



OECD WATER GOVERNANCE INDICATORS: A TENTATIVE PROPOSAL

Draft Scoping Note

20 May 2015

For discussion at the 5th Meeting of the OECD Water Governance Initiative

This note aims to pave the way for the development of Water Governance Indicators that can support the implementation of OECD Principles on Water Governance under the umbrella and guidance of the Regional Development Policy Committee (RDPC).

The note builds on an earlier concept note discussed at the 3rd meetings (Madrid, 28-29 April 2014) and 4th meeting (Paris, 24-25 November 2014) of the Water Governance Initiative. It also builds on the discussions on water governance indicators during the session “Counting what counts: getting indicators right” held at the 7th World Water Forum (15 April, Korea).

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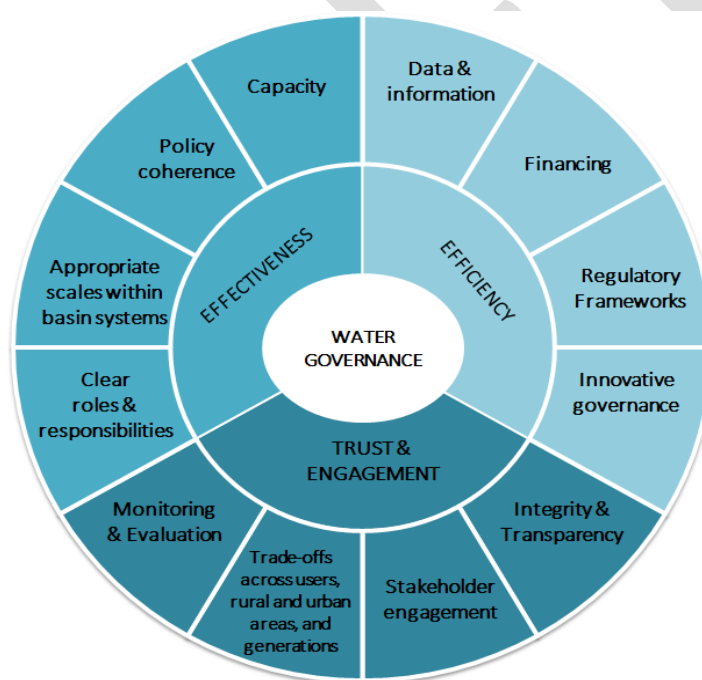
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Why indicators on water governance?

After two years of a bottom-up and multi-stakeholder process within the Water Governance Initiative, the OECD approved a set of Principles on Water Governance that frame the 12 “must-have” for governments to reap the economic, social and environmental benefits of good water governance (Fig.1). These Principles apply to all levels of government, and regardless of water management functions, water uses, and ownership models. They are clustered around three categories:

- *Effectiveness of water governance* relates to the contribution of governance to define 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 maximise 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.

