Appoint an independent and trusted facilitator

- The facilitator's role is to work with the lead organisation(s) throughout the self-assessment process to support the understanding of the Principles and Indicators; coordinate responses and views among different stakeholders; moderate the discussion during the workshop(s); synthesise results; and report them in the Action Plan.
- The facilitator should be impartial and be recognised as legitimate and credible by all stakeholders involved in the dialogue. As such, he/she can be an independent expert on water issues, with experience in stakeholder consultations and a clear understanding of public policy making and implementation.
- The facilitator should have a clear understanding of the context where the assessment is carried out and speak the local language to allow an inclusive and participative process.
- The independent facilitator should prevent the assessment process from turning into a self-satisfaction exercise.

STEP 6. Agree on the rules of the procedure

- The lead institution(s) should design and organise a (series of) workshop(s) lasting one to several days to share information and opinions, gather data and identify possible ways forward for improving water governance.
- The lead institution(s) should determine how these workshops will be organised and conducted, as well as the form of the self-evaluation.
- The workshop discussions should aim to gather views from the full range of stakeholders. This can be done by designing them with creative, participative and dynamic methods.
- The rules for engagement during the workshop should be clear and disseminated well before the workshop so that stakeholders have enough time to study them and know what is expected of them.
- The lead institution(s) may consider appointing a moderator or facilitator for the sessions to ensure balanced participation, allowing the stakeholders to share individual opinions/scores and collectively discuss and dispute them.

How to organise and run a workshop?

- The Workshop(s) can be held virtually or in presence to allow the participation of a variety of stakeholders.
- Meetings within the workshop can be held accordingly to stakeholders groups or in plenary sessions.
- If meetings are held in small groups during the meetings, at the end of the week a plenary session should be organised to share the overall results (see Diagnosis phase).

► THINK AHEAD!

- **Get the timing right.** If the lead institution(s) is a public or government authority, it may be subject to change between political cycles. Take national and subnational electoral cycles into consideration to avoid carrying out the self-evaluation exercise at times where institutions may be transitioning.
- **Anticipate external risks.** External circumstances could also limit the presence of stakeholders and thus, the effectiveness of the exercise. Anticipate these circumstances specific to your country, region or basin to the fullest extent possible before organising the workshops.
- **Have a good understanding of the Principles.** Facilitators and moderators should have a thorough understanding of the OECD Water Governance Principles and the Indicator Framework to be able to clearly explain the self-evaluation methodology to participants before and during the exercise.
- **Give time to the stakeholders.** Adequate time should be given to stakeholders to familiarise themselves with the materials and methodology to be used during the self-evaluation exercise (a good ballpark figure is three weeks to a month).
- **Anticipate budgetary needs.** Budget limitations can severely affect the effectiveness of the self-evaluation process as a whole, as well as the number of stakeholders that can participate and attend. For a successful exercise, funds should enable hosting a wide variety of stakeholders from the national, subnational and local levels.

► LESSONS FROM IMPLEMENTING THE TEN-STEP METHODOLOGY



Colombia: The key role of moderators and facilitators

In the self-evaluation exercise that took place in the Nare River Basin, in Antioquia, Colombia, a civil society organisation, the World Wildlife Fund (WWF) Colombia took the lead. From the start, they prioritised the need for facilitators to support participating stakeholders in data collection and understanding of the information and methodology. The design of their first workshop included a moderator for each of the working groups to facilitate and guide the discussion as well as a rapporteur, who took notes during the discussions of each working group.

During the second workshop, three professionals from WWF Colombia Governance, Planning and Communications Teams facilitated the session. They welcomed the participants and explained objectives, agenda and methodology of the session. They also assisted participants in identifying measures or strategies implemented or under implementation in the basin, region or country as part of the assessment exercise.



Peru: The key role of regional offices as intermediaries

In Peru, the National Water Agency held several workshops as part of the assessment process: one at the National Water Authority (ANA)'s headquarters in Lima attended by 44 participants; and 14 workshops in ANA's regional offices convening 292 stakeholders in total. The main lessons learnt were:

- Participants need time to review workshop materials, prepare for the event, carry out research and collect relevant information. Regional offices played a key role as intermediaries to send the background material to participants well in advance.
- Moderators need to do their homework to be effective intermediaries. For effective facilitation of the groups, moderators should come to the meetings with a basic understanding of the governance system and knowledge about the roles of participating stakeholders.
- In that respect, the preparatory training of the moderators ahead of the workshops paid off. Such training was critical to the success of the events both in terms on content and structure, and early experiences allowed improving the ones held afterwards.

The workshops were a very important tool, contributing to the dissemination of the Water Governance Principles at the national and subnational scale. The workshops raised awareness on the policy framework, the institutions, and the available instruments for water resource management.

PHASE 2

DIAGNOSIS



7 Organise the multi-stakeholder workshop(s) to assess the water governance system against the traffic light and the Checklist.

