# OECD Water Governance Initiative

# OECD INVENTORY
## Existing Tools, Practices and Guidelines to Foster Governance in the Water Sector
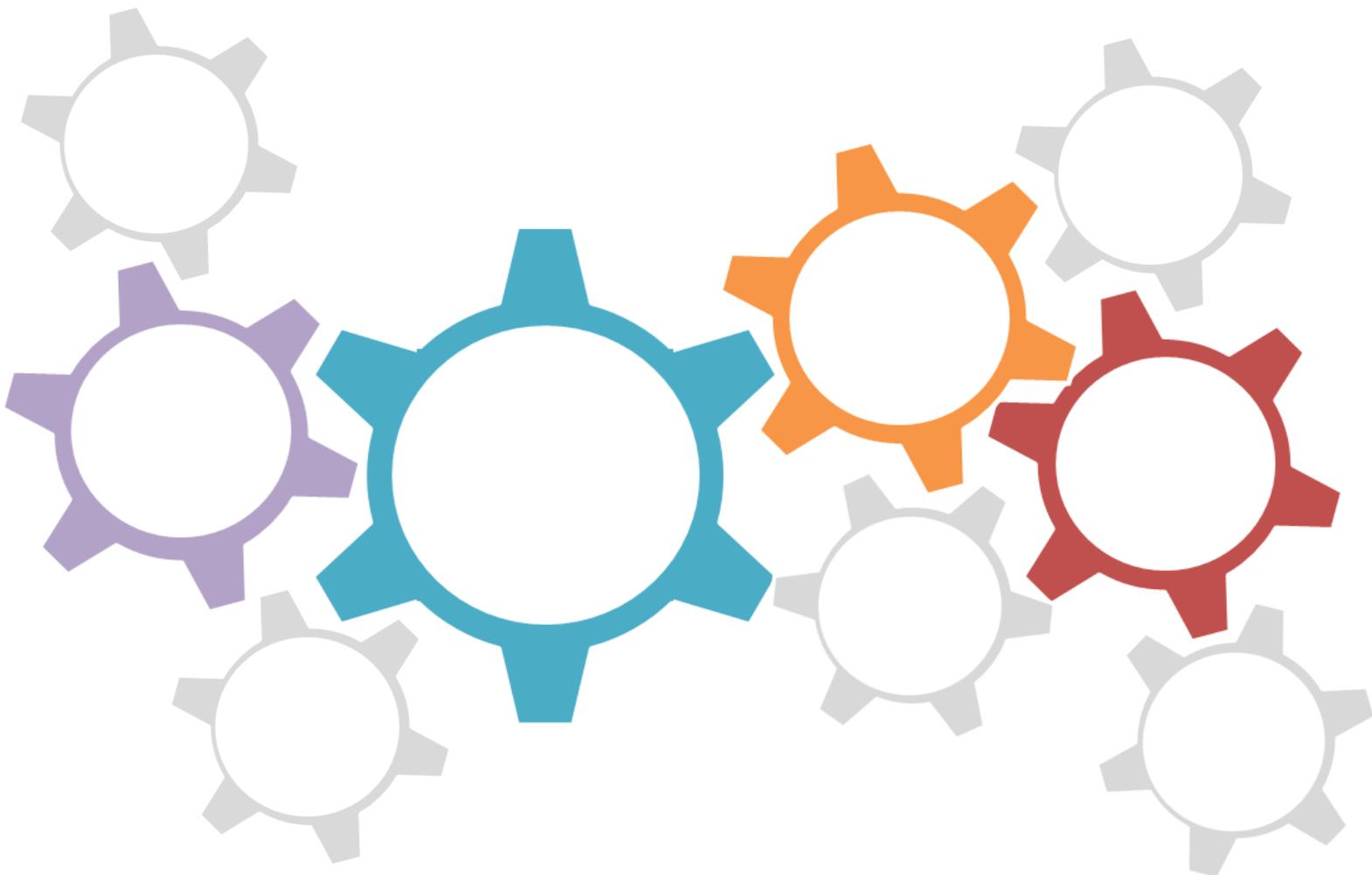
# INVENTORY

## EXISTING TOOLS, PRACTICES AND GUIDELINES TO FOSTER GOOD GOVERNANCE IN THE WATER SECTOR

This Inventory was by prepared the OECD Secretariat to support the work of the **OECD Water Governance Initiative**, an international multi-stakeholder network of around 100 delegates from public, private and not-for-profit sectors gathering twice a year in a Policy Forum to share on-going reforms, projects, lessons and good practices in support of better governance in the water sector. The network was launched on 27-28 March 2013 with the following objectives:

1. **Advise governments** in taking the needed steps for effective water governance reforms through policy dialogue across decision-makers at different levels;

2. **Provide a technical platform** to discuss analytical work on water governance through peer-to-peer exchanges and knowledge sharing;

3. Provide a **consultation mechanism** to raise the profile of governance issues in the **Global Water Agenda** and Post-2015 Development Agenda ;

4. Support the implementation of the **6 governance targets** designed for the 6th World Water Forum (Marseille, 2012) up to the 7th World Water Forum (Korea, 2015);

5. Contribute to the design of **OECD Principles on Water Governance** and **OECD Indicators on Water Governance** to engage decision-makers at all levels, within and outside the water sector, commit to action.

This Inventory gathers 108 governance tools among which 55 are specific to the water sector. The document is structured around the 4 building blocks of the OECD Water Governance Initiative, namely

1. Stakeholder Engagement
2. Performance and Governance of Water Supply and Sanitation
3. Basin Governance
4. Integrity and Transparency

The inventory is designed as an evolutionary document that will benefit and evolve according to regular up-dates, future comments and complementary information.

