Water Governance Initiative

OECD Water Governance Initiative Strategy Paper

Key Achievements and Ways Forward for 2019-21

-- DRAFT (2018-10-24) FOR WGI MEMBER COMMENTS --

Information Note: The paper takes stock of the results produced by the OECD Water Governance Initiative (WGI) over the period 2016-18. It also looks forward and introduces the proposed programme of work for the WGI over the next 3 years, 2019-21.

The paper is based on a Satisfaction and Forward-looking Survey extended to WGI members (May 2018), as well as the conclusions of a Steering Committee workshop held on 17 May, and the proposed actions in the Brasilia Multi-stakeholder Pledge to Implement the OECD Principles on Water Governance launched at the World Water Forum in Brasilia in March 2018. This version takes into account the comments from the WGI-Steering Committee in early September and will be finalised at the 11th WGI Meeting (Zaragoza, 12-13 November) before transmission to the OECD Regional Development Policy Committee, the oversight body responsible for OECD’s work on water governance.

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The Evolution of the WGI: From vision and action to implementation!

The **OECD Water Governance Initiative** (WGI) is a multi-stakeholder network of 100+ experts, policymakers and practitioners from public, private and civil society sectors gathering twice a year in a Policy Forum. It is a unique international forum that addresses water governance issues in a systematic, comprehensive and participative way. It provides a consultation mechanism and stakeholder platform where mutual learning and experience-sharing can take place and where useful water governance practices can be identified and scaled up. Its work is internationally recognised. In its concluding report, *Making Every Drop Count: An Agenda for Water Action, 2018*, the High Level Panel on Water (HLPW), convened by the United Nations and the World Bank identified the WGI as “being especially valuable to states and stakeholders seeking to implement our (HLPW’s) recommendations” to promote improved water governance at local, national basin and regional levels.

The WGI has successfully gone from shaping a **vision** of what needs to be done to improve governance by developing the **OECD Principles on Water Governance over its first phase of activity (2013-2015)**, to fostering concrete **action** for their uptake and implementation through developing a set of water governance indicators and peer-reviewing a series of water governance practices over its second phase of activity (2015-18). The coming phase (2019-21) of the WGI envisages emphasising the **implementation** of the Principles by the further use and development of indicators and by adding a new element of capacity development.

The WGI journey started in 2012 at the 6th World Water Forum in Marseille, France. At the time, a number of organisations (ASTE, OIEau, WIN, SUEZ, INBO, SIWI and UNESCO) actively contributed to the OECD-led Core Group on “Good Governance” for the Forum. It was as a follow-up to this collective approach that the multi stakeholder WGI was launched on 27-28 March 2013. The aim was to continue to join forces to work on improved water governance as a means to achieve sustainable development.

The multi-stakeholder approach that characterises the OECD WGI led to bottom-up co-production of the **OECD Principles on Water Governance** as a framework to understand whether water governance systems are performing optimally and help to adjust them where necessary. The Principles were adopted by the OECD Regional Development Policy Committee (May 2015) and endorsed at ministerial level (June 2015). To date, they have been endorsed by 170+ stakeholders which, form part of the **Global Coalition on Water Governance**, Earlier engagement towards the Principles and their implementation can be found in the **Daegu Multi-stakeholder Declaration**, signed by 60 organisations at the 7th World Water Forum, Daegu, Korea, 2015.

During 2016-18, the WGI maintained this active co-operation as a method of work with its members, and achieved other important milestones with the OECD **water governance indicator framework** and **evolving water governance practices** as tools to support the implementation of the Principles and facilitate the sharing of experiences and peer-learning. Both outputs were the result of a 3-year consultation and co-production process within the WGI working groups on Indicators and Best Practices, and published within the report “Implementing the OECD Principles on Water Governance: Indicator framework and evolving practices” released at the 8th World Water Forum, 2018.

The commitment to the Principles and their implementation was reinforced by the launch of the **Brasilia Multi-stakeholder Pledge to Implement the OECD Principles on Water Governance**, at the 8th World Water Forum in Brasilia 2018. The Pledge reflects a commitment by 140+ stakeholders to engage further to urgently implement improved water governance as set out by the Principles.
For the next three years, the WGI stands ready to further support countries with the implementation of the Principles, while providing a valuable consultation platform to discuss relevant research, policy findings, and events related to water governance from both the OECD Secretariat and WGI members. The proposed programme of work focuses on developing impact indicators and building greater capacities for making use of the Principles and indicators to improve water governance, culminating at the 9th World Water Forum in Senegal in 2021. This will also support the achievement of the 2030 Agenda for Sustainable Development and other global commitments that rely on a shared responsibility across levels of government and stakeholders.
How the WGI works and its objectives

The WGI brings together a range of decision-makers, practitioners and experts from national governments, basin and local authorities (and their networks), regulators (and their networks), donors and international financial institutions, NGOs, international organisations and institutions, service providers (both public and private, and their networks), as well as academics and independent experts. Figure 1 shows the composition of the WGI by type of organisation in 2017. The Initiative also relies on several umbrella organisations (or sub-networks) acting as regional partners in the Mediterranean region, North America, Europe, Africa, Latin America and Asia. The 100+ members of the WGI come from 30 countries of which two thirds are OECD countries.

The WGI was created to make a difference for improved water governance as a means to achieving sustainable development. Within the OECD, it contributes to the activities of the OECD Regional Development Policy Committee (RDPC), which oversees the OECD’s work on multi-level governance, decentralisation, rural and urban policy, as well as territorial development and indicators. The Secretariat of the WGI is supported by the OECD Centre for Entrepreneurship, SMEs, Regions and Cities (CFE). The WGI has a consultative role to the RDPC. It is not an OECD subsidiary body per se and has no decision-making prerogatives vis-à-vis OECD processes.

The following five over-arching objectives are at the core of the WGI the mission to improve water governance:

1. **Knowledge exchanges**: the WGI provides a multi-stakeholder technical platform to share knowledge, experience and best practices on water governance across levels of government, and to discuss key water governance research and analysis produced by the OECD Secretariat and WGI members.
2. **Policy advice**: The WGI advises governments and other public authorities at all levels in taking the needed steps for effective water reforms through peer-to-peer dialogue and stakeholder engagement across public, private and non-profit sectors.

