



**BeWater**

## **Making society an active participant in water adaptation to global change**

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### **Deliverable 6.3 2nd Detailed Cross-cutting Policy Sectors Analysis - Water and Climate**

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## Authors

Murray Biedler, Deep Blue Consultants

## Executive summary

Earlier Policy Watch work which contributes to the Detailed Cross-cutting Policy Sectors Analysis - Water and Climate consists of a Guidance Note for researchers to identify important elements within individual policy implements relevant to the BeWater Project. This Guidance Note is accompanied by a tabular template which outlines a reading and analysis process for structuring a review of any given sector policy instrument (e.g. a Water Policy or an Environmental Regulation). The Guidance Note includes a list of key words or phrased which are normally to be found in policy documents and can also be used as indicators for policy content. Examples include management, mitigation, adaptation, planning, and civil society.

The Guidance Note and template was still viewed as not being a clear enough methodology to permit CSRB Partner members to easily implement a policy review at their national and local level. It was therefore decided to launch a coaching process to assist CSRB partners' in implementing national and local policy analysis. The coaching began with visits by the WP6 Leader to each CSRB team in their respective countries for working meetings for the purposes of direct support to the key CSRB team persons and also to investigate ways and methods to facilitate their policy review. Discussions eventually included alternative tools to support the Guidance Note. The idea of collecting standardized information (such as identifying indicators) which could then be uploaded into a table was proposed and examined with the objective of forming a *Policy Review Tool*. Out of a range of possibilities, the use of standardized indicators, based on key words from the Guidance Note, which could then be loaded into a grid and matrix, was selected. It built on previous work, used accepted key words as potential indicators, and could be easily applied by using word search tools to facilitate document review. In addition, the accumulation of key indicators provided a possibility for a preliminary scoring process.

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## D 6.3 Policy Review

### Summary

Earlier Policy Watch work which contributes to the Detailed Cross-cutting Policy Sectors Analysis - Water and Climate consists of a Guidance Note for researchers to identify important elements within individual policy implements relevant to the BeWater Project. This Guidance Note is accompanied by a tabular template which outlines a reading and analysis process for structuring a review of any given sector policy instrument (e.g. a Water Policy or an Environmental Regulation). The Guidance Note includes a list of key words or phrases which are normally to be found in policy documents and can also be used as indicators for policy content. Examples include management, mitigation, adaptation, planning, and civil society.

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# 1. Designing the Policy Review Tool

## 1.1 Objective

The main objective of developing a tool for scanning policies is to facilitate researchers to address the task of policy review at the CSRB level (national, river basin and/or local). While physically scanning and reading policy documents can be time-consuming for researchers accustomed to policy review work, it is even more so for individuals and researchers whose expertise lies outside the policy arena. The selected medium for the tool design was Excel Spreadsheet, which allows for building of lists, fixed values such as indicators, and finally data presentation in the form of charts and graphs. The selected lists of indicators also facilitate policy document review by allowing word-search tools to quickly identify the presence and/or absence of indicators and where they can be found. It must be pointed out that each CSRB Partner Country does not work with English as a first or even a second language, and this requires a facility for translation either internally in the team or engagement of translation services externally. However, it is not just a question of translation, but also requires a minimum understanding of policy processes. This was addressed by coaching visits and exchanges between the Work Package 6 Leader and the CSRB partners.

## 1.2 The Design Process

### 1.2.1 Consultations

The excel tool was developed in direct discussions with CSRB partners during visits to their respective countries, and also in a series of Skype meetings. The discussions that contributed to building the concept of the design took place during coaching visits of WP6 leader to the CSRB partners CREA in Spain (05-06 May, 2015) and CYL in Cyprus (29 May, 2016), in which a first draft of an excel tool was developed. First tests of the draft design were done during visits to CSRB partners IZVRS in Slovenia (18-19 June, 2015) and INGREF in Tunisia (23-24 July, 2015). Skype meetings were held with all CSRB Partners in July to address questions on tool content and also to make additions or changes to the content as suggested by the partners.



### 1.3 Template Design

Following is a description of the template design, including lists of indicators, the rationale behind their selection and the formulation of indicator lists. The basic tool consists of 3 worksheets. On worksheet 1 the template tool is composed of 23 columns for input of text, indicator or numerical types of data. Worksheet 2 is consecrated for setting up macros to build drop-down menus for selecting specific indicators in worksheet 1. Worksheet 3 contains a set of support notes for the application of the tool and the functioning of columns in worksheet 1.

A	B	C	D	E	F
Ref N°	Country of Policy	Title of Policy Instrument (English title)	Title of Policy Instrument (original name)	Authority / Authorities	Date
1	Spain	Spanish Climate Change Strategy and Clean Energy (2007-2012-2020)	Estrategia española de cambio climático y energía limpia (2007-2012-2020)	National Climate Council and Spanish Council of Ministers	2007
2	Spain	Spanish National Climate Change Adaptation Plan	Plan nacional de adaptación al cambio climático	Spanish Climate Change Office, Ministry of Environment	2006
3	Spain	GHG emission trade Act	Ley de comercio de derechos de emisión	Parliament	2010

Figure 1 Excel Tool Columns A-F

#### 1.3.1 Support Notes

**Columns A to F (see figure above):** These columns identify the Country, the Title of Policy<sup>1</sup> in English and in original language of Publication, the Institutional Authority responsible for publication (this can be a Ministry, Department or Agency), and Date.

**Column G:** Provide the source of the publication (e.g. Government Gazette, date and number, and where possible an internet link where the instrument may be viewed and/or downloaded.

<sup>1</sup> A Policy is defined as a statement from a government that describes decisions and / or actions for managing public affairs that have a legal standing and have been approved by authority.

G
Source / Links
<a href="http://www.moa.gov.cy/moa/wdd/wdd.nsf/A11/B977C527C5FDCE42C2257C99003D0E68/\$file/Timoligisi_Feb_2014.pdf?OpenElement">http://www.moa.gov.cy/moa/wdd/wdd.nsf/A11/B977C527C5FDCE42C2257C99003D0E68/\$file/Timoligisi_Feb_2014.pdf?OpenElement</a>

Figure 2 Excel Data Tool Column G Source (CSRB Cyprus Data Sheet)

**Column H:** This column identifies the Sector which the Policy Instrument addresses. The Sector is usually identified in the Title (e.g. Environmental Act = Environment Sector). Water Policies may originate in a Ministry of Agriculture or Ministry of Environment, but they remain, for our purposes, a Water Policy.

H	Typ Inst
Policy Sector, Water	
Water	
Water	
Energy	
Agriculture	
Forestry	
Environment	
Transport	
Health	
Education	

Figure 3 Excel Data Tool Column H Policy Sectors Macro List (source CSRB Cyprus Data Sheet)

Column H is one of the first sets of indicator labels, in this case addressing which sector the policy instrument is being analysed by the tool. A drop down menu of policy sectors contains an agreed-upon list of sectors relevant to the BeWater Policy Review. The menu is working from a macro with the components under Worksheet 2. The full list of the labels is presented beside the drop-down menu image.

**Column I:** This column identifies the Type of Policy Instrument which can range from Policies, Directives, Acts, Decrees, Papers and Regulations. Papers are documents published by governments for purposes of consultation or to address a specific sector, as a run-up to developing an actual policy (e.g. **EU GREEN PAPER A 2030 framework for climate and energy policies** or **EU White paper - Adapting to climate change: towards a European framework for action**) . An instrument will normally have one label for Type of instrument but we include a combination for

policies which are National and those designed specifically to address EU Directives, and also for regulatory instruments we include a distinction for those originating from Acts and those from Decrees.

H		I	
Sector, Water		Type of Policy Instrument	Scale
Water		Policy, Directive	Nati
Water		Act Decree Policy Regulation Paper White Paper Directive	ti

Figure 4 Excel Tool Column I Type of Policy Instruments (source CSRB Cyprus Data Sheet)

**Column J:** This column identifies the Scale which a Policy Instrument addresses, and the scale can range from National, Regional (perhaps Provincial legislation or State legislation), Municipal and Local (instruments addressing a small administrative area other than Municipal).

J		
Scale of Policy Instrument		X-C
National		
National Transboundary Regional Province State Local Municipal		

Figure 5 Excel Data Tool Column J Scale of Policy Instrument (source CSRB Cyprus Data Sheet)

**Column K:** This column identifies the Cross-Cutting sectors which need to be clearly stated in the Policy Instrument text. A multi-sectoral approach is necessary for Good River Basin Management, Adaptation and responding to Global Change and climate challenges. Effective policy instruments can address more than one policy sector

only. **Select one or more.** If no cross-cutting sectors are identified, leave space blank.

K	
X-Cutting Policy Sector, X-Cutting Policy Sector	N° of Indic
Water, Agriculture, Environment, Climate	
Water Energy Agriculture Forestry Environment Transport Health Education	

Water
Energy
Agriculture
Forestry
Environment
Transport
Health
Education
Climate

Figure 6 Excel Data Tool Column K X-Cutting Policy Sectors & Macro List

**Column M:** This column identifies whether a Policy Instrument is new or is an amended version of an earlier policy. Policies can be amended to address new issues (e.g. climate), but can still contain elements of old or original policy which may limit effectiveness. Some policies may have been amended more than once. In the drop-down menu below we see that in the table of policy instruments being analysed, some have been amended up to 7 times.

ting Policy Sector	L	M	Ther Indic
	N° of Indicators	Amendment	
Environment	3	0	Man:
0 1 2 3 4 5 6 7			n: di Man:

Figure 7 Excel Data Tool Column M N° of Amendments

**Column N:** This column identifies the thematic content and focus of the Policy Instrument. Policy Sectors as a collective have a broad range of thematics (e.g. Water Sector with quality and quantity, Climate or Environment with air quality, bio-

	M	N	O
1	Amendment	Thematic Indicators	N° of Indicators
2	0	Management	1
Landslide Avalanche Torrent Heatwave <b>Management</b> Disaster Risk Reduction			
	3	Management, Reduction	2

**Columns P & Q:** These columns identify specific thematics of River Basin Management (RBM) and Water Framework Directive (WFD) which are key policy themes central to the BeWater project and thus have higher importance than other thematic. RBM and / or WFD must be clearly identified in the Policy document.

P		Q		Key
RBM	WFD			Indi
0	1			Imp Con
	0			
	1			
0	0			Des

**Column R:** This column identifies actions identified, suggested or recommended in the Policy Instrument that address the degree of public and stakeholder involvement in the Instrument. Additional action indicators not already identified can be noted in Comments Column Z.

R	
Key Action Indicators	Ind
Implementation, Control	2
Participation	
Consultation	
Information	
Awareness	
Dissemination	
Planning	
Design	
Implementation	
Planning	

Participation
Consultation
Information
Awareness
Dissemination
Planning
Design
Implementation
Control
Accountability
Transparency

Figure 10 Excel Data Tool Column R Action Indicators

**Column T:** This column identifies whether the Policy Instrument includes and / or recommends specific measures to be implemented. This column and the scoping exercise does not include identifying specific measures, but the flagging of their existence in the table can act as a signpost for further investigation into the policy content.<sup>2</sup> **Select 0 for No and 1 for Yes.**

T	
Measures	Stakeholders
1	Publ Corr
0	
1	bl math Corr

Figure 11 Excel Data Tool Column T Identifier for Measures

**Column U:** This column identifies Stakeholders and / or Actors identified, suggested or recommended in the Policy Instrument for public and stakeholder involvement in the Instrument. The Stakeholder 'Associations' refers to special interest groups from the Public and can include User Associations, Consumer Associations or other. The response is 0/1 for Yes/No. Additional Stakeholder indicators can be noted in Comments Column Z.

<sup>2</sup> The content of specific measures will be addressed in WP4

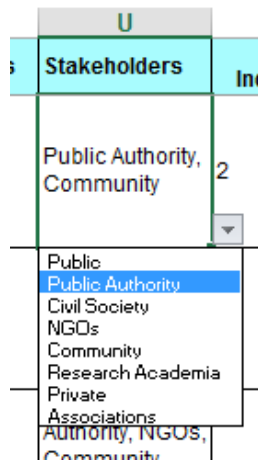


Figure 12 Data Sheet Column U for Stakeholders with Drop-Down Menu

**Column W:** Total N° of Indicators represents the total of numbers of indicators identified in the columns with heading title N° of Indicators. This includes the number of 0 or 1 in the columns RBM and WFD, which have been identified as priority indicators.

B	C	W	
Country of Policy	Title of Policy Instrument (English title)	Total N° of Indicators	Co
Cyprus	Pricing and Cost Recovery Mechanisms of Water Services	9	
Cyprus	Integrated Water Management Amendment Law 37 (I)	17	
Cyprus	Integrated Water Management Amendment Law 186 (I)	17	
Cyprus	Action plan and Recommendations for Protection Enforcement of Tamasou Reservoir	16	
Cyprus	Evaluation, Management and Administration of Flood Risk Law No. 153 (I)	16	
Cyprus	Integrated Water Management Amendment Law 121 (I)	17	

Figure 13 Excel Data Sheet Column W Total N° of Indicators

**Column X: Additional Comments** is for including any additional indicators not available in existing lists and for observations that can add to the description of the relevance and importance of specific policy instruments that may not be described adequately in the existing column options.

## 1.4 Template Application

The main supporting tool for filling in the template is a simple word search employing the indicator terms for each of the column typologies. This reduces the time enormously for initially identifying:

1. Whether or not a policy instrument contains any specific indicators
2. What part of the policy documents reference to the indicators can be found and reviewed

There is still a certain amount of reading required to identify the degree of reference to any indicator in the document (i.e. is it only mentioned, or does it clearly form part of implementation and therefore a valid indicator).



## 2.0 Cyprus Policy Review Results

A total of 26 Policy Instruments were evaluated with the majority being from the water sector, followed by 4 from the energy sector, 2 policies addressing the Cyprus Rural Development Programmes of 2007-2013 and 2014-2020 within the Agriculture, Forestry and Environment sector umbrella and one forestry policy dealing with drought management. The policy instruments in the list are selected for their relevance to the water sector and cross-cutting sectors linked to water, the environment and climate-related sector policies such as energy.

