

Survey of National IWRM Policies, Strategies and Plans Methodology and Questionnaire

Background

As a consequence of the call of WSSD in Johannesburg in 2002 for all countries to produce integrated water resources management and water efficiency plans by 2005, GWP conducted an “informal stakeholder baseline survey” on the status of water sector reform at the end of 2003. It was intended to be an operational assessment of countries’ readiness to meet the 2005 WSSD action target. The survey was funded by Norway, which held the Chair of the Commission on Sustainable Development (CSD12) in 2004. The survey “version 1” was launched at CSD12.

As a follow-up to the first survey, and taking into account the 2005 World Summit’s resolution to assist developing country efforts to prepare IWRM and water efficiency plans as part of their national development strategies to achieve the MDGs, it has now been agreed that GWP will conduct, through its network, an internal survey on the extent to which countries have progressed towards meeting the IWRM Plan action target, with a specific focus on IWRM policies, strategies and plans¹ prepared to date.

Scope of survey

The first survey was an assessment of the progress of the IWRM process in various countries. The proposed survey adds value because it will build on a questionnaire² with questions designed to extract brief information and facts about IWRM policies, strategies and plans in each country surveyed. The main purpose of the survey is to collect basic facts on this issue – not to ask respondents to make an assessment, except in a special section for assessment information that is clearly labelled as such. A glossary of terms used is included as Annex A.

While the questionnaire to be used in this survey is carefully constructed to capture the form of IWRM policies and plans, it is not designed to address the substance of what is actually happening on the ground. This survey is therefore a fore-runner and first step of a more comprehensive effort on IWRM monitoring that GWP is considering doing in cooperation with the World Water Assessment Programme (and potentially other organisations working on IWRM monitoring) in the period 2006-2009. This more comprehensive effort will focus on finding out what is actually happening in countries, especially at the local level.

An important consideration is to have the results as fast as reasonably possible, to publish them in March 2006.

¹ Although the WSSD in 2002 referred to “IWRM and water efficiency plans” in the plural, it is interpreted by GWP to mean one process and one outcome, including water efficiency as part of IWRM.

² The questionnaire used here is adapted from a questionnaire previously developed by DHI and applied by UNEP, GWP and the EU Water Initiative for surveys in West Africa and the EECCA region.

Methodology

The proposed survey builds on the active participation and assistance of RWPs³ and CWPs, where they exist. The intention is to have the RWPs or CWPs (or a knowledgeable and objective observer designated by the concerned RWPs/CWPs) fill in the questionnaire and retrieve and submit the requested documents – in close liaison with relevant government authorities wherever possible. The survey will therefore limit its coverage to those countries in which GWP has a reasonable presence through either a RWP or a CWP.

It is anticipated that the results of the survey will create a basis for selecting a smaller number of countries that could subsequently be studied in more detail with respect to policies, strategies and planning documents. In order to facilitate further studies and help develop an IWRM library that could serve as a source of experience exchange and learning for water managers, countries and partners engaging in the current survey are requested to submit such documents along with the filled-in questionnaire.

Process and timing

Subject to agreement and coordination with other related ongoing or planned initiatives, the following process is envisaged:

- End-October: GWP Secretariat distribute the questionnaire to the RWPs/CWPs
- End-October to end-November: RWPs/CWPs fill in questionnaire and retrieve relevant documents, and submit questionnaire and documents to Secretariat by end November;
- December-February: Questionnaire results are analyzed and final report is prepared
- March 2006: GWP presents the survey report at WWF-4

³ The term RWP also includes an RTAC where the RWP is still being formed.

Questionnaire

To respondents: Wherever relevant, please insert your possible comments or attach them in a separate document or sheet of paper, referring to the number of the question. Please do not forget to obtain copies of each document that is referred to.

For clarifications please contact Sofia Vanner at the GWP Secretariat.

GWP Secretariat
Drottninggatan 33
SE - 111 51 STOCKHOLM , SWEDEN
Tel: +46 8 562 51 900; Fax: +46 8 562 51 901
Email: Sofia.Vanner@gwpforum.org

Information on respondent(s):

1. Contact person (in case clarification is necessary):	
Name:	Mindaugas Gudas
Position:	Head of Basin Management Division
Organisation:	Environmental Protection Agency of Lithuania
Address:	Juozapavicius street. 9. LT-09311 Vilnius
Country:	Lithuania
Telephone:	+370-5-2662816
Email:	m.gudas@aaa.am.lt
2. Co-respondent (if relevant)	
Name:	
Position:	
Organisation:	
Address:	
Country:	
Telephone:	
Email:	
3. Co-respondent (if relevant)	
Name:	
Position:	
Organisation:	
Address:	
Country:	
Telephone:	
Email:	

Field Code Changed

Part A: OPINION-BASED ASSESSMENT INFORMATION
(See also Part D)

1. The 2005 national IWRM & WE plans target was a challenging milestone for many countries considering the short period involved (September 2002 – December 2005). Considering the situation in your country in September 2002 and the subsequent efforts made plus the results achieved in establishing a strategy and/or plan, do you believe that your country has in essence met the target?