3. **Consultation mechanism**: The WGI provides a consultation mechanism to raise the profile of governance in Global Water Agendas, including the Sustainable Development Goals (SDGs), Habitat III, COP, etc.

4. **Policy standards and implementation**: The WGI supports the implementation of the OECD Principles on Water Governance by interested governments and stakeholders in cities, basins and countries by promoting the uptake of the indicator framework, promoting capacity development and peer learning from concrete water governance stories.

5. **Global discussions on water**: The WGI will facilitate the implementation of the Brasilia Multi-stakeholder Pledge from the 8th World Water Forum (Brazil, 2018) up to the 9th World Water Forum (Senegal, 2021). The WGI will promote continuity on governance discussions at various international meetings by leading and organising water governance events.

**Who did the WGI work with?**

WGI works with a range of actors and the platform allows practitioners, governments and experts to meet and exchange knowledge and ideas. A concrete result of the policy and science collaboration is for example represented by the Water International Special Issue on The OECD Principles on Water Governance: From policy standards to practice. The Special Issue contains seven co-authored articles providing examples of the implementation of the Principles in Europe, Asia-Pacific, Africa and South America (Volume 43, Issue 1, 2018). In addition, a number of other instances of cross-fertilisation took place during the peer-reviews of OECD national policy dialogues (e.g. Water Charges in Brazil, 2017) and the thematic studies (Water Governance in Cities, 2016 and Reshaping Decentralised Development Cooperation, 2018 – with a case study on Water in France). See Table 1 for a full account of the WGI achievements for 2016-2018.

The WGI has worked closely with a range of OECD committees and subsidiary bodies throughout 2016-18. Regularly, information about the outcomes of WGI meetings have been shared with the OECD Regional Development Policy Committee, the OECD Committee for Agriculture, as well as at the OECD Environmental Policy Committee’s Working Party on Biodiversity, Water and Ecosystems. The WGI Chair participated in meeting of the OECD Regional Development Policy Committee (RDPC) and contributed to the Policy Forum section of the 2016 Regional Outlook of the OECD, reflecting a greater importance of water within the RDPC Programme of Work.

In addition, the WGI catalysed and benefitted from high-level political support. During the 8th World Water Forum the OECD Secretary General, Ángel Gurría, launched the report “Implementing the OECD Principles on Water Governance” and officially received from the Chair of the OECD Water Governance Initiative the Brasilia Multi-stakeholder Pledge. The 6th King Hassan II World Water Prize granted to the OECD during the Forum is also a testimony of the global recognition of OECD’s work in the field of water, notably through

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1 OECD Regional Outlook 2016, P.C.G. Glas, Cities and regions – Connected by water in mutual dependency (Part III, Ch.8, pp259-266)
the WGI. Outside the OECD, the WGI welcomed high-level representatives from UN-Water, WWC, WWF, WHO and IWRA that have helped to raise the profile of the WGI in Global Agendas (Sustainable Development Goals, World Water Forum, Habitat III, Climate Change COP, etc.).

**How did the WGI work?**

The WGI enables exchange of knowledge, through peer reviewing of OECD national policy dialogues, opportunities for policy and science interchanges and technical discussions of specific thematic areas. The views and experience from the broad range of stakeholders, within and outside the water sector, helped shape better guidance to governments. Moreover, the “tours de table” of latest developments in terms of water governance and international events organised systematically as part of the plenary meetings of the WGI provided many opportunities to share information and co-ordinate members’ respective work on water governance, including finding synergies and complementarities.

**A three-tier approach:** The WGI operates according to a three-tier structure. The Steering Committee, composed of the Chair and its members, provides strategic guidance within the framework foreseen by the OECD Regional Development Policy Committee’s Programme of Work. The WGI members participated in the activities of the network and related working groups. The broader water community benefits from WGI outputs and results, which are disseminated online and at local, national and international meetings to a larger audience.

**A co-production approach:** During the triennium 2016-2018, two Working Groups, on indicators and best practices, contributed to develop the implementation strategy of the Principles.

- The Working Group on Indicators was co-ordinated by the OECD, the French Scientific and Technical Association for Water and the Environment (ASTEE), Transparency International (TI), International Network of Basin Organizations (INBO), and International Office for Water (OIEAU). It contributed to the preparation of a self-assessment indicator framework to assist interested countries in strengthening the state of play of water governance. Members gathered in several webinars to develop the framework, which benefited from written inputs from WGI members in the form of more than 70 proposed water governance indicators following a call for proposal. Some members also volunteered to pilot test the indicator framework and carried out 11 pilot tests through multi-stakeholder workshops. In addition, intermediate milestones were discussed with the broader water community at global events such as the World Water Week, 2016.

- The Working Group on Best Practices, coordinated by OECD, The Water Integrity Network (WIN), SUEZ and Stockholm International Water Institute (SIWI), contributed to the preparation of a template to collect best practices from interested countries, and gathered 50+ water governance stories. The group developed a survey on water governance practices and organised webinars to peer review stories from specific thematic areas.

**A consultative approach:** WGI activities largely benefited from consultations among its members. The OECD Secretariat circulated a number of working documents and draft reports on a regular basis to collect written comments and suggestions. Members commented on several scoping notes, key messages from working groups, analytical framework for the Principles, and water governance indicators, four summary records from plenary meetings...
and webinars. Moreover, they provided very tangible contributions to the analytical work produced by the WGI, notably

- Lead institutions pilot tested the draft indicator framework, including WGI members such as: Júcar and Segura river basin authorities, Spain; Association for Water and Gas and Association of Public Services and Enterprises, Austria; National Water Authority, Peru; Scotland, United Kingdom; Deltares, the Netherlands; Spanish Association of Water Supply and Sanitation, Spain; Global Water Partnership and; International Secretariat for Water.²

- There were 54 promoters of evolving water governance practices, many of which were among WGI members. The Open University, the University of Dundee and AgroParisTech contributed to an overarching meta-analysis of evolving practices on water governance. Flanders Knowledge Center Water, Belgium, Israel Water Authority, SUEZ, Federal Ministry of Agriculture, Forestry, Environment and Water Management and the Association of Public Services and Enterprises, Austria hosted and led peer-to-peer webinars on the water governance practices.