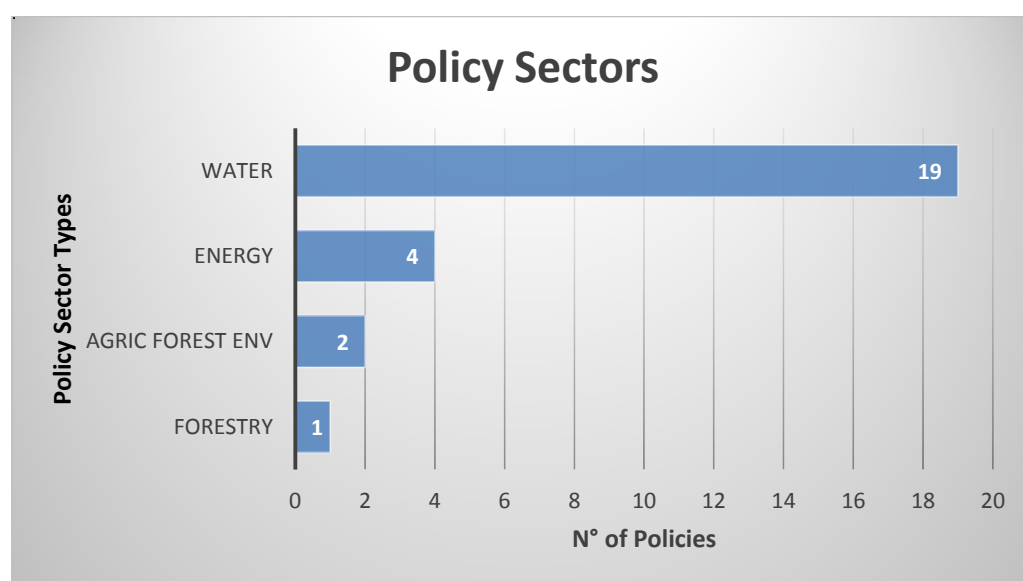


Figure 14 Policy Sectors Cyprus

### 2.1 General Analyses

The selected policy sectors are defined and structured within 6 different Types of Policy Instruments and they are presented in the order of occurrence in the table below:

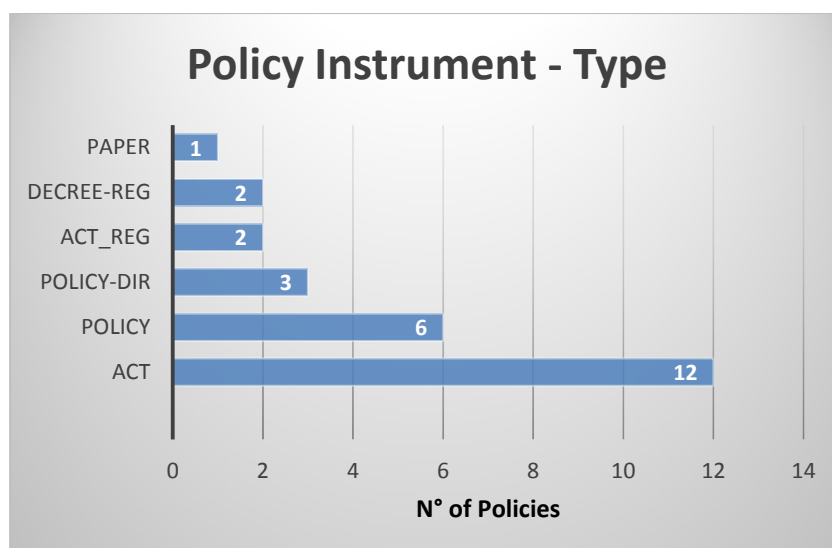


Figure 15 Types of Policy Instruments Cyprus

Figure 15 above demonstrates that Policies and Acts, which are more overarching and usually national in scope, are the most present policy instrument within the list selected. The 2 designations of Decree – Regulations and Act – Regulations will be combined viewed collectively as Regulations.

### 2.1.1 Cross-Cutting and Multi-Sector Policy Distribution

In Cyprus, figure 16 below, most of the selected policy instruments were cross-cutting or multi-sector and address or take into account other policy sectors. Some instruments, such as 2 Water Sector Acts addressing *Evaluation, Management* and *Administration of Flood Risk*, have a narrow focus on Water and Environment and do not address other sectors. Some policy instruments such as the *Rural Development Programmes* or the *National Renewable Action Plan Based on the Requirements of the Directive 2009/28/EC (2010-2020)* from the Energy Sector, can address as many as 9 policy sectors.<sup>3</sup>

<sup>3</sup> Water, Energy, Agriculture, Forestry, Environment, Transport, Health, Education, Climate

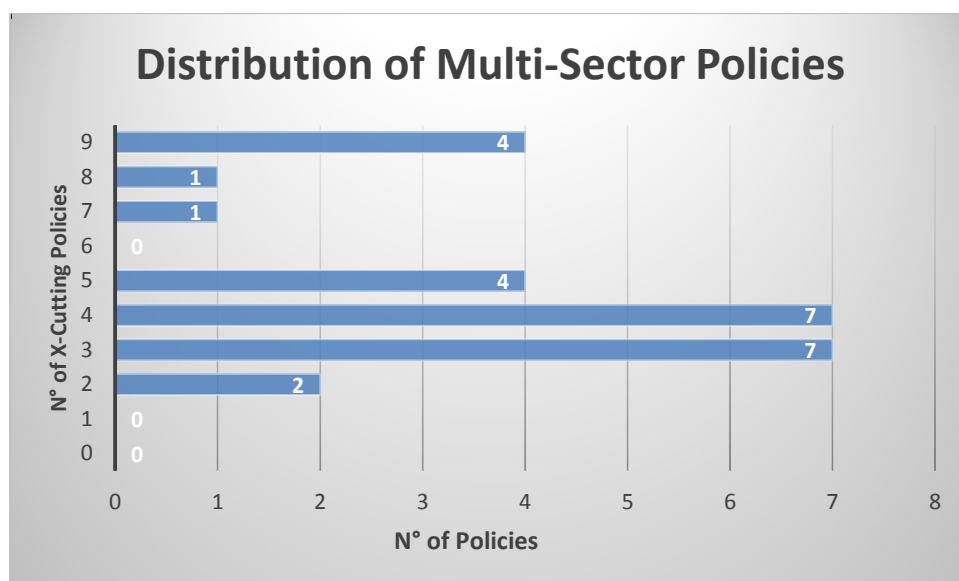


Figure 16 Multi-Sector Policies Cyprus

### 2.1.2 Amendments

Figure 17 below indicates that the majority of the selected relevant policies have zero amendments, suggesting a set of up to date policies addressing water resources, environment and climate-related policies.

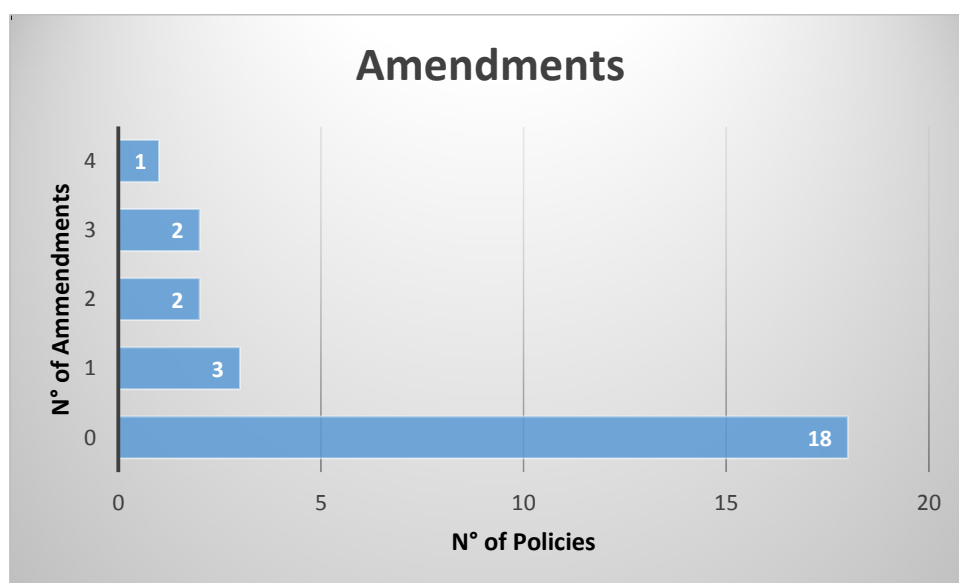


Figure 17 Policy Amendments Cyprus

However, this information needs to be matched with the dates of the policy instrument and the content checked accordingly. Some older policy instruments may

not have been amended and should be checked for relevance. Newer policy instruments are expected to be most relevant, but some are actually the result of a longer process of amendments, which also needs to be checked in order to see if older and less relevant articles are still being carried forward. See examples below in Figure 18 of an older policy instrument and 2 more recent instruments; one of which should be clearly up-to-date and another which has been amended a number of times:

C	F	M	Ti In
cy Title of Policy Instrument (English title)	Date	Amendment	
Water and Soil Pollution Control Law 106 (I)	2002	0	M R

Figure 18a Amendment example 2002

C	F	M	Ti In
cy Title of Policy Instrument (English title)	Date	Amendment	
Rural Development Programme 2014-2020 - First Draft	2014	0	I C

Figure 18b Amendment example 2014

C	F	M	Ti In
y Title of Policy Instrument (English title)	Date	Amendment	
Integrated Water Management Amendment Law 37 (I)	2013	4	A F

Figure 18c Amendment example 2013

Figure 18 a – c Amended Policy Examples Cyprus

The IWM Law 37 Figure 18c merits close examination to verify to what degree the latest amended version is up-to-date and relevant in all aspects or whether elements from the 1<sup>st</sup> version are still intact and could raise potential issues.

## 2.2 Water Sector Analyses

### 2.2.1 Policy Instrument Distribution

In Cyprus, Figure 19 shows that the water Sector policy instruments are mostly in the form of acts and regulations under the authority of the Water Development Department; Ministry of Agriculture, Rural Development and Environment. The three water Policy Types are all linked to EU Water Framework Directive and refer the *Water Resources Strategy, the Final Drought Management Plan and the Cyprus River Basin Management Plan*. All other Policy Types of instruments apply to Agriculture, Forestry, Environment and Energy sectors.

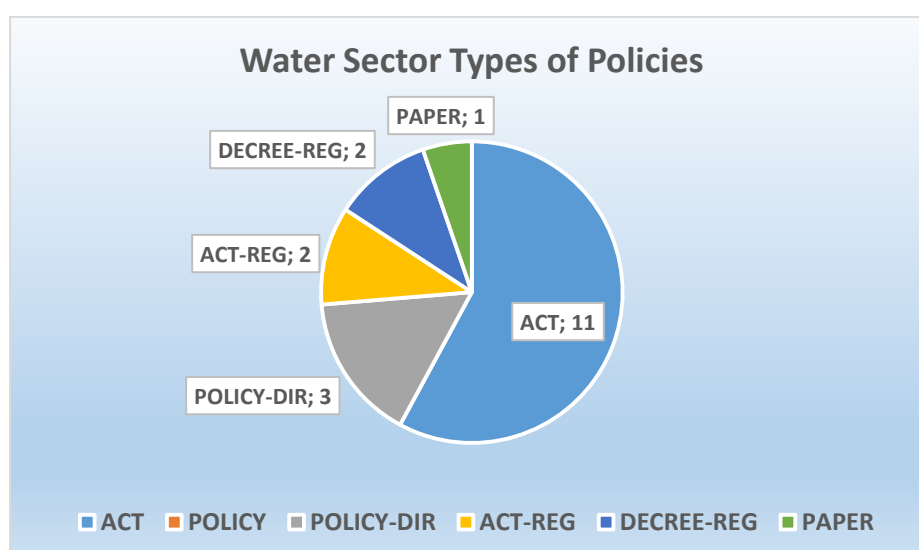


Figure 19 Water Sector Types of Policy Instruments Cyprus

The Water Sector Regulations tend to address water quality and management. From the Title of the Acts<sup>4</sup>, the regulatory focus can be seen on objectives such as urban waste water and cost recovery, as can be seen in the table below:

Pricing and Cost Recovery Mechanisms of Water Services
Water Protection and Management Decree 296
Water Pollution Control Amendment Act 68 (I)
Water Pollution Control (Disposal of Urban Waste Water) Act 772

<sup>4</sup> Pricing and Cost Recovery Mechanisms of Water Services (2014) and Water Pollution Control (Disposal of Urban Waste Water) Act 772 (2003)

Finally, there is one Paper in the water sector, which constitutes the *Action plan and Recommendations for Protection Enforcement of Tamasou Reservoir*.

## 2.2.2 Policy Thematics Indicators

Of the different thematic issues addressed by the Water Sector policy instruments (from list below and from Figure 8), management is consistently present, and the number of thematics present in these instruments ranges from 1 to 8.

C		F	I	N	O	R
Title of Policy Instrument (English title)		Date	Type of Policy Instrument, Type of Policy Instrument	Thematic Indicators	N° of Indicators	
Pricing and Cost Recovery Mechanisms of Water Services		2014	Decree, Regulation	Management	1	0
Water Protection and Management Act 13(I)		2004	Act	Management, Flood, Drought, GHG	4	
Cyprus River Basin Management Plan		2011	Policy, Directive	Mitigation, Flood, Drought, Management, Risk, Reduction	6	1

Mitigation
Adaptation
GHG
Flood
Drought
Landslide
Avalanche
Torrent
Heatwave
Management
Disaster
Risk
Reduction

Figure 20 Comparison: Regulations to Acts & Policies

The table above in Figure 20 illustrates the difference in purpose and content between regulations and/or Acts and policies. Of interest is the *Cyprus River Basin Management Plan* which addresses a number of climate-related indicators. The above examples also illustrate that it is not necessarily the most recent policy instruments that are the most comprehensive.

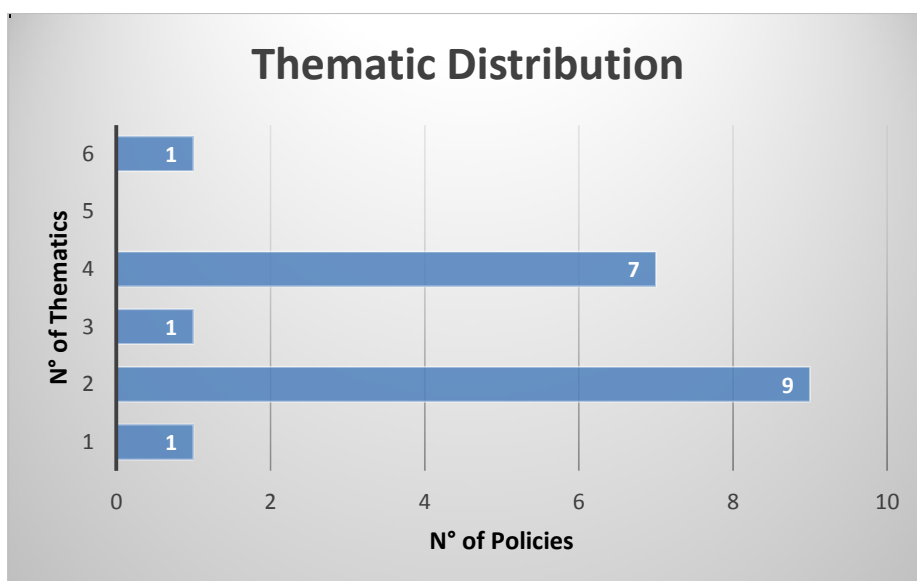


Figure 21 Distribution of Water Sector Thematic Indicators Cyprus

Figure 21 above shows the distribution of policy instruments based on the number of relevant thematic indicators they contain. The majority of instruments in the water sector (9 policy instruments) focus on 2 thematic issues of management and reduction of risk. The next distribution profile of size contains 4 thematic issues; management is consistent in all, drought and/or flood appear sometimes together or individually, but of interest is that where GHG (Green House Gases) are identified, it is never in combination with Risk or Reduction (see Figure 22).

