

OECD SURVEY

Stakeholder Engagement for Effective Water Governance

Respondents to the Survey are kindly requested to:

1. Provide their **contact details** for follow-up in case clarifications are needed;
2. **Answer as many questions as possible**, in English, French or Spanish;
3. Respond on **behalf of their organisation** (i.e. institution, company, association, etc.)
4. **Consult within their organisation** if different inputs are needed to build consensus on the responses;
5. Make reference to **concrete examples and case studies** as often as possible;
6. Provide links/references to **background documents** and websites when relevant;
7. Fill in the questionnaire **online** before **5 June**, available at:
<http://webnet.oecd.org/Survey/Survey.aspx?s=3a3eddf891e64d49be14c8031b16ce57>
8. Contact aziza.akhmouch@oecd.org and delphine.clavreul@oecd.org in case of doubt or questions.

Organisation		
Respondent(s) name(s)		
Position(s)		
Phone number		E-mail

Respondents are informed that:

1. Responses are **confidential** and will only be treated quantitatively and qualitatively for the analysis; respondents and their organisations will not be quoted directly in the final report;
2. Stakeholders participating in the Survey will be **consulted throughout the project** cycle with several opportunities to comment on the draft report until the publication is completed ;
3. Addressing thoroughly **all the questions requires roughly 1 hour** but comprehensive responses will be extremely valuable to the analysis;
4. A **follow-up** to the questionnaire will give further opportunity to provide **case studies** on innovative / successful stakeholder engagement practices, on a voluntary basis (May-June 2014).

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CONTACT



Aziza AKHMOUCH, PhD

Head - Water Governance Programme

Regional Development Policy Division

Public Governance and Territorial Development Directorate

2, rue André Pascal - 75775 Paris Cedex 16

Mobile: +33 6 26 96 42 46

Office : +33 1 45 24 79 30

aziza.akhmouch@oecd.org || www.oecd.org/gov/water

PREAMBLE

What is the objective of the Survey?

This Survey aims to collect data on stakeholder engagement trends, drivers and practices to assess the impact on decision-making processes related to water services and water resources management. The objective is to provide evidence-based assessment of the main **obstacles** to stakeholder engagement in water policy and projects, collect **best practices**, and formulate **policy recommendations**. Results will be published in an **OECD report** to be launched at the 7th World Water Forum (Korea, April 2015). They will also feed into **OECD Principles** on Water Governance and **OECD Indicators** on Water Governance under preparation.

Where does the project come from?

The project was triggered during the 6th World Water Forum (Marseille, 2012) which session on “stakeholder engagement” called for evidence-based policy guidance to scale up good practices and enhance replicability of **effective stakeholder engagement**, based on empirical data and international experience. The project is an undertaking of the working group n°1 “Stakeholder Engagement” of the [OECD Water Governance Initiative](#), a multi-stakeholder network of 100 delegates from public, private and non-for-profit sectors gathering twice a year in a Policy Forum to share experience in support of better governance in the water sector.

What is the targeted audience for the Survey?

The Survey targets approximately **200 major stakeholders from OECD and non-OECD countries** including governments (central, regional, local), service providers (public, private and mixed), inter-governmental organisations, financial actors, river basin organisations, businesses, agricultural actors, civil society, trade unions, academia, consumer associations, regulators, and advisors.

Roles and responsibilities vary when considering stakeholder engagement, as do judgments and perceptions. Therefore, the Survey makes the distinction between two possible roles of a given institution: “**target**” and “**promoter**” of stakeholder engagement, knowing that in many cases the institution plays both roles, sometimes at the same time.

- A “**target**” is hereinafter defined as someone contributing as a stakeholder to consultation, participation and decision-making in water policy and/or management; and
- A “**promoter**” is a stakeholder providing platforms and/or incentives for engaging other stakeholders in consultation, participation and decision-making in water policy and/or management.

It is critical to look at both views to understand how water-related decisions are taken, and how stakeholders contribute to them. The Survey requires respondents to share their experience as **targets**; as **promoters**, or/and as **both**. *All* questions may not be relevant to *all* types of stakeholders for *all* type of issues.

What are the basic definitions used in this questionnaire?

- **Stakeholder**: any person or group who has an interest or stake in the topic, may be directly or indirectly affected by water policy, and/or have the ability to influence the outcome, either positively or negatively.
- **Engagement**: two-way effort to get involved and/or involve stakeholders in activities and decision-making processes to ensure effective water governance.
- **Effective**: degree to which the objectives of stakeholder engagement mechanisms/tools are achieved and the extent to which the targeted water governance challenges are addressed.
- **Water Governance** is about who does what, when and how. It encompasses rules and practices as well as political, institutional, and administrative processes through which stakeholders articulate their interests, their concerns are considered, decisions are taken and implemented, and decision-makers are held accountable in the development and management of water resources and delivery of water services.