- Several members also responded to different WGI surveys, such as the Survey on best practices; Survey on the use of the OECD Principles on Water Governance³ and the WGI Satisfaction Survey 2015-2018.

A self-funded approach: The funding modality of the WGI is through in-kind member contribution or financial support (in the form of grant agreements or voluntary contributions outside OECD’s core budget) from WGI members, governments or stakeholders. Such contributions ranged from the mobilisation of members’ expertise on analytical contents, to the engagement of their respective networks in the analytical work and policy forum (e.g. responses to surveys, participation in events), and including the hosting of three of the plenary meetings of the WGI in The Hague, Netherlands (2016) Rabat, Morocco (2017) and Vienna, Austria (2017). During the last three years the in-kind contribution from members is extrapolated to EUR 3 million (1 million on annual basis) based on the estimates received in the WGI Satisfaction Survey of May 2018. Over the last 3 years the estimated Secretariat costs for hosting and coordinating the WGI and carrying out the related analytical work is estimated at € 1.8 million (0.6 million on annual basis). It includes OECD Secretariat, logistical costs, travel and accommodation, analytical work and outreach and communications. These costs were covered through voluntary contributions from champions (mainly in Netherlands, Brazil, Korea, Spain and Germany). However, to date this source of funds has proven insufficient to carry out the full range of activities planned – steps towards a fundraising strategy is proposed at the end of this strategy paper.

² Other partners included for example: Sebou River Basin, Morocco; Selangor Water Management Authority, Malaysia; World Wildlife Fund, Rio Nare River Basin, Colombia; Democratic Republic of Congo Water Partnership; Rimac River Basin, Peru.

What did the WGI deliver?

During the 2016-18 period the WGI has delivered a number of outputs. Table 1 summarises the WGI achievements against its five objectives. It shows in particular the collective outcomes, i.e. the development of the implementation strategy of the OECD Principles on Water Governance (indicators and evolving water governance practices), but also the tangible results of peer-reviews (national policy dialogues published as OECD reports), the benefits of experience-sharing, the technical guidance on analytical work (publication of a number of thematic OECD reports) as well as the contribution of the WGI to the Global Water Agenda. Each of the WGI meetings led to a detailed report called “Highlights”, summarising the content of discussions and exchanges among members.

Three out of four meetings of the WGI were hosted by WGI members in The Hague (The Netherlands), Rabat (Morocco) and Vienna (Austria), with the patronage of the Dutch Ministry of the Environment and Infrastructure, the Moroccan Delegated Ministry for Water and the Austrian Association of Cities and Towns. Each of the WGI meetings over the past few years gathered more than 70 participants coming from public, private and non-profit groups within and outside the water sector, representing more than 15 countries.

It is worth noting that the Principles are used by many members of the WGI. In a stock-taking survey on the implementation of the Principles, 80% of the respondents (members of the WGI and the Global Coalition on Good Water Governance) reported that they use the Principles “often” or “sometimes” for multiple purposes. Well over 50% uses the Principles to identify water governance practices that could guide decision-making. A large number of respondents use the Principles as a tool for assessing water governance in a particular context or to engage in a policy dialogue with relevant stakeholders within or outside of their country; the Principles are also included in advocacy and awareness-raising campaigns, guides for policy processes and practices, and various capacity development and educational materials. One quarter had used the Principles to guide strategic orientations and practices of their own organisations.
# Table 1. WGI Achievements in 2016-18

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Indicators</th>
<th>Results achieved</th>
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</thead>
</table>
| 1. Advise governments in taking the needed steps for effective water reforms through policy dialogue across decision-makers at different levels | ✓ 6 tour de table on recent and on-going water governance reforms.  
✓ 5 countries shared their developments on water governance (Netherlands, Morocco, France, Brazil, and Austria).  
✓ 1 national policy dialogue was discussed in plenary meetings (Brazil) | - OECD (2017a) Water Charges in Brazil. The ways forward  
- OECD (2017b), "The governance of water infrastructure in Chile", in Gaps and Governance Standards of Public Infrastructure in Chile: Infrastructure Governance Review  
- OECD (2016) Water Governance in Cities  

Policy recommendations provided by OECD (2017a) have been used to support discussions within the National Water Resources Council of Brazil on how to improve the Resolution No. 48/2005 establishing general criteria for water charges. |

| 2. Provide a technical platform to discuss analytical work on water governance through peer-to-peer exchanges and knowledge sharing | ✓ 3 peer-review discussions on thematic work on flood, climate change, and cooperation.  
✓ 4 “tour de table” on projects, events and initiatives on water governance.  
✓ 13 scoping notes (on Indicators and Best Practices), and working groups’ synthesis of key messages notes were circulated for written comments.  
✓ Consultations on OECD Council Recommendation on Water and the OECD Council Recommendation on Public Integrity | - Scientific paper: Stakeholder Engagement for Inclusive Water Governance: “Practicing What We Preach” with the OECD Water Governance Initiative  
- Reshaping Decentralised Development Cooperation (case study on Water in France)  
- Contribution to the INBO-led Ecocuencas report: Climate Change Adaptation in Latin America Basins |