N		O	
Thematic Indicators	N° of Indicators	RBI	
Flood, Management, Risk, Reduction	4	1	
Drought, Management, Risk, Reduction	4	1	
Management, Flood, Drought, GHG	4		
Flood			

Figure 22 Comparison: Thematic indicators Risk Reduction and GHG Cyprus

## 2.2.3 Policy Action Indicators for Public and Stakeholder Involvement

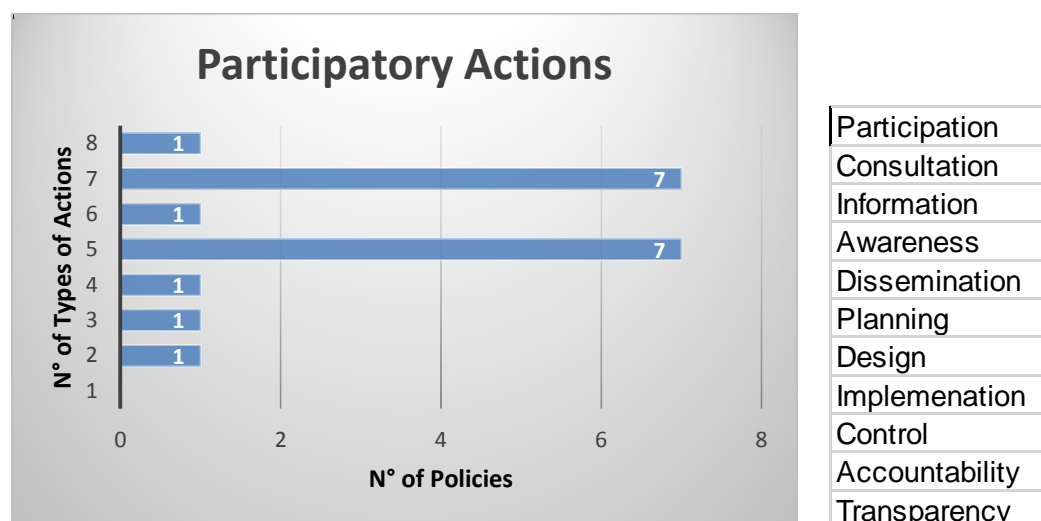


Figure 23 Participatory Actions in Water Policy Cyprus

Figure 23 indicates that the majority of water policy instruments include 5 or 7 indicators that address the role of public participation. Policy instruments with 5 indicators do not include Participation or Awareness. These 2 indicators are present in instruments with a 7-indicator content profile.

R	S
Key Action Indicators	N° of Indicators
Information, Planning, Design, Implementation, Control	5
Consultation, Information, Awareness, Planning, Design, Implementation, Control	7
Participation, Consultation, Information, Planning, Design, Implementation, Control	7
Consultation	

Figure 24 Participation and Awareness Indicators Water Sector Cyprus

Figure 24 illustrates how a check on the data sheet shows that Participation and Awareness indicators are not often identified in the same policy instrument, but rather appear separately except in Water and Soil Pollution Control Law 106 of 2002. An interesting next step would be to assess the value of these indicators in 2002 and see how participation and awareness was being addressed at that time. The *Cyprus*



*River Basin Management Plan* contains the highest number of indicators from this list (8).

## 2.2.4 Stakeholders

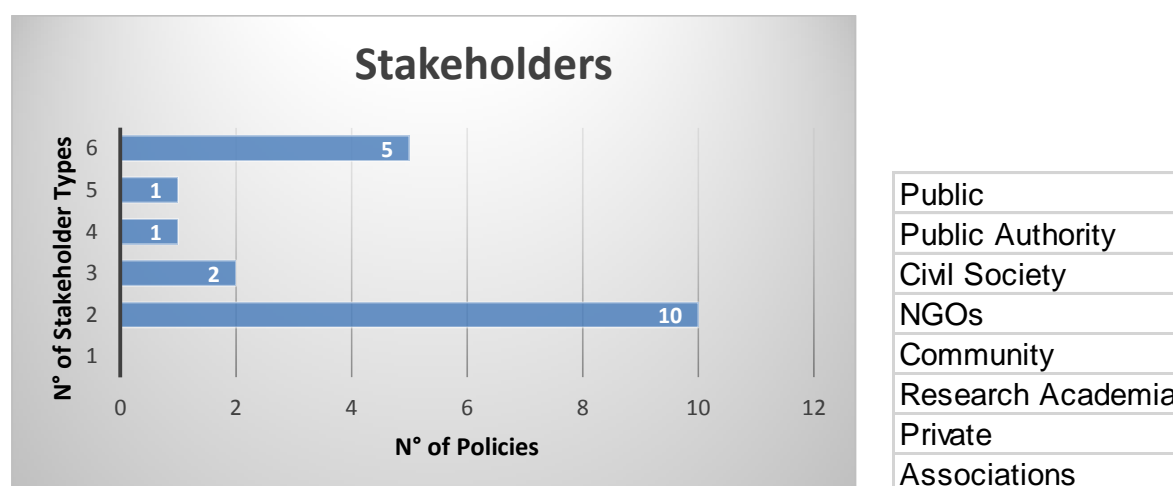


Figure 25 Types of Stakeholders Water Sector Cyprus

The **number** of stakeholder types identified is one of the most important indicator sets, since it not only indicates a participatory approach but also the broadness of that policy instrument's approach. Figure 25 shows that the largest number of indicator sets for the Water Sector is 10 policy instruments with 2 stakeholder types (a check on the data sheet identifies them as being the general public and public authorities). In one case, the general public stakeholder label is substituted by 'community'. There is also a set of 5 policy instruments with 6 Stakeholder Types. A quick check of the data sheet shows that all of these instruments are Integrated Water Resources Management Laws and amendments.

## 2.3 Other Sectors Comparative Analyses

### 2.3.1 Energy, Agriculture, Forestry and Environment Sectors

There are 7 remaining policies on the selected list for review and they fall under the policy sectors of Energy (4), Agriculture, Forestry and Environment (2) corresponding to Rural Development Programs and Forestry (1) for the *Cyprus National Forest Program*. Of the 4 selected instruments of the Cyprus Energy Sector,

3 are national level Policies for National Plans<sup>5</sup> and 1 Act for promotion of renewable energy<sup>6</sup>. The titles of these instruments already illustrate the difference in focus between Policies and Acts. All energy sector policy instruments come under the authority of the Ministry of Energy, Commerce, Industry and Tourism.

### 2.3.2 Cross-Cutting Policies

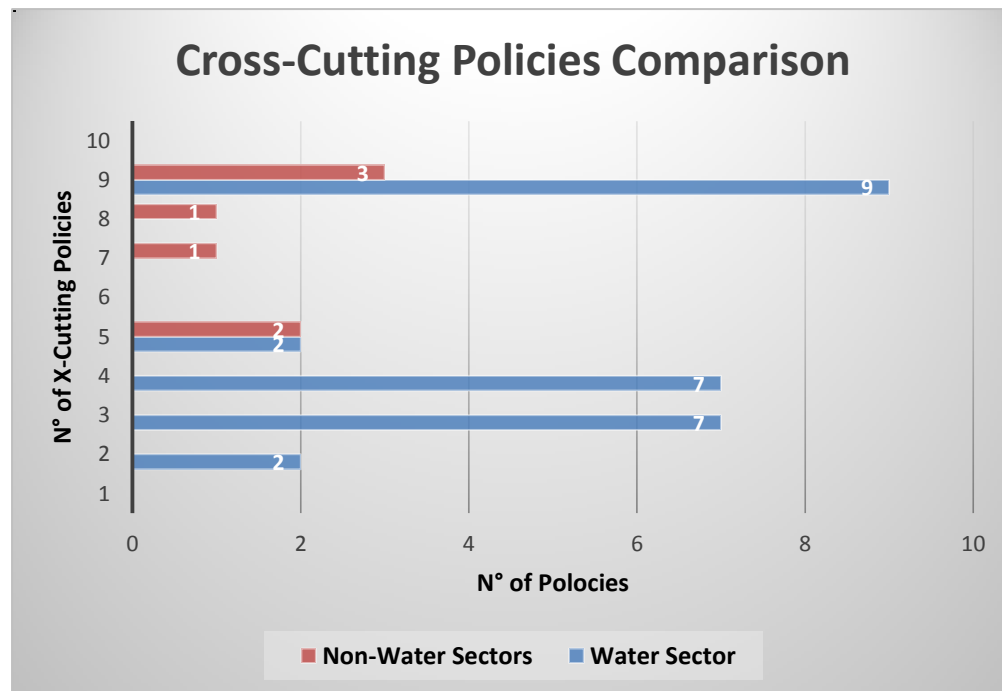


Figure 26 Cross Cutting Policies Comparison Cyprus

Figure 26 illustrates how the Water and non-Water policy sectors compare to each other in terms of addressing cross-cutting policies. Non-Water policy sectors appear to have a more multi-sectoral content than the policies from the water sector list. A quick check of the data sheet shows that policies instruments from the Energy Sector and those addressing Rural Development have the highest multi-sector profile identified. The number of cross-cutting policies can also evolve over time in the amendment process, as shown below in Figure 27:

<sup>5</sup> 2<sup>nd</sup> & 3<sup>rd</sup> National Energy Efficiency Action Plan of Cyprus, and the National Renewable Action Plan Based on the Requirements of the Directive 2009/28/EC (2010-2020)

<sup>6</sup> Law for the Promotion and Encouraging the Use of Renewable Energy Sources 112

Title of Policy Instrument (English title)	Date	X-Cutting Policy Sector, X-Cutting Policy Sector	N° of Indicators
3rd National Energy Efficiency Action Plan of Cyprus	2014	Water, Energy, Agriculture, Environment, Transport, Health, Education, Climate	8
2nd National Energy Efficiency Action Plan of Cyprus	2011	Water, Energy, Agriculture, Environment, Transport, Education, Climate	7

Figure 27 Amended Policies and Evolution of Indicators Cyprus

### 2.3.3 Participation Actions and Stakeholders

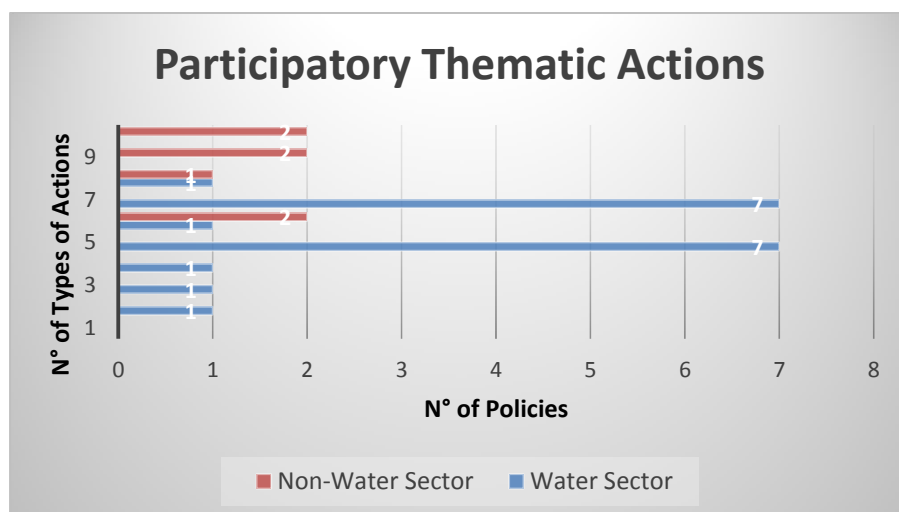


Figure 28 Comparison Participatory Actions in Policy Cyprus

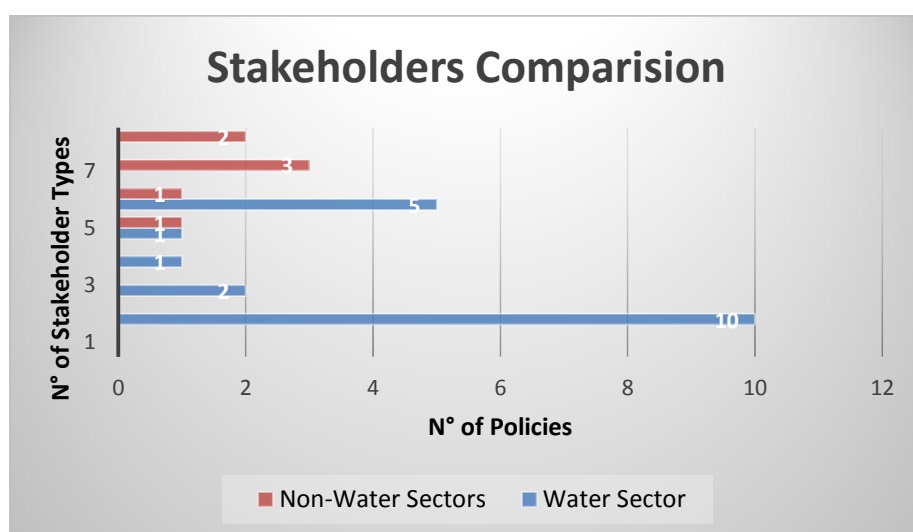


Figure 29 Comparison of Stakeholder Types in Policy Cyprus

Both Figures 28 and 29 compare the Water Sector to other policy sectors on participatory and stakeholder indicators, and show that the ranges of stakeholder indicators and action indicators are higher in the non-water sectors.

## 2.4 Total Indicators

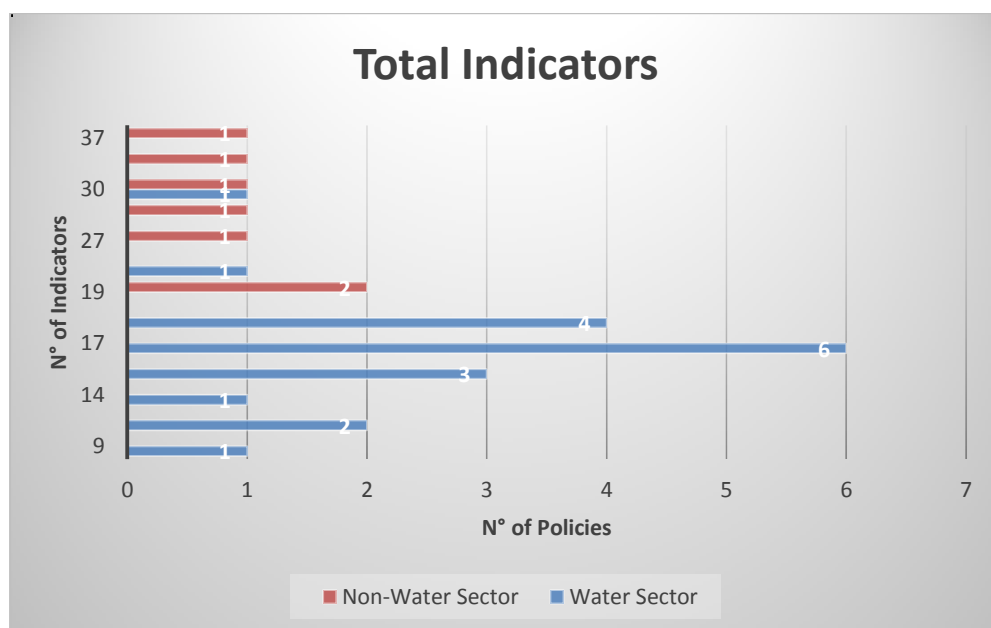


Figure 30 Comparison Total Indicators in Policy Sectors Cyprus

Figure 30 shows that the largest distribution of indicator totals is between 16 and 19 positive indicators overall within 17 Policy Instruments. The highest numbers of 35 and 37 positive indicators are to be found in the 2 Rural Development programs of 2007-2013 and 2014-2020, both of which are not falling into the Water Sector. The highest indicators scores are in the non-Water Sector, with the highest indicator score for Water Sector being 28. The policy instruments that are most active in multi-sectoral approaches, with themes that are both water and climate sensitive, with actions and content promoting participation and stakeholder groups are not to be found in the water sector but rather in Rural Development and Energy sectors.

