

Defining Effective in Transboundary Water Cooperation

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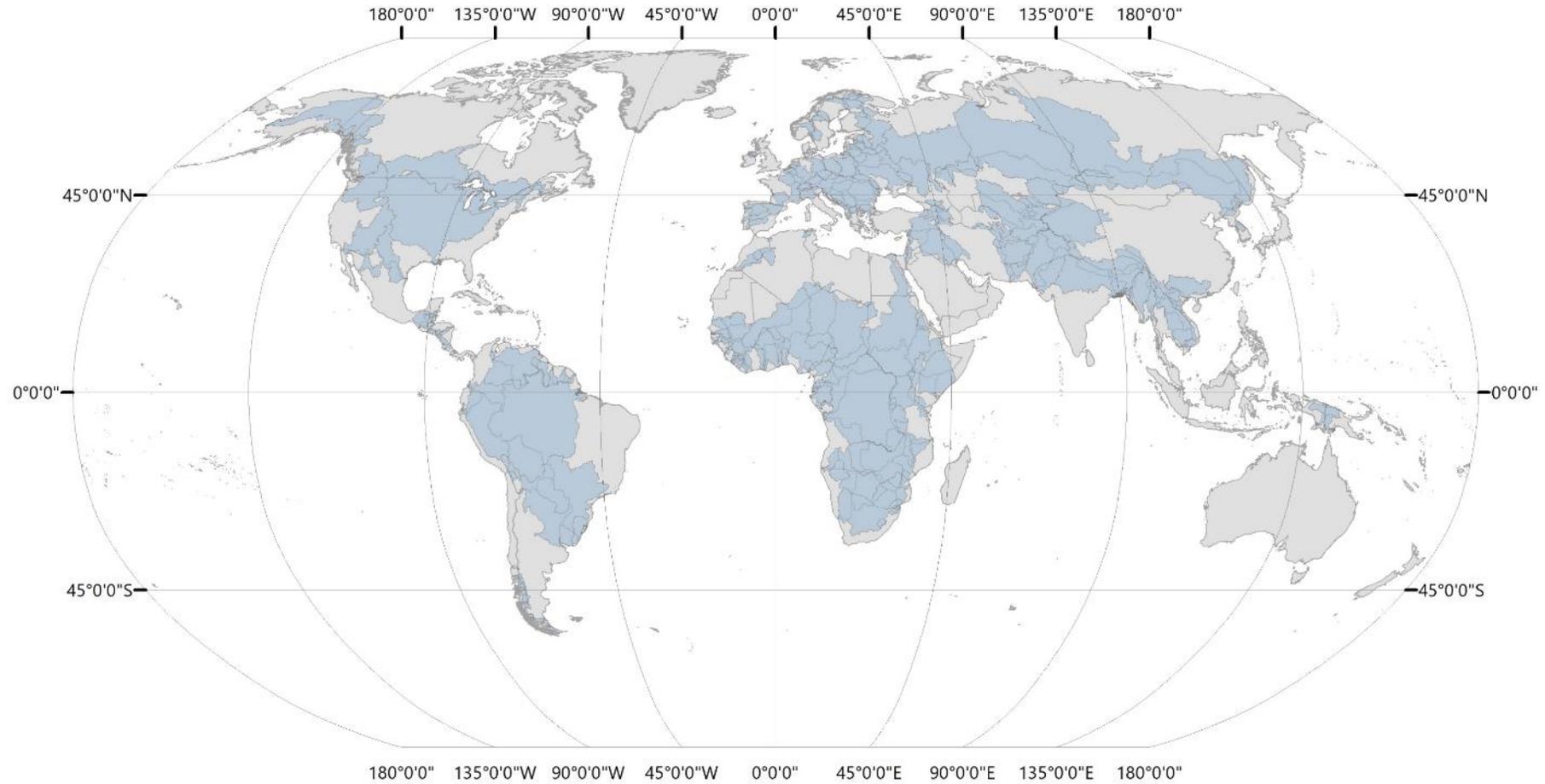
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International River Basins of the World