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### Objectives

3. Provide a consultation mechanism to raise the profile of governance issues in the Global Water Agenda

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Indicators</th>
<th>Results achieved</th>
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<tbody>
<tr>
<td>✓ WGI participation and co-organisation of major international events, e.g.:</td>
<td>▶ INBO General Assembly, 16-18 June 2016, Merida, Mexico</td>
<td>Brasilia Multi-stakeholder Pledge to Implement the OECD Principles on Water Governance</td>
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<td>▶ World Water Week, 28 August – 2 September 2016, Stockholm, Sweden;</td>
<td>Water Governance Indicators framework in support of monitoring of the SDG 6.b</td>
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<td></td>
<td>▶ Water Economics Forum, 24 November 2016, Madrid, Spain</td>
<td>Explicit mentioning of WGI as “being especially valuable to states and stakeholders seeking to implement the HLPW recommendations”: High Level Panel on Water (HLPW), 2018, Making Every Drop Count: An Agenda for Water Action.</td>
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<td>▶ XVth IWRA World Water Congress, 29 May – 2 June 2017, Cancun, Mexico.</td>
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<td>▶ COP 23, session 2 – Water for Urban resilience during the Water Action day, 10 November 2017</td>
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<td>▶ 8th World Water Forum, 18-23 March 2018, Brasilia, Brazil.</td>
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<td>✓ Discussion on conclusions of international events shared during WGI plenary meetings:</td>
<td>▶ COP 21 Paris Declaration &amp; the Basin Pact</td>
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<td>▶ Outcomes of COP 22 and 23</td>
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<td>▶ Water in the New Urban Agenda, Habitat III Conference</td>
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<td>▶ Outcomes of the Budapest Water Summit (Budapest, 28-30 November 2016)</td>
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<td>▶ Session on the SDGs at WGI plenary meetings</td>
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<tr>
<td>Objectives</td>
<td>Indicators</td>
<td>Results achieved</td>
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<tr>
<td></td>
<td>54 water governance stories</td>
<td>- Brochure on the OECD Water Governance Indicator Framework</td>
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<td>12 pilot tests on indicators</td>
<td>- On line map on 11 pilot tests and 50+ water governance stories/practices</td>
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<td>7 scientific papers on the application of the OECD Principles on Water Governance in countries and by water function</td>
<td>- Scoping note on “OECD Legal Instruments and the Principles on Water Governance: Connecting the dots”</td>
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<td>5. Foster continuity on governance discussions between two World Water Forum (every 3 years), in particular by supporting the Governance Implementation Roadmap of the 7th World Water Forum (Korea, 2015) up to the 8th World Water Forum (Brazil, 2018).</td>
<td>2 working groups on indicators and best practices in continuation with the objective of fostering better water governance.</td>
<td>- Progress was achieved on each target as a follow up of commitments from the 7th World Water Forum:</td>
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<td>6 working group meetings/workshops/webinars :</td>
<td>- Target 1: development of indicators; checklist for action and practices relate to stakeholder engagement in the water sector, contained in the OECD publication “Implementing the OECD Principles on Water Governance: Indicator Framework and Evolving Practices” and in the on line map;</td>
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<td>- WG on Indicators:</td>
<td>- Target 2: indicator framework for assessing to identify regulatory and non-regulatory tools and monitoring systems;</td>
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<td>o 1st webinar (25 April 2016)</td>
<td>- Target 3: ad hoc indicators and checklist in reference to Principle 2 and 6; pilot tests carried out at basin level as a reality check for the development of water governance indicators and;</td>
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<td>o 2nd webinar (15 November 2016)</td>
<td>- Target 5: ad hoc indicators and checklist in reference to the cluster on “trust and Engagement” of the OECD Principles on Water Governance; collection of on best practices; concrete examples related to Principle 9 and results from 12 pilot tests;</td>
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<td>o 3rd webinar (15 June 2017)</td>
<td>- Highlights report on WGI activities at the 8th World Water Forum</td>
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<tr>
<td>Objectives</td>
<td>Indicators</td>
<td>Results achieved</td>
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<td>3rd webinar (15 June 2017)</td>
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<td>3 thematic sessions on governance organised by the WGI at the 8th World Water Forum to follow-up on Daegu’s targets: Session 9c1: How to Enhance Multi-Level Water Governance? Session 9c2: How is Water Governance in Your Country? Indicators to Assess Institutional Performance and Session 9c.3 What’s Your Water Governance Story?</td>
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Lessons learned during the past three years

SWOT Analysis

A SWOT analysis was made for the 2016-18 period. It provides an overview of lessons learned and a basis for future opportunities in terms of the who (i.e. membership, partnership, supporters, etc.), how (methodology, format of meetings) and what (topics covered, results achieved). It updates the SWOT analysis carried out for the previous triennium, highlighting that WGI has made significant progress and with many future opportunities. It also draws attention to some elements that need further work related to weaknesses and risk mitigation.

Table 2. SWOT analysis of the WGI

<table>
<thead>
<tr>
<th>WHO</th>
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<td>STRENGTHS</td>
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<tr>
<td>Multi-stakeholder composition</td>
<td>Ability of WGI to deliver on expected outcomes and meet expectation</td>
<td>Contributions of members and Steering Committee institutions (staff, time)</td>
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<td>Participation of OECD high-level officials and ambassadors</td>
<td>Chair &amp; Steering committee (dedicated, active)</td>
<td>High quality and status of WGI collective outputs</td>
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<td>High-level support from the water community</td>
<td>High engagement &amp; commitment of WGI members</td>
<td>Close links to the Global Water Agenda with participation in major water events and discussion on SDGs</td>
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<td>High-level of trust and enthusiasm from members</td>
<td>High level technical discussions</td>
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<td>Visibility, through WGI contributions to multiple international events</td>
<td>International visibility, impact, recognition and credibility (for example, through OECD being awarded the king Hassan II Water Prize; and WGI and the Principles being acknowledged as important to achieve the HLPW agenda for action)</td>
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<td>Bottom-up and evidence-based analysis</td>
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<td>Quality technical documents by the OECD Secretariat</td>
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<td>High level technical discussions/expertise</td>
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<td></td>
<td>Select champion countries (Netherlands, Mexico, Spain, Germany, Brazil.) for targeted funding and in-kind support</td>
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| WEAKNESSES | | |
| Some OECD Members do not participate in the WGI. | Formal setting of the WGI meetings (i.e. U-shape table) | Some members being passive in reacting to requests for inputs on WGI related work and outputs |
| Limited representation of non-OECD Members. | Not always sufficient time for comments and discussion | Variation of the working group composition at each plenary meeting, beyond the leadership, which is stable |
| Limited participation of specific sectors (e.g. agriculture, transport, tourism, mining, etc.) | WGI documents could be better disseminated if available in more languages | |
Table 1 and Table 2 show that the WGI has made significant headway during the last three years. It has delivered with high quality and according to plans (see also next section on the Satisfaction Survey). Moreover, it indicates that the WGI network remains strong with dedicated members who are more than willing to contribute towards strengthening the implementation of the Principles.