► MAKING THE WORKSHOPS RESULT-ORIENTED

This phase is carried out through (a) dedicated workshop(s) as platforms in which stakeholders can confront their opinions and achieve consensus of future activities. They can be organised according to the needs of stakeholders (e.g. by cluster of the Principles, by component of the indicator framework, etc.). The lead institution(s) is the best positioned to define the number and format of such workshops based on local needs, experience, capacity and context. However, to avoid the assessment process becoming a “tick-the-box” exercise, sufficient time should be allowed for stakeholders to provide inputs during and in between the workshop(s), and to build consensus on the resulting assessment and action plan.

► DEFINITION

MULTI-STAKEHOLDER WORKSHOP: An event or series of events in which stakeholders are gathered in order to carry out the self-evaluation exercise.

► HOW-TO

STEP 7. Organise the multi-stakeholder workshop(s) to assess the water governance system against the traffic light and the checklist

Before the workshop

- The number, structure, methodology and objectives of the workshop(s) should be thoroughly thought out and defined beforehand by the workshop organisers and coordinators.

- Special attention should be paid to inviting stakeholder from a wide variety of sectors (public, private, civil society, etc.) and backgrounds (service providers, industry, academia, media, international organisations, etc.).
- Material should be shared well in advance of the workshop(s) to ensure stakeholders have enough time to familiarise themselves with the data collected by the lead institution(s), the methodology to be followed and tools to be used during the workshops.
- The organisers can invite stakeholders to individually prefill the tables containing the traffic light system for each indicator and collect the results before discussion at the workshop(s).

How to convene stakeholders to the workshop?

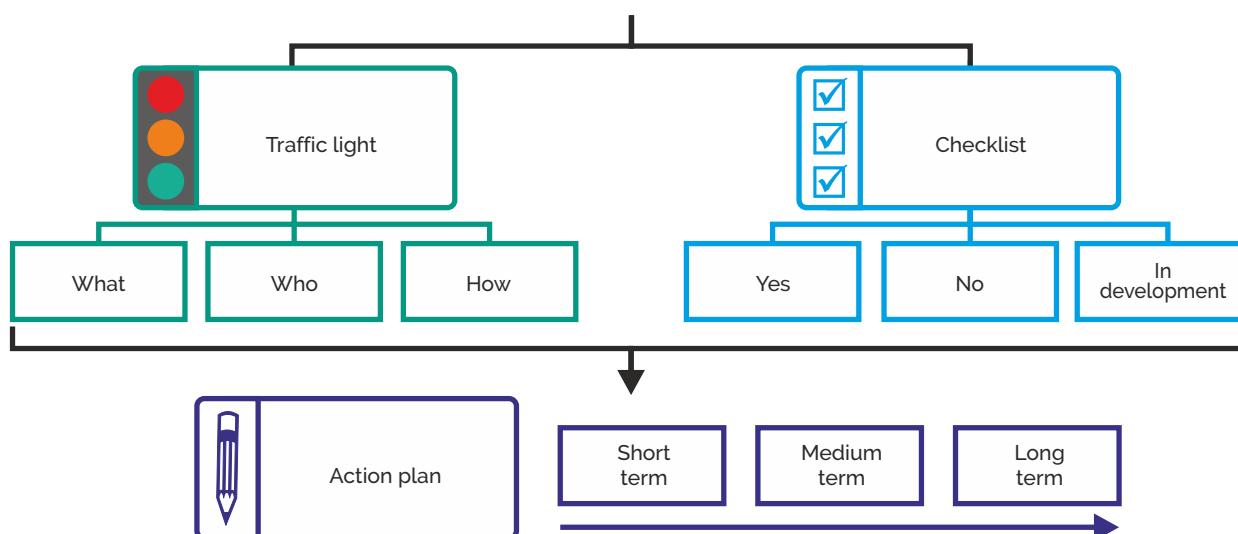
- The lead institution(s) should ensure that they have sufficient convening power to ensure turnout to the workshops and proper commitment from all stakeholders involved, including senior and high-level officials.
- Invitations should be sent out to stakeholders well in advance, and flexibility should be given to the workshop date(s) to ensure maximum convenience to all stakeholders.
- The benefits of participation in the workshop and the use of the outcomes should be clearly spelled out.
- Communication and stakeholder involvement methods in the process should be adapted to stakeholder needs.
- Alternative forms of participation could be considered to reach a wider audience. For example, workshops could be broadcast live for those unable to participate in person.
- Mechanisms could be envisioned to ensure the participation of the same stakeholders during all workshop dates if several are foreseen, for example, by establishing that commitment to the first workshop implies the ability to attend the second workshop.
- Materials for the workshop should be straightforward and sent out to all stakeholders well in advance. Online information sessions or the assignment of a facilitator that is ready to answer any questions before the workshop dates can be envisaged to promote the understanding of the materials by all stakeholders.
- Where needed and required, feedback and inputs should be collected and processed prior to the meeting.