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# OUTLINE

# TOOLS FOR OVERALL GOOD GOVERNANCE (WATER & NON-WATER SPECIFIC)

| TITLE & DATE | KEY OBJECTIVES & GOVERNANCE ISSUES | WEBSITE | INSTITUTION |
|---|---|---|---|
| **User's guide on Assessing Water Governance** (2013) | • Provides instruments and methodologies for water governance assessments to help shape policies and re-calibrate water related reforms <br> • Promote outside-the-water-box thinking taking into account local context, formal and informal institutions, and the role of policy and power relations | User's guide on Assessing Water Governance | |
| **Guide to Public Participation under the Protocol on Water and Health** (2013) | • Provide guidance on how to improve the planning, carrying out and impact of the public participation process for water and health related decision making under the Protocol on Water and Health | Guide to Public Participation under the Protocol on Water and Health | |
| **Toolkit for Development Practitioners of the Right to water and sanitation** (2013) | • Help development cooperation agencies and Civil Society Organizations integrating human rights in their water and sanitation strategies and projects; <br> • Provide a methodology, tools and good practices for a human rights-based approach to the Project Cycle Management | Toolkit for Development Practitioners of the Right to water and sanitation | |
| **Freshwater Conservation and Water, Sanitation, and Hygiene – Integration Guidelines: A Framework for Implementation in sub-Saharan Africa** (2013) | • Provide guidance to health, development, and conservation professionals in sub-Saharan Africa on how to plan, coordinate, develop, and achieve mutually supported WASH and freshwater conservation outcomes; <br> • Provide an overall framework to consider when working across sectors such as water, poverty and environmental quality, but not intended to be a training or implementation manual; <br> • List the primary steps needed to design integrated WASH and freshwater conservation interventions: i) setting a common vision; ii) gathering information; iii) design; iv) implementation; and v) monitoring and evaluating | Freshwater Conservation and Water, Sanitation, and Hygiene – Integration Guidelines: A Framework for Implementation in sub-Saharan Africa | |

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| **Managing Water under Uncertainty and Risk, UN World Water Development Report** <br> **(2012)** | • Give an overall picture of the state of the world's freshwater resources; <br> • Provide decision makers with the tools to implement sustainable use of water; <br> • Provide a mechanism for monitoring changes in the resources and its management, and tracking progress towards achieving targets (MDGs, World Summit on Sustainable Development); <br> • Offer best practices and in-depth theoretical analysis to help stimulate ideas and actions for better stewardship in the water sector; | Managing Water under Uncertainty and Risk, UN World Water Development Report | |
| **Principles of good governance at different water governance levels** <br> **(2011)** | Main conclusions: <br> • Water issues must be tackled at various levels. <br> • Water is a development issue at the border between social and technical systems. <br> • Water governance has more to do with people than with water. <br> • Water governance mainly focuses on the processes. <br> • Water governance takes place in complex systems, making it difficult to find solutions that work in all circumstances. | Principles of good governance at different water governance levels | |
| **WaterLex Legal Database** <br> **(2011)** | • Provide direct access to legal and political sources on the human right to water and sanitation; <br> • Assist Member of Parliament and Law Commissions in asserting how other countries in the world have developed their legislation to respect, protect and fulfil the human right to water and sanitation; <br> • Suggest amendments to enhance the protection of the right in legal order; <br> • Provide universities, development agencies, public institutions, companies and all legal practitioners a worldwide reliable source of law and case law pertaining to water governance | WaterLex Legal Database | |
| **"For a responsible local governance" Guide** <br> **(2011)** | • Build social local agreements <br> • Develop trust and social acceptability <br> • Encourage participation and consultation | For a responsible local Governance | |

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| **OECD Guidelines for effective management of multilevel governance** **(2011)** | • Help policymakers better diagnose multilevel governance challenges in water policy design and implementation; and adopt relevant coordination, consultation and participation mechanisms. | OECD Guidelines for effective management of multilevel governance |  |
| **Report "Water Governance in OECD Countries – A Multi-level approach"** **(2011)** | • Identify multi-level governance challenges in water policy implementation<br>• Provide good practices for coordinating water policy across ministries, between levels of government, and across local actors at sub-national level.<br>• Suggest preliminary guidelines for effective management of multi-level governance in water policy. | OECD Studies on Water |  |
| **Asia Water Governance Index** **(2010)** | • Provide data and analysis on decentralization levels and river basin management | Asia Water Governance Index |  |
| **"Water sector governance in Africa – Assessment Guidelines"** **(2010)** | • Promote transparency, accountability and corruption<br>• Encourage civil society participation<br>• Equitable service provision | Water sector governance in Africa | Water Partnerships Program – African Development Bank<br> |
| **"Water Governance guideline for Practitioners – Experience of Sahjeevan in Pani Tiye Panjo"** **(2010)** | • Form water committees<br>• Support public participation and representation | Water Governance guideline for Practitioners |  |
| **"Groundwater Governance – Conceptual framework for assessment of provisions and needs – Strategic Overview Series No1"** **(2010)** | • Develop a pragmatic framework to elaborate an action plan for control of excessive groundwater abstraction or pollution pressure with corresponding governance provisions<br>• Encourage institutional and legal provision, and stakeholder participation are key instruments for sound groundwater governance | Groundwater Governance – Conceptual framework for assessment of provisions and needs – Strategic Overview Series No1 |  |

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| | • Provide a check-list of "top-20" benchmarking criteria for the evaluation of groundwater governance provision and capacity | | |
| **Water in a Changing World – UN World Water Development Report** **(2009)** | • Analyse the interactions between water and the pressures from decisions that drive demands for water and impact upon its availability;<br>• Offer tools and potential response options for leaders in government, the private sector and civil society;<br>• Suggest ways in which institutions can be reformed, capacities improved, and institutional behaviour modified;<br>• Explore possible sources of financing for the investment in water. | [Water in a Changing World – UN World Water Development Report](#) | |
| **Users' guide to measuring local governance** **(2009)** | • Assist in convening structured discussions with country partners who are exploring the possibility of carrying out local governance assessment;<br>• Help:<br>  o Reflect on main challenges and elements of good local governance;<br>  o Consider issues around leadership of local governance assessment;<br>  o Select appropriate tools and adapt them to local context | [Users' guide to measuring local governance](#) | |
| **UNESCO Series on Urban Water** **(2008)** | • Comprise a set of books on urban water management:<br>  o Urban Water Conflicts (2012)<br>  o Advanced Simulation and Modelling for Urban Groundwater Management – UGROW (2010)<br>  o Integrated Urban Water Management: Humid Tropics (2010)<br>  o Urban Water Security: Managing Risks (2009)<br>  o Integrated Urban Water Management: Arid and Semi-Arid Regions (2009)<br>  o Data Requirements for Integrated Urban Water Management (2008)<br>  o Aquatic Habitats in Sustainable Urban Water Management Science, Policy and Practice (2008)<br>  o Urban Water Cycle Processes and Interactions (2008)<br>• Address fundamental issues related to i) the role of water in cities, ii) the effects of urbanization on the hydrological cycle | [UNESCO Series on Urban Water](#) | |