Figure 1. OECD Principles on Water Governance

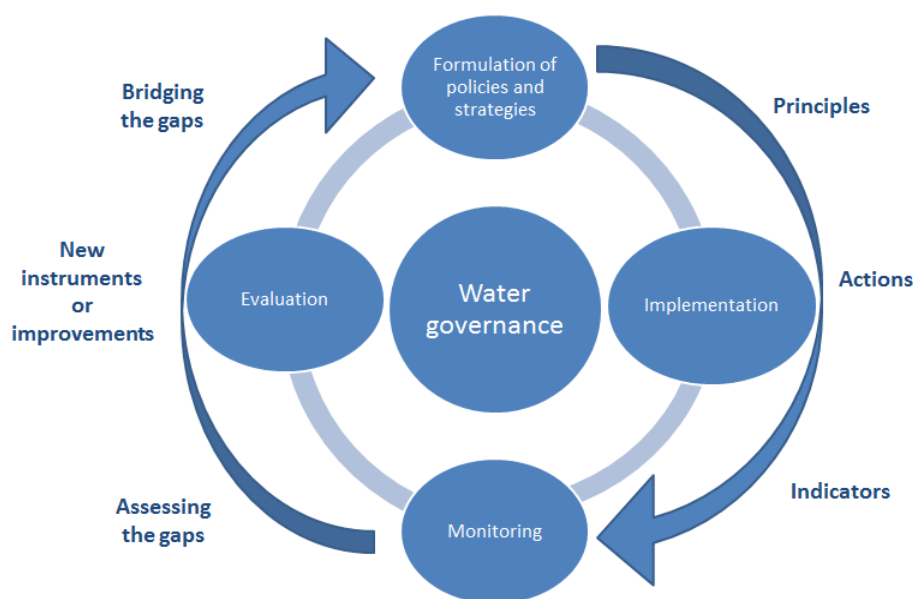


Since one cannot *improve* what cannot be *measured*, it is proposed to build consensus across a range of stakeholders and the ultimate beneficiaries on a set of factual and perception-based indicators that can help assess whether the framework conditions are in place for the 12 Principles to be effectively implemented in practice. In the more medium-term, such indicators could also seek to assess the effectiveness of governance instruments in place to address each of the Principles.

In the water sector, a growing number of initiatives aim to measure several aspects of governance including capacity, transparency, river basin management, integrity and stakeholder engagement, among others. The Inventory of existing datasets, indicators and other instruments on water governance prepared by the OECD Secretariat suggests that there is not a *systemic framework* to measure all the dimensions of water governance. It is precisely the objective of the Water Governance Initiative to provide such a

framework as part of a broader effort to identify and scale up international best to assist Member and non-Member countries in reaching these standards. The very development of water governance indicators should also be considered as a *process* which can trigger discussions on improvements of the water policy cycle (Fig.2), provide a common frame of reference, and enhance the availability of data for greater accountability.

Figure 2. The Water Policy Cycle



Challenges to building indicator systems

In recent years, policy dialogues and benchmarking exercises carried out by the OECD and other members of the Water Governance Initiative allowed developing and improving diagnosis tools to evaluate the status of water governance in different countries and to tailor policy recommendations. In particular, the *OECD Multi-level Governance Framework* identified seven “governance gaps” hindering the design and implementation of water policies in terms of fragmentation, mismatch between administrative and hydrological boundaries, conflicting rationales, asymmetric information, lack of capacity, insufficient resources as well as poor accountability. For each of these dimensions, a set of metrics and proxies were defined and information collected through central and local governments to provide for international comparisons. They resulted in “clustering” OECD countries (OECD, 2011) and Latin American countries (OECD 2012) facing the same types of governance challenges across levels of government, regardless of their institutional and administrative features (e.g. centralised, decentralised).

However, in building up indicator systems, a series of issues should be taken into account (Fig.3). A number of *technical issues* arise from indicators’ construction such as measurement errors, coherence of measurements, biases in expert assessments. Water governance is a *complex* concept, which encompasses multiple dimensions not easy to measure. The context of water governance is *uncertain*, as policy makers have limited control on factors that might affect the effectiveness of water governance. *Continuity* may be challenging if the scarce availability of data hinders the measurement of progress year after year. *Completeness* can also be a concern since when focused on specific items of water governance, indicators fail to capture the whole picture. *Comparability* is often at stake, as indicators are not necessarily standardized measures applicable to all contexts unconditionally and given the diversity from country to country. Last but not least, the difficulty in establishing *causality* between instruments and results should

not be underestimated as an established indicator system might not be able to assess whether or not benefits are the results of certain actions implemented to achieve effective water governance.

Figure 3. Challenges in building an indicator system

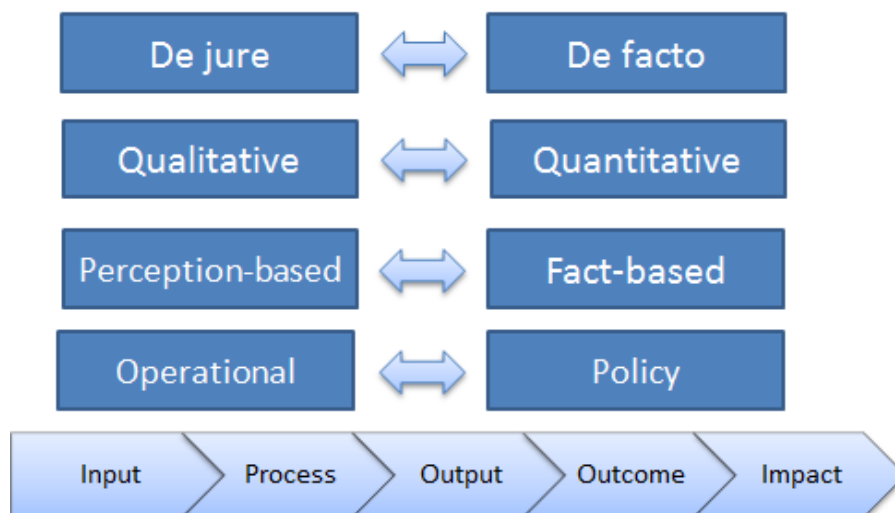


10 Questions for discussion

What to measure?