During the workshop

- Allow enough time to present and explain the Principles and the Indicator Framework. Each workshop may need to last several days for discussions to take place fully.
- Discuss the responses to the traffic light and the checklist. Responses can be provided through prefilled templates or during the workshop.
- Clarify any misinterpretations and understand the reasons of drastic diverging opinions, both on the level of implementation of certain governance dimensions and on priorities of actions for the future. Investigating the motivations would help the lead institution(s), as well as the stakeholders themselves, to analyse the variety of perceptions, which can be due to different levels of knowledge, experiences and interests, or simply to misinterpretation of Principles and indicators.

How to carry out the actual assessment?

The OECD Water Governance Indicator Framework

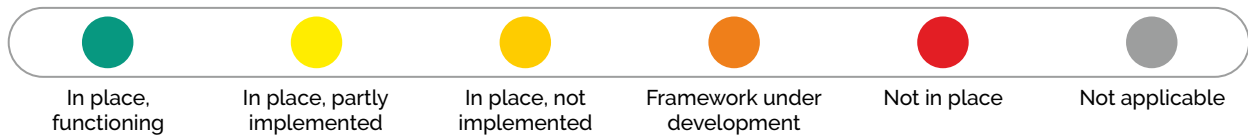


The Traffic Light System

- The traffic light system aims to appraise:
 - The existence and level of implementation of the framework conditions of the water governance system in place (current situation or baseline scenario).
 - The expected changes over time in the water governance system.
 - The level of consensus on the assessment made amongst stakeholders.
- **First:** Respondents choose the colour corresponding to the level of implementation at the moment in which the assessment is carried out. Results are visualised with a wheel containing the colour corresponding to the evaluation. In particular, the colour scale corresponds to the following:
 - In place, functioning: The governance dimension under investigation is complete and relevant in all aspects, no major concerns are noted.
 - In place, partly implemented: The governance dimension under investigation is in place, but the level of implementation is not complete. It might be the case that parts are explicitly lacking to make the framework complete. There might be several reasons for this, including insufficient funding, regulatory burdens, bureaucratic lengthy processes, etc.
 - In place, not implemented: The governance dimension under investigation is in place, but it is not implemented. For example, it can be inactive or related activities/actions are of too low relevance to play a real role in possible progress.
 - Framework under development: The governance dimension under investigation does not exist yet but the framework is under development.
 - Not in place: The governance dimension under investigation does not exist and there are no plans or actions taken for developing it.
 - Not applicable: The governance dimension under investigation is not applicable to the context where the assessment takes place

The following legend is used:

Traffic light baseline



- **Second:** Respondents identify the expected trends over the coming three years in terms of progress (improvements, stable or worsening situation), compared to the assessment of the baseline scenario. The following legend is used:

Expected progress (three years after the baseline)



- **Third:** Respondents signal the level of consensus among stakeholders. Visually, the level of consensus is represented by an increasing number of drops, from one to three, respectively reflecting weak, acceptable and strong consensus. This part aims to account for the variety of views shared during the multi-stakeholder workshops and to stimulate a discussion. The following legend is used:

Results of stakeholder consultation

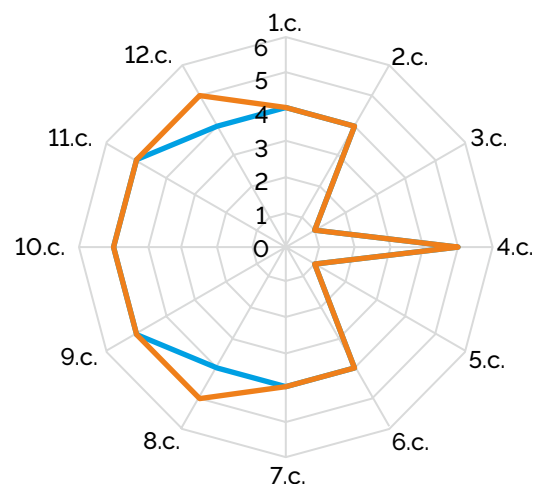
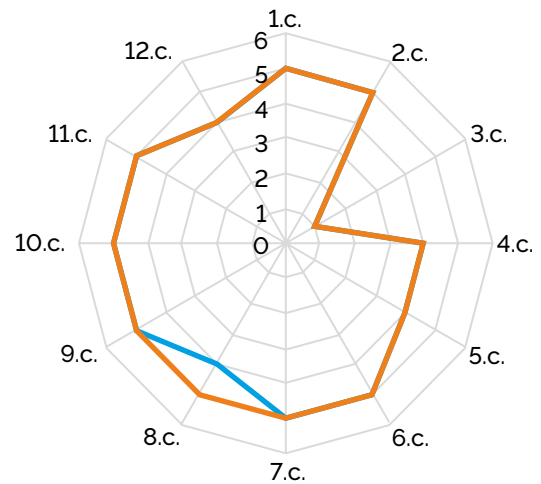
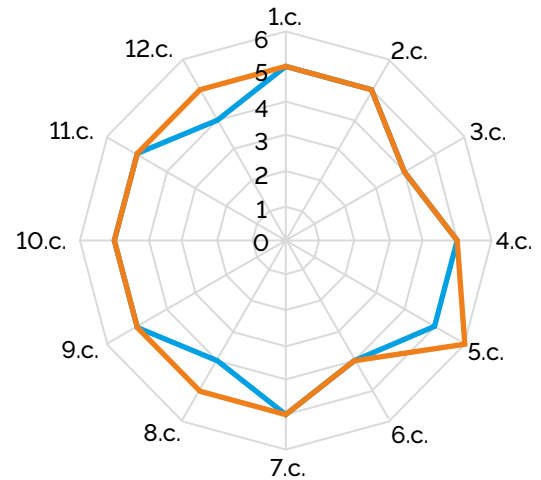
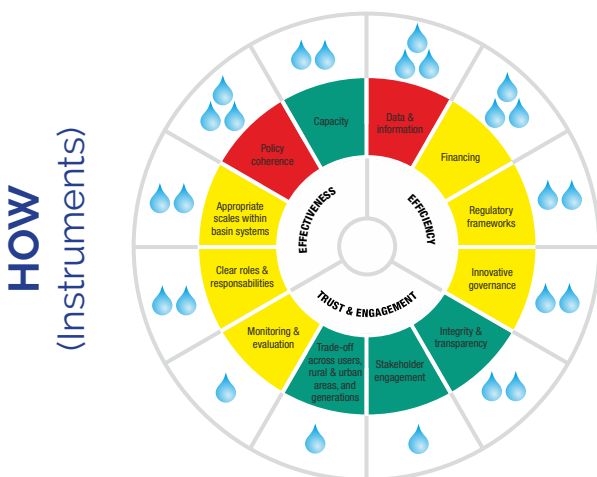
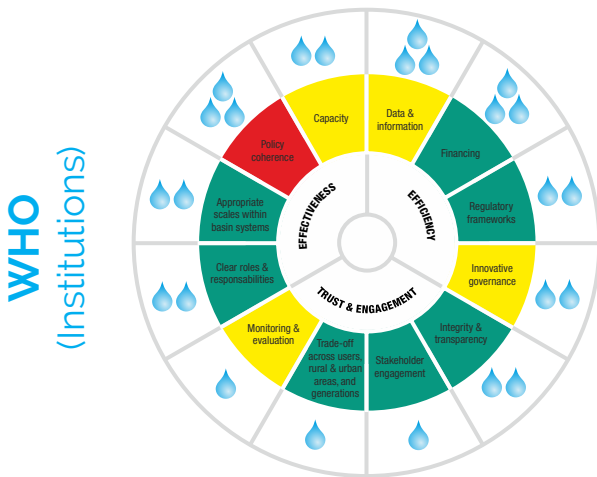
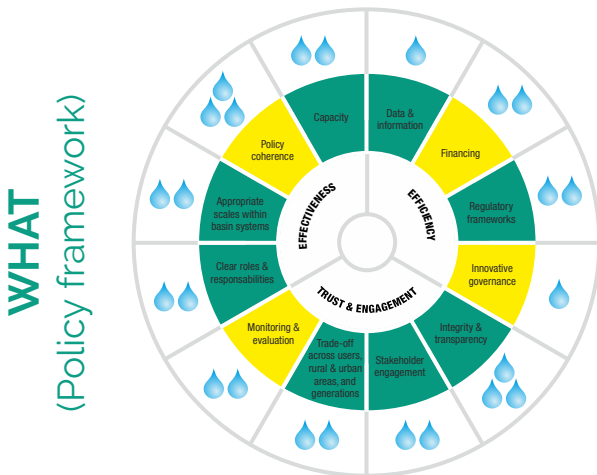


- **Fourth:** Respondents can foresee expected changes in the evaluation within a 3-year time frame and visualise them through a “spider web” that shows the expected changes over the next three years (red line) relative to the state of play (blue line).

Example

What is the current situation

Are changes expected in 3 years' time?



Current situation

Traffic light baseline

- In place, functioning
- In place, partly implemented
- In place, not implemented
- Framework under development
- Not in place
- Not applicable

Results of stakeholder consultation

- Strong consensus
- Acceptable consensus
- Weak consensus

Changes in 3 years' time

- 0) Not applicable; 1) Not in place; 2) Framework under development; 3) In place not implemented; 4) In place, partly implemented; 5) In place, functioning; 6) Excepted to function better compared to the baseline assessment

- Current status
- Expected progress (3 years)

The Checklist of questions

- The Checklist and related questions aim to facilitate further discussion across stakeholders to unpack the specifics of certain governance conditions, particularly where consensus may not be easily built. Respondents can answer the questions through: yes, no, in development or not applicable. Ideally, they should be able to provide sources/references to cross-check the assessment.