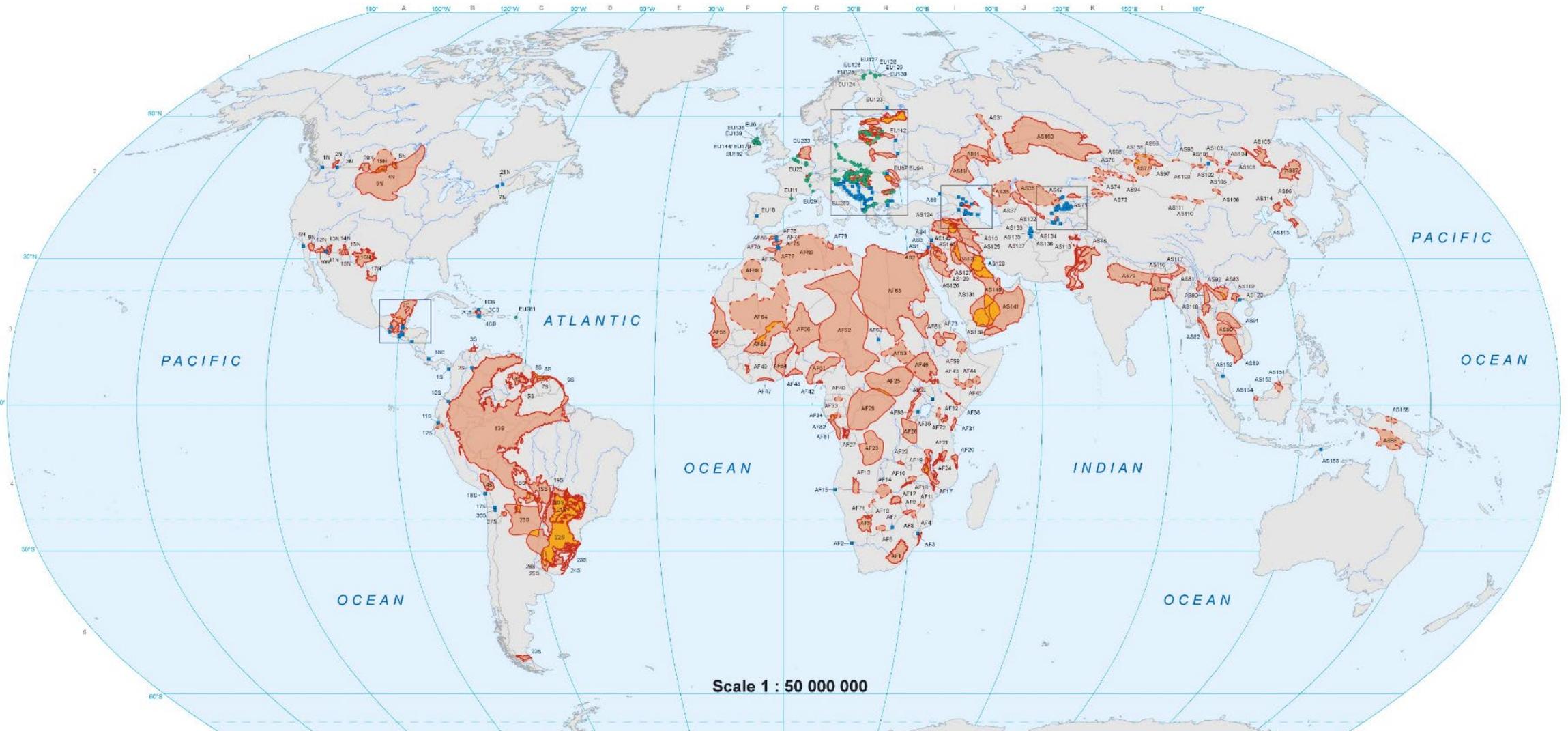


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Transboundary Aquifers of the World

Special Edition for the 7th World Water Forum 2015



Agenda 2030: The Sustainable Development Goals

- UN General Assembly signed *A/RES/70/1 Transforming our World: the 2030 Agenda for Sustainable Development*
- Establishes 17 Goals with 169 Targets
- **Goal 6:** Ensure availability and sustainable management of water and sanitation for all
- **Target 6.5:** By 2030, implement integrated water resources management at all levels, including through transboundary cooperation as appropriate
 - **Indicator 6.5.1:** Degree of integrated water resources management implementation
 - **Indicator 6.5.2:** Proportion of transboundary basin area with an operational arrangement for water cooperation