Indicators can take the form of measurements of an *objective* to be met, *resources* to be mobilised or *effects* to be obtained, a *gauge of quality* or a *context* variable (EC 2006). There is a range of options for evaluation indicator systems (Fig.4). While *input* and *process* indicators measure *how* water governance is implemented, *output*, *outcome* and *impact* indicators look at the results and are expressed through measures shedding light on the effectiveness of water governance systems. More specifically, *input* indicators, measure the presence of legislation and policy instruments or track human/financial resources (e.g. for improvement of service provision), *process* indicators monitor actions contributing to the achievement of outcomes (e.g. public consultation in planning and budgeting), *output* indicators monitor results in terms of quality or quantity of products and services (e.g. number of wastewater treatment plants built, volume of water produced), and *outcome* indicators measure short-medium term results out of such outputs (e.g. % of people with access to water services). Indicators should be *objective-driven* rather than *data-driven*, to avoid the risk of obtaining data-rich, but information-poor indicators. Indicators can be *qualitative* and *quantitative* and *de jure* (rules- based) or *de facto* (outcome-based) (Fig.4). There is a wide array of methodological approaches for building indicators. Composite or unitary index show advantages and drawbacks: the first dilutes information, the second is more difficult to communicate (OECD 2014).

Figure 4. Type of indicators for evaluation



Proposal: It is suggested to focus on *input* indicators to report on the existence of legal/regulatory framework and resources in place; *process* indicators to measure the actions in place to reach certain objectives (e.g. vertical, horizontal coordination, stakeholder engagement); *outcomes* indicators to report on results of good water governance, when available. A distinction between operational indicators (water management) and governance indicators (frameworks and processes) may be needed taking into account challenges related to causality and completeness.

What is the scope?

Indicators can be grouped in three main categories when it comes to defining their scope: i) identifying if framework *conditions* for good water governance are in place; ii) measuring *progress* of actions taken to improve governance; iii) evaluating the *effectiveness* of policies. A range of examples exist for each of these categories. For instance, for the first category the *Water Management Transparency Index* (Transparency International) assesses the extent to which a water agency makes relevant information available on the website; the *Asia Water Governance Index* compares water governance in Asia, in terms of water laws, policies and administration; and a number of databases (e.g. FAO Water Lex, Water Lex Legal database), maps and report cards (e.g. Basin Report Cards, WWF) also provide information on framework conditions. Regarding the second category for example, *UN-Water GLAAS Global Analysis and Assessment of Sanitation and Drinking-Water* (WHO) assesses progress towards the Millennium development Goals, The *Pacific IWRM Project* (GEF) monitors progress towards Integrated Water Resources Management (IWRM). For the third category, the *Water Security Index* (ADB) indicates how the legislative and regulatory framework is more or less conducive to water security, also linking to non-sector specific indicators on governance.

Proposal: It is suggested to focus the scope of OECD water governance indicators on determining whether the framework conditions / governance mechanisms are in place across levels of government to implement the 12 Principles in practice.

At which scale?

Indicators can be built at different scale: international, macro-regional, national, state/provincial, basin, sub-basin and local level. Some indicators can benchmark countries of a given region in terms of governance conditions and progress towards specific objectives (e.g. *Asia Water Governance Index*;

MENA-USAID Regional Water Governance Benchmarking Project). At national and sub-national level, indicators can investigate on gaps and help setting priorities, as in the case of the *OECD Multi-level Governance Framework* and related proxies/indicators (e.g. in Mexico, Netherlands, Brazil, Jordan, Tunisia at national level, and across 50+ cities at subnational level). At basin level, the NARBO's *Performance Benchmarking of River Basin Organizations* is based on the assessment of five critical performance areas (mission, stakeholders, learning and growth, internal business processes and financing measured) over a set of 14 indicators. INBO's Performance Indicators for African Basin Organizations (2010) consists in a self-evaluation of organizations on their operation and achievement of their missions. Selected US basins have been monitored by a set of key performance indicators (Hooper B. 2006), including coordinated decision-making, accountability, training, information and research, among others.