QUESTIONNAIRE

1. Mapping stakeholders and their core motivations

This section aims to identify the main targets and promoters of stakeholder engagement and their core motivations.

1. How would you define yourself as an organisation?

Please, tick only one box and specify when need be.

Inter-governmental / supra-national organisation	<input type="checkbox"/>
Government	
National / Federal (ministry, public agency, etc.)	<input type="checkbox"/>
Regional / provincial	<input type="checkbox"/>
Local	<input type="checkbox"/>
Service provider	
Public utility	<input type="checkbox"/>
Private operator	<input type="checkbox"/>
Public-private partnerships - PPP	<input type="checkbox"/>
Associations/Networks	<input type="checkbox"/>
Water resources management institution at subnational level	
River basin organisation	<input type="checkbox"/>
State water resource management authority	<input type="checkbox"/>
Regional water authorities	<input type="checkbox"/>
Regulator	
Economic	<input type="checkbox"/>
Environmental	<input type="checkbox"/>
Business depending primarily on water	
for their supply chain (e.g. food & beverage, construction)	<input type="checkbox"/>
for their production and construction process (e.g. oil & gas)	<input type="checkbox"/>
for the use of their products by their customers (e.g. soap, detergent)	<input type="checkbox"/>
Agricultural actor	
Farmer	<input type="checkbox"/>
Irrigators district	<input type="checkbox"/>
Related association/network	<input type="checkbox"/>
Civil society	
Member-based organisation	<input type="checkbox"/>
Non-governmental organisation	<input type="checkbox"/>
Social movement	<input type="checkbox"/>
Community-based organisation	<input type="checkbox"/>
Financial actors	
Donor	<input type="checkbox"/>
Financial institution	<input type="checkbox"/>
Investor	<input type="checkbox"/>
Science, academia and research centres	<input type="checkbox"/>
Consumer associations	

Organised domestic water users	<input type="checkbox"/>
Generic consumer association with wider remit	<input type="checkbox"/>
Trade unions and workers	<input type="checkbox"/>
Advisors	
Engineering – consulting firms	<input type="checkbox"/>
Media	<input type="checkbox"/>
Parliamentarian	<input type="checkbox"/>
Other, specify	<input type="checkbox"/>

2. What are your organisation’s primary areas of interest in water?

Please rank from 1 to 6, starting with the most important area of interest (1) to the least important one (6). If an item is not applicable, indicate “N/A”.

Area of interest	N°
Access to water and sanitation services	
Access to water resources	
Quality of water and sanitation services	
Quality of water resources	
Protection against water-related disasters (droughts , floods)	
Environmental protection	

3. Is your organisation subject to requirements for stakeholder engagement, be they internal or external?

Please tick as many as apply and provide concrete examples.

No	<input type="checkbox"/>
Yes	
<ul style="list-style-type: none"> • Binding (laws, regulations) • Voluntary (including incentives) 	<input type="checkbox"/> <input type="checkbox"/>
3.a. Specify the type of requirement:	
<ul style="list-style-type: none"> • Overarching principles or policy of the organisation • Incentives for partnerships/cooperation • Specific modalities in project related activities (hearings, workshops etc.) • Requirements for consultation • Representation of interest (e.g. decentralised assemblies, shareholding) • Requirements for awareness raising in the organisation’s mandate • Requirements for awareness raising in the organisation’s mandate 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Please provide details and examples	

4. What is your organisation’s experience with stakeholder engagement?

Please tick the relevant box for each option from the perspective of a target, a promoter or both.

	No experience	Very limited experience	Some experience on an <i>ad hoc</i> basis	Extensive experience
As a target	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
As a promoter	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5. At which territorial scale does your organisation primarily intervene?

Please tick as many as apply from the perspective of a target, a promoter or both.

Scale	As a target	As a promoter
International level	<input type="checkbox"/>	<input type="checkbox"/>
Water resource management level (basin, sub-basin, water-specific institutional scale)	<input type="checkbox"/>	<input type="checkbox"/>
National/Federal level	<input type="checkbox"/>	<input type="checkbox"/>
Regional / provincial / state level	<input type="checkbox"/>	<input type="checkbox"/>
Municipal level	<input type="checkbox"/>	<input type="checkbox"/>
Community / neighbourhood level	<input type="checkbox"/>	<input type="checkbox"/>

6. Who are the types of stakeholders your organisation mostly interacts with?

Please tick the relevant box for each option from the perspective of a target or promoter including (when relevant) your own category of stakeholders (i.e. interaction with your peers)

Category of stakeholder	Always or very frequently	Often	Sometimes	Never or very rarely
Inter-governmental / supranational organisations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Governments (national, regional, local)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Service providers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Water institutions at sub-national level (river basin organisations, state agencies, regional water authorities or boards)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Regulators (economic, environmental)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Business	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agricultural actors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Civil society	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Financial actors (donors, international financial institutions, investors)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Science, academia and research centres	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Consumer associations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trade unions and workers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Advisors (engineering, consulting firms)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Media	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Parliamentarians	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

7. Who are the types of stakeholders that your organisation finds most challenging to engage with and why?

Please fill-in the text box and provide concrete examples.