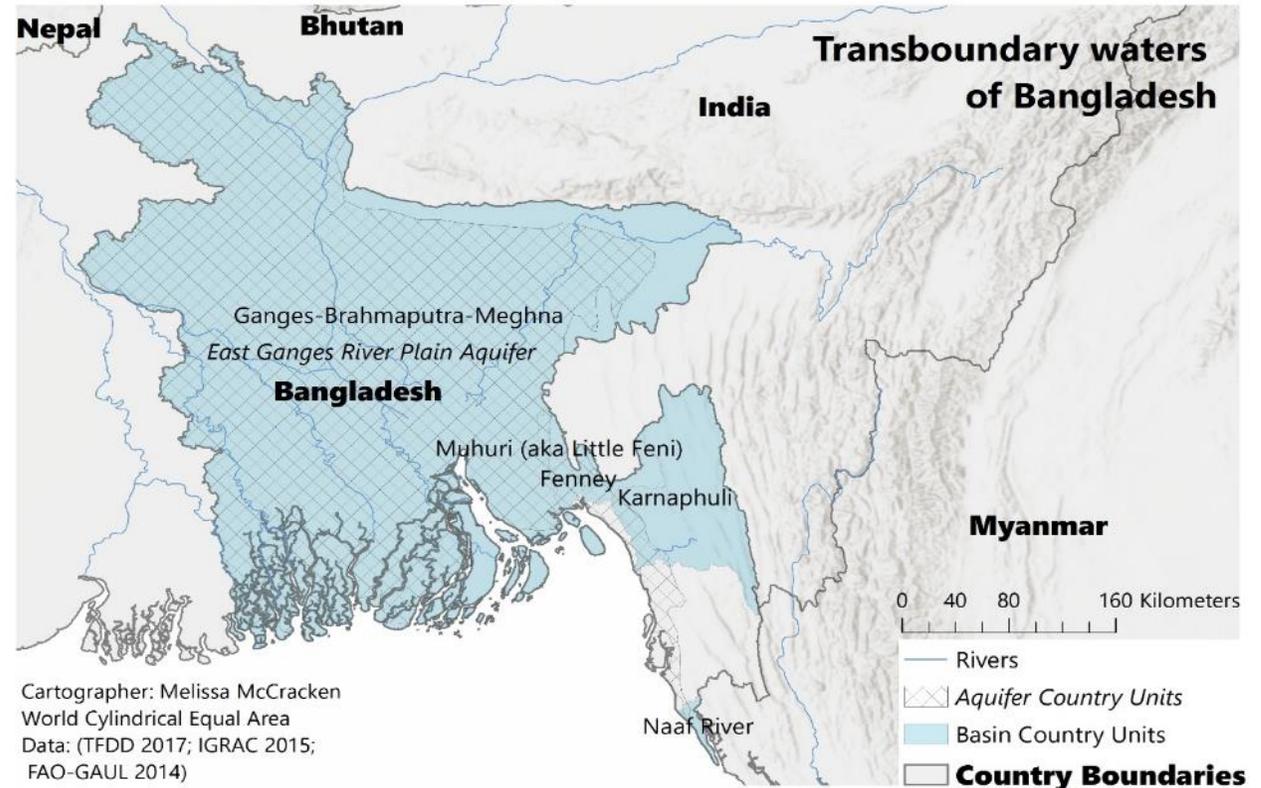


Measuring Cooperation: SDG Indicator 6.5.2

“Proportion of transboundary basin area with an operational arrangement for water cooperation.”

For an arrangement to be operational:

- Joint body, joint mechanism or commission
- Regular formal communication
- Joint or coordinated water management plan or joint objectives
- Regular exchange of data and information





Measuring Cooperation: Two Main Challenges

1. Defining transboundary water cooperation

Term	Definition/Criteria
Transboundary water cooperation (UN-Water, 2014)	Measured by the presence of a transboundary water agreement
Transboundary water cooperation (UNECE, 2015)	“any action or set of actions by riparian states that leads to the enhanced management or development of the transboundary water body to their mutual satisfaction.”

2. Defining effective transboundary water cooperation

Term	Definition/Criteria
Effective cooperation (Tarlock, 2015)	Provides measurable benefits to riparians that promote water security
Effectiveness (Mitchell and Zawahri, 2015)	Ability of treaties or institutions to address and manage water disputes peacefully

Defining Cooperation

Challenge 1





Defining Cooperation

- 50 Key Elements of Cooperation
 - Treaty or agreement
 - Mutual benefit
 - Institutional capacity
- Literature emphasizes legal and institutional elements compared to the interviews, which value relationships and process elements.

Cooperation – Literature Only	Cooperation – Interviews Only
Treaty or agreement	Mutual benefit
Institutional capacity	Data and information
Mutual benefit	Basin planning
RBO	Institutional capacity
Stakeholder participation	Shared understandings

Transboundary water cooperation: interactions between actors over shared waters that result in establishing mutually beneficial outcomes through a decision-making process; this process could include formal and informal legal and institutional mechanisms depending on the scale and context.