The SWOT analysis also highlights that the WGI still faces some challenges, which also represent inter-related opportunities for WGI to expand its stakeholder reach, increase its impact and to leverage additional funding support:

- "Who": Broadening the scope of the WGI membership is needed to ensure greater representativeness and inclusiveness in the future. There is an urgent need to engage stakeholder groups “outside of the water-box” such as local governments, basin organisations, urban planners, property developers, customer associations, trade unions, farmers and their association and representatives from the energy sector. Moreover, additional non-OECD country members should also be approached.

- "What": It would be crucial to make further efforts in communicating the Principles and related tools, namely the indicators and the water governance stories. One way to
increase the understanding and knowledge of the Principles is through capacity development activities. As part of thematic areas the WGI should develop opportunities for working with water governance in cross-cutting ways (as will be seen in the next section that highlights the Survey, members have a clear preference to work on cross-cutting issues)

- "How": Even though the WGI so far has managed to rely on in-kind contributions and ad hoc financing channelled to the OECD, additional funding is yet to be secured for scaling up activities linked to the implementation of the Principles, and related costs of activities (analytical and secretariat support, logistics, etc.). While current funding streams have proven to create a certain level of stability for the WGI, the diversification (and increase) of funding sources would help to increase impact and to better ensure sustainability of its activities. Hence the broadening of the funding base needs to be continued with the development of a fund raising approach that can cater for various types of donors (e.g. government, bilateral programmes on water issues, private funds, philanthropic foundations, etc.) and funding modalities (e.g. direct, indirect and in-kind funding). The WGI Satisfaction Survey confirmed that the introduction of a membership fee would jeopardise the participation of close to half the membership, in particular non-governmental organisations, although it revealed that 46 % of members are willing to contribute financially through a membership fee, under certain conditions. Given the diversity of its membership (i.e. NGOs, private sector, governments, etc.) and the difficulty to have a standard approach to all members, the WGI does not intend to establish a membership fee at this stage and other mechanisms are considered needed to catalyse the revenues.

Some highlights from the Satisfaction Survey

As a means to reassure that the WGI stays relevant and continues to deliver with high quality on water governance, the OECD Secretariat conducted a WGI Satisfaction and Forward-looking Survey (May 2018) on the last three-year programme of work with the WGI members to collect their feedback on areas to be improved as well as guidance for future directions. In all, 76 member institutions responded to the survey, a 70.4% response rate.

The WGI is strongly mandated by its members to continue a new work phase. The Survey results emphasised a strong call - 100% of respondents - to continue WGI activities to support the implementation of the OECD Principles on Water Governance in interested countries, basins and cities.

The result of the Survey points to a very high degree of satisfaction, above 95% for the Secretariat, the Chair, and the overall network, and of 87% for the Steering Committee (see Figure 2). Similarly, the level of satisfaction was in general high with the two working groups on indicators and best practices, even though some suggestions were provided to further improve coordination, communication and content of the working groups (see Figure 3). In the next phase of the WGI, working groups will be maintained with new functions and objectives to focus on the implementation of the tools developed, namely indicators and practices.
Figure 2. Overall satisfaction of members with the WGI

Source: WGI Satisfaction Survey, 2018
The results from the Survey stress the need to emphasise the implementation of the Principles and related tools. As part of an implementation strategy the survey points to reaching out to both OECD and non-OECD countries. It also points to WGI working in a crosscutting way with regard to topics, themes and multi-stakeholder engagement.

The Survey flagged some areas for improvement in the next phase, with a primary focus on involving stakeholders outside the water box and improving communication and dissemination of WGI work in a more user-friendly fashion, but also the format and facilitation of meetings. Suggestions from the members to reach beyond the water sector includes increasing representation of the WGI in non-specific water events or using the implementation of the indicator framework to involve water-intensive sectors, such as agriculture or energy. Respondents also suggested producing more user-friendly reports.
(beyond the OECD-style) to help communicate the content of the work and the methodology used by the WGI. Lastly, respondents called for less formal settings for WGI plenary meetings when possible and more small-scale and action-oriented exchanges.

The Survey indicates that there is potential to expand the analytical base and the research discussed at the WGI. In comparing survey results, one can conclude that if members contributed to discussions within the network by presenting their research and analytical work for discussion or peer-reviewing other members could benefit from the knowledge, and vice versa. As a result, the next phase of the WGI could consider changing the format of meetings. A possibility could be to include more thematic sessions where members could present their on-going research and analytical work for discussion and peer-review. It may not only be at WGI meetings but can also be through webinars.

The survey provided guidance on future strategic work areas of the WGI. Firstly, a total of 82% of respondents consider that it is “very important” or “important” to facilitate the uptake and use of the Water Governance Indicator Framework to implement the OECD Principles (Figure 4). Qualitative answers call for reaching both OECD countries and non-OECD economies in these efforts. In fact, 22 members expressed their interest to volunteer as a lead institution for a self-assessment in their city, basin or country. Secondly, 67% of respondents considered that it is key to develop capacity-building modules and train mentors/facilitators. A common call from respondents is that the WGI should seek partnerships with institutions that already have a long experience in capacity building, to leverage on the convening power of regional networks (e.g. in the Mediterranean, Asia, Africa, etc.) and to raise political awareness on the importance of water governance. Lastly, close to 73% consider that it is relevant to promote peer-learning through the water governance practices collected during the 2015-18 phase of the WGI. In this regards, 27 members expressed their interest to host/peer-review a webinar on practices.
Figure 4. Which strategic activities should the WGI prioritise to support the implementation of the OECD Principles on Water Governance?