Proposal: It is suggested to develop OECD water governance indicators that combine multiple scales, from sub-basin to international levels with a view to tailoring the guidance to places through collecting data and information from multiple sources, and enhancing multi-level coordination.

Whose views?

Data can be collected through *questionnaires*, *interviews* and *meetings* both for fact-based and perception-based data. Member states of international organisations can provide data on specific issues, such as on the legal framework (FAO WaterLex) or the implementation of economic instruments (OECD Database on instruments used for environmental policy). Some countries have open data systems with several sources and aspects on governance, including institutional mapping (e.g. Netherlands, Australia, United Kingdom, United States, France, Italy, Canada).

Generating, providing and collecting data comes at a cost. This requires the definition *a priori*, of a *simple, affordable and practical* set of indicators. Data production and collection should be *feasible at the least cost* for society. In the water sector, significant data on governance are available, but often scattered across agencies and institutions. For example, civil society, regulators, Supreme Audit Institutions possess data that can be helpful in measuring transparency, stakeholder engagement, and regulatory frameworks. In some cases, the challenge is not necessary to define new indicators, but adapt those which already exist, coordinating across agencies and minimizing the administrative costs of producing data.

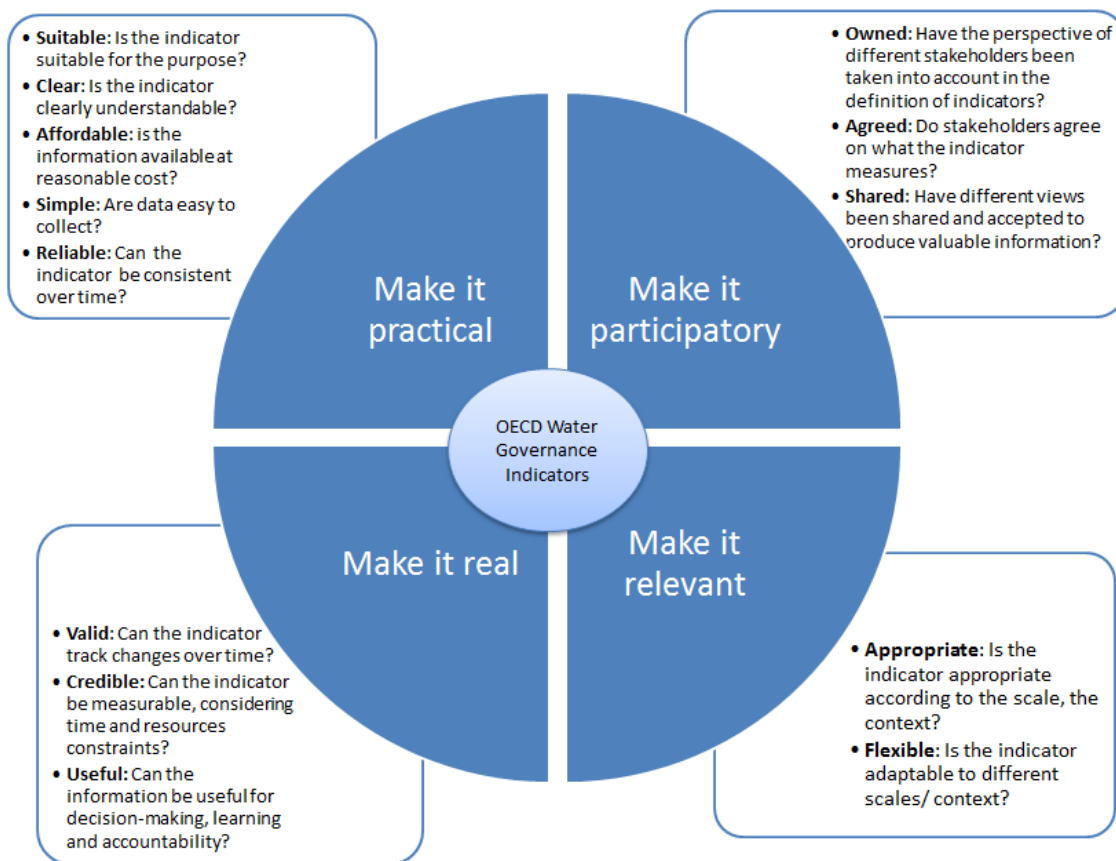
Proposal: It is suggested to develop water governance indicators that combine both *factual data* (available in countries' reviews, reports, national databases, international organisation's databases, other institutions, such as regulators, supreme courts) and *perception-based data* to be collected through questionnaires/interviews (experts judgement, stakeholders' surveys etc.). Data can be qualitative and quantitative. Once indicators are agreed upon, the first step of the analysis will be to look for available and up-to date-data through desk research within each country. The second step will consist in filling the gaps with *ad hoc* questionnaires and interview to relevant experts.