Legend

 In place	 Not in place	 In development	N/A Not applicable
--	--	--	---------------------------

Throughout the process

- Sufficient financial resources should be allocated to the process to convene stakeholders appropriately and train facilitators with the appropriate skills to implement the methodology.
- Stakeholders should understand what is expected of them.
 - The creation of session guidelines to be disseminated before the workshop may be helpful.
 - Preparatory “training sessions” for knowledge sharing and exchanges on the governance indicator framework can also be organised before the self-evaluation workshop(s) take place, so that stakeholders fully understand the methodological tools.
- Sufficient time should be allocated for discussion during the workshop(s), and a broad range of methods (e.g. online tools) should be considered to provide flexibility and ensure that all inputs are taken into account.

How to manage tensions and foster constructive discussion?

- Facilitators should be perceived as neutral to all stakeholders involved.
- Creative co-creation methodologies could be considered to ensure that the voices of all stakeholders at the table are heard.
- The purpose of the assessment and the roles of the stakeholders should be clearly specified during each section of the workshops.
- If the workshop(s) operate(s) with small working groups, a rapporteur could be designated to gather and share conclusions with the rest of the stakeholders.
- A voting system may be put in place to manage dissent where appropriate. When an item raises significant agreement, dissenters may be asked to provide arguments or reasons why they do not agree with the majority.

► THINK AHEAD!

- **Avoid an unrepresentative workshop.** Make sure that stakeholders from different sectors and territorial and administrative levels are convened and their voices heard throughout the workshop. To do so, the facilitator can provide equal time to all stakeholders to take the floor.
- **Ensure consistency throughout the consultation process.** When multiple workshops are foreseen, ensure that each consecutive workshop builds on the consensus built in the previous workshop without repetitions. Defining clear objectives and intentions and well-thought out methodologies for each workshop can help to avoid going around in circles.

▶ LESSONS FROM IMPLEMENTING THE TEN-STEP METHODOLOGY



Austria: The benefits of co-creation for an inclusive process

In the case of Austria, an interactive co-creation methodology was used during the first workshop to encourage discussion amongst stakeholders. The lead institution(s) placed large posters in a room for participants to mark their individual reflections on the performance of each category (policy frameworks, institutions, mechanisms) based on their perceived levels of implementation. At the end of the exercise, participants tallied the colour rankings and assigned a final score to reflect the consensus in the room. The results of the ranking were then used in the second workshop to discuss further the indicators that received conflicting responses.

The interactive co-creation method used ensured consensus and active participation of each of the stakeholders. It also facilitated discussions through an incremental process whereby baseline scenarios were used to trigger multi-stakeholder debates. As a result, during the second workshop, open discussion on the traffic light system resulted in almost unanimous decisions on levels and corresponding colour codes, which enabled a successful outcome of the process.



Netherlands: The value of prior agreement on the assessment goal

In the Netherlands, Deltares, the University of Utrecht and KWR-Watercycle Research Institute carried out the assessment in Noord-Brabant, a 2.5 million inhabitants province located in the south of the country. At the beginning of the workshop, invited stakeholders were asked to share their views on the main purpose for applying a water governance indicator framework, choosing among the following options:

- **Audit:** Check to what extent the governance system is aligned with the Principles;
- **Evaluate:** Investigate the quality of a governance system, or explore progress in improving its functioning;
- **Learn and reflect:** Analyse how the water governance system functions and discuss what measures are needed to strengthen it; or
- **Benchmark:** Compare water governance system operation and performance against other water governance systems (nationally or internationally) or international standards.

The majority of stakeholders chose to assess the indicators by audit goal/purpose, arguing the need for self-audit and reflection rather than a general assessment. This important preliminary step allowed to agree on the rationale for the assessment, a converging view which contributed to facilitate the next steps of the process. Stakeholders could then vote on the traffic light, talking through opposing views and scoring the indicators by colour based on level of implementation at provincial level.