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| | and water resources; and iii) integrated approaches to sustainable urban water management,<br>• Provide valuable scientific and practical information for urban water practitioners, policy-makers and educators throughout the world | | |
| **Initiatives Supporting Demand for Good Governance across World Bank Group Sectors and Regions**<br>**(2008)** | • Support transparent and accountable institution, strong skills and competence<br>• Develop incentives and promote accountability to act in the public interest | Initiatives Supporting Demand for Good Governance across World Bank Group Sectors and Regions | THE WORLD BANK |
| **Water: A shared responsibility – UN World Water Development Report**<br>**(2006)** | • Present a comprehensive picture of the freshwater resources in all regions and most countries of the world;<br>• Track progress towards water-related targets of the MDGs;<br>• Examine a range of key issues, including: i) population growth; ii) increasing urbanisation; iii) changing ecosystems; iv) food production; v) health; vi) industry and energy; vii) risk management; and viii) increasing knowledge and capacity;<br>• Provide 16 case studies on water resources challenges and management responses;<br>• Outline conclusions and recommendation to guide future action and encourage sustainable use, productivity and management of water resources. | Water: A shared responsibility – UN World Water Development Report | |
| **Local to Local dialogue: a Grassroots Women's Perspective on Good Governance**<br>**(2004)** | • Provide i) criteria for good governance; and ii) mechanisms for institutional transformations through women | Local to Local dialogue: a Grassroots Women's Perspective on Good Governance" | UN-HABITAT |
| **"Good Governance in Restructuring Water Supply – A Handbook"**<br>**(2003)** | • Provide guidelines and practical advice on i) accountability for stewardship and performance; and ii) transparency and User participation;<br>• Support balanced equity, efficiency and effectiveness in performance;<br>• Promote financial sustainability; | Good Governance in Restructuring Water Supply - FCM | FCM<br>Federation of Canadian Municipalities<br>Fédération canadienne des municipalités |

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| **International legal instruments addressing good governance** **(2002)** | • Provide Principles of good urban governance for equity, civic engagement, transparency and accountability; | [International legal instruments addressing good governance](#) | UN-HABITAT |
| **Principles on Common-pool resources management** **(1990)** | • Define clear boundaries; • Promote i) collective-choice arrangements; ii) effective monitoring; and iii) self-determination of the community; | [Principles on Common-pool resources management](#) | Pr. Elinor Ostrom |
| **Urban Governance Index: a tool to measure progress in achieving good urban governance** | • Measure the quality of urban governance at global and local levels; • Develop urban governance indicators; | [Urban Governance Index](#) | UN-HABITAT |
| **Partnership Governance and Accountability Framework** | • Create formal structures of governance that will improve internal coordination and external legitimacy; • Encourage healthy informal processes, flexibility and innovation; | [Partnership Governance and Accountability Framework](#) | AccountAbility institute of social and ethical accountability |
| **Dublin statement on water and sustainable development** **(1992)** | • Water development and management should be based on a participatory approach, involving users, planners and policy-makers at all levels • Women play a central part in the provision, management and safeguarding of water • Water has an economic value in all its competing uses and should be recognized as an economic good | [Dublin statement on water and sustainable development](#) | United Nations Conference on Environment and Development (UNCED) |

# VOLUNTARY & BINDING INSTRUMENTS FOR GOOD GOVERNANCE (WATER & NON-WATER SPECIFIC)

| TITLE & DATE | KEY OBJECTIVES | WEBSITE | INSTITUTION |
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| **Model provisions on transboundary groundwaters** (2012) | • Provides advice for concluding or reviewing bilateral or multilateral agreements or arrangements on transboundary groundwaters | Model provisions on transboundary groundwaters | |
| **World Pact for better basin management** (2012) | • Develop integrated and joint water resources management at national, regional and transboundary level;<br>• Pledge to 11 commitments in IWRM | World Pact for better basin management | |
| **Seoul Anti-corruption Action Plan 2013-2014** (2012) | • Promote effective enforcement of legislation against domestic and foreign bribery;<br>• Strengthen international cooperation to assist our own and other efforts to tackle corruption and bribery and facilitate asset recovery;<br>• Encourage and share information, experiences on relevant technical assistance;<br>• Support PPPs to combat corruption | Seoul Anti-corruption Action Plan 2013-2014 | |
| **OECD Guidelines for Multinational enterprises** (2011) | • Provide standards of corporate behaviour;<br>• Suggest recommendations on human rights abuse and company responsibility;<br>• Promote due diligence processes and sustainable consumption; | OECD guidelines for Multinational Enterprises | |
| **Law of Transboundary Aquifers" Resolution A/RES/63/123** (2008) | • Make appropriate bilateral or regional arrangement for the proper management of transboundary aquifer;<br>• Promote co-operation among States; | Law of Transboundary Aquifers | |

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| **Resolution – Guiding principles on access to basic services for all**<br>**(2007)** | • Promote access to safe drinking water for all;<br>• Facilitate i) provision of basin infrastructures and urban services; ii) transparent and accountable management of public services; and iii) partnerships with private sector and non-profit organizations; | [Guiding principles on access to basic services for all](#) |  |
| **Resolution 20/20 – 13th Session of the Commission on Sustainable Development**<br>**(2005)** | • Increase access to clean water and sanitation;<br>• Prioritize urban water, sanitation and human settlements policy actions in national development programmes and policy; | [Resolution 20/20](#) |  |
| **Resolution No 19/6 – Water and Sanitation in cities**<br>**(2003)** | • Implement water and sanitation Programmes;<br>• Build capacity-building;<br>• Facilitate access to information;<br>• Highlight gender mainstreaming; | [Water and Sanitation in cities](#) |  |
| **EU Water Framework Directive**<br>**(2000)** | • Achieve "good" ecological and chemical quality for all EU water bodies;<br>• Implement national water management plans and monitoring programmes;<br>• Achieve full cost recovery for sustainable water financing; | [Water Framework Directive (2000)](#) |  |
| **UNECE-WHO/Europe Protocol on Water and Health**<br>**(1999)** | • Implement national water management plans and monitoring programmes;<br>• Achieve full cost recovery for sustainable water financing | [UNECE-WHO/Europe Protocol on Water and Health](#) |  |
| **UN Convention on the Non-Navigation Use for International Water courses**<br>**(Adopted in 1997, not in effect as of 2014)** | • Promote the protection of human health and well being by better water management, including the protection of water ecosystems, and by preventing, controlling and reducing water-related diseases<br>• Promote adequate supply of safe drinking water and adequate sanitation for everyone | [Convention on the Non-Navigation Use for International Water courses](http://untreaty.un.org/ilc/texts/instruments/english/conventions/8_3_1997.pdf)http://untreaty.un.org/ilc/texts/instruments/english/conventions/8_3_1997.pdf |  |