- Fully
 Partially
 Scarcely

Part B: BASIC FACTS

2. Does the country have a water policy:

2a)	Existing <input checked="" type="checkbox"/>	Date of publishing: <i>20th of September, 2003</i>	Title(s) of relevant document(s): <i>Government Resolution on the approval and implementation of the National Sustainable Development Strategy</i>	
2b)	In preparation <input type="checkbox"/>	Start date of preparation:	Expected date of finalization:	
2c)	Formally proposed <input type="checkbox"/>	Proposed by what body (e.g. cabinet, ministry, etc.):	Date of proposal:	
2d)	Not foreseen for the time being <input type="checkbox"/>			
2e)	Other (please explain):			

3. Does the country have one or more specific water laws, or a water code?

3a)	Existing <input checked="" type="checkbox"/>	Date of publishing: <i>16th of April, 2003</i>	Title(s) of relevant document(s):	
		Date of adoption: <i>25th of April, 2003</i>	<i>Water Law*</i>	
3b)	In preparation <input type="checkbox"/>	Start date of preparation:	Expected date of finalization:	
3c)	Formally proposed <input type="checkbox"/>	Date of proposal:		
3d)	Not foreseen for the time being <input type="checkbox"/>			
3e)	Other (please explain):			

* - some minor changes have been made later on

4. Does the country have an IWRM Action Plan and/or strategy?

4a)	Operational <input type="checkbox"/>	Date of publishing:	Title(s) of relevant document(s):	
		Date of adoption:		
4b)	Existing but not operational <input type="checkbox"/>	Date of publishing or adoption:	Title(s) of relevant document(s):	
		Date of initial implementation:		
4c)	In preparation <input type="checkbox"/>	Start date of preparation:	Expected date of finalization:	
4d)	Formally proposed <input type="checkbox"/>	Proposed by what body (e.g. cabinet, ministry, etc.):	Date of proposal:	
4e)	Not foreseen for the time being <input type="checkbox"/>			
4f)	<p>Other (please explain):</p> <p>National Sustainable Development Strategy outlines the long-term, midterm and short-term goals and tasks in water sector together with accompanying measures. It includes the concept of IWRM. The Water Law further outlines the main components of IWRM and the obligation to elaborate and implement integrated basin management plans. The structure of IWRM is fully specified and established by the subsequent regulations stemming out from the Water Law. The Regulations also fully specify the steps toward preparation of programs of measures and basin management plans to reach the objectives, which must balance environmental and economic-society needs in a sustainable manner. The Regulations also outline in detail the content of basin management plan and possible measures. They also distribute responsibilities among environmental protection institutions in IWRM. In addition, the Coordination boards have been established, comprising the representatives from national and regional levels, from government and NGOs. The Boards will act as a platform of stakeholder involvement in decision making while preparing and implementing basin management plans. In this way Lithuania has set the structure for IWRM – for the preparation and implementation of basin management plans. The Plans themselves have not yet been prepared – according to the Directive 2000/60/EC of the European Parliament and of the Council establishing a framework for the Community action in the field of water policy, which is the main obligatory water policy document in the European Union, the basin management plans should be approved by 2009. Therefore, in the meantime the steps toward the basin management plan are being undertaken according to the appropriate schedule to arrive with the plan on time.</p>			

5. Is IWRM itself, or the principles that form the basis for IWRM, mentioned in official documents (policies, plans or strategies) of other water using sectors, or cross-cutting sectors (other than potential water policy, water law, and IWRM plan/strategy), such as...