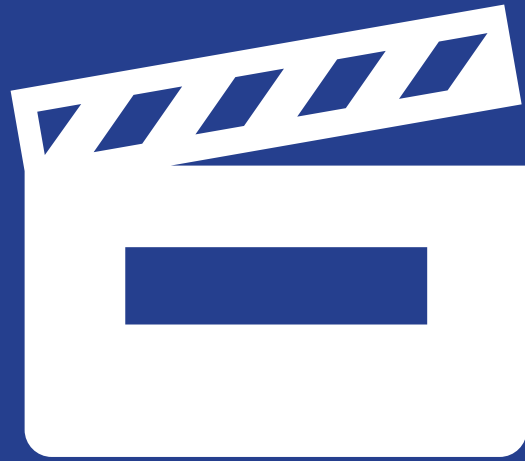
Spain: The importance of framework conditions

In Spain, the Spanish Association of Water Supply and Sanitation (AEAS) led the assessment process in the Segura River Basin District (SRBD), a semi-arid zone located in the south-eastern part of Spain. The basin faces structural difficulties to implement the EU Water Framework Directive, in particular the environmental objectives set in the Basin's Hydrological Plan. Such a goal was a key driver for engaging in the assessment process at the basin level. During the assessment, the lead institution(s) faced several challenges to the effective implementation of the exercise, such as: the discontinuity generated by a change of government in the Murcia Region (co-convenor of the first workshop); the lack of time and background material to understand the governance concepts and underlying data, as well as the low turnout of stakeholders in the workshops due to the ongoing drought situation. This experience enabled the framing of key overarching conditions for a successful process that allows a comprehensive discussion on substantive issues, backed by solid technical expertise to facilitate consensus.



PHASE 3

ACTION



- 8 Link actions with the existing policy framework, strategies and plans.
- 9 Set up an accountability process to track progress over time and keep the dialogue alive.
- 10 Consider repeating the self-assessment every three years.

► MAKING SURE THE ACTION PLAN IS IMPLEMENTED AND PROGRESS IS MEASURED

The Action Phase includes the co-design of the Action Plan with the feedback resulting from the Diagnosis Phase and its implementation. The Action Plan outlines the:

- **“What”**: the policy frameworks, institutions and instruments that should be set.
- **“When”**: the short-, medium- and long-term actions in place or planned.
- **“Who”**: the public, private and non-profit sector players to involve.
- **“How”**: the financial and human resources dedicated to the implementation of the plan.

The assessment provides an opportunity for different stakeholders to discuss and agree upon the role they will play to implement water policies alongside policy makers. The Action Plan can be a useful starting point to identify the concrete means (human, technical and financial resources) needed to put actions in place and to establish a timeline for implementation. It is also a way to reveal the shared responsibilities across public, private and non-profit constituencies to take joint actions for improved governance. The objective is for stakeholders to determine which collective actions can be taken to improve the aspects of the water governance system that did not reach a satisfactory level of implementation.

► DEFINITIONS

ACCOUNTABILITY PROCESS: Providing platforms for stakeholders to share their ideas is not enough: decision makers must also clearly demonstrate how these ideas are taken into account. Procedural transparency and timely disclosure of information are therefore critical to ensure the legitimacy of decision-making processes and their outcomes.

ACTION PLAN: The Action Plan is the end result of the multi-stakeholder workshop(s) and final step in the assessment process. It includes actions already in place or planned over the short, medium and long run for each of the Principles and corresponding indicators.

BASELINE ASSESSMENT: It is the first assessment of the state of play of water governance.

IMPLEMENTATION PHASE: The implementation phase refers to the execution of the short-, medium- and long-term actions included in the Action Plan.

► HOW-TO

STEP 8. Link actions with the existing policy framework, strategies and plans

- Actions included in the Action Plan should be linked to existing policy frameworks, strategies and plans, in order to complement and improve existing tools, rather than necessarily inventing new ones. The Action Plan should be co-designed in a dedicated session of the workshop(s) with all participating stakeholders.
- A whole-of-government approach for the implementation of the action plan is recommended to optimise policy coherence across relevant sectors sequence priorities and align policy objectives across administrative and territorial lines.

How to ensure that links between actions make sense?

- Engaging stakeholders that are responsible for making and approving policies, strategies and plans identified in the self-evaluation exercise may result in them being able to modify and/or update these instruments accordingly and render them ever more effective.

STEP 9. Set up an accountability process to track progress over time and keep the dialogue alive

- Keeping the dialogue alive among stakeholders is critical to a strong implementation phase. When possible, the leading institution(s) should provide future opportunities for stakeholders to continue to engage and track progress on their defined objectives and update the Action Plan if needed.
- Multi-annual or annual follow-up meetings may be an effective way to keep the communication between stakeholders active to adjust the Action Plan as appropriate.
- An accountability process should be set up to facilitate the implementation of the Action Plan and ensure stakeholders' inputs were considered and addressed properly.

How to design effective accountability processes?

- Appointing an independent oversight body or setting up a control mechanism to carry out the above responsibility is a solemn task and must be undertaken with the utmost respect of integrity principles. The independent facilitator may be the best actor for this role.
- To function properly, this oversight must function according to a set of transparent rules.