Which process?

OECD best practice suggest that indicators should be built in a collaborative effort across levels of government, and in consultation with the broad range of stakeholders not only to build consensus, but also to minimise the risk of "too safe" indicators or "too poorly" measurable ones. Those responsible for implementing the activities might be tempted to construct "easy to get" indicators (mainly data-driven) and "easy-to-meet" targets. However, when indicators are built by those who are not in charge of monitoring them, they might be too ambitious and less realistic. Input-based and bottom-up processes are important to take stock of what exists and ensure collective action, where appropriate, in the production, collection, use and dissemination of data to guide public action.

Proposal: It is suggested to engage a bottom-up and multi-stakeholder process to develop the indicators in order to foster synergies across institutions and draw from a range of expertise and knowledge building on what exists and works well in order to focus the efforts on bridging identified gaps (Fig. 5).

Figure 5. Conceptual Framework for building the Water Governance Indicators¹



Who are the beneficiaries?

In the water sector, several categories of beneficiaries can be distinguished when it comes to measuring aspects of water governance. First, *governments* at different scales, from community level to national or supranational, to guide their public action; second, *river basin organisations* and their constituencies, to shed light on their results; third, *service providers*, whether public or private, to improve their performance; fourth, donor agencies to guide their strategic investments and technical assistance. And last but not least, civil society, to increase accountability through greater transparency.

Proposal: Water governance is a shared responsibility across levels of government and the broader range of stakeholders from public, private and non-profit sectors who have a role to play alongside policymakers. It is therefore suggested to define water governance indicators that can help governments and stakeholders as the ultimate recipients, mainstream good governance into their daily practices as committed through the

¹ Based on the set of criteria for the selection of indicators identified in: SMART (Specific, Measurable, Achievable, Relevant and Time-bound) and RACER (Relevant, Accepted, Credible, Easy, Robust).

Daegu Declaration on OECD Principles on Water Governance signed during the 7th World Water Forum², signed by 65 stakeholders from organisations of the public, private and non-profit sectors, major groups and individuals.³

How will indicators be used?

Indicators can be used to inform, drawing attention to particular issues, investigating on gaps and setting policy priorities. For instance, in the case of utilities, the *IWA Performance Indicator System* for water services is used for internal performance assessment and metric benchmarking⁴, while the *Turin Index* (Turin School of Local Regulation) can allow local operators to identify vulnerable groups of users facing a higher risk of delaying payments⁵. Indicators can be used by governments for prioritising funding and investments and identifying areas for research, such as in the case of the *Canadian Water Sustainability Index* (Policy Research Initiative); they can also be used by companies to prioritize actions; by investors to leverage financial interest to improve water management (*Aqueduct Water Risk Framework*, WRI); by stakeholders to assess their governments' performance in ensuring adequate access to resources, such as in the case of the *Access initiative*, and by users to track progress in protecting the public's rights to information, participation, and justice in environmental decision-making, as in the case of the *Environmental Democracy Index* (WRI).