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| **UNECE Convention on the Protection and Use of Transboundary Watercourses and International Lakes (UNECE Water Convention)** <br> **(1992)** | • Legal framework promoting basin management and transboundary cooperation <br> • Strengthen national measures for the protection and ecologically sound management of transboundary surface waters and groundwaters | UNECE Convention on the Protection and Use of Transboundary Watercourses and International Lakes (UNECE Water Convention) | UNECE logo |
| **Recommendation of the Council on Water Resource Management Policies: Integration, Demand Management, and Groundwater Protection** <br> **(1989)** | • Improved integration of policy and management will lead to improved management from the economic and environmental point of view; <br> • Integration of water resources and other policies requires the reconciliation of policy objectives so that decisions in these areas are compatible and consistent; <br> • Effective water demand management policies in all areas of water services through making greater use of i) forecasting future demand for water;  ii) appropriate resource pricing for water services; iii) appraisal, reassessment and transferability of water rights; iv) various non-price demand management measures; and v) integrated administrative arrangements for demand management. | Recommendation of the Council on Water Resource Management Policies: Integration, Demand Management, and Groundwater Protection= | OECD logo |

## NATIONAL & INTERNATIONAL INITIATIVES, PROGRAMMES & PLATFORMS FOR GOOD WATER GOVERNANCE

| TITLE & DATE | KEY OBJECTIVES | WEBSITE | INSTITUTION |
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| **GWP Water Governance Programme for the Mediterranean** <br> **(2011)** | • Promote a holistic approach to balance competing demands; <br> • Achieve efficient, equitable and environmentally sustainable use of water resources; | Water Governance Programme for the Mediterranean | Global Water Partnership Mediterranean logo |
| **Swedish Water House Initiative** <br> **(2011)** | • Promote network building; <br> • Strengthen links between research, policy and practices; | Swedish Water House Initiative | SIWI logo |

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| **Water Stewardship Standards** <br> **(2011)** | • Encourage the implementation of water stewardship standards and certification procedures; <br> • Enable widespread stakeholder engagement; | Water Stewardship Webpage | |
| **OECD Water Governance Programme** <br> **(2009)** | • Advise policymakers from OECD, MENA and LAC countries on the design and implementation of water policy; | OECD Water Governance Programme | |
| **UNDP Water Governance Programme for Arab States** <br> **(2009)** | • Support regional efforts to improve effective management and use of scarce water resources; <br> • Address socio-economic and environmental dimensions of water governance within the IWRM context; | UNDP Water Governance Programme for Arab States | |
| **UNDP Water Governance Facility** | • Provide policy support; <br> • Advise on IWRM, transboundary water, water supply and sanitation, climate change adaptation, South-South collaboration, experience and best practices exchange, gender, and capacity building; | UNDP Water Governance Facility | |
| **WASHwatch – Monitoring Government Commitments platform** | • Monitor governments' commitments and budgets; <br> • Ensure accountability; | WASHwatch | |
| **Performance Benchmarking Gateway** <br> **(2005)** | • Provide guidance on indicators; <br> • Establish national or regional benchmarking schemes; <br> • Carry out peer group performance comparison; | International Benchmarking Network for Water and Sanitation Utilities | |
| **Program on Water Governance (PoWG)** | • Conduct interdisciplinary research on water sustainability and dialogue on water –policy with communities and policy-makers; <br> • Development projects on water security, privatization, water in Canada, water and development, and US-Canada transboundary water; | Program on Water Governance | Institute of Resources, Environment and Sustainability <br> UBC |

# STAKEHOLDER ENGAGEMENT FOR EFFECTIVE WATER GOVERNANCE

| TITLE & DATE | KEY OBJECTIVES & GOVERNANCE ISSUES | WEBSITE | INSTITUTION |
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| **PRINCIPLES, GUIDELINES & RECOMMENDATIONS** | | | |
| **Report "OECD Public Governance Reviews – Together for Better Public Services – Partnering with citizens and civil society"** **(2011)** | <ul><li>Identify co production and citizens' involvement mechanisms;</li><li>Advise on top-level political commitment, adequate public sector capacity, and aligned financial incentives are the key factors for success;</li></ul> | OECD Public Governance Reviews | |
| **OECD Studies on Public Engagement - Focus on Citizens: Public Engagement for Better Policy and Services** **(2009)** | <ul><li>Identify challenges and good practices to i)deliver high-quality public services at the least cost; and ii) achieve shared public policy goals requires innovative approaches and greater involvement of citizens;</li><li>Provide 10 guiding principles to support open and inclusive policy making and service delivery in practice;</li></ul> | Focus on Citizens: Public Engagement for Better Policy and Services | |
| **Water for all: translating policy into action - Recommendations** **(2006)** | <ul><li>Develop long term partnerships with stakeholders to strengthen institutional frameworks;</li><li>Focus the implementation of IWRM on stakeholders needs and ownership;</li><li>Improve processes to ensure effective policy implementation;</li></ul> | Water for all: Translating policy into action | |
| **Participation, consensus building, and conflict management training course - "From Potential Conflict to Cooperation Potential (PCCP): Water for Peace,"** **(2003)** | <ul><li>Develop a facilitation and conflict resolution training guide;</li><li>Advise on participation process design;</li><li>Develop negotiation training support;</li></ul> | Participation, consensus building, and conflict management training course | |