## 3.0 Spain Policy Review Results

### 3.1 General Analyses

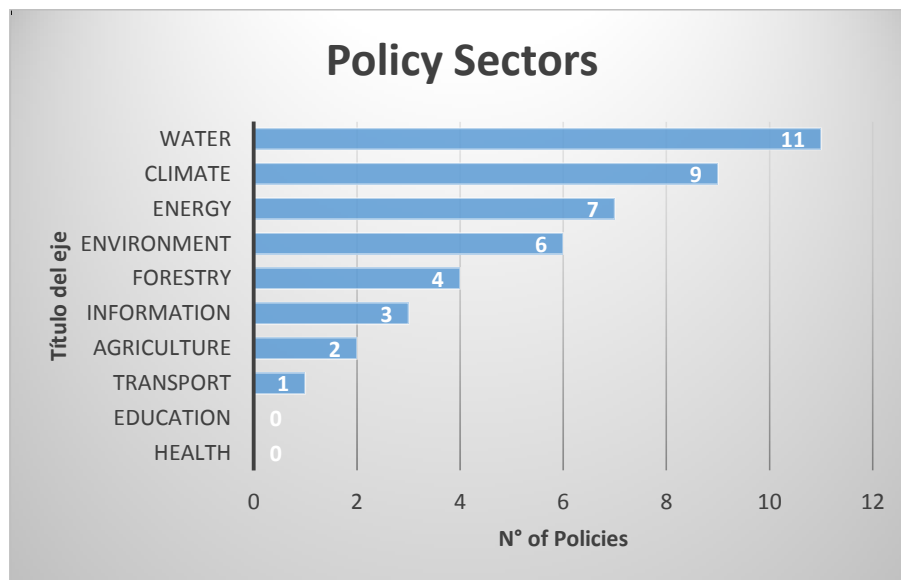


Figure 31 Policy Sectors Spain

The Policy Review in Spain includes 43 policy instruments and a wide array of sectors. Figure 31 shows the distribution with the Water Sector being the largest on the list reviewed, closely followed by Climate Sector policy instruments, which indicates a strong presence of Climate-related policy instruments.

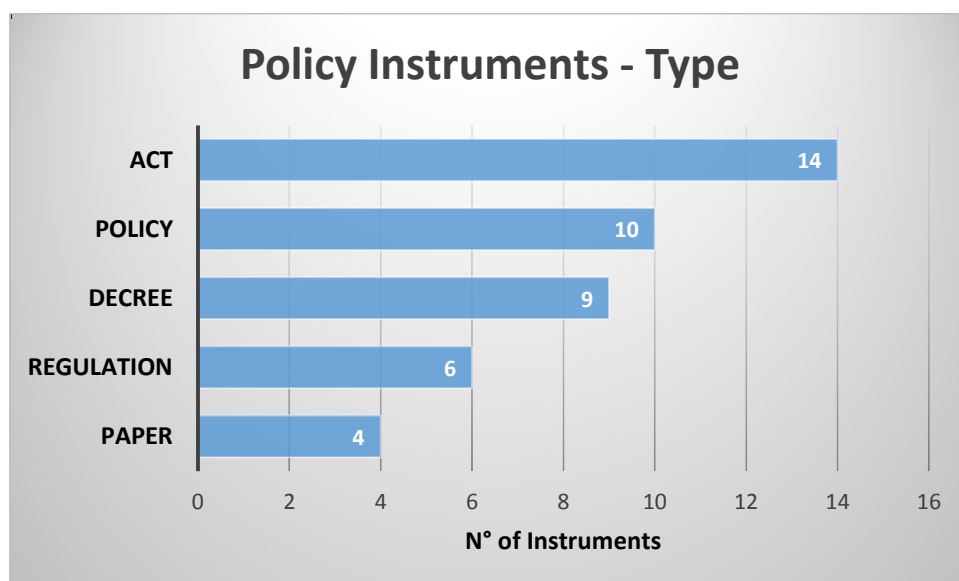


Figure 32 Types of Policy Instruments Spain

Figure 32 shows that Acts and Policies, the overarching institutional policy instruments, together form the majority of instrument types. However, there is a significant number of Decrees identified, and this can be of interest since Decrees are not usually consultative policy processes, and this can indicate a degree of unilateral decision making.

### 3.1.1 Cross-Cutting and Multi-Sector Distribution

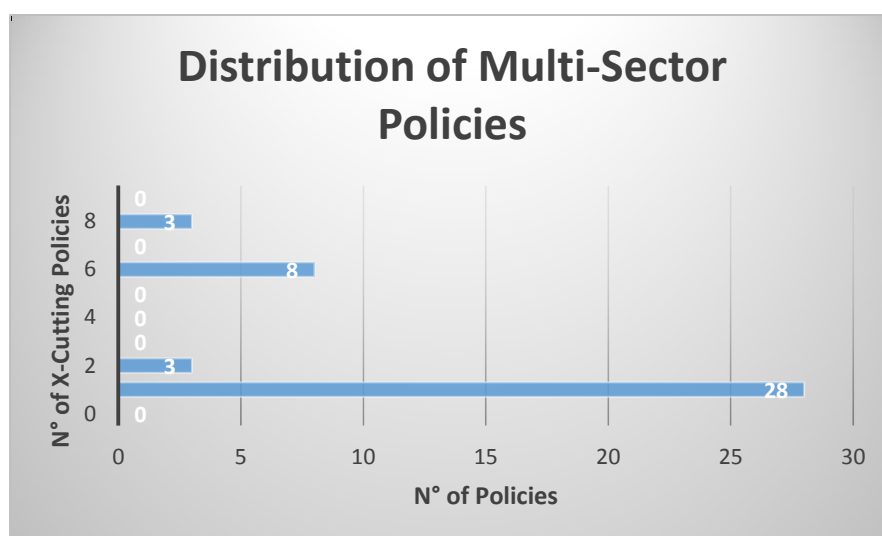


Figure 33 Cross-Cutting Policy Distribution Spain

Figure 33 suggests that many of the policies are not strongly multi-sectoral (28 instruments appear to cross-cut with only one other policy sector), although there is an interesting cluster around the indicator for 6 cross-cutting policies. A quick check on the data sheet shows that none are from the Water Sector, that 7 are in Climate Policy Sector and one is in Environment. The majority of climate policies were introduced relatively recently, from 2010 onwards.

### 3.1.2 Amendments

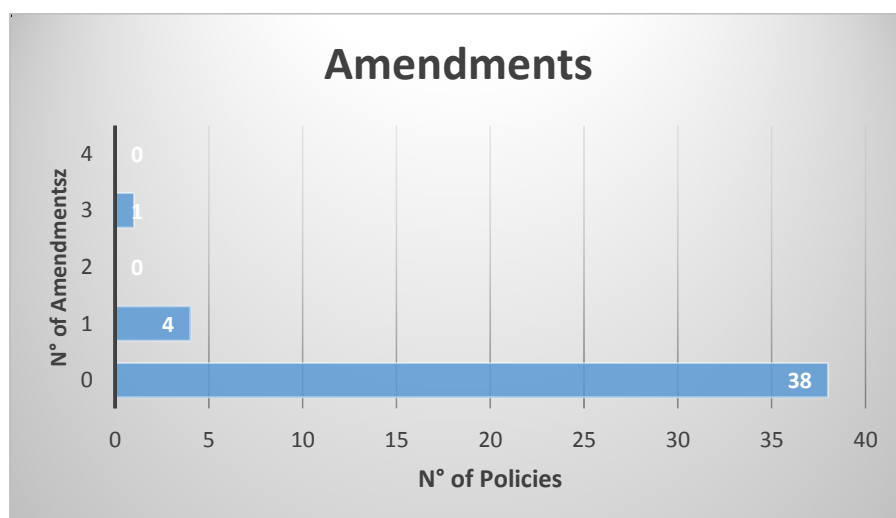


Figure 34 Amendments in Policy Instruments Spain

Amendments in Spanish Policy do not appear to a large degree in the selected list of policies for review. Figure 34 shows only a small cluster illustrating 4 instruments with 1 amendment and 1 with 3 amendments. It is easy enough to identify when these amendments occurred and we can see in Figure 35 below that most amendments occurred 2010 onwards, with one outlier around 2001<sup>7</sup>.

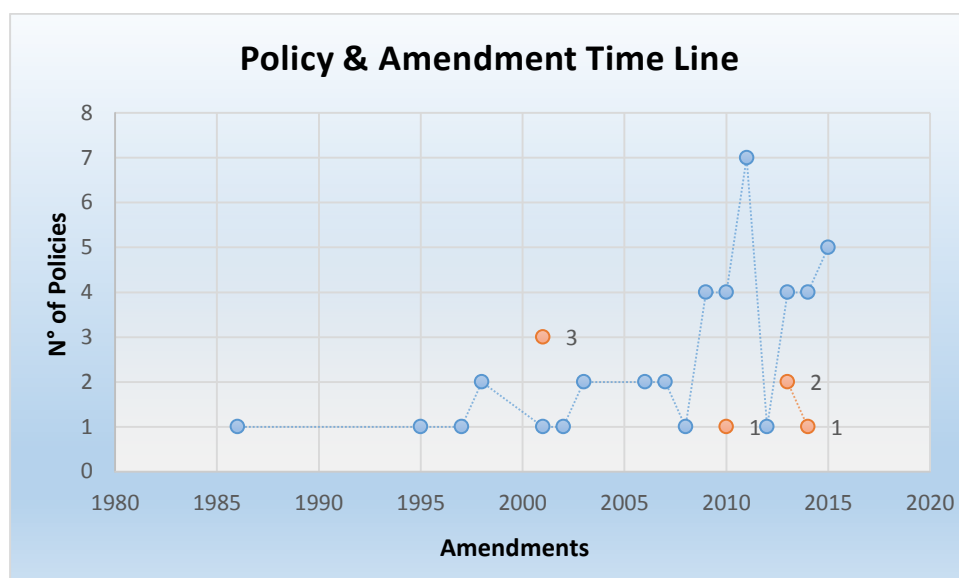


Figure 35 Policy Amendments Time Line Spain

<sup>7</sup> Waters Act 29/1985, Hydraulic Supply due to persistent drought Act 9/1996, Waters Act 46/1999, Legislative Royal Decree 1/2001, revised text of Waters Act

## 3.2 Water Sector Analyses

### 3.2.1 Policy Instrument Distribution

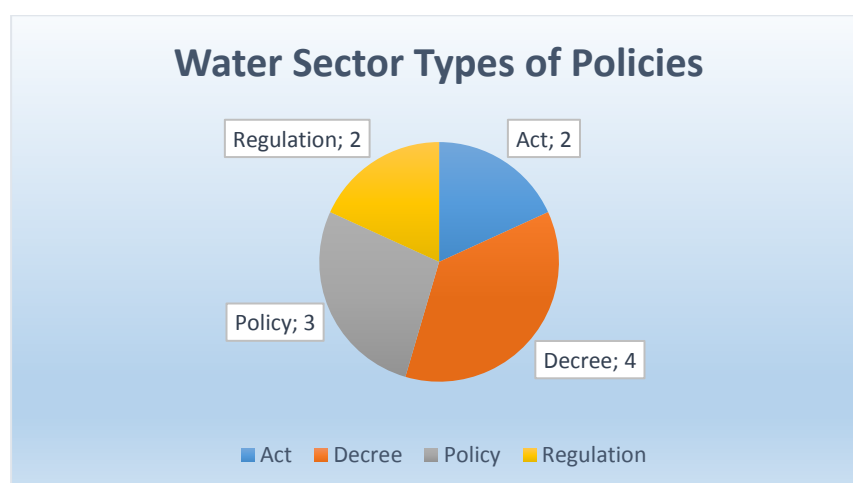


Figure 36 Water Sector Types of Policy Instruments Spain

In Spain, the distribution of Policy Types in the Water Sector is shown to be fairly even in Figure 36 between the overarching Policies and Acts (5), followed closely by the more unilateral Decrees (4).<sup>8</sup> The Acts are older (1995 & 2001) than the Policies (all 2014-15).

### 3.2.2 Policy Thematics Indicators

In the CSRB Partner Spain, Figure 37 shows the distribution of policy thematics indicators mainly limited to one indicator per instrument. While this is marginal, it does allow for an easy indicator count and comparison. A quick check on the data sheet shows that for the Water Sector, it is clearly Management that is the main policy thematic among the selected instruments, followed by arid environment priorities of Drought and Flood. Management is present as an indicator in the policy processes of Acts, Decrees, Policies and Regulations.

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<sup>8</sup> An "act" or policy implies a law or regulation passed by a legislative body. A 'decree' implies an order or regulation unilaterally issued or declared by someone in authority, without benefit of legislative review or action.



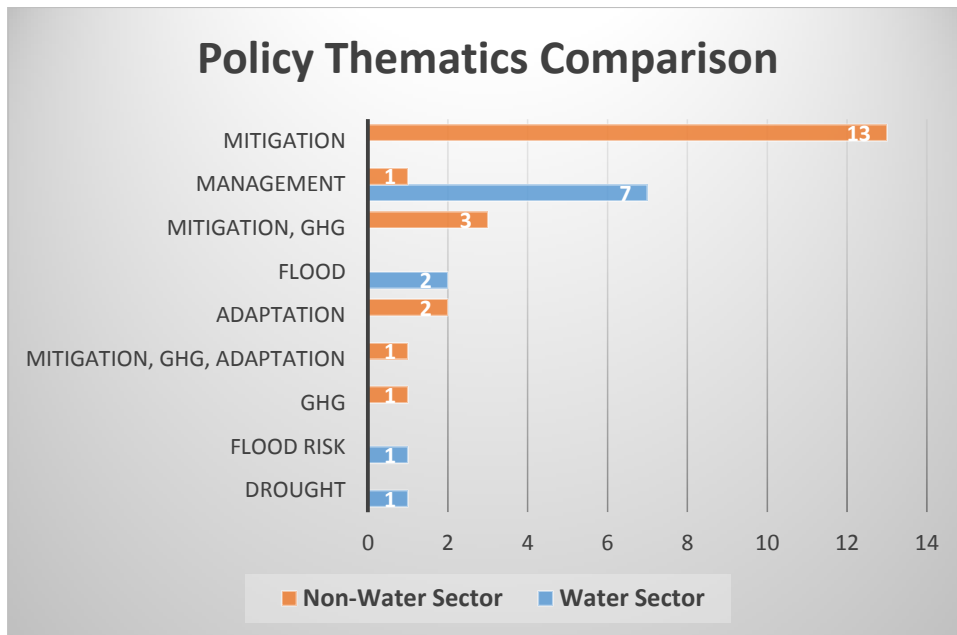


Figure 37 Distribution Policy Thematics Spain

### 3.2.3 Policy Action Indicators for Participatory Involvement

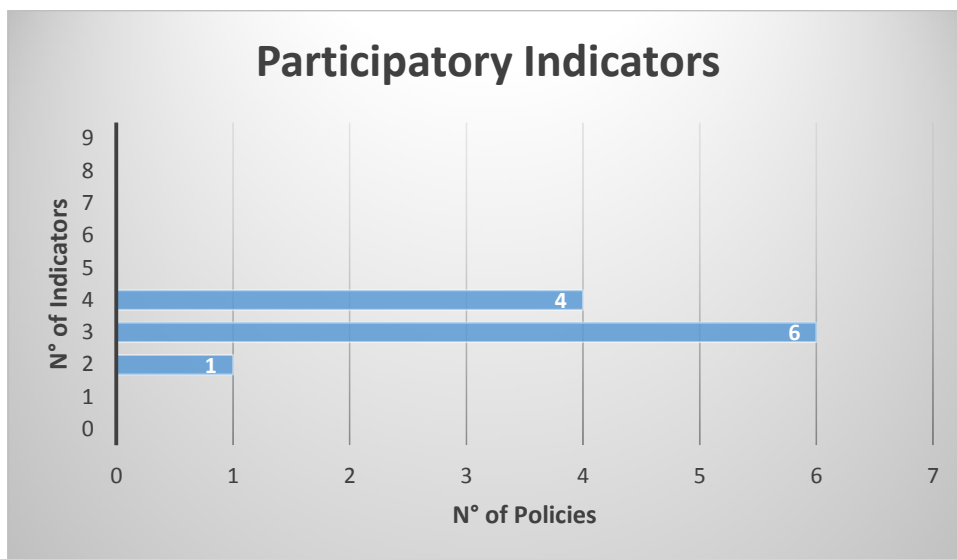


Figure 38 Policy Participatory Action Indicators Spain

Figure 38 shows the distribution of participatory action indicators (for list, refer to Figure 23), with the majority (6) demonstrating 3 participatory indicators. A quick check of the data sheet shows that 5 of the total 6 have Design and Control in the list of indicators identified, with the other indicators being either Awareness or Information. Participation appears light which can signal a trend to potential one-way

activities such as information and awareness only. Other collaborative actions such as accountability and transparency appear to be absent.