8. What are the top 5 words your organisation most often associates with stakeholder engagement in water-related decision making? The objective is to develop a word cloud.

Please rank from 1 (most important) to 5, drawing from the key terms suggested below. Feel free to suggest alternative words in your top list.

- | | | | |
|---------------|--------------------|---------------------------|----------------------|
| Actors | Customers | Inclusive | Partnerships |
| Advocacy | Decision | Information | Rights |
| Awareness | Democracy | Integration | Satisfaction |
| Capacity | Dialogue | Interests | Shared understanding |
| Challenge | Discussion | Knowledge | Success / failures |
| Citizens | Dissemination | Law | Support |
| Civil society | Effectiveness | Legitimacy | Time / delays |
| Conflict | Efficiency | Local | Top-down / bottom-up |
| Consensus | Empowerment | Media | Transparency |
| Consultation | Experience-sharing | Opinions | Trust |
| Co-operation | Fairness | Opportunity / constraints | Win-win |
| Co-ordination | Formal / informal | Ownership | |
| Courage | Good governance | Participation | |

Water resources management (water quality, water quantity)	Water and sanitation services (drinking water, wastewater)	Water disasters management (floods, droughts)
– N°1:	– N°1:	– N°1:
– N°2:	– N°2:	– N°2:
– N°3:	– N°3:	– N°3:
– N°4:	– N°4:	– N°4:
– N°5:	– N°5:	– N°5:

2. Drivers for stakeholder engagement

This section aims to understand the factors and trends that have driven stakeholder engagement in water related decision-making in recent years.

9. In the last decade, which of the following drivers have triggered further engagement from your organisation in water related decision-making?

Please clarify from which perspective you will answer

As a target	<input type="checkbox"/>
As a promoter	<input type="checkbox"/>
Both	<input type="checkbox"/>

9. a Rank from 1 to 11, starting with the strongest driver (1) to the least influential (11). If an item is not applicable, indicate "N/A".

Driver	As a target N°	As a promoter N°
Crisis, change or emergency-driven situation (droughts, floods, economic crisis etc.)		
Policy reform or project under discussion (dam construction, privatisation, law etc.)		
Regulatory frameworks for public participation (Aarhus Convention, EU Water Framework Directive, Law etc.)		
Political & democratic pressure (call for transparency, inclusiveness, increased advocacy)		
Incentives from donors (conditionalities, technical assistance programmes etc.)		
Information and communication technologies (new forms of interaction opportunities)		
Competition over water resources (call for conflict resolution and policy coherence)		
Cost-efficiency (search for value for money)		
Market opportunities (potential for new contracts, customers and sources of revenues)		
Change in organisational culture (new leadership, move from top-down to bottom-up, etc.)		
Adaptive governance, call for flexible and resilient (co)management mechanisms to cope with future challenges (climate change etc.)		

10. Please select two of these drivers and explain how they have influenced your organisation's engagement in water decision-making.

Further details on Driver 1

Further details on Driver 2

3. Objectives and stages of stakeholder engagement

This section aims to understand the reasons why different groups of stakeholders are engaged in water related decision-making and when (at which stage of a project or reform).

11. How does your organisation contribute to better water governance?

Please tick as many as apply and respond from the perspective of a target or promoter alike.

Objective	Yes	No
Supporting effective implementation of a policy, reform or project	<input type="checkbox"/>	<input type="checkbox"/>
Ensuring proper enforcement of regulations and norms	<input type="checkbox"/>	<input type="checkbox"/>
Raising awareness on water availability, risks, quality, costs etc.	<input type="checkbox"/>	<input type="checkbox"/>
Building/Operating/Maintaining water infrastructure	<input type="checkbox"/>	<input type="checkbox"/>
Ensuring value for money (i.e. better quality of services/resources at lower costs)	<input type="checkbox"/>	<input type="checkbox"/>
Increasing the willingness to pay of water users	<input type="checkbox"/>	<input type="checkbox"/>

Contributing to the financial sustainability of water management	<input type="checkbox"/>	<input type="checkbox"/>
Fostering capacity building, qualifications, training	<input type="checkbox"/>	<input type="checkbox"/>
Providing funds for investment	<input type="checkbox"/>	<input type="checkbox"/>
Sharing information on issues and process of interest to stakeholders	<input type="checkbox"/>	<input type="checkbox"/>
Supporting consensus building (across policy areas, between water users, etc.)	<input type="checkbox"/>	<input type="checkbox"/>
Developing technical and non-technical innovation (e.g. to protect water resources, prevent risks, deliver services in challenging contexts etc.)	<input type="checkbox"/>	<input type="checkbox"/>
Fostering corporate social responsibility and codes of conduct respect	<input type="checkbox"/>	<input type="checkbox"/>
Building trust and confidence	<input type="checkbox"/>	<input type="checkbox"/>
Building political acceptability (for specific ownership models, delivery options, new technologies, etc.)	<input type="checkbox"/>	<input type="checkbox"/>
Helping opinion forming and development of preferences	<input type="checkbox"/>	<input type="checkbox"/>

12. At which stage of a water-related project and/or reform does your organisation usually get involved?

Please clarify the point of view from which you answer.