STEP 10. Consider repeating the self-assessment every three years

- The assessment exercise is both a static and dynamic exercise to assess the current water governance performance and to identify expected changes resulting from targeted actions.
 - It is static because it develops a baseline assessment of the water governance system in place at a certain time.
 - It is also dynamic as it can be used to measure progress in successive self-evaluation processes.
- Once the baseline assessment is complete, follow-up evaluations could be carried out every three years to assess changes in the governance system, following the same methodology (to the extent possible), and building on previous experience to improve the quality of the assessment over time.
- The assessment should consider that stakeholders may change after three years, thus affecting the implementation of actions identified during the baseline assessment.

How to ensure continuity in evaluation processes?

- Given that stakeholder representatives will most likely change in between self-evaluation exercises, strong institutional commitment to the long-term implications of the exercise is needed upfront.
- Holding multi-annual or annual “feedback sessions” may be helpful to ensure continuity in the evaluation process, regardless of institutional changes.
- Methodological consistency in the rules of the game can help to provide continuity. This does not mean that the exercise cannot be improved or made more flexible; rather, that all stakeholders remain on the same page regarding the scope, objectives and design of the self-evaluation process between evaluation cycles.

► THINK AHEAD!

- **Make the Action Plan realistic and the objectives achievable.** Different frameworks exist to set high-quality objectives, including the SMART framework (Specific, Measurable, Achievable, Relevant and Time-bound), the RACER framework (Relevant, Accepted, Credible, Easy, Robust), and the CREAM framework (Clear, Relevant, Economic, Adequate and Monitorable).
- **Consider financial needs and capacity.** If the objectives of the Action Plan are not financially achievable or there are insufficient qualified professionals to ensure their implementation, then they are not quality objectives. For greater success, the Action Plan should adapt to reasonably expected resources, and not the other way around.
- **Ensure a whole-of-government approach.** Political cycles may hinder the achievement of the Action Plan’s long-term goals. This is why a whole-of-government approach can help withstand the political change inherent to democracy. Furthermore, commitment to implementation across a wide range of stakeholders, not just political agents, can help keep policy makers accountable.

▶ LESSONS FROM IMPLEMENTING THE TEN-STEP METHODOLOGY



Scotland (United Kingdom): The benefits of dialogue and feedback for setting future priorities

In Scotland, the lead institution(s), the Scottish government, established a comprehensive procedure to engage with stakeholders throughout the self-evaluation process, which resulted in strong consensus and communication at all levels and networks, across and between all sectors of water-related industry and water community.

Between the first and second workshops, the lead institution(s) followed up with participants by phone and correspondence. To save time and provide a common baseline for stakeholders to scan through before the second workshop and comment on during the consultation phase, the Scottish Government prefilled the indicator framework with available information and took responsibility for completing it during the workshop and sharing it after the event. Engagement with stakeholders, both those who could attend and those who could not, was frequent before, after and in between meetings to obtain regular feedback throughout the process.

An action plan on water governance in Scotland, United Kingdom

POLICY FRAMEWORK

- Scotland will give consideration to improvements on horizontal coordination to identify policy gaps and adjust when needed. (Principle 1)
- Scotland will consider the appropriate adoption and implementation of other relevant international frameworks e.g. Aarhus convention. (Principle 10)

INSTITUTIONS

- Scotland will give consideration to financing and resources for catchment partnerships. (Principle 6)
- Scotland will consider the appropriateness of national guidelines to respond to challenges on capacity building with the water industry. (Principle 4)
- Scotland will give consideration to enhancing the link between academia and industry, fostering staff development. (Principle 4)

INSTRUMENTS

- Scotland will give consideration to improvements in data availability and data sharing practices within the water industry. (Principle 5)
- Scotland will give consideration to support improved dialogue structure. (Principle 2)
- Scotland will give consideration to development support for users of private water supplies, e.g. through government led rural provision group – a policy group has now been brought together by the Scottish Government and a plan will be developed over the next 6 months for a pilot project. (Principle 3)
- Scotland will give consideration to improved stakeholder mapping and dialogue mechanisms. (Principle 12)



Morocco: The key role of the lead institution(s) in facilitating the Action Plan Design

In the case of Morocco, the self assessment was carried out by the Sebou River Basin Agency (ABH Sebou), the catchment-based organisation of a basin located in northwest Morocco covering a surface of 40.000 km² and more than 6 million inhabitants. Its main water uses are drinking water, irrigation, energy, industry and tourism. In Morocco, Basin Agencies act as platforms to foster dialogue and co-ordination across stakeholders to promote efficient, effective and integrated water resource management. After the first workshop, ABH Sebou took the lead in analysing the results, completing the traffic light assessment and processing the checklist. Stakeholders received the resulting assessment material ahead of the second workshop to allow ample time for feedback and reactions. This iterative process allowed for a smooth design of the below Action Pan, which was discussed and endorsed by 30+ stakeholders.