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| **"UN-Habitat Policy Paper on Women and Urban Governance"** (2001) | • Research gender issues and the norms of good urban governance; | UN-Habitat Policy Paper on Women and Urban Governance | |
| **Convention on access to information, public participation in decision-making and access to justice in environmental matter** (1998) | • Grant the public rights regarding access to information, public participation and access to justice, in governmental decision-making processes on matters concerning the local, national and transboundary environment; <br>• Focus on interactions between the public and public authorities | Aarhus Convention | |
| **HANDBOOKS & RESEARCH PAPERS** | | | |
| **Co-engineering and Participatory Water Management: Organisational Challenges for Water Governance** (2012) | • Investigate organisational challenges of water governance; <br>• Analyse participatory process design, implementation and evaluation; <br>• Provide international case-studies ; | Co-engineering and Participatory Water Management: Organisational Challenges for Water Governance | |
| **Participatory governance guide for local powers** (2011) | • Disseminate information on municipal policies; <br>• Consult the public on issues to design the appropriate solutions; <br>• Involve civil society in local policies' implementation; <br>• Mediate conflicts; <br>• Monitor and evaluate | Participatory governance guide for local powers | |
| **"Guidance on Social Responsibility"** ISO 26000:2010 (2010) | • Integrate, implement and promote socially responsible behaviour through policies and practices; <br>• Identify and engage with stakeholders; <br>• Communicate commitments; | Guidance on Social Responsibility | |
| **Citizens Participation through Social Accountability** (2010) | • Increase access to information; <br>• Use mobile technology; <br>• Support government-society coalition; <br>• Build and strengthen networks; | Citizens Participation through Social Accountability | |

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| **Designing participation processes for water management and beyond** **(2010)** | • Review five participation design guides; • Summarise principles and steps for design; | [Designing participation processes for water management and beyond](#) | Ecology and Society E&S |
| **Stakeholder Engagement – a practitioner handbook** **(2008)** | • Provide operational principles: communication, transparency, collaboration, inclusiveness, integrity; • Promote elements of engagement: (1)thinking and planning; (2) preparing and engaging; (3) responding and measuring; | [Stakeholder Engagement – a practitioner handbook](#) | **Australian Government** Department of Immigration and Citizenship |
| **Linking regions and central governments: contracts for regional development** **(2007)** | • Identify ways in which contracts between a central government and sub-national levels of government can be efficiently used to manage relationships among them; | [Linking regions and central governments: contracts for regional development](#) | OECD |
| **The EMPOWERS approach to water governance – Guidelines, methods and tools** **(2003)** | • Increase the influence of difference stakeholders on the decision-making process for the use and management of water; • Enhance vertical and horizontal linkages and information flows; | [EMPOWERS approach to water governance](#) | EMPOWERS Project (EU Meda Water Program) MEDA Water |
| **"Citizens as Partners – OECD Handbook on Information, Consultation and Public Participation in Policy Making"** **(2001)** | • Provide practical assistance to strengthen relations between government and citizens; • Provide basic concepts, principles, concrete examples of good practice, tools (including new information and communication technologies) as well as tips from practice; • Support and complement formal institutions of democracy, and strengthen the democratic process; | [OECD Handbook on Information, Consultation and Public Participation in Policy Making](#) **DOI** 10.1787/9789264195578-en | OECD |

| PRACTICAL TOOLS | | | |
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| **Logical framework for analysing the governance of a water territory** (2010) | • List the steps to analyse the governance of a water territory; <br> • Suggest key questions to assess the water territory; the conflicts of uses; the stakeholders; and the structural framework | Logical framework for analysing the governance of a water territory |  |
| **Community Score Card Process** (2010) | • Support community-based monitoring; <br> • Encourage social and public accountability and responsiveness from service providers; <br> • Promote interface/dialogue between service providers and community; | Community Score Card Process |  |
| **Local Government Discretion and Accountability: A Diagnostic Framework for Local governance** (2008) | • Provide guidelines for i) Government discretion and autonomy; ii) decentralization reforms; and iii) upward accountability mechanisms; | Local Government Discretion and Accountability: A Diagnostic Framework for Local governance |  |
| **Citizen Report Cards** (2007) | • Encourage public accountability; <br> • Conduct quantitative measures of water user satisfaction with water utilities; <br> • Advocate improvement in services; | Citizen Report Cards |  |
| **Tools to Support Participatory Urban Decision Making** (2001) | • Promote stakeholders 'mobilisation, commitment and analysis; <br> • Conduct vulnerability assessment; | Tools to Support Participatory Urban Decision Making |  |
| **Overview of tools for social accountability and citizen's engagement in service delivery** | • Provide input tracking (key inputs for the quality of service delivery); <br> • Encourage the use of Citizen Report Card and Community Score Card; | Overview of tools for social accountability and citizen's engagement in service delivery |  |

# GOVERNANCE & PERFORMANCE OF WATER & SANITATION SERVICES

| TITLE & DATE | KEY OBJECTIVES & GOVERNANCE ISSUES | WEBSITE | INSTITUTION |
|---|---|---|---|
| **PRINCIPLES, GUIDELINES & RECOMMENDATIONS** | | | |
| **The Future We Want – Rio+20 Conference outcome document (2012)** | • Renew commitment to sustainable development, and to ensure the promotion of economically, socially and environmentally sustainable future for our planet and for present and future generations<br>• Reaffirm our commitments regarding the human right to safe drinking water and sanitation;<br>• Stress the need to adopt measures to significantly reduce water pollution and increase water quality, significantly improve wastewater treatment, and water efficiency and reduce water losses | The Future We Want – Rio+20 Conference outcome document | |
| **Recommendation of the Council on regulatory policy and governance (2012)** | • Provide governments with clear and timely guidance on the principles, mechanisms and institutions required to improve the design, enforcement and review of their regulatory framework to the highest standards;<br>• Advise governments on the effective use of regulation to achieve better social, environmental and economic outcomes;<br>• Call for a "whole-of-government" approach to regulatory reform, with emphasis on the importance of consultation, co-ordination, communication and co-operation to address the challenges posed by the inter-connectedness of sectors and economies; | Recommendation of the Council on regulatory policy and governance | |
| **Guidelines for performance-based contracts between water utilities and municipalities: lessons learnt from Eastern Europe, Caucasus and Central Asia (2011)** | • Guide the design , negotiation and implementation of preface-based contracts; | Guidelines for performance-based contracts between water utilities and municipalities: Lessons learnt from Eastern Europe, Caucasus and Central Asia | |