As a target	<input type="checkbox"/>
As a promoter	<input type="checkbox"/>
Both	<input type="checkbox"/>

12. a. Tick the relevant box for each option

Stage of development	Water project				Water policy			
	Always or almost always	Often	Sometimes	Never or very rarely	Always or almost always	Often	Sometimes	Never or very rarely
Early stages (conception, planning, design, feasibility studies)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Development / Deliberation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Implementation / Operation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Evaluation (including monitoring)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Throughout the cycle (financing, oversight, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4. Mechanisms for stakeholder engagement

This section aims to collect evidence on existing instruments for stakeholder engagement, as well as the potential need for other mechanisms to bridge identified gaps.

13. Which of the following stakeholder engagement mechanisms does your organisation use or take part in?

Please tick as many as apply from the perspective of a target, a promoter or both. A glossary with all mechanisms is provided in the technical note of the Survey.

Mechanism	As a target	As a promoter
River basin organisations	<input type="checkbox"/>	<input type="checkbox"/>
Water associations (e.g. associations of water utilities, water regulators, etc.)	<input type="checkbox"/>	<input type="checkbox"/>
Decentralised assemblies	<input type="checkbox"/>	<input type="checkbox"/>
Surveys / Polls	<input type="checkbox"/>	<input type="checkbox"/>
Hotlines	<input type="checkbox"/>	<input type="checkbox"/>
Referendum	<input type="checkbox"/>	<input type="checkbox"/>
Consultations in regulatory processes	<input type="checkbox"/>	<input type="checkbox"/>
Workshops / Fora	<input type="checkbox"/>	<input type="checkbox"/>
Meetings (formal, informal)	<input type="checkbox"/>	<input type="checkbox"/>
Expert panels	<input type="checkbox"/>	<input type="checkbox"/>
Alert systems	<input type="checkbox"/>	<input type="checkbox"/>
Focus groups	<input type="checkbox"/>	<input type="checkbox"/>
Citizen committees	<input type="checkbox"/>	<input type="checkbox"/>
Consensus conferences	<input type="checkbox"/>	<input type="checkbox"/>
Web-based communication technologies (online platforms, email, social media, websites etc.)	<input type="checkbox"/>	<input type="checkbox"/>
Traditional media (newspaper, newsletter, TV, Radio.)	<input type="checkbox"/>	<input type="checkbox"/>
Shareholding (public, private, both)	<input type="checkbox"/>	<input type="checkbox"/>
Capacity development (institutional or individual)	<input type="checkbox"/>	<input type="checkbox"/>
Stakeholder mapping / analysis	<input type="checkbox"/>	<input type="checkbox"/>
Inter-ministerial consultation	<input type="checkbox"/>	<input type="checkbox"/>
Inter-agency programs	<input type="checkbox"/>	<input type="checkbox"/>
Innovative contracts and partnerships (e.g. water stewardships, river contracts, pacts)	<input type="checkbox"/>	<input type="checkbox"/>
Interest-pay-say principle	<input type="checkbox"/>	<input type="checkbox"/>
Decentralised cooperation mechanisms (e.g. 1%)	<input type="checkbox"/>	<input type="checkbox"/>

14. Are the above-listed mechanisms sufficient to engage stakeholders effectively?

Yes	<input type="checkbox"/>
No	<input type="checkbox"/>

14.a. If not, what is missing? Please fill in the box below and provide concrete examples.

5. Obstacles and conditions for success for stakeholder engagement

This section aims to identify the most frequent obstacles to effective stakeholder engagement as well as the needed conditions for success.

15. Which obstacles does your organisation face when taking part in or promoting stakeholder engagement?

Please clarify the point of view from which you answer.

As a target	<input type="checkbox"/>
As a promoter	<input type="checkbox"/>
Both	<input type="checkbox"/>

15. a. Tick the relevant box for each option.