[Source: WGI Satisfaction Survey, 2018.]

The Survey result suggests that the water governance thematic work the WGI can explore in its next phase should be cross-cutting in its nature. Four thematic areas received high ratings: Water, Climate Change and Megacities; Water and Circular Economy; Water, Energy and Food Security; and Water and Land Use. The next phase of the WGI could therefore mainstream these thematic areas in some of its analytical and content work, which could also contribute to reach out to groups and stakeholders from outside the water box who are currently under-represented. It could also take the form of workshops, during WGI plenary meetings and/or through webinars.

On the side of costs and budgets a fair amount of WGI members (52%) estimated correctly the 3-year total cost (approximately EUR 1.8 million over 3 years) of the WGI in terms of OECD Secretariat staff, logistical costs and analytical work. It is worth noting that one quarter of the respondents considered the WGI costing more than it actually does, while close to 19% think that it costs less. Members were also asked to estimate the total costs that they (themselves) or their institutions incurred for engaging with the WGI for the last three years, in terms of travelling, in-kind contribution, staff provisioned to support inputs, if any, time devoted to WGI activities, etc. For the 77 responses received, the estimation was 2,263,572 €, which if extrapolated to all members is around EUR 3 million for the period 2016-18. The next phase of the WGI could make costs and budget requirements more explicit as part of delivering on the programme of work. This would also be supportive of developing a fund raising strategy aiming at not only sustaining the WGI, but also to mobilise additional funding in support of implementing the OECD Principles on Water Governance in a larger number of countries beyond the OECD membership.
Where should the WGI be heading?

Over the past 5 years, the WGI has repeatedly conveyed that good water governance is essential to inclusive economic growth, environmental sustainability and people’s wellbeing. It is critical that governments strengthen their water policies and set sound incentives and frameworks to catalyse implementation of improved water governance as a means towards achieving the SDGs. The OECD Principles on Water Governance constitute a solid framework to design and implement better water policies across all levels of government, and in a shared responsibility with water stakeholders.

The WGI is well placed to promote and facilitate implementation of good water governance frameworks through knowledge sharing, bottom-up learning and access to international experiences, especially in relation to supporting the achievement of the SDGs. As set out in the Brasilia Multi-stakeholder Pledge to Implement the OECD Principles on Water Governance, endorsed by WGI and adopted at the World Water Forum in Brasilia, March 2018, expects the WGI to engage in capacity development activities for enhanced implementation of the Principles through tailored support to use and improve the indicator framework and learn from practices.

A focus on indicators and capacity development for implementation

The WGI is an initiative that is going from vision and actions to develop tools to promote and support implementation (see Figure 4). After having developed 12 Principles on water governance and implementation tools in the form of process and input indicators and evolving practices, it is proposed to focus on two sets of core activities for the WGI in 2019-21, and under the overarching objective of contributing to the implementation of the Principles as a means to reach the SDGs and other international objectives and targets: i) Promoting the use of existing indicators and developing impact indicators and ii) promoting capacity development and developing modules and activities to improve water governance.

Indicators

The WGI will promote that governments and other stakeholders apply existing input and process oriented indicators and better understand and analyse the development impacts of improved water governance as a means of what works to deliver expected outcomes.

Based on existing indicator framework the next steps will be to developing impact indicators to measure the impacts of water governance on economy, social well-being and environment.

The water governance indicator framework produced over the period 2015-18 can help interested cities, basins and countries assess whether their water governance systems perform optimally. WGI can promote and assist governments and other stakeholders to make voluntary use of existing indicator framework for collectively identifying policies and strategies that can better address water challenges. WGI members can also offer mentoring support to governments and other stakeholders interested in carrying out the self-assessment and guide them throughout the 10 step methodology for self-assessment as developed and reported in OECD (2018) Implementing the OECD Principles on WaterGovernances.
In parallel work will be undertaken to develop impact indicators. Impact indicators are essentially about measuring change and to what extent water governance measures are having the intended results in relation to improve water management and socio-economic impacts.

The development of impacts indicators can contain the following steps: i) Inventory of existing impact indicators; ii) definition of clear objectives of and target groups for the forthcoming impact indicators; iii) identification of methodologies for data production and collection; iv) identification of typology of impacts that the framework will help assess; v) identification of a list of possible impact indicators, based on inputs from the OECD Secretariat and WGI members; vi) pilot tests of the selected impact indicators; vii) finalisation of the OECD Water Governance indicator framework, including input, process and impact indicators. During the activity period a series of webinars and possibly technical workshops will be carried out to favour exchanges across WGI members on the subject. The impact indicators will be shared on line in an easy to use format and launched at the 9th World Water Forum in Senegal 2021.

Capacity development

The WGI could further assist governments and other stakeholders at different levels (national, basin, regional, cities, etc.) and in both OECD and non-OECD countries to increase their capacities to design and deliver on water governance programmes and agendas for better effectiveness, efficiency and inclusiveness in water management. Promoting capacity development and developing modules and activities can help inspire water governance improvements at different scales (cities, basins, regions, countries). Capacity development will target the Principles and existing indicator framework as means for contributing to the achievement of the SDGs and other international development objectives and targets. Additionally, it is foreseen to further use and disseminate water governance practices as a peer-learning tool that can assist to illustrate what type of capacities that are needed to make progress in particular contexts.

In a simplified way capacity development can be seen as processes through which individuals and organisations obtain, strengthen and sustain capabilities to set and achieve development objectives over time. Capacity development will take a staged approach: i) Taking stock of and make inventory of existing water governance capacity development initiatives and frameworks; ii) defining purpose, scope and target group/s of capacity development framework and; iii) developing materials in a set of capacity development modules; and (iv) testing the modules in different workshop environments. These modules could be designed for regular training activities targeting practitioners and higher level decision-makers, as well as training of trainers

Experiences of and knowledge on water governance capacity development will be gathered in a “flagship” report on “Building capacities for improved water governance” to be launched at the 9th world Water Forum.
**Communication and outreach**

In addition to the two priorities as proposed above, cross-cutting activities concern communication and outreach vis-à-vis selected target groups, including non-OECD Members. The Principles, indicators and practices will be widely disseminated through social media as well as at various strategic events to raise the profile of governance in the global water agenda and facilitate the uptake and use of Principles and indicator framework.