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| **Governing Regional Development Policy: The Use of Performance Indicators**<br>**(2009)** | • Identify challenges and opportunities associated with designing and using indicator systems as a tool for the governance of regional development policy;<br>• Provide lessons on contractual relations among levels of government to performance indicator systems; | Governing Regional Development Policy: The Use of Performance Indicators | OECD |
| **Guiding principles for Regulatory Quality and Performance**<br>**(2008)** | • Guide regulatory reforms programmes to establish clear objectives and frameworks for implementation;<br>• Promote transparency and non-discrimination;<br>• Strengthen scope, effectiveness and enforcement of competition policy; | Guiding principles for Regulatory Quality and Performance | OECD |
| **Public-Private Partnerships: In Pursuit of Risk Sharing and Value for Money**<br>**(2008)** | • Conduct systematic discussion, based on a joint regulatory and budgetary perspective, on the issues of i) PPP process; ii) legal and policy framework; iii) enabling environment; iv) public governance; and v) appropriate regulatory and oversight mechanisms;<br>• Provide government with a toolkit of issues to be explored and resolved in a public governance perspective;<br>• Define good practices for the public sector to maximise the potential for PPP projects and ensure their appropriate use to maximum general interest; | Public-Private Partnerships: In Pursuit of Risk Sharing and Value for Money | OECD |
| **Public-Private Partnerships for Water Supply and Sanitation, Policy principles and implementation guidelines for sustainable services**<br>**(2005)** | • Support poverty responsiveness, accountability, transparency;<br>• Promote power-balanced partnership;<br>• Provide a framework requirements for PPP; | Public-Private Partnerships for Water Supply and Sanitation | Schweizerische Eidgenossenschaft<br>Confédération suisse<br>Confederazione Svizzera<br>Confederaziun svizra<br><br>**Swiss Agency for Development and Cooperation SDC** |
| **Guidelines for Successful Public-Private Partnerships**<br>**(2003)** | • Analyse PPP structures, suitability and success factors;<br>• Analyse legal and regulatory structures;<br>• Analyse financial and economic implications of PPPs;<br>• Provide advice on conception, planning and implementation of PPPs; | Guidelines for Successful Public-Private Partnerships | European Union |

| HANDBOOKS & RESEARCH PAPERS | | | |
|---|---|---|---|
| **Improving performance of water and sanitation public services - Report**<br>**(2012)** | • Lay out critical knowledge and real-life tests on performance assessment and measurement, criteria, and capacity-building; | Improving performance of water and sanitation public services | astee<br>association scientifique et technique pour l'eau et l'environnement |
| **No one left behind: Good practices to ensure equitable access to water and sanitation in the pan-European region**<br>**(2011)** | • Help Governments identify the different dimensions of inequities<br>• Support governments to adopt policies and put in place measures to ensure equitable access to water and sanitation | No one left behind: Good practices to ensure equitable access to water and sanitation | UNECE |
| **The INBET Water Supply and Sanitation Performance Blue Book**<br>**(2011)** | • Introduce benchmarking;<br>• Compare information on utilities' costs and performance | The INBET Water Supply and Sanitation Performance Blue Book | The International Benchmarking Network for Water and Sanitation |
| **Private Sector Participation in Water Infrastructure – OECD Checklist for Public Action**<br>**(2009)** | • Provide a coherent catalogue of policy directions, (allocation of roles, risks and responsibilities, framework conditions and contractual arrangements);<br>• Harness more effectively the capacities of all stakeholders; | Private Sector Participation in Water Infrastructure | OECD |

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| **Guidebook on Promoting Good Governance in Public-Private Partnerships** <br> **(2008)** | • Promote good governance principles: participation, decency, transparency, accountability, fairness, efficiency; | [Guidebook on Promoting Good Governance in Public-Private Partnerships.](#) | UNECE |
| **Guide to a Result-Based Monitoring and Evaluation System** <br> **(2004)** | • Monitor, evaluate based on outcome indicators; <br> • Collect and assess data ; | [Guide to a Result-Based Monitoring and Evaluation System](#) | THE WORLD BANK |
| **Advocacy guide to private sector involvement in water services** <br> **(2003)** | • Refocus reform efforts to build government capacity at local and central levels; <br> • Promote community engagement; <br> • Ensure government proactive openness and transparency; | [Advocacy guide to private sector involvement in water services](#) | WaterAid / TEARFUND |
| **Making Services Work for Poor People** <br> **(2002)** | • Improve relationships between policymakers, service providers and clients; <br> • Monitor performance; <br> • Help identify programs' design and implementation issues; | [Making Services Work for Poor People](#) | THE WORLD BANK |
| **Reference Checklist for Regulatory Decision-making** <br> **(1995)** | • Integrate decision-making principles for efficient, flexible and transparent regulation; <br> • Choose most appropriate levels of government to take action; <br> • Promote clear, consistent, comprehensible and accessible reforms for users; | [Reference Checklist for Regulatory Decision-making](#) | OECD |

| PRACTICAL TOOLS | | | |
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| **The Equitable Access Score-card: supporting policy process to achieve equitable access to water and sanitation (2013)** | • Provide a tool to measure progress in ensuring equitable access to water and sanitation and identify related priorities related based on a self -evaluation of the situation | The Equitable Access Score-card: supporting policy process to achieve equitable access to water and sanitation | UNECE |
| **Turin Index (2013)** | • Research affordability of tariffs of main local public services, in particular energy-environment related services, to identify factors o change and impacts on vulnerable groups;<br>• Provide local policy makers and stakeholders the necessary knowledge and instruments to face this topic;<br>• Define different levels of arrearage intensity;<br>• Provide a dynamic view of the phenomenon based on the history of payments for each household and the intensity of delays; | Turin Index | TURIN SCHOOL OF LOCAL REGULATION / FA Fondazione per l'Ambiente |
| **Metrology standardization and conformity assessment – Building an Infrastructure for Sustainable Development (2006)** | • Promote metrology, standardization and conformity assessment as the 3 pillars to optimize production, consumer protection, environment and quality;<br>• Support their implementation for sustainable development and social welfare; | Metrology standardization and conformity assessment | ISO |
| **Toolkit for pro-poor municipal PPP (2004)** | • Plan, develop, implement and regulate PPPs;<br>• Establish monitoring and evaluation mechanisms; | Toolkit for pro-poor municipal PPP | UNDP |
| **ISO 24511: Guidelines for the management of wastewater utilities and for the assessment of wastewater services. (2001)** | • Provide common language for stakeholders of wastewater services;<br>• Provide wastewater service assessment criteria;<br>• Provide performance indicators; | SO 24511 | ISO |