Obstacle	Critical	Important	Somewhat important	Not important
No clarity on the expected use of inputs from stakeholders in the decision-making process	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of political will and leadership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of funding to support stakeholder engagement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of time	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Weak legal framework to support stakeholder engagement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Consultation "capture" (weight of lobbies, over-representation of certain categories of stakeholders)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Stakeholder consultation "fatigue" (difficulty to maintain motivation)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Political discontinuity or leadership change (turnover of staff, shifting priorities etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Misaligned objectives of stakeholders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Resistance to change	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Difficulty to reach out certain types of stakeholders (e.g. future generations, ministries of finance, other non-usual suspects)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Low capacity to engage in consultation (education, training))	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of citizens' concern and awareness on water issues	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Language barrier	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Differences in organisational culture	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Information asymmetries and/or lack of transparency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Multiple authorities across levels of government (fragmentation)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Complexity of issues at hand	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Geographical distance from decision-making cores (e.g. remote areas)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Decision-makers' fear of losing influence and power	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

16. Please select two of these obstacles and explain how they hinder your organisation's effective contribution to water related decision-making (e.g. provide figures, concrete facts and data, etc.)

Further details on obstacle 1

Further details on obstacle 2

17. Which of the following conditions for success are the most important for effective engagement of your organisation as a stakeholder?

Please respond from the perspective of a target or promoter alike and rank from 1 to 10 starting with the most critical factor (1) to the least important one (10). If an item is not applicable, indicate "N/A".

Condition for success	N°
Neutrality of the process	
Ability of those engaged in the process to take decisions	
Financial resources to support the process and outcomes	
Clarity of goals of stakeholder engagement and means to achieve them	
Legal framework setting the rules	
Human resources to ensure proper engagement (staff, skills, expertise, capacity development)	
Sufficient time to manage the process and contribute effectively	
Infrastructure in place to ensure effective engagement (space, technical support tools)	
Quality and accessibility to information on issues and process	
Willingness to contribute of other stakeholders (sense of community, trust)	

18. Please select two of these conditions for success and explain how they foster your organisation's ability to engage effectively (e.g. provide figures, concrete facts and data, etc.).

Further details on condition for success 1

Further details on condition for success 2

6. Results and impact assessment of stakeholder engagement

This section aims to assess the contribution of stakeholder engagement to the decision-making process, and identify and evaluate the monetary and non-monetary costs and benefits of stakeholder engagement.

19. How would you assess the impact of stakeholder engagement on your organisation's objectives?

Please clarify the point of view from which you answer.

Note that the objectives listed are the same as in question n°11, but the goal of this question is to assess the contribution of stakeholder engagement to your core organisational objectives.

As a target	<input type="checkbox"/>
As a promoter	<input type="checkbox"/>
Both	<input type="checkbox"/>

19. a. Tick the relevant box for each option when relevant

Objective	Stakeholder engagement contribution is <u>crucial</u>	Stakeholder engagement contribution is <u>important</u>	Stakeholder engagement contribution is <u>secondary</u>	Stakeholder engagement contribution is <u>minimal</u>
Supporting effective implementation of a policy, reform or project	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Ensuring proper enforcement of regulations and norms	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Raising awareness on water availability, risks, quality, costs etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Building/Operating/Maintaining water infrastructure	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ensuring value for money (i.e. better quality of services/resources at lower costs)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Increasing the willingness to pay of water users	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Contributing to the financial sustainability of water resources and services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fostering capacity building, training, qualifications	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Providing funds for investment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sharing information on issues and process of interest to stakeholders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting consensus building (across policy areas, between water users, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Developing technical and non-technical innovation (e.g. to protect water resources, prevent risks, deliver services in challenging contexts etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fostering corporate social responsibility and codes of conduct respect	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Building trust and confidence	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Building political acceptability (for specific ownership models, delivery options, new technologies, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Helping opinion forming and development of preferences	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

20. Does your organisation have mechanisms to assess the impact of stakeholder engagement?

Please respond from the perspective of a target, promoter or both and check all that apply.

Mechanism to assess stakeholder engagement	As a target	As a promoter
Satisfaction survey/ poll	<input type="checkbox"/>	<input type="checkbox"/>
Financial analysis (e.g. Cost-Benefit Analysis)	<input type="checkbox"/>	<input type="checkbox"/>
Evaluation report (e.g. criteria including relevance, effectiveness, efficiency, sustainability and impact, etc.)	<input type="checkbox"/>	<input type="checkbox"/>
Benchmark (e.g. comparison with other institutions' experience in using similar tools, with other countries, with other tools used for similar objectives, etc.)	<input type="checkbox"/>	<input type="checkbox"/>
Multi-stakeholder meeting / workshop	<input type="checkbox"/>	<input type="checkbox"/>
Others, please specify:	<input type="checkbox"/>	<input type="checkbox"/>

21. Please provide further details on impact assessment mechanisms

21. a. When they exist, how often are evaluation mechanisms listed in Q20 used?

- Very often
- Often
- Sometimes

Never or very rarely

21. b. Does your organisation have reporting obligations on the results of stakeholder engagement?

21. c. How is the information disclosed to the stakeholders?

21. d. Are results of such evaluations made available to the general public? Where and How?