Indicators should inform the state of play of countries regarding the implementation of OECD Principles on Water Governance, and favour bench-learning and capacity building. Indicators can be used to build the case for water governance in terms of *strategic agenda* (e.g. shedding light on good performance); *better spending* (e.g. provide trustable information to donors for targeted investments); *cost-saving* (e.g. improving governance can generate economic benefits, reduce bureaucratic burdens and result in efficiency gains.); and *financial sustainability* (e.g. more predictable and stable environment to mobilise/disperse needed resources). Indicators can also be used as a common framework of evaluation by non-governmental organisations and stakeholders, as a means to push for improvement, where need be.

Proposal: it is proposed to develop indicators that will be used to assist governments in improving the water policy cycle (e.g. through datasets, best practices, clusters of countries facing similar types of challenges) and to provide stakeholders with an indication of the role they can play to contribute to positive spillovers on water governance, alongside policymakers.

Who will monitor?

Within international organisations, specific taskforces or working groups have been set up for collecting data and monitoring the progress in achieving specific objectives, as in the case of UN-Water Taskforce for IWRM or the UN WWAP Working Group on Gender-Disaggregated Indicators. Partnerships between research centre and international organisations are in place for the *Basin Report Cards* (e.g. between WWF-Colombia and the University of Maryland). Specific ministries can contribute to the provision and monitoring of data, as the Ministry of Finance and Ministry of Environment, in the case of the OECD Database on instruments used for environmental policy.

Proposal: it is proposed that the Water Governance Initiative will assist in the monitoring of the Principles, under the umbrella and guidance of the Regional Development Policy Committee. Information will be

² <http://www.oecd.org/gov/regional-policy/world-water-forum-7.htm>

³ See the declaration and signatories at <http://www.oecd.org/gov/regional-policy/world-water-forum-7.htm>

⁴ <http://www.iwapublishing.com/books/9781780406329/performance-indicators-water-supply-services-third-edition>

⁵ <http://turinschool.eu/turin-index>

produced and collected by the OECD Secretariat, in cooperation with relevant institutions and stakeholders represented in the Water Governance Initiative, upon agreement on the set of indicators to be prioritised. Monitoring by geographic area (e.g. regional) and by levels of government (e.g. national government, local authorities) would help to get in-depth analyses for specific circumstances. Networks with regional/local umbrella organisations would be a crucial vehicle to gather information and raise awareness.

How to ensure replicability?

When aiming at capturing the evolution in time of specific variables, indicators should be monitored throughout the years. However, variables originally measured cannot always be replicable in *time*, as they might not be relevant or useful in tracking governance dimensions. This has been the case of indicators for the *UN World Water Development Reports* (WWDRs), which decreased from 160 indicators in the 1st edition to 58 indicators in the 3rd one, either because there was no systematic process for updating the data used for most of the indicators presented in the first report or because they were identified as not useful by the source agency⁶. The other concern is the replicability in *space*. Usually, replicating indicators originally developed for certain context and scales requires some adaptation: for example, the *Water Management Transparency index* is not a universal set of indicators and requires adaptation to the local context, which is a task of an expert local technical team. Araral and Yu (2013) tested and replicated their water governance framework and methodology to compare countries overtime, finding significant variations in water laws, policies and administration among high, middle and low income countries.

Proposal: it is proposed that the indicators on water governance be collected every 3 years. In order to ensure their replicability in *time*, it would be necessary to have a reality check to judge their suitability and effectiveness e.g. through pilot-tests to ensure relevance, and track redundancy, incompleteness and inconsistency. Indicators might not be replicable in *space*, due to specific territorial conditions and different level of “maturity” of water governance arrangements in a given country. A stage approach could therefore account for such differences and define a minimum set of indicators to reflect a minimum level of “good governance”, with others, more advanced, to be introduced at a later stage.

How to disclose results?

Results can be shared through *interactive platforms* and tools (as is the case Environmental Democracy index, WRI), *score cards* (e.g. WWF Basin Score cards, INBO/NARBO performance benchmarking); *maps* (e.g. WRI’s Aqueduct Water Risk Framework); *country profiles* (e.g. WWF water Risk filter; UN Water Country Briefs Project); *reports* (e.g. OECD national policy dialogues, WHO’s GLASS Report). OECD Water Governance Indicators seek to reduce or eliminate information gaps across levels of governments and between public, private and non-governmental actors, as well as to improve the formulation of objectives and enhance the effectiveness of strategies. This implies making data available for different categories of stakeholders for greater accountability, such as governments, science and academia, regulators, donor agencies, basin organisations, service providers and civil society at large.