| TITLE & DATE | KEY OBJECTIVES & GOVERNANCE ISSUES | WEBSITE | INSTITUTION |
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| **ISO 24512: Guidelines for the management of wastewater utilities and for the assessment of drinking water services** <br> **(2001)** | • Provide common language for stakeholders of drinking water services; <br> • Provide drinking water service assessment criteria; <br> • Provide performance indicators; | SO 24511 | |

# BASIN GOVERNANCE

| TITLE & DATE | KEY OBJECTIVES & GOVERNANCE ISSUES | WEBSITE | INSTITUTION |
|---|---|---|---|
| **PRINCIPLES, GUIDELINES & RECOMMENDATIONS** | | | |
| **Integrated Water Resources Management Planning Approach for Small Island Developing States** <br> **(2012)** | • Make the case for a pragmatic approach towards sustainable water management promotes co-ordinated development and management of water, land and related resources without compromising the sustainability of vital ecosystem <br> • Put forward a SIDS IWRM Planning Cycle and Methodology, a framework with three important pillars: stakeholder participation; continuous sensitisation and public awareness; and the creation of scenarios | Integrated Water Resources Management Planning Approach for Small Island Developing States | |
| **A Blueprint to safeguard Europe's water resources** <br> **(2012)** | • Tackle the obstacles which hamper action to safeguard Europe's water resources; <br> • Emphasise key themes including: i) improving land use; ii) addressing water pollution; iii) increasing water efficiency and resilience; iv) improving governance by those involved in managing water resources | A Blueprint to safeguard Europe's water resources | |
| **IWRM Guidelines at River Basin Level - Principles** <br> **(2009)** | • Set out the necessary information to help implement IWRM under different circumstances.; <br> • Consist of the fundamental concepts of IWRM as well as perspectives of various stakeholders with regard to water issues, keys for success for overcoming problems, and good examples where such keys for success were applied | IWRM Guidelines at River Basin Level - Principles | |

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| **Agenda 21 – Article 18: Protection of the Quality & Supply of Freshwater Resources: Application of Integrated Approaches to the Development, Management & Use of Water Resources (1992)** | Implement IWRM Principles:<br>  o  Multi-sectoral approach to water resources management;<br>  o  Sustainable and rational utilization, protection, conservation and management of water resources;<br>  o  Economically efficient and socially appropriate projects and programmes;<br>  o  Appropriate institutional, legal and financial mechanisms | Agenda 21 – Article 18 |  |
| **HANDBOOKS & RESEARCH PAPERS** | | | |
| **The Handbook for Integrated Water Resources Management in transboundary basins of rivers, lakes and aquifers (2012)** | • Provide practical information to assist with improved integrated management of shared transboundary water resources;<br>• Address large number of stakeholders involved in IWRM;<br>• Offer guidance for integrated management of transboundary water resources for developed and developing countries, in temperate, wet and dry areas; | The Handbook for Integrated Water Resources Management in transboundary basins of rivers, lakes and aquifers |  |
| **"Urban water conflicts" report (2012)** | • Address role of water in cities and the effect of urbanisation on the hydrological cycle and water resources;<br>• Focus on the development of integrated approaches to sustainable urban water management; urban groundwater management and urban water cycles;<br>• Inform the work of urban water management practitioners, policy-makers and educators | "Urban water conflicts" report |  |
| **Groundwater Governance Project : A global framework for action (2011)** | • Raise awareness of the importance of groundwater resources for many regions;<br>• Identify and promote best practices in groundwater governance as a way to identify sustainable management of groundwater resources; | Groundwater Governance Project : A global framework for action |  |

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| | <ul><li>1<sup>st</sup> project phase:<ul><li>Review the global situation of groundwater governance;</li><li>Develop a Global Groundwater Diagnostic integrating regional and country experiences, building on case studies and 5 regional consultations;</li></ul></li><li>2<sup>nd</sup> project phase:<ul><li>Develop a Global Framework for Action consisting of a set of policy and institutional guidelines, recommendations and best practices to improve groundwater management and governance at local, national and transboundary levels.</li></ul></li></ul> | | |
| **Guidance on Water and Adaptation to Climate Change** (2009) | <ul><li>Provide guidance for IWRM provide advice on how to assess impacts of climate change on water quantity and quality, how to perform risk assessment, how to gauge vulnerability, and how to design and implement adaptation strategies, in particular in transboundary basins</li></ul> | Guidance on Water and Adaptation to Climate Change | |
| **A Handbook for Integrated Water Resources Management in basins** (2009) | <ul><li>Address basin managers and government officials who take decisions related to water management; and non-governmental actors who are involved in basin activities;</li><li>Provide guidance for IWRM in basins, regardless of the context or the current state of water governance;</li><li>Articulate the links between challenges and IWRM responses;</li><li>Suggests ways of setting up or modernising basin organisations to facilitate the adoption of the IWRM approach; and</li><li>Is practical and user-friendly with many examples of experiences in river, lake and aquifer management</li></ul> | A Handbook for Integrated Water Resources Management in basins | |

| PRACTICAL TOOLS | | | |
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| **International Training Program on IWRM and Transboundary Water Management**<br>**(2012)** | • Build capacity;<br>• Improve knowledge, networks and institutional processes; | International Training Program | |
| **International Training Program on IWRM**<br>**(2011)** | • Define principles and steps for IWRM;<br>• Develop tools to prepare transboundary basin management plans; | International Training Program on IWRM | |
| **Managing Water Resources, Methods and Tools for a System Approach**<br>**(2009)** | • Encourage simulation, optimization and multi-objective analysis;<br>• Develop integrated modelling; | Managing Water Resources, Methods and Tools for a System Approach | |
| **River basin commissions and other institutions for transboundary water cooperation**<br>**(2009)** | • Analyse the organization and activities of joint bodies and identify best practices for institutional cooperation | River basin commissions and other institutions for transboundary water cooperation | |
| **Toolbox for IWRM**<br>**(2008)** | • Implement better approaches for water management;<br>• Improve water management at local, national, regional and international levels; | Toolbox for IWRM | |