21. e. How do such mechanisms feed into your organisation's actions in practice?

21. f. What are their strengths and weaknesses?

22. Which **benefits** does stakeholder engagement bring to your organisation?

Please clarify from which point of view you will answer.

As a target	<input type="checkbox"/>
As a promoter	<input type="checkbox"/>
Both	<input type="checkbox"/>

22.a. Rank from 1 to 8, starting with the most important benefit (1) to the least important one (8). All responses may not be relevant to your particular case. If an item is not applicable, indicate "N/A".

Benefit	As a Target N°	As a Promoter N°
Sustainability – Resilience		
Acceptability – Ownership		
Stakeholders' trust		
Cost-saving		
Time saving		
Customers satisfaction		
Capacity development		
Broader economic benefits (policy coherence, synergies across projects etc.)		

23. Please provide two examples of **benefits** associated with your organisation's involvement as a target or promoter (be they or not from the list indicated above)

Example 1:

Example 2:

24. Which **types of costs** does stakeholder engagement mostly incur to your organisation?

Please clarify from which perspective you will answer.

As a target	<input type="checkbox"/>
As a promoter	<input type="checkbox"/>
Both	<input type="checkbox"/>

24.a. Rank from 1 to 6, starting with the most important cost (1) to the least important one (6). If an item is not applicable, indicate "N/A".

Cost	As a target <i>i.e. costs that a stakeholder incurs for deciding to engage in the decision made that eventually will be made by someone else</i> N°	As a promoter <i>i.e. costs that would be avoided if that organisation was making the decision by itself, without engaging other stakeholders</i> N°
Logistical and process expenses (e.g. travel, accommodation, meeting room etc.)		
Delays in the decision-making process		
Staff overtime		
Social conflict		
Political capture		
Production and disclosure of specific information		

25. Please provide two **examples of costs** associated with your organisation's involvement as a target or promoter of stakeholder engagement (be they or not from the list indicated above).

Example 1

Example 2

26. Which sources of funding or in-kind contributions support your organisation's stakeholder engagement activities?

Please respond as a target, promoter or both, and rank options from the highest (1) to the lowest (11). Kindly indicate the type of conditions attached to the source of funding when possible. If an item is not applicable, indicate "N/A".

Source of funding or in-contributions	As a target		As a promoter	
	N°	Details	N°	Details
Inter-governmental organisation including EU funding				
Central government				
Sub-national governments				
River basin organisations or water institutions at sub-national				
Private sector				
Donors / International financial institutions				

Source of funding or in-contributions	As a target		As a promoter	
	N°	Details	N°	Details
Decentralised cooperation mechanisms				
NGOs				
Donations from civil society				
Membership fees				
Internal organisation's funding				

27. How does your organisation address trade-offs related to costs (short term) and benefits (long term) of stakeholder engagement?

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28. At which stage of a project or a reform does your organisation mostly influence decision-making as a stakeholder?

Please tick the relevant box for each of the following options, which correspond to those provided in question n°12 (your organisation's usual stage of intervention). The objective for this specific question is to assess the impact on decision-making

Stage of development of project / reform	Significant influence	Some influence	Little influence	No influence
Early stages (conception, planning, design, feasibility studies)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Development / Deliberation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Implementation / Operation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Evaluation (including monitoring)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Throughout the process (oversight, financing)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

29. What does your organisation see as the "missing link" or "gap" in stakeholder engagement where public authorities could play a role, if at all?

Role for central governments
Role for sub-national governments (regional and local)

30. Which policy principles should be put forward for effective stakeholder engagement in the following areas? And which indicators could help track their implementation and effectiveness?

For drinking water:
For wastewater:

For water quality:

For water quantity:

For flood protection:

31. **Which innovative cases of stakeholder engagement should receive particular attention in this project?**
You can suggest examples your organisation has been directly involved in or not.

Please provide a **brief description** and **basic information** (contact person, website, background document, etc.) and the Secretariat will follow-up in May 2014 regarding case studies to be included in the final report.

32. **Please, provide any additional information, comment, view you want to share with the project leaders.**

Thank you for taking the time to answer this questionnaire

Kindly inform Delphine.clavreul@oecd.org (+33 1 45 24 87 73) that you have completed the questionnaire.

Stakeholder Engagement for Effective Water Governance

Technical Note for the OECD Survey

What is the objective of the Survey?

This Survey aims to collect data on stakeholder engagement trends, drivers and practices to assess the impact on decision-making processes related to water services and water resources management. The objective is to provide evidence-based assessment of the main **obstacles** to stakeholder engagement in water policy and projects, collect **best practices**, and formulate **policy recommendations**. Results will be published in an **OECD report** to be launched at the 7th World Water Forum (Korea, April 2015). They will also feed into **OECD Principles** on Water Governance and **OECD Indicators** on Water Governance under preparation.

Where does the project come from?