Proposal: It is proposed that the indicators take the form of a triennial publication called “Water Governance at a Glance”, also available as a web-based instrument for data visualisation and consultation. For each interested Member and non-Member countries, “profiles” could consist of institutional mapping of roles and responsibilities, basic facts and figures, good practices for each Principle, and a traffic light type of assessment system showing areas of improvement.

⁶ <http://webworld.unesco.org/water/wwap/wwdr/indicators/>

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ANNEX 1- Tentative Clusters of Water Governance Indicators

This annex provides a preliminary set of indicators/proxies to assess framework conditions in place to implement OECD Principles on water governance. Kindly note that:

- This is a very tentative list of indicators for discussion;
- Indicators can be either factual (and in some cases already available in existing databases, report, countries reviews) or perception-based (which will require a subjective judgment from relevant authorities);
- Indicators can be qualitative or quantitative, however, at this stage no methodological details (e.g. on the difference between composite and unitary index and in the calculation of the scores) are reported.

Principle 1

Clearly allocate and distinguish roles and responsibilities for water policymaking, policy implementation, operational management and regulation, and foster co-ordination across these responsible authorities.

- **Legal legitimacy:** e.g. legal and institutional frameworks for allocating roles/responsibilities
- **Legal robustness:** e.g. provisions to identify grey areas in who does what at which level
- **Institutional fragmentation:** e.g. number of responsible ministries/agencies/utilities/etc.
- **Multi-level coordination :** e.g. vertical and horizontal coordination mechanisms/incentives
- **Others tbd**

Principle 2

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

- **Basin governance:** e.g. existence of river basin organisations, planning, programmes of measure
- **Scale for service delivery:** e.g. search for efficiency gains (inter-municipal cooperation, contracts, co-financing, etc.)
- **Combination of scales:** e.g. mechanisms for cooperation between upstream/downstream categories of users, from local to transboundary, between municipalities
- **Others tbd**

Principle 3

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.

- **Sectoral coordination:** e.g. inter-ministerial planning/dialogue, contracts, IWRM at basin level
- **Risk prevention/control measures:** e.g. flood risk management; ecosystem protection; ecosystem restoration; discharge limits; control of polluting substance; impact assessment
- **Policy coherence:** e.g. evaluation of economic, environmental and social costs and benefits from (in)coherence between water-related areas; incentives for rational use of water resources to be

applied for productive activities (e.g. industry, agriculture); building codes for water savings; integrated urban water management and planning; solid waste policy for water pollution control; evaluation of environmental impacts of water projects; inter-linkages between alternative sources of water and energy consumption and between energy production and water consumption

➤ **Others tbd**

Principle 4

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

- **Operational management:** e.g. number of staff, infrastructure and assets, technology etc.
- **Governance capacity:** how to develop basin plans, deliver water services, monitor risks
- **Non-technical knowledge:** e.g. education and research, competencies, coordination, communication
- **Recruitment:** e.g. hiring system for professionals (transparent, merit-based)
- **Others tbd**

Principle 5

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.

- **Availability:** e.g. data and information related to *projects, management* (planning, administration, performance and evaluation), *day-to-day operation* (hydro-geological, meteorological and hydrological data, data on entitlements, permits, withdrawals, service coverage; consumption levels, cost-recovery, health impact, operation and maintenance, water quality etc.), *administration* (e.g. records relating to personnel, equipment and finance); *technical and managerial aspects* (e.g. results of research and field studies, sources of equipment, expertise and materials, best practices); *advocacy materials* (e.g. to raise awareness, improve motivation and change behaviour etc.)
- **Effectiveness:** e.g. regularity, completeness, quality (e.g. standards for production and reporting procedures) and coordination (e.g. between data producers and users; multi-disciplinary approaches; integration of water information systems and networks at different levels for useful exchanges)
- **Accessibility:** e.g. open data policy, data banks, reports, maps, diagrams, observatories etc.
- **Others tbd**