New members will be invited as a means to increase WGI impacts and to expand the communication and outreach potential, especially from emerging and developing economy contexts, and from beyond the water sector itself, such as city representatives and their networks.

For proposed work plan for the next 3 years see Table 3.
Table 3. Rationale, activities, roles and expected main deliverables, 2019-21

<table>
<thead>
<tr>
<th>WHY [Rationale &amp; relevance]</th>
<th>HOW [Approach &amp; concrete steps]</th>
<th>WITH WHOM [Roles and responsibilities]</th>
<th>WHAT FOR [Deliverables &amp; outputs]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>INDICATORS</strong></td>
<td></td>
<td><strong>Leadership/coordination:</strong></td>
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</table>
| • Assist governments and other stakeholders to make use of existing input and process indicators as a means of what works to deliver improved outcomes | • Prepare an update of the comprehensive Inventory taking stock of existing result indicators in terms of:  
  - Impacts on governance dimensions  
  - Impacts on water management  
  - Impacts on economy, social well-being and environment | By Secretariat and WGI Steering Committee members: OECD, ASTEE, TI, AEAS and INBO  
Contributions: interested WGI members within a dedicated working group:  
  - Contribute to the development of impact indicators with experts in measuring governance, within and outside the water sector  
  - Assist with the discussion and proposal on the metrics/proxies to be selected and where/how to collect data.  
  - Provide inputs on impact indicators in use  
  - Comment on working documents, based on policy, practical and/or academic experience  
  - Support pilot testers in checking the feasibility of the proposed result indicators | • Impact indicator framework developed and published as an on-line tool. To be launched at the 9th World Water Forum  
• A brochure to be prepared that presents the indicators and to promote interest among stakeholders to use them  
• Impact indicator framework piloted in 3-5 contexts (country, basin, cities) and synthesised in workshop reports  
• The existing indicator framework used in 5-7 additional OECD and non-OECD countries, basins, cities and synthesised in workshop reports  
• Contribute to the programme on “The Governance and Economics of Water Security for Sustainable Development in Africa” as appropriate |
| • Take the next step to developing the OECD Water Governance Indicator Framework by developing impact indicators that can help measure the outcomes of water governance on economy, social well-being and environment | • Prepare a Working paper identifying clear purpose, scope and target groups of the impact indicators and providing a preliminary list of impact indicators, following extensive consultation within WGI and relevant OECD bodies  
• Pilot test the indicators with different stakeholders and at different levels, and refine accordingly  
• Collect data across countries, regions, basins and cities on a voluntary basis  
• Results published on line in user friendly and accessible ways | | |
<table>
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| • Help governments and other stakeholders to identify water governance related capacity development needs, demands and priorities | • Apply a staged approach towards developing a capacity development framework to promote the Principles and use of existing process indicators:  
  - Step 1: Prepare a comprehensive inventory taking stock of existing water governance capacity development initiatives and frameworks  
  - Step 2 (end of 1st year): clear definition of the scope, the target group/s and the geographical scope of the capacity development framework. The discussion will be based on a draft scoping note, which will be finalized by the end of the 1st year  
  - Step 3 (end of 2nd year): practical training modules and material for pilot testing will be produced (including training of trainers). Modules will be piloted within 3-5 OECD and non-OECD countries. Pilot test results synthesized and the capacity development framework finalized | Leadership/coordination:  
By Secretariat and WGI Steering Committee members: OECD, SIWI, WIN, and Suez  
• Contributions: interested WGI members within a dedicated working group to:  
  - Provide guidance/comments on the scoping note on capacity development framework;  
  - Share experiences and practices at basin, local and national scale in OECD and non OECD countries;  
  - Engage in activities to discuss and review the capacity development framework (webinars, fact-checking, discussions at WGI meetings, etc.)  
• Seek strategic partnerships to add value to existing efforts on capacity development | • Capacity development framework developed as on-line tool with guidelines, policy advice, practical tips and international examples to assist interested stakeholders worldwide in improving water governance. To be launched at the 9th World Water Forum  
• Pool of trainers in place in both OECD and non-OECD countries  
• Prepare a brochure that presents the capacity development framework  
• 5 webinars held for peer-learning on the water governance practices (Water governance practices integrated in capacity development materials)  
• 5 partnerships developed to integrate water governance in existing capacity development efforts  
• Develop a flagship report on “Experiences in developing capacities for improved water governance based on the Principles” to be launched at the 9th World Water Forum  
• Contribute to the programme on “The Governance and Economics of Water Security for Sustainable Development in Africa” as appropriate |
| • Assist governments and other stakeholders at different levels (national, basin, regional, cities, etc.) to increase their capacities to design and deliver on water governance programmes and agendas – For better effectiveness, efficiency and inclusiveness in water management! | • Extend peer-learning of water governance practices to capacity development |  |  
| • Extend peer-learning of water governance practices to capacity development |  |  |  

Leadership/coordination:

By Secretariat and WGI Steering Committee members: OECD, SIWI, WIN, and Suez

• Contributions: interested WGI members within a dedicated working group to:
  - Provide guidance/comments on the scoping note on capacity development framework;
  - Share experiences and practices at basin, local and national scale in OECD and non OECD countries;
  - Engage in activities to discuss and review the capacity development framework (webinars, fact-checking, discussions at WGI meetings, etc.)
  - Engage as mentors and resource persons in pilot trainings