<i>Type of document:</i>		<i>If "yes," please provide title and date:</i>
Poverty Reduction Strategy Paper	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	

National Development Strategy to achieve the MDGs	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
Agricultural Master Plan	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
Energy Master Plan	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
National Environmental Action Plan	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
Other (<i>please specify</i>)		

Other (<i>please specify</i>)		
Other (<i>please specify</i>)		
Other (<i>please specify</i>)		
Other (<i>please specify</i>)		

Part C: SUPPLEMENTARY FACTS

6. If a water policy for the country exists (ref. Q2):

6a)	Does the water policy explicitly state IWRM (or the principles that form the basis for IWRM) as a basic framework for water resources management in the country? YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>
6b)	Does it define IWRM? YES <input type="checkbox"/> NO <input checked="" type="checkbox"/>

	<p>If yes , please write the definition of IWRM as stated in the water policy (use separate sheet of paper if necessary):</p> <p>The term of IWRM is mentioned in the section on water of the National Sustainable Development Strategy. However, there is no definition of the term itself in the aforementioned strategy. It appears in the list of goals, which sounds “to implement integrated river basin management system in all levels in accordance to the WFD”. In the strategy similar terms are more frequently listed like “water resources management system”, “common river basin management based water resources management system”, “river basin water resources and their quality management infrastructure”, “river basin management programs”, “river basin based decentralized water resources management system” – these formulations also appear in the short-term, midterm or long-term goals, actually meaning the same as if those formulations contained the word “integrated”.</p>
6c)	<p>Does it specify the role of private-sector participation in water resources management? YES <input checked="" type="checkbox"/> NO <input type="checkbox"/></p> <p>If yes, please describe the role (use separate sheet of paper if necessary):</p> <p>The National Sustainable Development Strategy in its tasks states that:</p> <ul style="list-style-type: none"> - the society (public), scientific institutions are to be encouraged to participate in the development of the system of water management according to basin boundaries as well as in the development and implementation of basin management programs, and for this purpose the encouragement system is to be created; - in order to help reach the abovementioned goal the system of competence raising and information distribution about basin management among the stakeholders is to be created.
6d)	<p>Does it provide for application of the “polluter pays” principle (those causing water pollution should pay the cost of monitoring and treating waste or recipient water to eliminate the pollution)? YES <input checked="" type="checkbox"/> NO <input type="checkbox"/></p>
6e)	<p>Does it provide for application of the “user pays” principle (water users should pay the cost associated with supplying water and administering water resources)? YES <input checked="" type="checkbox"/> NO <input type="checkbox"/></p>

7. If a water law or code exists, does it include obligations for each of the following?

7a)	Exchange of information with the public about infrastructure projects? YES <input type="checkbox"/> NO <input checked="" type="checkbox"/>
7b)	Participation and empowerment of stakeholders? YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>
7c)	Management at the river basin scale? YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>
7d)	Decentralization of management of water resources to the lowest appropriate level? YES <input type="checkbox"/> NO <input checked="" type="checkbox"/>
7e)	Financial contribution by the users toward the management of water resources? YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>
7f)	Separation of responsibilities for management and use of water resources? YES <input type="checkbox"/> NO <input checked="" type="checkbox"/>
7g)	Efficient use of water? YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>
7h)	Elaboration and/or maintenance of an IWRM Plan/Strategy? YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>

8. Regulations on IWRM:

8a)	Are there any national by-laws and/or regulations about or relating to IWRM? YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>
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If yes, please provide titles of such by-laws and/or regulations:

The Government Resolution No 64-2898 on the implementation of the Water Law, adopted on June the 25th, 2003.

The Order of the Minister of the Environment No 471 on the Establishment of River Basin Districts and the Appointment of the Competent Authority responsible for their administration with the aim to achieve Environmental objectives, adopted on September the 25th, 2003.

Order of the Minister of the Environment No 457 on the Approval of the Regulation for the Determination of the Environmental Quality Objectives, adopted on September the 15th, 2003.

Order of the Minister of the Environment No 472 on the Approval of the Regulation on the Characterization of River Basin Districts, the Assessment of the Impact of Human Activity on the Status of Water Bodies, the Economic Analysis of Water Use and the Collection of Data on the River Basin Districts, adopted on September the 25th, 2003.

Order of the Minister of the Environment No 591 on the Approval of the Regulation on the Development and Coordination with Foreign States of the River Basin Districts Management Plan and Program of Measures for the Achievement of the Environmental Objectives, adopted on November the 25th, 2003.

Government Resolution No 198 on the Approval of the Regulation on the Provision of Information on River Basin Districts to the Public, Water Consumers and Other Relevant Bodies, adopted on February the 23rd, 2004.

Order of the Minister of the Environment No 329 on the Approval of the Regulation on Data Collection on Protected Territories in the River Basin Districts and its Storage, adopted on June the 30th, 2003.