An action plan on water governance in the Sebou River Basin, Morocco

POLICY FRAMEWORK

- Update and implement the National Water Plan
- Implementation of Regional Land Use Planning Schemes
- Activate the installation and data supply of the water information system according to Law 36-15
- Application and implementation of pollution fees
- Development of the framework for the implementation of payments for ecosystem services.
- Facilitate procedures for the adoption of the National Water Plan and ensuring the implementation of its recommendations
- Strengthen partnership between national research institutes and organisations
- Developing international partnerships and exchanges

INSTITUTIONS

- Increase frequency of meetings between the inter-ministerial commission and the prefectural water commissions
- Adopt reference frames for jobs and skills
- Propose an entity responsible for setting up the water information system (collecting and sharing water data)
- Establish procedures for the collection and verification of data produced in the water sector within the water information system
- Strengthen means and tools to generalise the collection of charges
- Increase meetings and platforms for dialogue between the various stakeholders in the water sector including civil society

INSTRUMENTS

- Adoption of implementing texts for the constitution of basin councils
- Increase frequency of meetings between the inter-ministerial commission and the prefectural water commissions

- Set up meetings of the Superior Council of Water and the inter-ministerial, prefectural water commissions and councils of basins
- Increase training agreements between administrations and training institutes and research
- Extend the establishment of programme contracts between organisations involved in the water sector and the state by clarifying the method of financing projects
- Accelerate the publication of the implementing decrees of the Water Law 36-15 and the adoption of procedures for the monitoring and control
- Boost the water commissions at the local level
- Encourage and create the environment needed for the citizens and administration to join the process of good governance and integrity in the water sector (toll-free numbers, online claims, etc.).
- Development of monitoring dashboards with a regular reporting system
- Systematisation of procedures for monitoring and evaluation of water policies as well as development and dissemination of the resulting reports according to principles of integrity and good governance



Acknowledgements

This How-To Guide was produced through a collective, bottom-up and iterative process within the OECD Water Governance Initiative (WGI), hosted by the Centre for Entrepreneurship, SMEs, Regions and Cities (CFE) led by Lamia Kamal-Chaoui. The Guide was coordinated by Oriana Romano, Head of the Water Governance and Circular Economy Unit, under the supervision of Aziza Akhmouch, Head of the Cities, Urban Policies and Sustainable Development Division in the CFE. Elisa Elliot Alonso, Mélissa Kerim-Dikeni, and Maria Ferrer (all in CFE) contributed to the drafting, and Bertrand Sadin designed the How-To Brochure.

The Secretariat is grateful to the members of the Steering Committee of the WGI, chaired by Peter Glas, for their comments throughout the process: Pierre-Alain Roche (Ministry for Ecological Transition, France), Daniel Valensuela and Eric Tardieu (International Network of Basin Organisations), Donal O’Leary (Transparency International), Joannie Leclerc (SUEZ), Barbara Schreiner (Water Integrity Network), Gari Villa-Landa Sokolova (Spanish Association of Water Supply and Sanitation) and Alejandro Jiménez (Stockholm International Water Institute).

Special thanks are also extended to the stakeholders who carried out assessments of water governance systems since 2015, using the OECD Principles and Indicators on Water Governance, thereby providing valuable feedback and lessons for the development of this ten-step methodology.





The **Organisation for Economic Co-operation and Development (OECD)** consists of 38 member countries and works to build better policies for better lives. It provides a forum where governments work together to address the economic, social and environmental challenges of globalisation. The Organisation is at the forefront of efforts to help governments understand and respond to developments and concerns such as corporate governance, the information economy and the challenges of an ageing population. Through the OECD, governments can compare policy experiences, seek answers to common problems, identify good practice and work to co-ordinate domestic and international policies.

The OECD Centre for Entrepreneurship, SMEs, Regions and Cities provides comparative statistics, analysis and capacity building for local and national actors to work together to unleash the potential of entrepreneurs and small and medium-sized enterprises, promote inclusive and sustainable regions and cities, boost local job creation, and support sound tourism policies.

www.oecd.org/cfe/ |  [@OECD_local](https://twitter.com/OECD_local) |  CFECities@oecd.org

The **OECD Water Governance Programme** advises governments at all levels on how to design and implement water reforms. It relies on multi-stakeholder engagement and bottom-up processes to produce policy analysis, policy dialogues, policy standards and a policy forum. Since its creation in 2009, it has produced evidence-based analysis, benchmarks and peer reviews. The key milestones of the Programme include the bottom-up and multi-stakeholder design of the OECD Principles on Water Governance (2015), which provide the 12 must-dos for governments to design and implement effective, efficient and inclusive water policies. The Principles were co-produced within the OECD Water Governance Initiative, an international multi-stakeholder network of members from the public, private and non-for-profit sectors gathering regularly to share good practices in support of better governance in the water sector.

www.oecd.org/cfe/watergovernanceprogramme.htm | www.oecd.org/water/regional |

 water.governance@oecd.org