### 3.2.4 Stakeholders

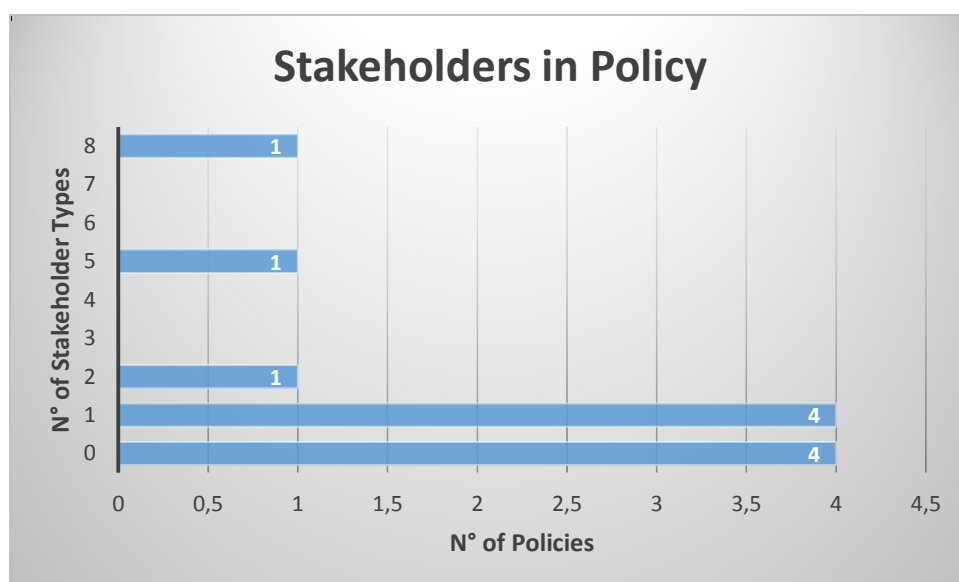


Figure 39 Types of Stakeholders in Policy Instruments Spain

Figure 39 above suggests that the range of stakeholders involved in the water policies reviewed is quite small, with one clear exception where 8 stakeholders are involved in one policy activity which is ongoing at the time of this writing and with consultations in progress.<sup>9</sup>

## 3.3 Other Sectors Comparative Analysis

There are 32 other policy instruments in the selected review list and they cover the policy sectors of Transport, Agriculture, Information, Forestry, Environment, Energy and Climate. While Information is not part of the original policy list of indicators for this study, it is clearly an important sector of policy activity for BeWater activities in Spain and as such has been included in part of the analyses.

<sup>9</sup> Management Plan for the river basin district of Catalonia for the period 2016-202T

### 3.3.1 Cross-Cutting Policies

The data in the Figure 40 compares the water and non-water sectors on distribution and number of multi-sector and whether that range is small (1) or large (8). Data indicates that the majority of policies appear to engage with one other sector only. However, where there is a broad range of multi-sector engagement, this appears to be outside of the Water Sector. A quick check on the data table shows that the broadest range of cross-cutting policies (8) is addressed by 3 policy instruments; 2 of which address access to information on environmental matters and the third addresses renewable energy.

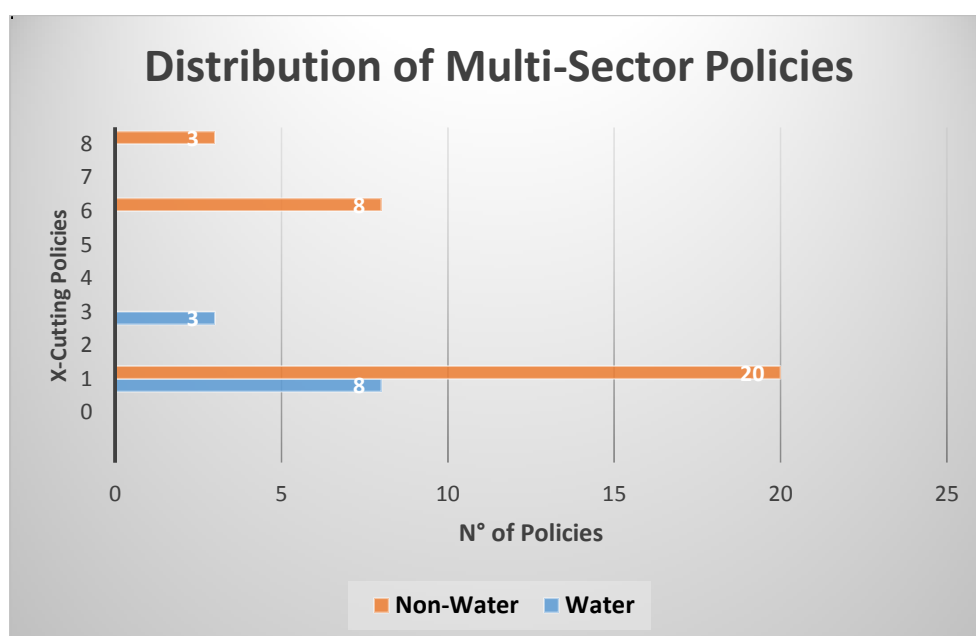


Figure 40 Cross-Cutting Policies in Instruments Spain

### 3.3.2 Stakeholders

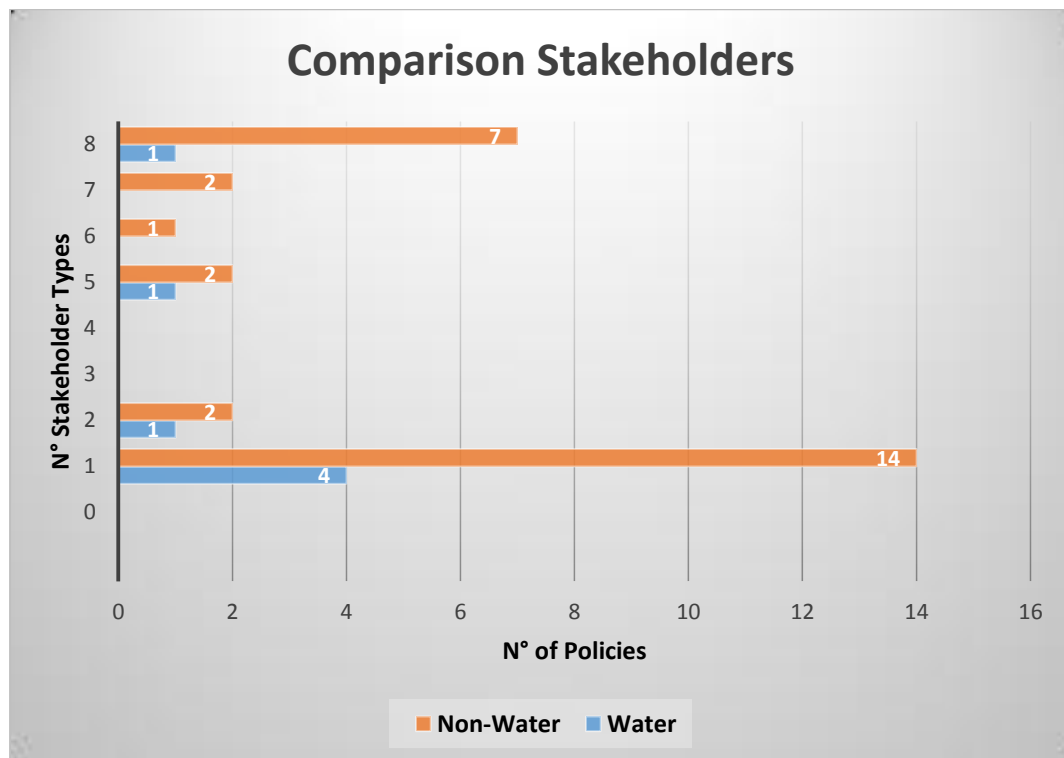


Figure 41 Comparison Stakeholder Types in Policy Instruments Spain

While it is not representative to draw conclusions in this comparison between a small and larger data set, it can be observed in Figure 41 that the water sector range of stakeholder involvement (i.e. how many different stakeholders are engaged or addressed) reflects a similar range of 1 to 8 identified in the other sectors.

### 3.4 Total Indicators

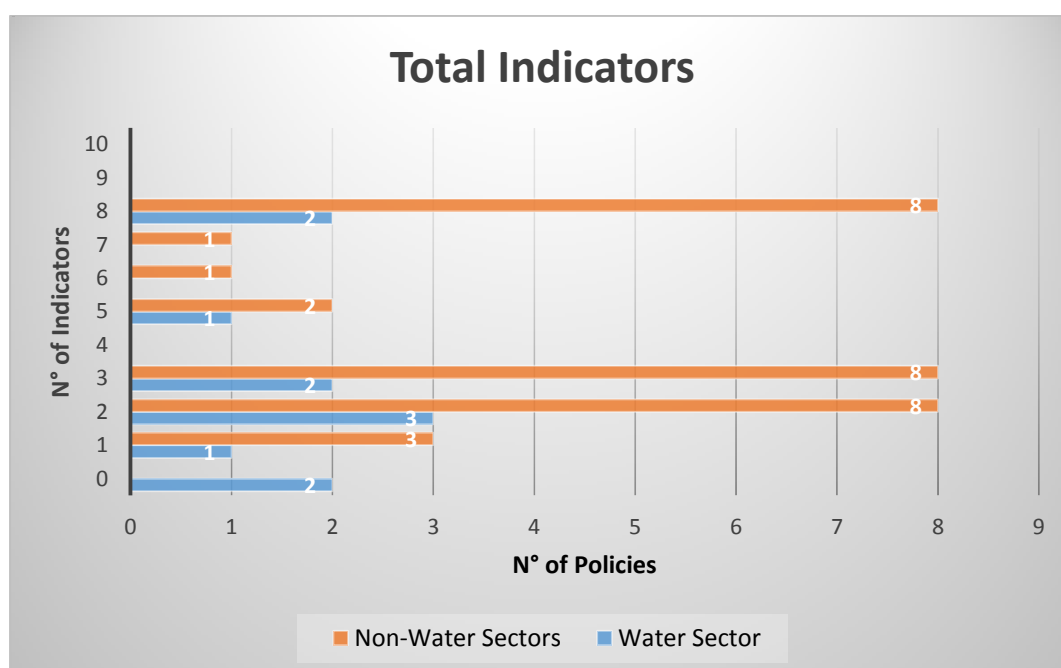


Figure 42 Total Indicators Spain

This review of the policy instruments identifies low numbers of positive indicators for the majority of the policy instruments. However 10 instruments contain up to 8 total indicators. Figure 42 shows that only 2 Water Sector instruments are in this score. A quick check on the data sheet shows that other 8 instruments address sectors of climate (and energy and climate), access to information and the environment sector.

## 4.0 Slovenia Policy Review Results

### 4.1 General Analyses

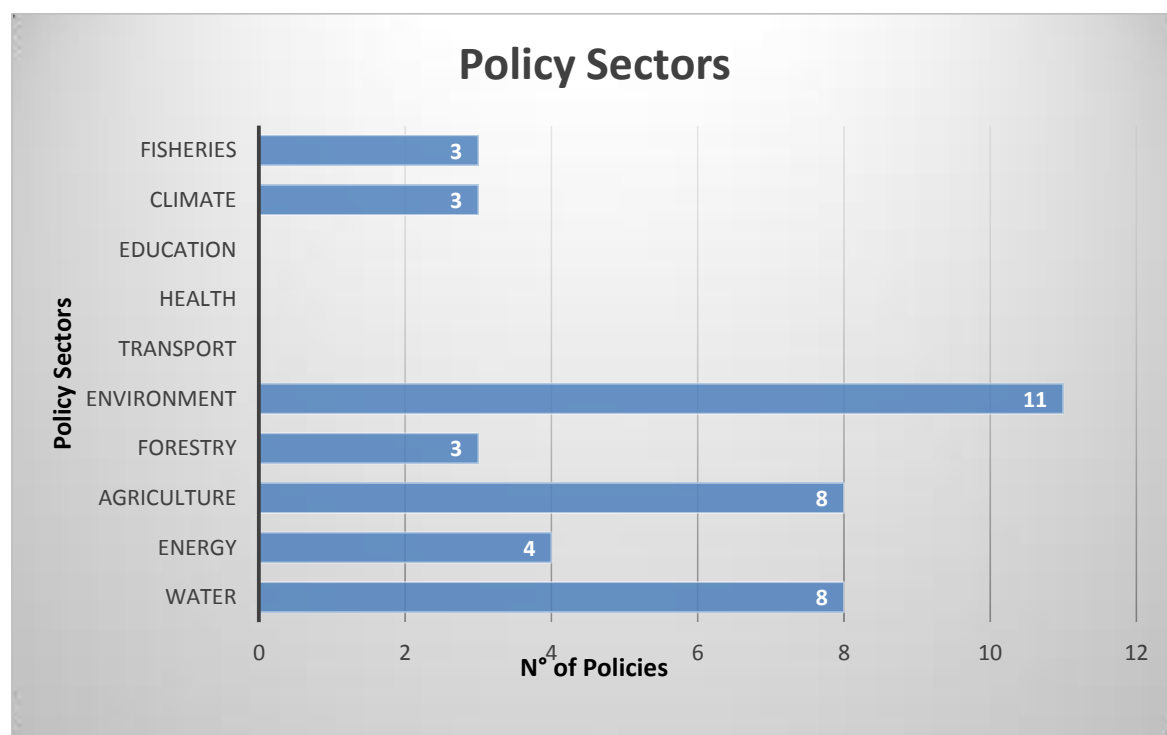


Figure 43 Policy Sectors Distribution Slovenia

The Slovenia list in Figure 43 of reviewed policies includes the sector of Fisheries Policy, which was not included in the other river basin lists. Figure 44 shows the majority of policy instruments are Acts (12), followed closely by Policies (9) and the remainder evenly distributed among Decrees, Papers and Regulations. What this suggests initially is that with a relatively large number of Decrees (which are normally a unilateral type of decision-making) and Regulations, there is a strong presence of the State in policy implementation, control and follow up. A check on the data sheet shows that of the total of 13 policy instruments addressed by Decrees and Regulations, 4 are in the Environment Sector and 5 are in the Water Sector, suggesting a possible tight management of these sectors by the State.