Order of the Minister of the Environment No 706 on the Execution of Functions of the Structural Departments of the Ministry of Environment and its Subordinate Institutions with respect to the Implementation of River Basin based Water Protection and Management, adopted on December the 24th, 2003.

Order of the Minister of the Environment No 685 on the collection of information on water protection from state institutions, municipalities and other juridical persons and the preparation of reports to the European Commission, adopted on December the 24th, 2003.

Order of the Minister of the Environment No 726 on the approval of general requirements for the monitoring of water bodies, adopted on December the 31st, 2003.

Government Resolution No 388 on the provision of reports to the European Commission with relation to the implementation of the European Union Environmental legislation and on the provision of information necessary to prepare reports to the European Environment Protection Agency, adopted on August the 7th, 2004. All above mentioned documents are available in Lithuanian language only

9. If the country has an operational or at least existing IWRM Action Plan/Strategy (see Q4):

9a)	At which level of the State (federal/national/provincial etc.) has it been approved?
9b)	Which government and non-government agencies were involved in preparing the plan?
9c)	Is there a strategy for financing the IWRM Action Plan (as part of the plan or as a separate plan)? YES <input type="checkbox"/> NO <input type="checkbox"/>
9d)	Does the plan have mechanisms for monitoring its implementation? YES <input type="checkbox"/> NO <input type="checkbox"/>
	If yes, who is responsible for monitoring the implementation of the plan?
9e)	Is there a programme for capacity building for organizations and/or individuals involved in IWRM plan implementation? YES <input type="checkbox"/> NO <input type="checkbox"/> (if no, skip to Q10)
	If yes, please provide name and organizing institution of programme(s):
9f)	Is the capacity building programme a recurrent programme? YES <input type="checkbox"/> NO <input type="checkbox"/>

10. IWRM players:

10a)	Which government agencies/departments/units have a mandate for cross-sectoral water resources management and stakeholder participation? Please list their names and functions and contact details:	
	Name of agency/department	Function

	Environmental Protection Agency of Lithuania	Establishment of water status goals and elaboration of integrated basin management plans and programs of measures, encompassing different sectors influencing water quality (the selection of choices will be coordinated/negotiated with relevant sector representatives); Organization of stakeholder information and involvement process in the establishment of water status goals and the preparation of integrated basin management plans and programs of measures.	Mindaugas Gudas Head of Basin Management division +370-5-2662816 m.gudas@aaa.am.lt
10b)	Which is the agency/department/unit mainly responsible for implementation of cross-sectoral water resources management? <i>Basin Management Division of the Environmental Protection Agency of Lithuania</i>		
10c)	What is its 2005 budget for IWRM expressed in USD? <i>There is no specific budget established for IWRM. The numbers could be provisionally estimated, but it depends what should be attributed as the expenses for IWRM. Taking into account only the expenses of the Environmental Protection Agency's Basin management division's part for IWRM (salaries, ordered works, studies), this should comprise 103 100 USD (Not taking into account any other division which implements some tasks related to IWRM; also without project activities in IRWM field if financed from external sources (foreign assistance))</i>		

PART D. ADDITIONAL OPINION-BASED ASSESSMENT INFORMATION

11. In relation to Question 1 please comment on your assessment of the extent to which the country has achieved the target of the Johannesburg Plan of Implementation on IWRM: "... to develop integrated water resources management and water efficiency plans by 2005":

Comment: (Please provide about half a page of text as a response)

Until 2005 Lithuania has managed to set up a framework, the structure for IWRM according to basin boundaries and performed natural and anthropogenic characterization of the country's river basins according to the current knowledge and available data. However, the basin management plans have not been drafted yet since it is legally binding to do on the EU level only in 2009. It is almost impossible to do this quicker anyway, since these are very complex and uneasy tasks, requiring much diverse analysis, scientific input and coordination with stakeholders. All those tasks are very important and can't be skipped or done imprecisely in order to establish and reach the objectives that would best suite environmental and economic/social needs and requirements of particular basin stakeholders. In other words, the structure or conditions for IWRM are set, the future steps are scheduled, and only the plans have not been drafted yet nor implemented on the ground.

It should be also noted that decentralization expected in the Johannesburg Plan is still not achieved at the meantime because of the lack of competence at a local scale and the tight deadlines of the Directive 2000/60/EC. Decentralization is considered to be a long-term option.