• Seek strategic partnerships to add value to existing efforts on capacity development
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<th>HOW [Approach &amp; concrete steps]</th>
<th>WITH WHOM [Roles and responsibilities]</th>
<th>WHAT FOR [Deliverables &amp; outputs]</th>
</tr>
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<tbody>
<tr>
<td>• Disseminate widely the Principles, the indicators and water governance practices to raise the profile of governance in the global water agenda</td>
<td>• Translation of the Principles into additional languages</td>
<td>• Develop communications materials that: i) Target different audiences and regions (who?); ii) contain clear and strong messaging (what?); and iii) deliver messaging efficiently (how?) to promote the uptake of Principles and the use of indicators, water governance practices and capacity development materials to assist interested stakeholders worldwide in improving water governance.</td>
<td>• 2-3 research papers produced related to the use and implementation of the Principles</td>
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<tr>
<td>• Raise appetite to test/implement the Principles among stakeholders worldwide and use indicators and water governance practices</td>
<td>• Translation of existing indicator framework into at least ten languages</td>
<td>• Develop social media as tools for results dissemination and communication platforms among members and beyond</td>
<td>• Update the web-based map on impact indicator pilots</td>
</tr>
<tr>
<td>• Bring in new members to the WGI to bridge identified membership gaps through the involvement of umbrella organisations, targeted outreach activities, and to make contribution to working groups</td>
<td>• Disseminate the Principles, indicators and water governance practices at local, national, international events on water and/or governance (e.g. international discussions on climate change, water-energy-food nexus, development, disaster prevention, anti-corruption, etc.)</td>
<td>• Contribute to communication and outreach of the programme on “The Governance and Economics of Water Security for Sustainable Development in Africa” as appropriate</td>
<td>• Organise OECD and non-OECD regional and stakeholder consultations, including with the help of regional partners and umbrella organisations within the WGI, to take into account the specificities of each region and the contributions of different actors/sectors to contribute to the implementation of the Principles through indicators, water governance practices and identifying capacity development gaps</td>
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**Steering Committee, with interested WGI members:**

• Lead outreach and communication efforts through their respective work and networks;

• Prepare a calendar of scheduled water-related events to organise consultatations/side-events/seminars to raise awareness on the Principles, Indicators and Water Governance Practices
### WHY [Rationale & relevance]

### HOW [Approach & concrete steps]
- Develop research/academic papers on the implementation of the Principles, use of indicator framework and; capacity development needs

### WITH WHOM [Roles and responsibilities]

### WHAT FOR [Deliverables & outputs]
How to get there?

Adjusted structure and content of WGI working groups

It is proposed to re-adjust the structure and content of the WGI working groups to match the core activities detailed in Table 3. Two main working groups on capacity development and indicators are proposed as working modality (see Figure 6 below).

It is worth noting that the new working group on capacity development also will contain work on peer-learning based on the water governance practices. Peer-learning is seen as inherently related to capacity development and hence it constitutes a good fit for combining under the same work area. Also from a secretariat workload and a synergetic point of view, it is seen as more effective to combine these areas. In addition, there is a need for a whole-of-WGI approach whereby members can contribute to some or all of the areas of work through tailored in-kind contributions and in synergy with their daily activities, comparative advantage and respective strategic objectives. It is proposed to adjust the objectives of the WGI to reflect capacity development as a new work area.

The two main and partly complementary activities, related to capacity development and indicators, will be supported by extensive outreach and communication efforts, by the Steering Committee and interested WGI members. The OECD Secretariat and Steering Committee will facilitate communication and co-ordination between the activities while regularly reporting on progress and seeking synergies. While each working group has different objectives and expected outcomes, their boundaries overlap and should be considered in a systemic way rather than in silo.

During the WGI plenary meetings required time will be allocated in the meeting agenda for the working groups to make progress on activities.

Figure 6. Structure of the WGI, 2019-21
Towards a fund-raising strategy

The increased focus of WGI on the implementation of Principles, indicators and capacity development activities would require additional funding. Typically, the evolution from vision to action, and from action to implementation, is expected to come at a higher cost, since systematic and up-scaling of implementation activities in general cost more than development of tools and methodologies. The self-funded approach (containing voluntary ad hoc contributions to OECD and members’ in-kind contributions) will go a long way but will not be sufficient. As a response, it is required to developing and securing additional funding sources.

Active fundraising is thus required by the WGI to ensure that it delivers on its full range of objectives for the work programme period. One important step is to develop a resource mobilisation/fund raising strategy aiming to diversify and increase funding to scale up the implementation of the Principles and related tools and methodologies (indicators, capacity development and practices).

A fund-raising strategy should outline several avenues to enhance water governance funding, and subsequently support the overall resource mobilisation of the initiative. Funding options can be in-kind and/or financial contributions to the WGI-secretariat at OECD, or to partnership programmes involving WGI members in different configurations. The manner in which funding can flow should thus be considered in a flexible way to allow for different funding options. For example, one possibility is to develop a “basket-fund” where interested donors will have the option to contribute with non-ear marked funding to the benefit of the entire programme, or to ear-mark support for specific activities.

Specifically, the strategy should guide systematic work to:

- Expand and enhance the existing partnership engagement with current funders.
- Diversify the pool of funders by adding new funding partners in order to absorb more sources of income including innovative financing mechanisms and initiatives, such as through leveraging the King Hassan II World Water Prize, awarded to OECD.

As part of the resource mobilisation strategy, it will be critical to for example to:

- Map potential financiers of water governance in both OECD and non-OECD contexts (governments, government agencies, foundations, private sector).
- Analyse staff requirements to properly manage and conduct resource mobilisation efforts as longer-term objective.
- Develop selling-pitches, fund raising materials and project proposals targeting various funders.
- Developing new innovative partner mechanisms of -for example- private sector engagement.
- Analyse the overall funding landscape and funder priorities to develop concepts and delivery mechanisms around it.
- Conduct analysis of funding related trends, political and economic developments and budget allocations in specific contexts. This can for example be to follow development cooperation budget allocations in OECD-countries and proposed priorities.
• Analyse key developments in sector/cross-sector policies, such as energy, food, climate change, implemented at international and country levels and to identify potential funders willing to support such policies (for example SDGs and National Adaptation Plans).

Under the leadership of the Chair, the WGI will reach out to foundations, bilateral and multilateral organisations and other potential funding partners working on water governance to raise awareness about the WGI and explore their interest to fund its activities. Efforts will be led by WGI Steering Committee, in cooperation with interested members, and supported and coordinated by the OECD Secretariat.