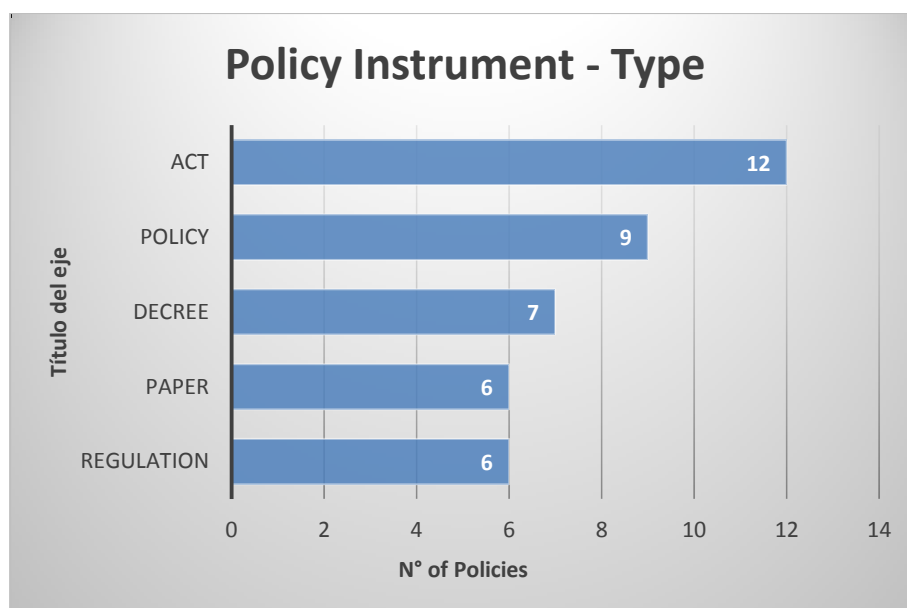


Figure 44 Types of Policy Instruments Slovenia

#### 4.1.1 Cross-Cutting and Multi-Sector Policy Distribution

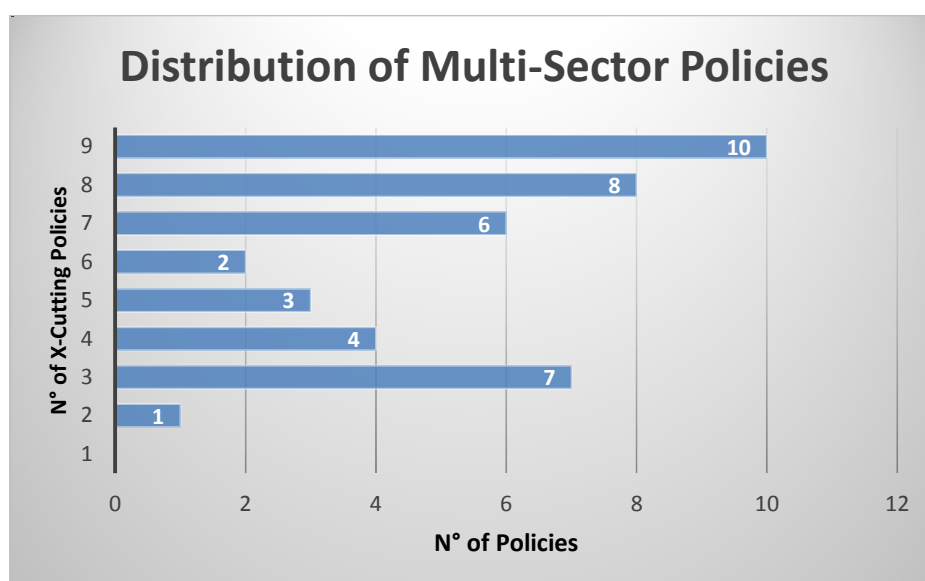


Figure 45 Cross-Cutting Instruments Slovenia

Figure 45 shows a large number of policies address a cross-cutting content of 6 or more policy sectors. A check of the data sheet shows the Water Sector with the lowest number of cross-cutting policies (2)<sup>10</sup> and of the 18 policies with 8 or 9 cross-cutting policies addressed in their content, 2 policies from the Water Sector have 8 cross-cutting sectors.

<sup>10</sup> Rules on drinking water supply (Official Gazette of RS, no. 35/06, 41/08, 28/11 in 88/12) (still in force 9. and 10. article) replaced by Decree on drinking water supply (Official Gazette of RS, no. 88/12)

### 4.1.2 Amendments

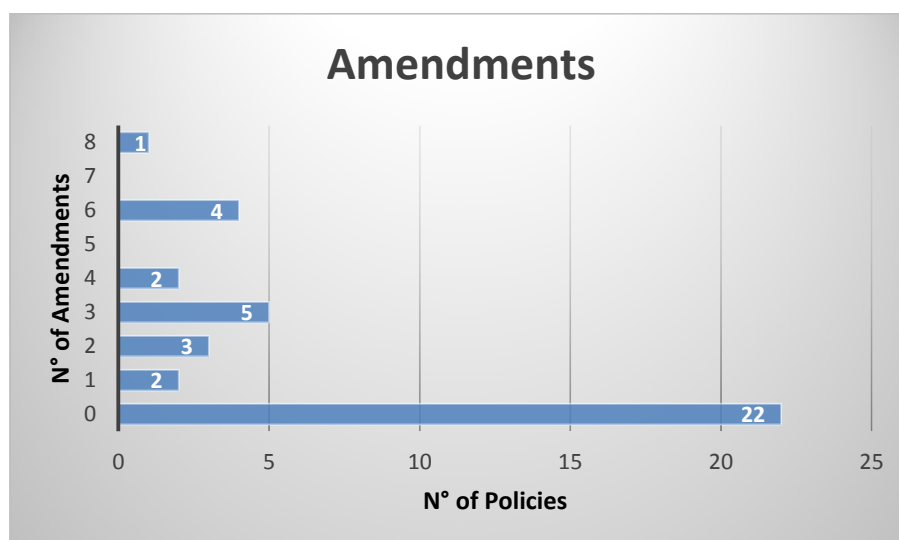


Figure 46 Amendments Policy Instruments Slovenia

Figure 46 shows that there are very few amendments identified in the list of policy instruments, suggesting there has not been much updating of policy. A quick check of the data sheet shows that all of the instruments with larger numbers of amendments (6 & 8), were all amended in 2015 and most of the other amendments in 2014. This indicates much recent policy reform activity.

## 4.2 Water Sector Analyses

### 4.2.1 Policy Instrument Distribution

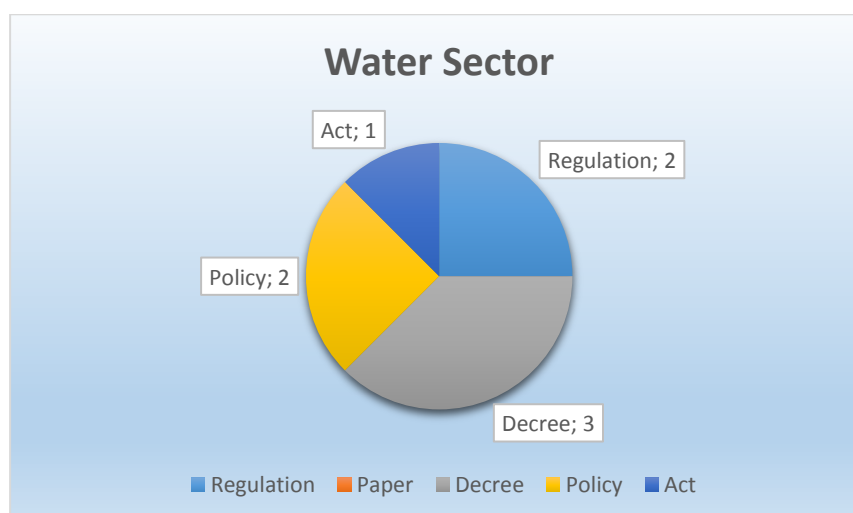


Figure 47 Water Sector Policy Instruments Slovenia



Figure 47 shows the distribution of types of policy instruments for the Water Sector. The 8 water sector policy instruments trend slightly towards the more control type of instruments of Decrees and Regulations (5).

#### 4.2.2 Policy Thematic Indicators

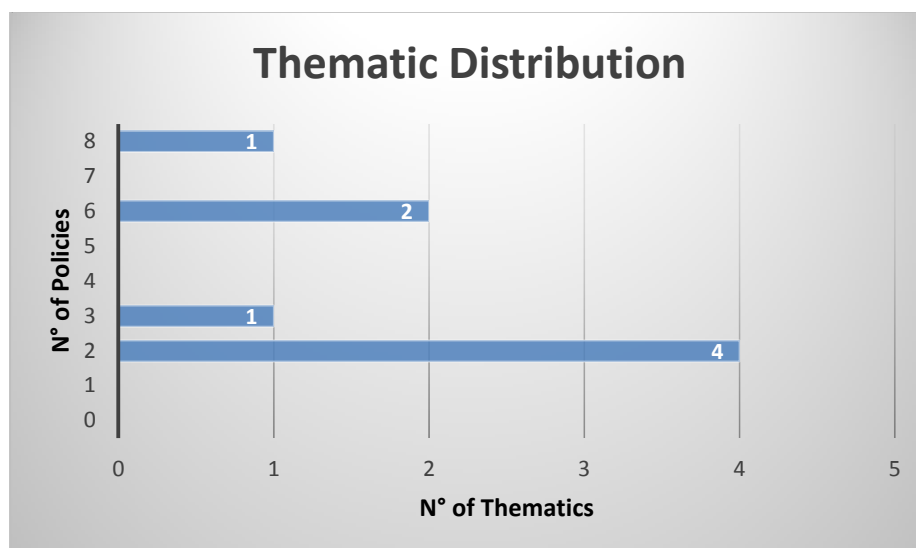


Figure 48 Distribution of Thematic Indicators Water Sector Slovenia

The Thematic Distribution shown in Figure 48 of the 8 water policy instruments, 3 have relatively high indicator numbers for positive thematic actions. One is an operational program for drinking water supply (2006), another is a river basin management plan (2012) and the third is the new 2015 Water Act. A quick check of the data sheet also shows that these 3 instruments also have the highest numbers of cross-cutting policy indicators.

### 4.2.3 Policy Action Indicators for Participation and Stakeholders

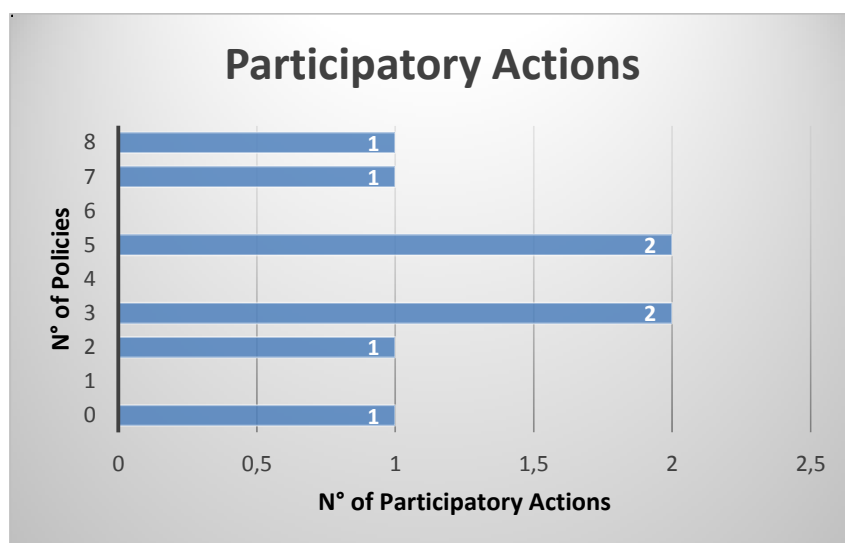


Figure 49 Participatory Actions in Water Sector Slovenia

Figure 49 shows that half of the Water Sector policy instruments have relatively high indicator numbers for addressing actions linked to participation. These policy instruments correspond closely to policies with high indicator numbers of thematic actions (Figure 48), with the addition of another operational program for waste water management.

### 4.2.4 Stakeholders



Figure 50 Types of Stakeholders in Water Sector Policy Slovenia

Figure 50 illustrates the distribution of stakeholder types in the policies. A quick check of the data sheet shows that the 4 policy instruments with high indicator

scores of 4, 5 & 6 correspond exactly to the same high scoring instruments identified in section 4.2.3. This underscores the idea that policy instruments that promote a wide range of participatory activities, will also engage a wider range of stakeholder types.

## 4.3 Other Sectors Comparative Analyses

### 4.3.1 Cross-Cutting Themes in Policies

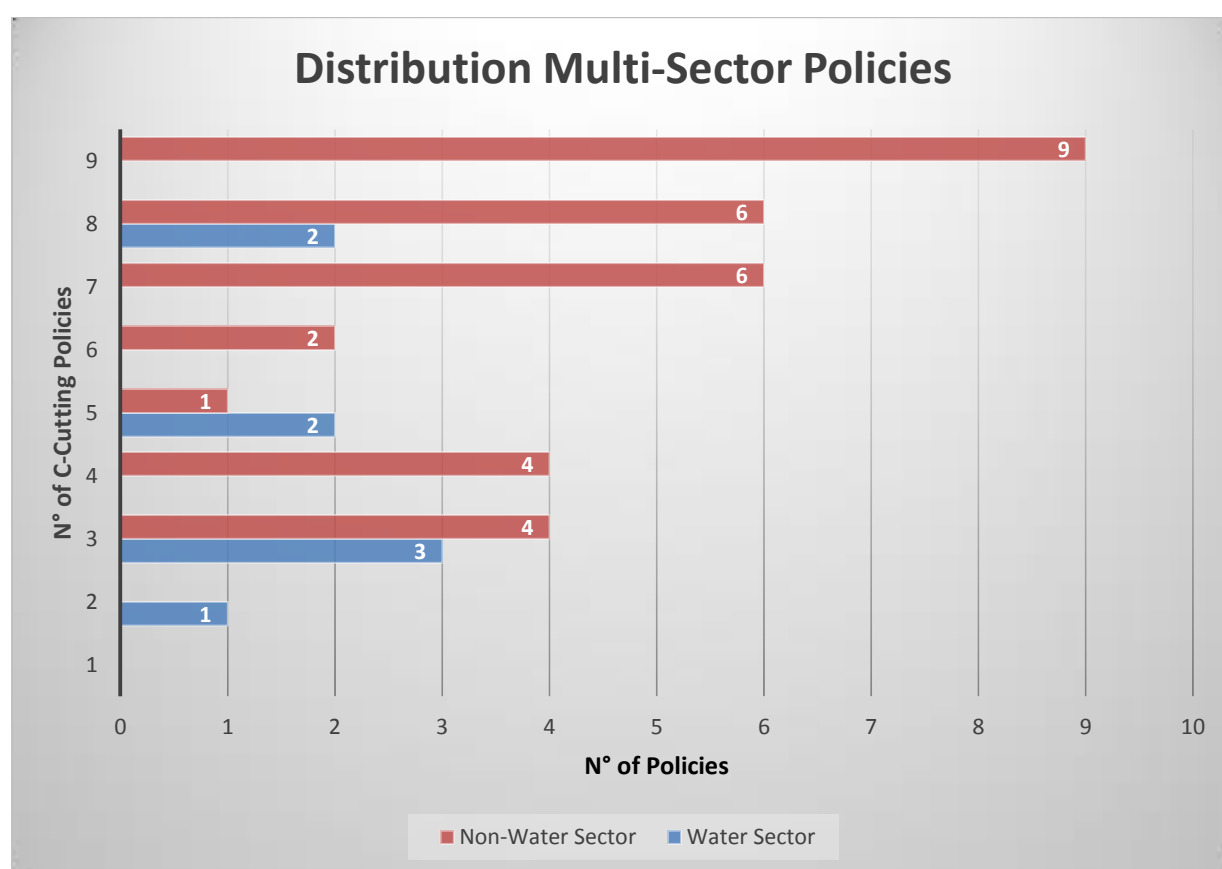


Figure 51 Comparison Cross-Cutting Policy Indicators Slovenia

Figure 51 above shows that the cross-cutting policy content in the Water sector reflects a similar distribution in other policy sectors except for the highest indicator set of 9. A quick check of the data sheet shows that this indicator set of 9 includes 3 Agriculture Policies, followed by Energy and Forestry with 2 Policies and one each from Fisheries and Environment.