# INTEGRITY & TRANSPARENCY

| TITLE and DATE | KEY OBJECTIVES & GOVERNANCE ISSUES | WEBSITE | INSTITUTION |
|---|---|---|---|
| **PRINCIPLES, GUIDELINES & RECOMMENDATIONS** | | | |
| **Clean.gov.biz Initiative** <br> **(2011)** | • Support governments to reinforce their fight against corruption and engage with civil society and the private sector to promote real changes towards integrity; <br> • Draw existing tools and provide user-friendly guidance to strengthen their implementation; <br> • Improve coordination among relevant players; <br> • Monitor progress towards integrity | Clean.gov.biz Initiative | OECD |
| **Principles for enhancing integrity in public procurement** <br> **(2009)** | • Provide governments with guidance in order to achieve value for money, increase transparency and prevent corruption in public procurement; <br> • Emphasie good governance throughout the procurement cycle from needs assessments to tender evaluation and post-awards contract management; <br> • Provide 10 Principles anchored around 4 pillars: transparency; good management; prevention of misconduct, compliance and monitoring; and accountability and control. | Principles for enhancing integrity in public procurement | OECD |
| **HANDBOOKS & RESEARCH PAPERS** | | | |
| **Users' Guide to Measuring Corruption** <br> **(2008)** | • Relay good practices in measuring corruption; <br> • Provide corruption indicators; | Users' Guide to Measuring Corruption | UNDP / GLOBAL INTEGRITY |

| PRACTICAL TOOLS | | | |
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| **Corruption Perception Index** <br> **(2011)** | • Rank public sector corruption according to perception levels; <br> • Monitor bribery, public procurement; embezzlement of public funds, effectiveness of anti-corruption efforts | [Corruption Perception Index](#) | TRANSPARENCY INTERNATIONAL |
| **Water Integrity and Anti-corruption Tools & Methodologies in Water and Environmental Services Delivery** <br> **(2011)** | • Implement sound anti-corruption measures at global, regional and national levels; <br> • Tackle integrity in water and environmental service delivery worldwide; | [Water Integrity and Anti-corruption Tools](#) | WIN Water Integrity Network <br> Fighting corruption in water worldwide |
| **National Water Integrity Study** <br> **(2011)** | • Monitor performance and integrity of water supply service development and delivery; <br> • Identify integrity risks and provide measures to improve water sector performance; | [Transparency and integrity in delivery services](#) | TRANSPARENCY INTERNATIONAL |
| **Water Integrity Training Manual** <br> **(2011)** | • Increase knowledge and enable action on integrity, transparency and accountability; <br> • Promote good practices and applications of anti-corruption measures | [Water Integrity Training Manual](#) | Cap-Net UNDP <br> WIN Water Integrity Network <br> Fighting corruption in water worldwide <br> SIWI <br> waterOnet |
| **Global Corruption Barometer** <br> **(2010)** | • Help raise public awareness about corruption levels; <br> • Help governments fight corruption; <br> • Encouraging public's active role in stopping corruption and improving governance; | [Global Corruption Barometer](#) | TRANSPARENCY INTERNATIONAL |
| **Transparency Index for Autonomous Communities** <br> **(2010)** | • Provide indicators of transparency analysis; <br> • Carry-out statistical comparisons between water basins organizations; | [Índice de Transparencia de las Comunidades Autónomas](#) | TRANSPARENCY INTERNATIONAL |

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| **Integrity Pacts**<br>**(2010)** | • Aim to prevent corruption in public contracting;<br>• Use an independent monitoring system under the leadership of civil society; | Integrity Pacts | WIN Water Integrity Network - Fighting corruption in water worldwide |
| **Annotated Water Integrity Scan (AWIS)**<br>**(2009)** | • Explore the status of integrity in specific water sub-sectors;<br>• Support the 3 pillars of integrity: transparency, accountability and participation;<br>• Improve awareness to ease communication and pave way for cooperation among stakeholders; | Annotated Water Integrity Scan | IRC / WIN Water Integrity Network - Fighting corruption in water worldwide |
| **Water Integrity Study - Uganda**<br>**(2009)** | • Analyse corruption challenges and risks;<br>• Study qualitative risk/opportunity; | Water Integrity Study - Uganda | THE WORLD BANK / WIN Water Integrity Network - Fighting corruption in water worldwide |
| **Advocacy Guide – A Tool for Water Integrity Action**<br>**(2009)** | • Enhance, enable and enforce water integrity;<br>• Build relationships with allies and partners;<br>• Monitor and evaluate of advocacy; | Advocacy Guide | WIN Water Integrity Network - Fighting corruption in water worldwide |
| **Corruption Survey – India**<br>**(2008)** | • Focus on bribes in public service deliveries; | Corruption Survey – India | TRANSPARENCY INTERNATIONAL |
| **Tools to Support Transparency in Local Governance"**<br>**(2004)** | • Provide a framework to develop transparency at the local level;<br>• Suggest tools i) to improve access to information and public participation; ii) to promote ethics, professionalism and integrity; and iii) tools to increase transparency through institutional reforms; | Tools to Support Transparency in Local Governance | UN-HABITAT / TRANSPARENCY INTERNATIONAL |
| **Anti-Corruption Tool kit**<br>**(2004)** | • Understand nature and damaging effect of corruption;<br>• Assess the nature and extent of corruption; | Anti-Corruption Tool kit | (UN emblem) |

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| **Corruption Fighters' Tool Kit - Civil society experiences and emerging strategies** (2004) | • Support civil society's potential to create mechanisms for monitoring public institutions; <br>• Promote accountable and responsive public administration; | Corruption Fighters' Tool Kit | TRANSPARENCY INTERNATIONAL |
| **Survey Techniques to Measure and Explain Corruption** (2003) | • Encourage exchange of ideas about development issues ; | Survey Techniques to Measure and Explain Corruption | THE WORLD BANK |