Principle 6

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

- **Adequacy:** e.g. framework conditions for proper use of economic instruments to signal scarcity, allocate water among competing uses, encourage people to waste less, pollute less, invest more in water infrastructure and value watershed services (e.g. the polluter-pays, beneficiary-pays and interest-pay-say principles)
- **Sustainability:** e.g. strategic financial planning, payment for ecosystem services and contribution to

the restoration of ecosystems

- **Transparency:** e.g. transparent practices for budgeting; transparent allocation of water-related public funds (e.g. through social contracts, scorecards, and audits)
- **Others tbd**

Principle 7

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

- **Institutional framework:** e.g. rules, standards and guidelines for achieving water policy outcomes, and encourage integrated long-term planning
- **Enabling conditions:** e.g. *who does what* (institutions and mechanisms responsible for discharging key regulatory functions across public agencies, dedicated bodies and various levels of government); *resources* (budget funding, fees from service providers; monies from penalties and fines; interest earned and trust funds)
- **Regulatory management:** e.g. transparency of the rules and processes; co-ordination between regulators and other bodies
- **Quality of regulatory processes:** e.g. impact analysis (of investments to guarantee an adequate cost recovery and their sustainability), consultation, stock reviews, and benchmarking across similar water systems
- **Others tbd**

Principle 8

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

- **Water governance experimentation:** e.g. pilot-testing
- **Social learning practices :** e.g. systems' thinking
- **Use of ITs:** e.g. to share data and information; citizens' monitoring, etc.
- **Innovative partnerships:** e.g. between service providers: science/academia and government; between rural and urban actors; contracts across levels of government
- **Others tbd**

Principle 9

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

- **Legal and institutional frameworks:** e.g. existence of independent authorities to investigate water related issues and law enforcement; codes of conduct, charters in national and local contexts promoting integrity and transparency
- **Mechanisms:** e.g. disciplinary procedures, integrity pacts, social witnesses in water public procurement, transparent and open budgets, risk maps, audit and control mechanisms,

- **Corruption diagnosis:** e.g. n° of cases of misconduct of public officials and conflicts of interest identified; presence of independent authorities to investigate infractions and enforce laws when they are violated; evidence of corruption and misuse of public funds
- **Others tbd**

Principle 10

Promote stakeholder engagement for informed and outcome-oriented contributions to water policy design and implementation.

- **Stakeholders mapping:** e.g. identification and selection of stakeholders to be involved in the engagement process; mechanisms to identify motivations and expectations (survey, study, report)
- **Clarity of goals:** e.g. master schedule with a detailed timeline, key deliverables requiring inputs, expected stakeholder meetings over the course of the water policy/project process; engagement plans, with stakeholder input points clearly outlined
- **Capacity and information:** e.g. platforms, web-site, materials to educate stakeholders about how they can contribute to water policy/project process; existence of facilitation and mediation to support capacity building and knowledge exchange; training sessions carried out to support the engagement process; mediation mechanisms when access to information is denied
- **Efficiency and effectiveness:** e.g. review of engagement process (online surveys, interviews with stakeholders, meetings, etc.); monitoring throughout the engagement process (design, development, implementation) through quantitative data (costs/benefits, etc.) and/or qualitative data (e.g. stakeholders' feedback, level of satisfaction, etc.)
- **Institutionalisation:** e.g. frameworks where the rules of the game are clearly established; rules for engagement within water policy process goals; business case to support stakeholder engagement.
- **Adaptiveness:** e.g. ex ante assessment of stakeholder's needs; analysis of different engagement scenarios (pros/cons, potential risks)
- **Others tbd**

Principle 11

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

- **Access:** e.g. measures to address social disparities (e.g. poor population, population living in slums, ethnic minorities disabled people) in access to water services and resources; measures to address geographical disparities (rural- urban) in access to water services and resources
- **Awareness :** e.g. procedures for informing individuals and communities on water-related risks; impact analyses to measure consequences on individuals and communities on water-related policies
- **Others tbd**

Principle 12

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

- **Adequacy:** e.g. dedicated monitoring institutions; mechanisms to carry out their tasks (e.g. regulation, controls, framework for contracts, regulators, observatories, etc.)
- **Reliability:** e.g. use of quality data; use of the most appropriate instrument for guiding decision-making (survey, benchmark evaluation report, ex-ante analyses; regulatory tools; national observatory)
- **Transparency/accessibility:** e.g. monitoring /evaluation reports are freely accessible to the public
- **Others tbd**

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