### 4.3.2 Stakeholders

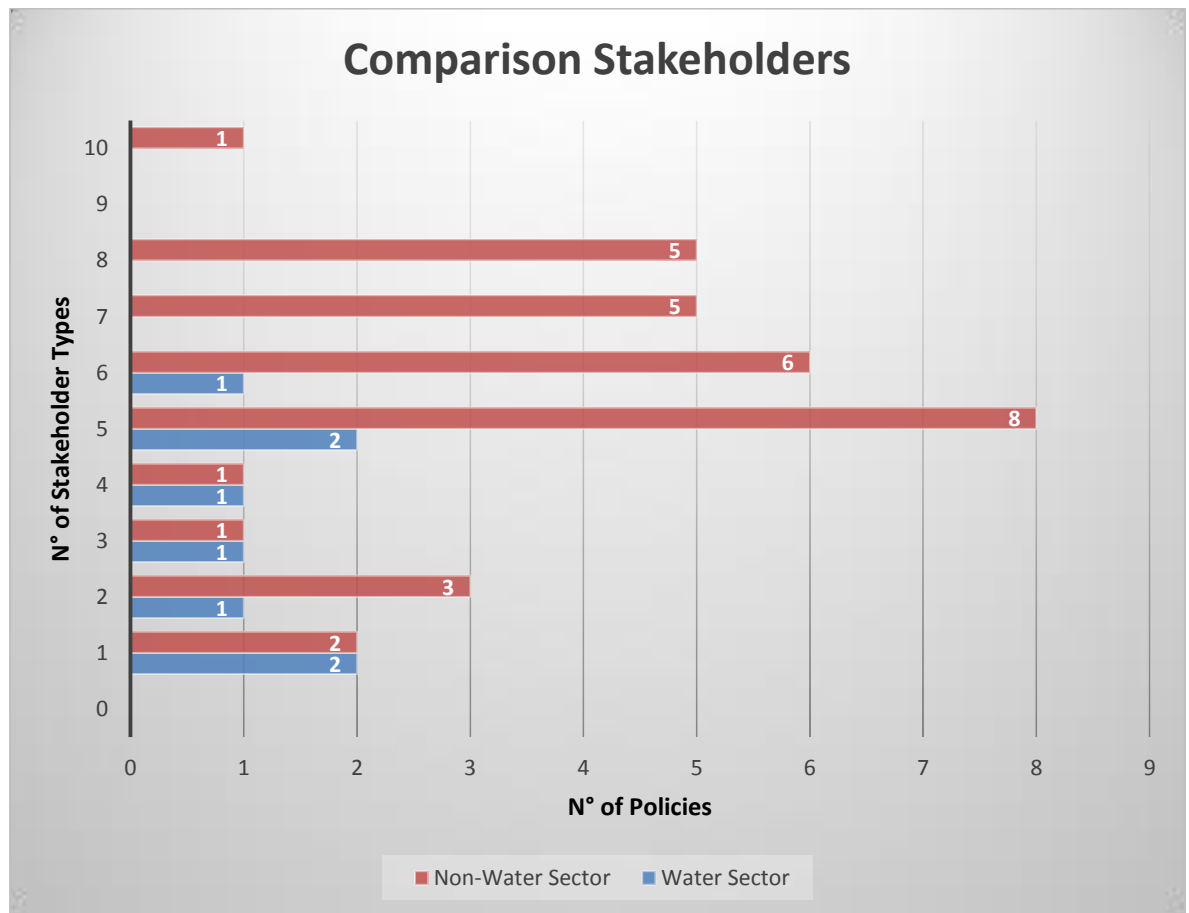


Figure 52 Comparison Types of Stakeholders in Policy Slovenia

Compared to the other sectors analysed, Figure 52 clearly indicates that the water sector policy instruments are behind other sectors in terms of stakeholder involvement.

#### 4.4 Total Indicators

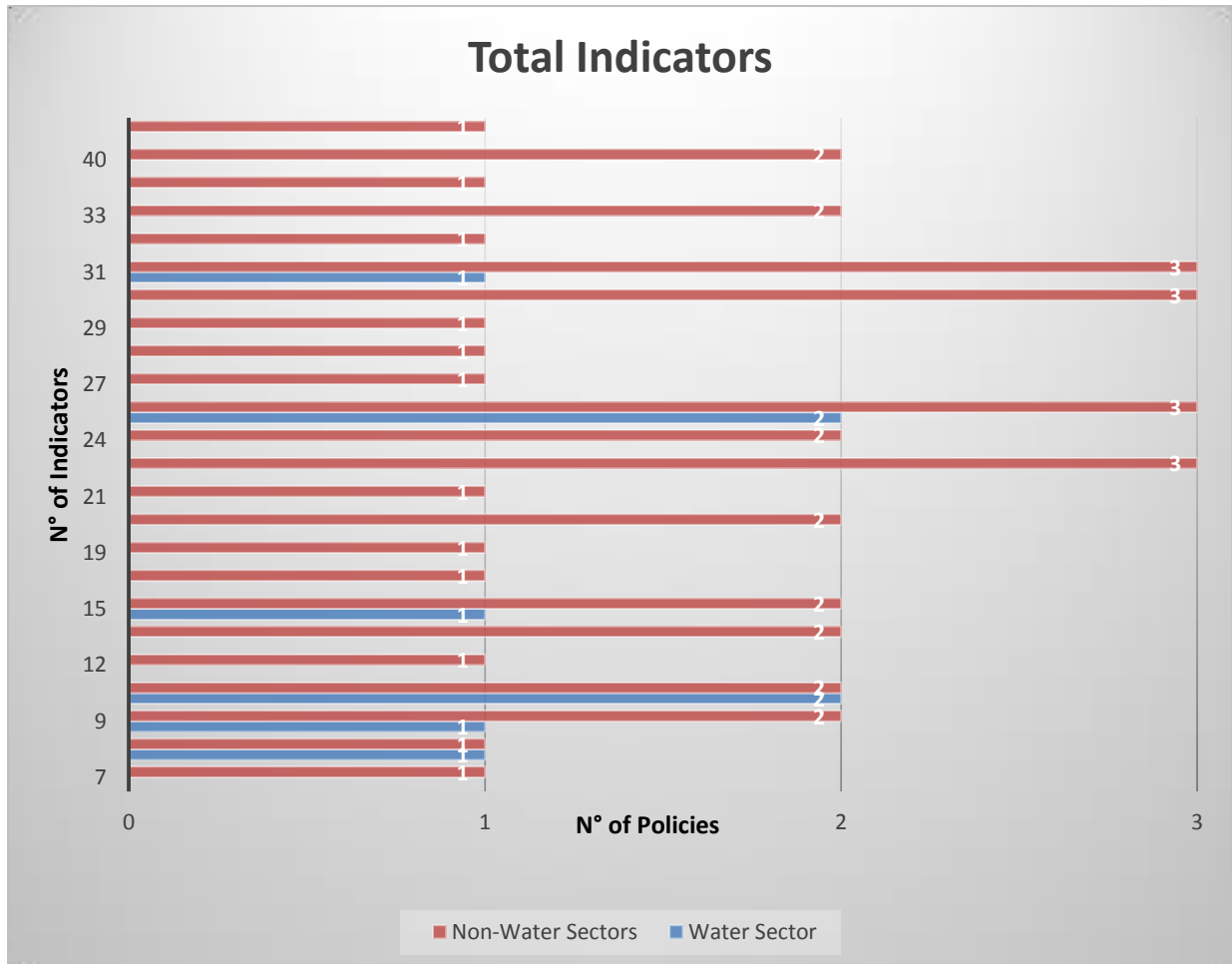


Figure 53 Total Indicators Slovenia

In terms of total indicators scoring, Figure 53 shows that the water sector total indicator scores are lower than in the other sectors, which has also been reflected in the individual indicator analyses.

## 5.0 Tunisia Policy Review Results

### 5.1 General Analyses

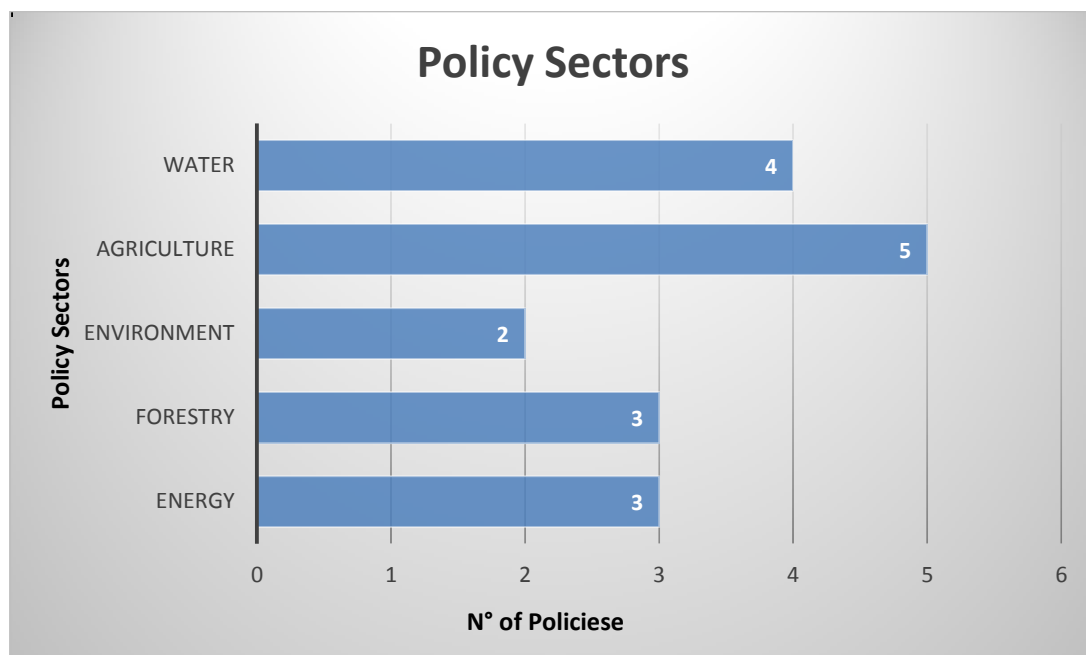


Figure 54 Policy Sectors Tunisia

Figure 54 shows the 17 policy instruments which were evaluated in Tunisia, with Water and Agriculture being the main policy sectors. Water Policy falls under the domain of the Ministry of Agriculture. The majority of these instruments are Acts (see Figure 55).

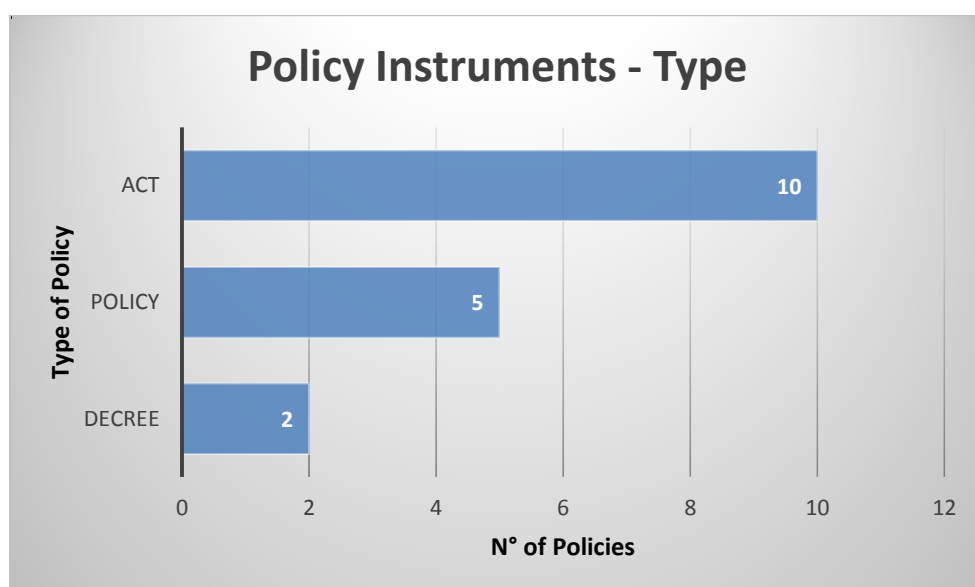


Figure 55 Types of Policy Instruments Tunisia

In light of the recent political evolution in Tunisia, it is interesting to see whether or how there is any evolution in the political landscape and indeed we see in Figure 56 that within the sectors being reviewed, almost all policy types instruments are developed after 2014 and the change in government. There is one climate change policy installed in 2007.

B	C	F	H	I
Country of Policy	Title of Policy Instrument (English title)	Date	Policy Sector	Type of Policy Instrument
Tunisia	climate change policy	2007	Environment	Policy
Tunisia	hydraulic policy	2014	Water	Policy
Tunisia	forestry policy	2014	Forestry	Policy
Tunisia	policy of soil and water conservation	2014	Agriculture	Policy
Tunisia	agricultural policy	2015	Agriculture	Policy

Figure 56 Instrument Types – Policy Over Time Tunisia

### 5.1.1 Cross-Cutting and Multi-Sector Policy Distribution

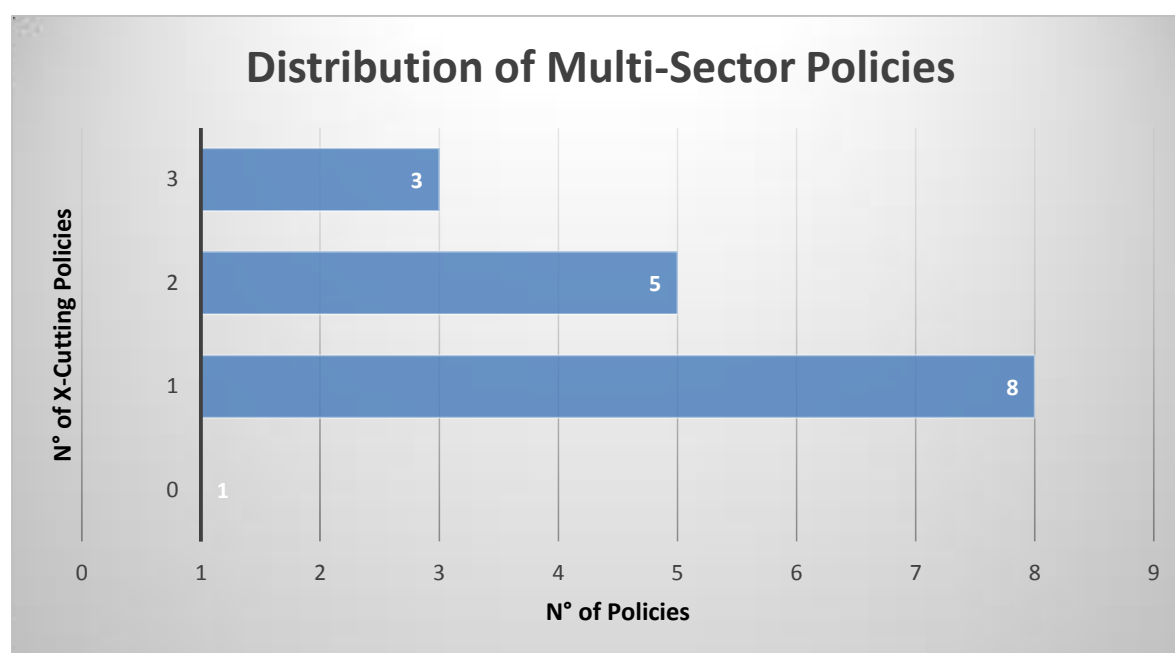


Figure 57 Cross-Cutting Policy Instruments Tunisia

Approximately half of the policy instruments engage with 2 or 3 other sectors in a cross-cutting fashion. The remainder engage or address only one other sector, with one instrument (water sector) with no cross-cutting content identified.<sup>11</sup>