The project was triggered during the 6th World Water Forum (Marseille, 2012) which session on “stakeholder engagement” called for evidence-based policy guidance to scale up good practices and enhance replicability of **effective stakeholder engagement**, based on empirical data and international experience. The project is an undertaking of the working group n°1 “Stakeholder Engagement” of the [OECD Water Governance Initiative](#), a multi-stakeholder network of 100 delegates from public, private and non-for-profit sectors gathering twice a year in a Policy Forum to share experience in support of better governance in the water sector.

What is the targeted audience for the Survey?

The Survey targets approximately **200 major stakeholders from OECD and non-OECD countries** including governments (central, regional, local), service providers (public, private and mixed), inter-governmental organisations, financial actors, river basin organisations, businesses, agricultural actors, civil society, trade unions, academia, consumer associations, regulators, and advisors.

Roles and responsibilities vary when considering stakeholder engagement, as do judgments and perceptions. Therefore, the Survey makes the distinction between two possible roles of a given institution: “**target**” and “**promoter**” of stakeholder engagement, knowing that in many cases the institution plays **both** roles, sometimes at the same time.

- A “**target**” is hereinafter defined as someone contributing as a stakeholder to consultation, participation and decision-making in water policy and/or management; and
- A “**promoter**” is a stakeholder providing platforms and/or incentives for engaging other stakeholders in consultation, participation and decision-making in water policy and/or management.

It is critical to look at both views to understand how water-related decisions are taken, and how stakeholders contribute to them. The Survey requires respondents to share their experience as **targets**; as **promoters**, or/and as **both**. *All* questions may not be relevant to *all* types of stakeholders for *all* type of issues.

Structure of the Survey

The Survey is divided into 6 sections:

1. **Mapping** of stakeholders and their core motivation: this section aims to identify the main targets and promoters of stakeholder engagement and their core motivations;
2. **Drivers** for stakeholder engagement: this section aims to understand the factors and trends that have driven stakeholder engagement in water related decision-making in recent years;

3. **Objectives** and stages of stakeholder engagement: this section aims to understand the reasons why different groups of stakeholders are engaged in water related decision-making and when (at which stage of a project or reform);
4. **Mechanisms** for stakeholder engagement: this section aims to collect evidence on existing instruments for stakeholder engagement, as well as the potential need for other mechanisms to bridge identified gaps;
5. **Obstacles** and conditions for success for stakeholder engagement: this section aims to identify the most frequent obstacles to effective stakeholder engagement as well as the needed conditions for success;
6. **Results** and impact assessment: this section aims to assess the contribution of stakeholder engagement to the decision-making process, and identify and evaluate the monetary and non-monetary costs and benefits of stakeholder engagement.

Glossary

For the purposes of the Survey, the following definitions are used:

Basin level: area bounded by the watersheds of a system of streams and rivers that flow towards the same outlet [Source: INBO, GWP (2009), *A Handbook for Integrated Water Resources Management in Basins*]

Citizen committees: consist of a group of representatives from a particular community or set of interests appointed to provide comments and advice on an issue.

Consensus conference: public meeting, which allows ordinary citizens to be involved in assessing an issue or proposal. The conference is a dialogue between experts and citizens.

Effective: degree to which the objectives of stakeholder engagement mechanisms/tools are achieved and the extent to which the targeted water governance challenges are addressed.

Efficiency: extent to which time, effort and/or cost invested in stakeholder engagement practices is well used for the intended objective. It can be expressed as percentage of what ideally could be expected from a stakeholder engagement mechanism/tool [Source: Based on UNDP, Water Governance Facility, SIWI, WIN (2013), *User's Guide on Assessing Water Governance*].

Engagement: two-way effort to get involved and/or involve stakeholders in activities and decision-making processes to ensure effective water governance. Engagement happens at different stages of an initiative (design/conception, development, implementation, evaluation, etc.) and can take various forms depending on the degree of involvement of stakeholders:

- **Information/Awareness:** minimal level of engagement characterised by information sharing, awareness campaigns, educational initiatives, training of water professionals, etc. [Source: Based on UNDP, Water Governance Facility, SIWI, WIN (2013), *User's Guide on Assessing Water Governance*];
- **Consultation:** process between stakeholders to initiate and sustain constructive, productive relationships consisting of gathering information or advice, and taking those views into consideration to amend plans, make decisions, set directions, get approval and share ideas [Source: Based on UNDP, Water Governance Facility, SIWI, WIN (2013), *User's Guide on Assessing Water Governance*];
- **Representation:** stakeholder perspectives are represented in the management of the project (strategic committee, advisory board, etc.) [Source: Based on UNDP, Water Governance Facility, SIWI, WIN (2013), *User's Guide on Assessing Water Governance*];

- **Partnerships/Co-operation:** formalised collaboration between institutions, organisations and citizen fora, to combine resources and competencies and share the risks and benefits [Source: Based on UNDP, Water Governance Facility, SIWI, WIN (2013), *User's Guide on Assessing Water Governance*];

Expert panels: engaged when highly specialised input and opinion is required for a project. Generally, a variety of experts are engaged based on various fields of expertise to debate and discuss various courses of action and make recommendations.