Four Frames of Cooperation

Legal	Institutional	Relational	Outcome
<p>The legal frame views cooperation as formal legal elements, including the existence of a treaty or agreement, adherence to conventions, and inclusion of key substantive and procedural principles.</p>	<p>The institutional frame includes formal institutions that support the development and implementation of joint basin planning and other activities that are needed to manage shared water resources.</p>	<p>The relational frame includes the process and relationship building between all relevant stakeholders, including trust and shared understandings while working transparently with communication to identify and pursue mutually beneficial outcomes.</p>	<p>The outcome frame includes the benefits, goals, actions, or specific outputs of cooperation.</p>
<p>Example:</p> <ul style="list-style-type: none"> • Treaty • National law • Local policy 	<p>Example:</p> <ul style="list-style-type: none"> • River basin organization • Joint programs • Local funding 	<p>Example:</p> <ul style="list-style-type: none"> • Relationships • Trust • Transparency 	<p>Example:</p> <ul style="list-style-type: none"> • Mutual benefits • Water quality improvement • Reduction of conflict

Scale

The framework is neutral; cooperation can be constructive or destructive.

Context

Defining Effective Cooperation

Challenge 2





Defining Effective Cooperation

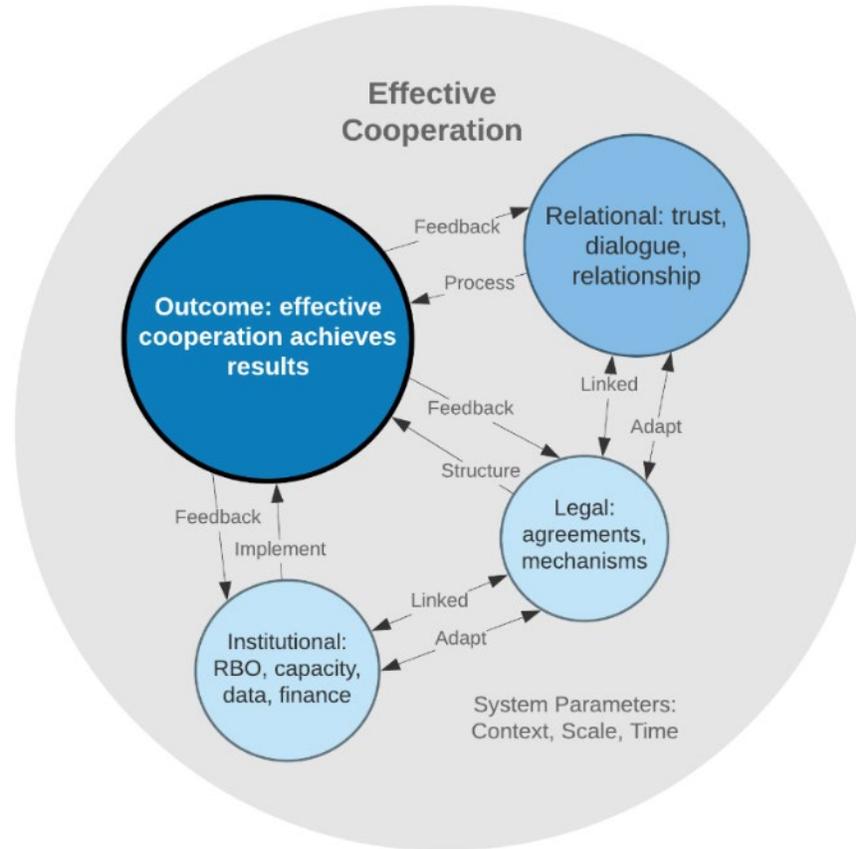
- 45 Aspects of Effectiveness
 - Achieve outcomes
 - Institutional Capacity
 - Participation

Effective transboundary water cooperation: achieves equitable results or outcomes through a cooperative decision-making process that has trusting relationships with stakeholder participation and communication. This process is supported by the appropriate legal and institutional arrangements, where the outcomes can be the resolution of the initial problems, reaching the goals of the parties, or complying with mutually agreed upon principles in a legal arrangement.