12. If such plans have been prepared, please provide your assessment of the extent to which the plans are implemented in practice, as well as obstacles to effective implementation of which you are aware:

Comment: (Please provide about half a page of text as a response)

As stated in the previous answer to question 11, there have not been any IWRM plans prepared so far, since their preparation is scheduled according to WFD deadlines. For this reason it can't be said anything about their implementation in practice and the obstacles faced.

13. If such plans have been prepared, please provide your assessment of the process of plan preparation, especially in terms of participation, speed and quality:

Comment: (Please provide about half a page of text as a response)

As stated in the previous answers to questions 11 and 12, there have not been any IWRM plans prepared so far, since their preparation is scheduled according to WFD deadlines. For this reason it can't be said much about the process of their preparation. Some insight can be given into the initial stage of plan elaboration, which has been performed by way of undertaking of the characterization of river basin districts. Participation of stakeholders in this process was mainly by means of hiring national scientific experts for specific tasks, related to the elaboration of criteria for reference conditions, good status, elaboration of monitoring program and some other tasks. Other work has been done by the specialists of the Environmental Protection Agency, Geological Survey and international as well as some national experts in the frame of different projects. Public was not involved at this stage, except for some stakeholders from the subordinate institutions to the Ministry of Environment (regional departments), some municipalities and universities, but this kind of involvement was mainly to inform what has been done. The feedback to questions how to do those tasks (an advice for the Environmental Protection Agency) was scarce after presentation of problems for those stakeholders. Some scientists helped us with methodological support and advice without payment as well. Public information and consultation will be more widely used starting from the end of 2006, as is required by WFD. It seems logical, since only then the process of setting of Objectives and the derivation of possible measures is about to begin. This process is considered much more important than the initial characterization, because establishment of Objectives and programs of measures is more value-based than the science-based one.

Annex A
Glossary for the IWRM Survey Questionnaire

There are many definitions for some terms and those given below aim to help in completing the questionnaire and should not be considered definitive.

Policy	<ul style="list-style-type: none"> • A policy sets out the goals and the vision. • Water policy development gives an opportunity for setting national objectives for managing water resources and water services delivery within a framework of overall development goals. • A water policy that reflects the IWRM approach would seek to balance economic growth, social equity and environmental sustainability.
Strategy	<ul style="list-style-type: none"> • A strategy sets out what should be done to realize the policy goals and is based on future possibilities and is dynamic rather than static. • The process of creating an IWRM strategy is an opportunity to take a coherent, as opposed to an ad hoc, approach to improving the development, management and use water resources to further sustainable development goals. • Strategies should aim at institutionalizing changes that will promote more strategic and coordinated decision-making.
Plan	<ul style="list-style-type: none"> • A plan sets out how to achieve the strategy with concrete objectives, activities and related means. • A plan focuses on problem-solving.
Partnerships	<ul style="list-style-type: none"> • A means to enable organizations with differing skills, resources and priorities to leverage increased impact through working together than would be possible by working alone.
Participation	<ul style="list-style-type: none"> • Is the involvement of people in decision making processes relating to policies and actions undertaken by formal bodies. • Real participation takes place when stakeholders are part of the decision-making process. This can occur directly when local communities come together to make water supply, management and use choices.
Stakeholder	<ul style="list-style-type: none"> • A person or group of people who have a direct interest in an activity because its existence will materially affect their lives.
Cross-cutting sectors	<ul style="list-style-type: none"> • In this context a cross-cutting sector refers to issues that affect several economic sectors, such as finance, social policy, environment etc.
Water code	<ul style="list-style-type: none"> • A systematically arranged and comprehensive collection of written laws. • Some codes are administrative and have the force of law even though they were created and adopted by regulatory agencies and are not actually statutes or laws.
Water law	<ul style="list-style-type: none"> • The required water laws cover <i>inter alia</i> ownership of water, permits to use (or pollute) it, the transferability of those permits, and customary entitlements. • Water laws underpin institutional mandates and regulatory norms for e.g. conservation, protection, priorities, and conflict management. • Specific water laws have been enacted in a considerable number of countries, but some still lack a water resources law <i>per se</i>.
Regulations	<ul style="list-style-type: none"> • Rules and administrative codes issued by governmental agencies at all levels, municipal, county, state and federal. Although they are not laws, regulations have the force of law, since they are adopted under authority granted by statutes, and often include penalties for violations.
By-laws	<ul style="list-style-type: none"> • The written rules for conduct of a corporation, association, partnership or any organization. • By-laws are in effect a contract among members and must be formally adopted and/or amended.