Focus groups: used for exploratory studies. The issues that emerge from the focus group may be developed into a questionnaire or other form of survey to verify the findings.

Hotlines: offers information on a project via the telephone and/or access to project team staff members who can answer questions or provide additional information and assistance.

Local level: mainly municipalities [Source: OECD (2011), *Water Governance in OECD Countries: a multi-level approach*, OECD Publishing, Paris].

Meeting: coming together of people for a specific purpose. The meeting can involve a large number of people, or a smaller (fewer than 10) number of people who focus on a specific problem or purpose. Meetings generally have a facilitator, who encourages two-way communication,

Member-based organisations: locally-based organizations made up of stakeholders (e.g. small farmers, women, youth, fishers or forest dwellers) who want to work towards a variety of common goals, such as managing common resources, lobbying their government (local and/ or nationally) on certain issues, or helping to satisfy local needs by providing goods or services. Their primary objective as an organization is to improve their livelihoods and those of their members. MBOs work to be self-sustainable, requiring members to contribute in some way, e.g. through paying an annual fee or providing services. MBOs are democratic in structure, and are subject to local laws and regulations.

National or Central level: central or federal government [Source: OECD (2011), *Water Governance in OECD Countries: a multi-level approach*, OECD Publishing, Paris].

Non-governmental organisations: thematic, usually expertise-based organisations that facilitate advocacy, empowerment and expertise and knowledge-sharing in a specific area, disperse or use funding to create enabling environments and they may have a mandate to act on behalf of CSOs. They have a legal status and mainly consist of paid professionals. NGOs are formally constituted, legally registered, free from commercial interests, non-profit organizations that provide services, information and expertise, sensitize public opinion, and conduct advocacy activities

Public participation: mechanism used by citizens to express themselves, to provide informed, timely and meaningful input and to influence decisions and processes in the political, economic and social sphere at various levels [Sources: Based on EPA Public Participation guide and Rowe G., Frewer L.J. (2005), *Typology of Public Engagement Mechanisms*, Science Technology Human Values 2005 30: 251]

Questionnaires: basic research tool used to collect information, and are usually developed and tested to ensure that they are easily understood and will collect the information required.

Regional level: state, region, province, canton, or autonomous community government [Source: OECD (2011), *Water Governance in OECD Countries: a multi-level approach*, OECD Publishing, Paris].

Social movements: include platforms, committees, mechanisms, federations and networks of advocacy-based and policy-oriented organizations, which promote claims or rights of specific constituencies (e.g. fishers, and fish workers, SME farmers, pastoralists and herders, forest dwellers, urban poor, indigenous peoples, women, youth). They share

similar goals, promote awareness and attempt to influence policy-makers in development, social and/or political issues. While their legal status and characteristics may vary, their common trait is to work to strengthen the capacities of the organizations under their coordination-umbrella to advocate for the common interests, concerns, views and goals of their constituencies and/ or communities. Member-based organizations are different from social movements in that they respond directly to their members. Social movements coordinate different organizations, which may include MBOs as well as NGOs.

Stakeholder analysis: process of discovering the broadest possible range of people who will be affected by, or are interested in, proposed changes or a community issue. It is a cyclic process of surveys, interviews, feedback and fine-tuning that allows for community consultation that includes many stakeholder groups whose opinions might otherwise be overlooked.

Stakeholder: any person or group who has an interest or stake in the topic, may be directly or indirectly affected by water policy, and/or have the ability to influence the outcome, either positively or negatively.

Supranational level: formal legal authority, decision-making power, soft law (guidelines, recommendations etc.) or conditional transfers from an institution (e.g. European Commission) or international body (World Trade Organisation, OECD, World Bank etc.) to member states. [Source: OECD (2011), *Water Governance in OECD Countries: a multi-level approach*, OECD Publishing, Paris].

Surveys: method used to collect information from a specific population. Surveys are used to gauge the level of public information about an issue and provide a 'snapshot' of attitudes and ideas at a particular time. They can be used to determine community attitudes or target a particular group.

Water Governance is about who does what, when and how. It encompasses rules and practices as well as political, institutional, and administrative processes through which stakeholders articulate their interests, their concerns are considered, decisions are taken and implemented, and decision-makers are held accountable in the development and management of water resources and delivery of water services [Source: OECD (2011), *Water Governance in OECD Countries: A multi-level approach*, OECD Publishing, Paris].

Workshops: structured forum where people are invited to work together in a group (or groups) on a common problem or task. The goals are to resolve issues and build consensus for action, rather than provide information and answer people's questions.