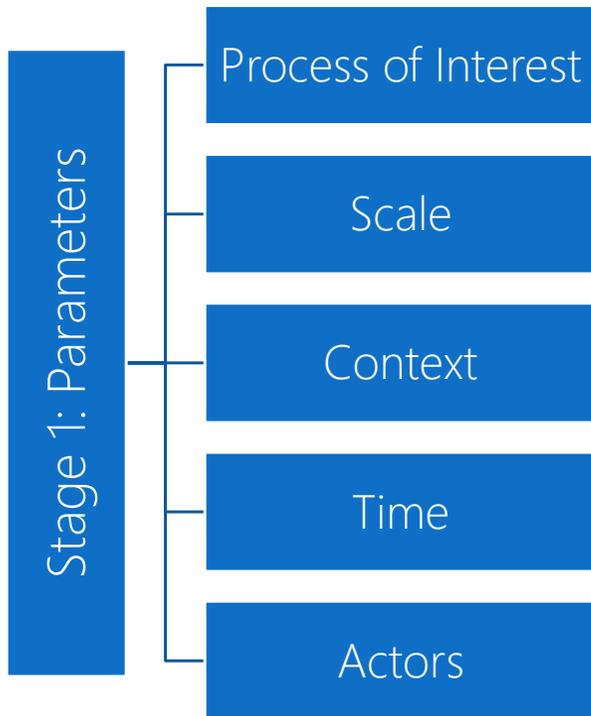
Effectiveness/Effective Cooperation – Literature Only	Effectiveness/Effective Cooperation – Interviews Only
Achieve outcomes	Achieve outcomes
Institutional capacity	Participation
Define outcomes	Define outcomes
Participation	Context
Multi-scale	Information and data

Effective transboundary water cooperation is equitable and sustainable.

Weighted Model of Effective Cooperation



Using the Weighted Model



Stage 2: Assessment			
Legal	Institutional	Relational	Outcome
<p>Baseline/Ideal</p> <ul style="list-style-type: none"> What mechanisms exist at the baseline? What are the mechanisms needed in the ideal? <p>Current Point in Time</p> <ul style="list-style-type: none"> What mechanisms are in place? 	<p>Baseline/Ideal</p> <ul style="list-style-type: none"> What institutions exist at the baseline? What are the institutions needed in the ideal? <p>Current Point in Time</p> <ul style="list-style-type: none"> What institutions are in place? 	<p>Baseline/Ideal</p> <ul style="list-style-type: none"> Is there trust at the baseline? What level of trust at the ideal? <p>Current Point in Time</p> <ul style="list-style-type: none"> What is the level of trust? 	<p>Baseline/Ideal</p> <ul style="list-style-type: none"> What was the problem of interest at the baseline? What needs to be achieved in the ideal? <p>Current Point in Time</p> <ul style="list-style-type: none"> What outcomes have been achieved? <p>Standardized Questions</p> <ul style="list-style-type: none"> Economic Environmental Social

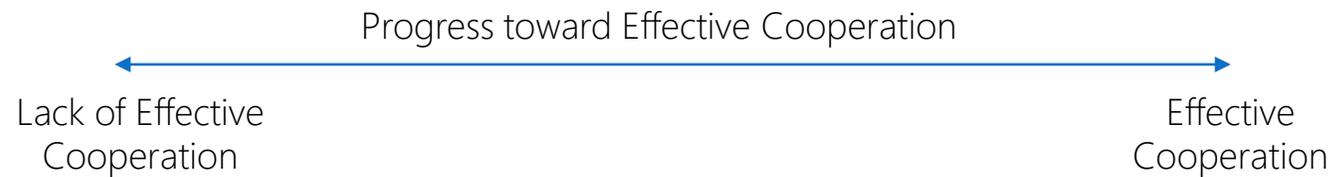


Using the Weighted Model

Stage 3: Evaluation and Synthesis

Methods for Evaluation

- Compliance
- Goal Attainment
- Interest-Based
- Problem-Solving



Legal	Institutional	Relational	Outcome
Compliance: Are procedural and substantive mechanisms being complied with?	Goal Attainment: Have policies and decisions been implemented? Have behaviors changed at the relevant governance scale?	Interest-Based: Were all the interests of the actors included and/or addressed in the process? Were all relevant actors included in the process?	Problem-Solving: Was the problem(s) that spurred the cooperative process resolved?

Conclusion

Four Frames of Cooperation

- Legal
- Institutional
- Relational
- Outcome

Weighted Model of Effective Cooperation

- Relational and Outcome weighted
- Stage 1: Parameters
- Stage 2: Assessment
- Stage 3: Evaluation and Synthesis

Effective transboundary water cooperation is equitable and sustainable.

Place, scale, and context influence cooperation and effectiveness.



DEFINING EFFECTIVE TRANSBOUNDARY WATER COOPERATION

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Thank you!

Questions?

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