<sup>11</sup> This is the Water Act of 1975, which is in the process of revision in 2015

### 5.1.2 Amendments

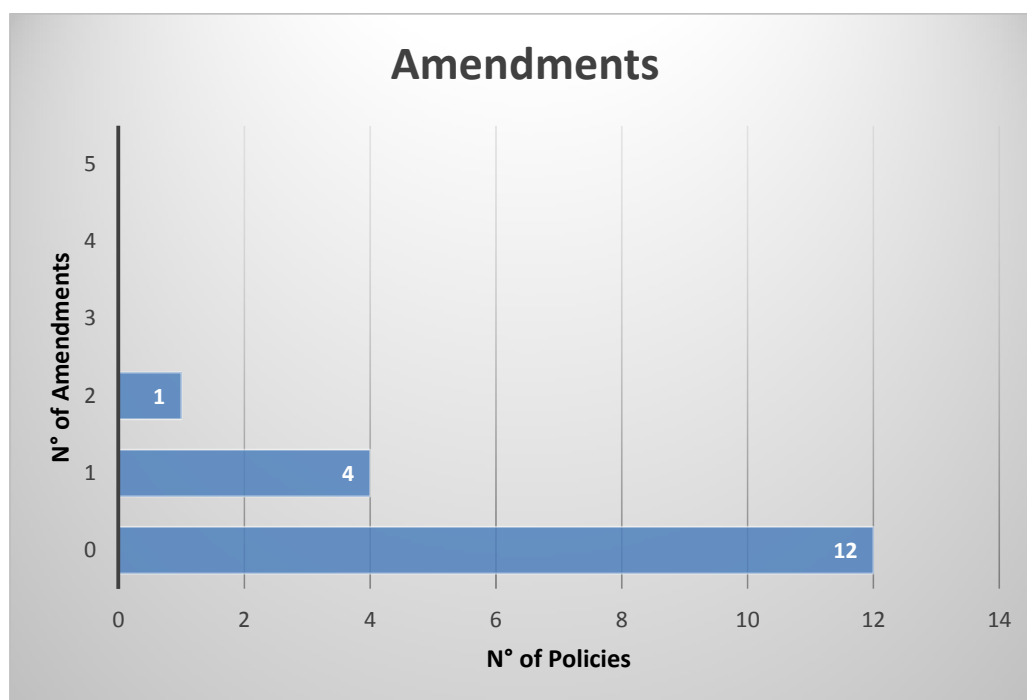


Figure 58 Amendments Tunisia

The majority of the policy instruments (12 of 17) did not go through an amendment process. Except for one Energy Policy amended in 2004, all policy instruments in the list have not been amended since that time, with only recently put into place since 2014.

## 5.2 Water Sector Analyses

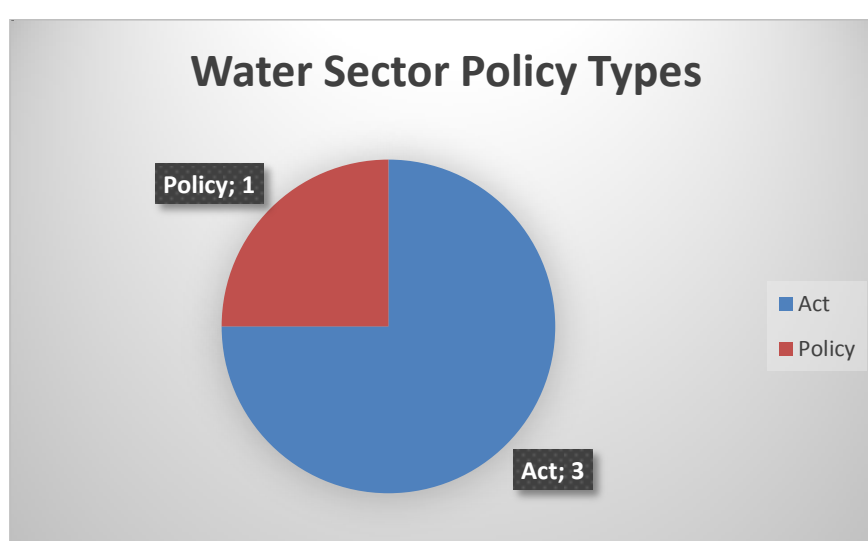


Figure 59 Water Sector Policy Types



Of the 4 selected Water Policy Instruments, 3 are Acts and pre-1988, and one is a recent Water Sector Policy from 2014.

### 5.2.1 Stakeholders

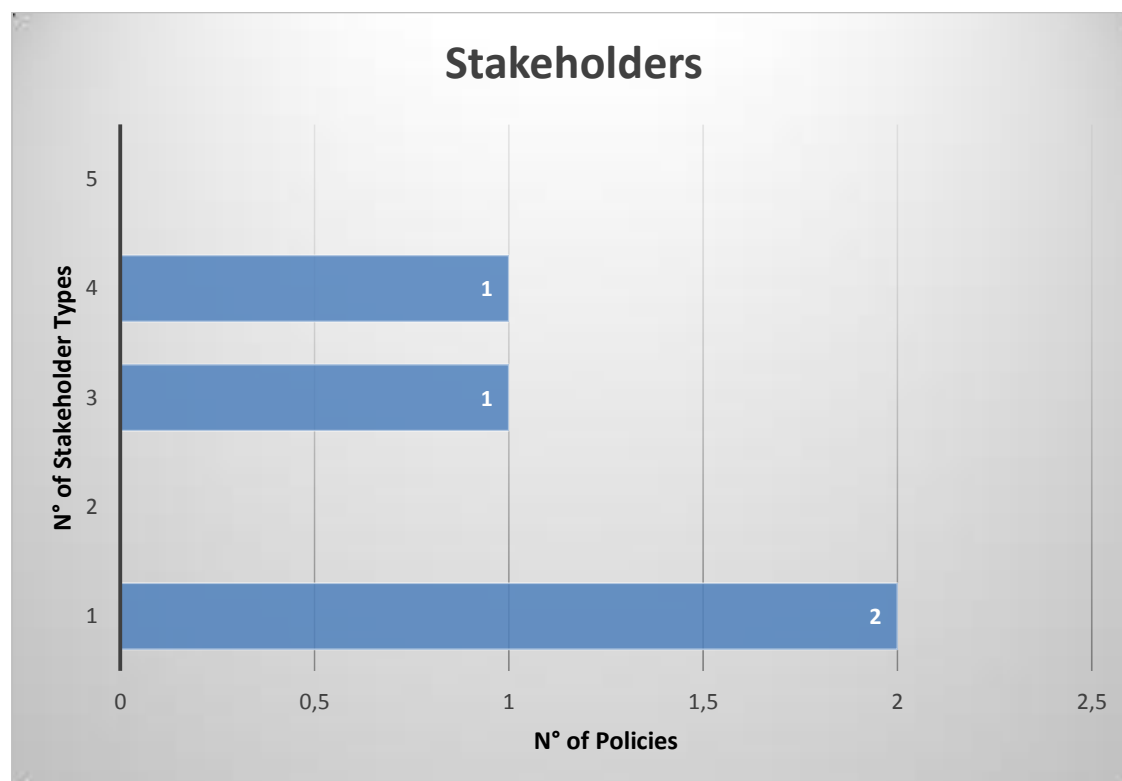


Figure 60. Stakeholder distribution Tunisia

Even with such a low number of policies to analyse Figure 60 shows that 2 Water Policies appear to engage with more than one type of stakeholder.

Title of Policy Instrument (English title)	Stakeholders	N° of Indicators	Date
<b>water act</b>	Public Authority	1	1975
<b>water act, <u>under revision</u></b>	Public, Public Authority, Civil Society, Private	4	1975
<b>water act (modified)</b>	Public Authority	1	1987
<b>hydraulic policy</b>	Public, Public Authority, Civil Society	3	2014

Figure 61 Stakeholder Types in Water Sector Tunisia

A quick check of the data chart shows an evolution over time in policy content in positive terms of addressing stakeholders, with the Water Act of 1974 (presently under current revision in 2015) and the recent Hydraulic Policy of 2014.

### 5.3 Other Sectors Comparative Analyses

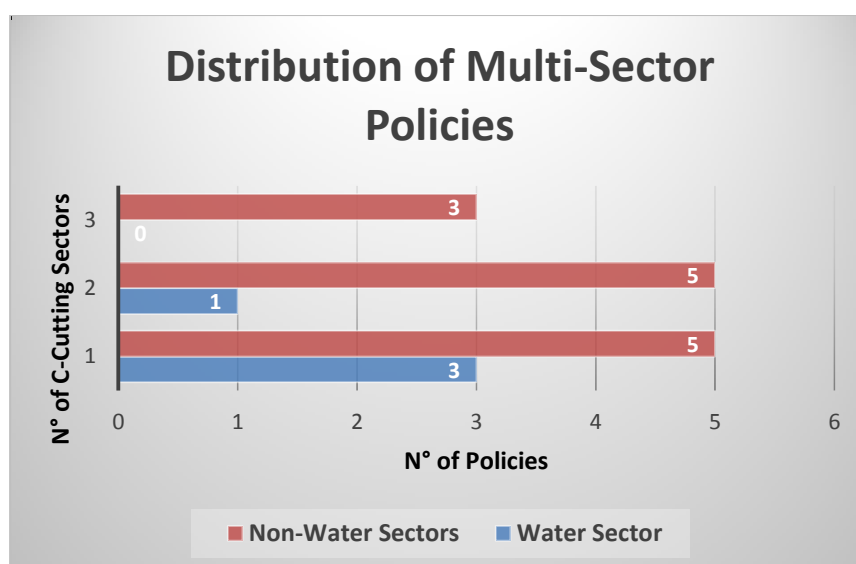


Figure 62 Cross-Cutting Policies in Non-Water Sectors Tunisia

Figures 62 and 63 indicate that policy sectors outside of the Water Sector have a broader range of cross-cutting policies and a wider range of stakeholders. It underpins the likelihood that policy instruments that address other sectors will also be more open to stakeholders' roles.

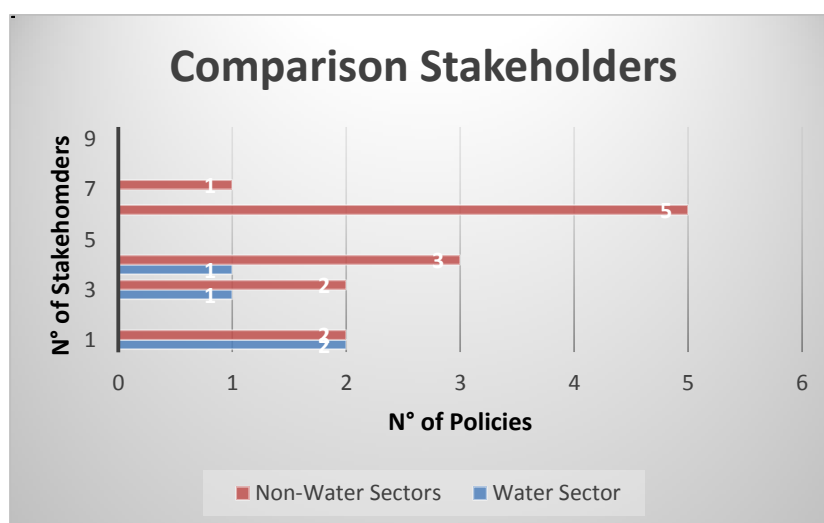


Figure 63 Comparison Stakeholder Types All Sectors Tunisia

## 5.4 Total Indicators

In terms of total indicator scores it is clear that Water Sector Policy Instruments score lower than other sectors. The highest scoring in the water sector is the Water Act which is recently undergoing revision. All other sectors are scoring higher.

## 6.0 Conclusions

The conclusions mainly address 2 components; the design of the evaluation tool and the results of its application. However there is a third element that merits attention in this exercise which has implications both for design and application, and that is the challenge of language. This tool has been designed and data collected in English but, as can be seen in the data sheets where the title of the Policy Instrument is presented in its original language, English is not the principal language in any of the Case Study River Basins. This has required extra work and resources of each river basin, especially in Tunisia where some policy documentation is both in French and Arabic.

### 6.1 The Design

The design of the data sheet tool works well in structuring and standardizing data, and this can be observed in the homogeneity of the data content between the 4 CSRB partners. This is underscored by the fact that each partner worked on their own review and data inputs without relying on regular support and feedback from the WP6 Leader during the period of August / September 2015. Their ability to achieve this is due in part to coaching visits to each partner at the beginning of the process and also to subsequent consultations over Skype with all CSRB Partners where elements of the data sheet design were discussed, refined, and translated into the Support Notes Worksheet.

One of the problematic elements of the sheet is the use of excel macros in constructing drop-down lists for indicators, which seemed to pose difficulties with some partners. This appears to be linked to older versions of Excel being used, and indeed the data sheet tool was designed on a recent Excel version from Office 2013.

This has been largely overcome, although some of the data sheets submitted had turned off the macros in some of the data columns and entered indicator data manually. The macro drop-down lists do serve a purpose of making data entry easier, but they are more important for keeping the data entry of indicators standard. However, even where indicators were entered manually, the partners largely conformed to the indicator lists provided.

## 6.2 The Results

Each River Basin Partner submitted policy lists that differed in total number and range of types of policy sectors. This does not detract from the quality of their data submitted; what is more important is the attention given to searching out, identifying and entering indicators into the data sheet. By using indicator labels which are directly linked to the use of key words, the tool of a key word search in policy documents facilitates this process and helps in the identification and locating of multiple indicators in policy documents. It is however essential that all indicators are applied in the policy document search because they are key to building the profile of a policy instrument. This was generally well done by the CSRB Partners and the fact that all 4 analyses produced similar results underscores the added value of the coaching and consultation exercises.

With the objective of this deliverable being the development and testing of a policy review tool for researchers, there was no standard methodology applied to the selection of which policy instruments were to be added to the list. The only orientation provided was that the water, energy and agriculture sectors be addressed with the addition of environment, forestry and climate where possible. The river basin Partner from Slovenia included Fisheries policy sector and the River Basin Partner from Spain included an Information policy sector. This did not limit the degree of valid analysis that can be applied to doing a comparison between sectors. As is demonstrated in this report, even with limited policy data there is surprising amount of analysis, based on indicator sets that can be done between sectors. One valid observation, for example, is that policy sectors outside of the water sector appear to be more active in developing policy instruments which promote participation and stakeholder involvement. Results of the data from Tunisia suggest an evolution in

the profile of policy content following the changes in Government – even if those changes have been quite recent. The tool also shows how a more detailed picture of the policy landscape can be achieved by simply adding more policy instruments to the list, including from other sectors.

### 6.3 Next Steps

Ideally, this process would have benefitted from a second exchange with CSRB Partners on their data sheets before the presentation of this report, but timing and other project activities did not allow for this. A review will be held with all partners to further refine the tool following the submission of this report.

In terms of policy review work, a next step decided upon by the WP6 Leader and the CSRB Partners will be to look at how the results of this tool, and its design, can be ‘operationalized’ in order to obtain policy analysis that examines not just how policies are structured, but how they are implemented and how effective they are.