

GUIDE TO REPORTING UNDER THE WATER CONVENTION AND AS A CONTRIBUTION TO SDG INDICATOR 6.5.2

Draft Outline

The present document has been prepared by the secretariat as a basis for discussions at the first meeting of the drafting group on reporting under the Convention on the Protection and Use of Transboundary Watercourses and International Lakes (Water Convention) and as a contribution to reporting on SDG indicator 6.5.2 (Geneva, 9-10 May 2019).

The document presents an extended outline of the guide to reporting as well as the proposed main messages of the different sections, based on the results and difficulties encountered during the first reporting exercise.

The drafting group is invited to comment on the overall structure of the document, and on the content of the different sections.

Introduction (2 page)

- Reporting context
- Aims and objectives of the guide
 - Building on comments and observations from pilot reporting
- Intended audience
- Process of developing the guide
- Rationale for layout/ format of the guide
- Relationship with related materials, including step-by-step methodology for the calculation of SDG indicator 6.5.2 (see Annex I)

[Suggested text] The introduction of reporting under the Water Convention coincided with the adoption of the Sustainable Development Goals (SDGs) and their targets in 2015, followed by the adoption of SDG indicator 6.5.2 to measure progress on transboundary water cooperation. ECE and UNESCO have been designated as “custodian agencies” for the indicator and, in order to maximise synergies between both processes, have sought to coordinate the reporting processes under SDG indicator 6.5.2 and the Water Convention.

In completing the full reporting template, ie., Section I on Calculation of SDG indicator 6.5.2 and Sections II-IV below), Parties to the Water Convention have the benefit that they can use one reporting template to report both on SDG indicator 6.5.2, and on progress in implementing the Water Convention. Other countries sharing transboundary waters can also benefit from completing the full reporting template. Many of the questions contained in sections II-IV help to substantiate the calculation of SDG indicator 6.5.2, and the guide helps to explain some of the common terminology adopted, e.g. ‘agreement or arrangement’. In addition to supporting the calculation of the SDG indicator 6.5.2, ie., Section I, an further set of questions in sections II-IV help to ascertain the actions undertaken by countries in support of transboundary water cooperation, as well as the benefits and challenges in implementing those actions.

Given the complementarity between these two reporting exercises, this guide has been developed in co-ordination with materials that support the completion of SDG indicator 6.5.2, and in particular the *SDG indicator reporting: step-by-step methodology (revised version “2020”)*. Common definitions and explanations for key terminology contained in this guide and the latter publication will therefore assist countries in completing both the SDG indicator 6.5.2 (section I), and sections II-IV below.

I. How to organise the reporting process (2 pages)

- Opportunities to engage with different stakeholders during the reporting exercise
 - Make reference to Section IV (question 3)
 - Benefits of engaging with other countries, basin organisations, and regional organisations (include text box examples)
- Support available from UNECE and UNESCO to enhance the reporting process, and respective roles of custodian agencies
- Ways in which to build upon previous reporting processes

II. How to make the most out of reporting to advance transboundary cooperation (2 pages)

- How to use both process of reporting and results of reports

Tips on completing the template (include in text box)

III. TEMPLATE FOR REPORTING UNDER THE CONVENTION (20 pages plus the text of the questionnaire; each explanatory text should be short and easy to understand)

- Introduction to the template and general approaches to completion (see decision-making tree to approach the completion of Section II in Annex II)
 - General guidance on when an explicit or implicit interpretation of an arrangement’s provisions might be provided
 - How to answer open questions
 - Checking for errors/ inconsistencies

SECTION II

<p>Does your country have transboundary agreements or arrangements for the protection and/or management of transboundary waters (i.e., rivers, lakes or groundwater), whether bilateral or multilateral?</p> <p>Yes <input type="checkbox"/>/No <input type="checkbox"/></p> <p><i>If yes, list the bilateral and multilateral agreements or arrangements (listing for each of the countries concerned): [fill in]</i></p>
--

1. Definition/scope

- *Provide a definition of what is meant by agreements and arrangements for the protection and/or management of transboundary waters based on the text provided in the guide to implementing the Water Convention.*
- *Make the distinction between multilateral arrangements that are specific to a particular basin, and arrangements that are more general, such as EU WFD, Global Water Conventions and SADC Protocol.*

2. General guidance

- *Provide a reference style for how to list agreements and arrangements. Reference style should include key information, including official title of the agreement or arrangement; date of adoption; date of entry into force (where different to date of adoption); and parties to the agreement or arrangement.*

II. Questions for each transboundary basin, sub-basin, part of a basin, or group of basins (river, lake or aquifer)

Please complete this second section for each agreement or arrangement.¹ You may coordinate your responses with other States with which your country shares transboundary waters, or even prepare a joint report. General information on transboundary water management at the national level should be provided in section III and not repeated here.

Please reproduce this whole section with its questions for each transboundary **basin, sub-basin, part of a basin or group of basins** for which you will provide a reply.

Name of the transboundary basin, sub-basin, part of a basin or group of basins: [fill in]

List of the riparian States: [fill in]

In the case of an aquifer, what is the nature of the aquifer and its relation with the river or lake basin:

Unconfined aquifer connected to the river or lake

Unconfined aquifer with no or limited relation with surface water

Deep confined aquifer

Other

Please describe: [fill in]

No information

Percentage of your country's territory within the basin, sub-basin, part of a basin or group of basins: [fill in]

¹ In principle, section II should be submitted for every transboundary basin, river, lake or aquifer, in the country, but States may decide to group basins in which their share is small or leave out basins in which their share is very minor, e.g., below 1 per cent.

1. General guidance

- *Explain logic of reporting by transboundary agreements or arrangements.*
 - *Explain that countries face different situations and show how these different situations are accommodated in the reporting template, e.g. country sharing one basin with multiple countries and having adopted multiple agreements at basin and sub-basin levels, a country sharing multiple basins with one country and having adopted one agreement covering basin and sub-basin levels; a country sharing multiple basins with multiple countries and with multiple agreements at basin, sub-basin and bilateral levels.*
 - *Explain how to deal with the situation where territorial scope of two or more provisions in an arrangement differ.*

- For the name of basin and sub-basins, and in order to ensure consistency between countries sharing the same basins or sub-basins, encourage states to use the list provided by the Transboundary Water Assessment Programme (TWAP)
- Provide a list of databases and their links that can be consulted to for the identification of transboundary rivers, lakes and aquifers, e.g. TWAP and IGRAC-UNESCO database.

2. Definitions/ scope

- Explain terms and difference between ‘basin, sub-basin, part of a basin, or group of basins’, drawing on examples from Water Convention, EU Water Framework Directive and 1966 ILA Helsinki Rules.
- Provide definition of ‘unconfined aquifer connected to the river and lake’.
- Provide definition of ‘unconfined aquifer with no or limited relation with surface water’, and ‘deep confined aquifer’.
- Explain what type of aquifers might be classified as ‘other’, e.g. ‘semi-confined aquifer’ or ‘shallow confined aquifer’.
- Explain the distinction that has to be made on what is covered by the arrangement: (1) a river basin; (2) a lake basin; (3) an aquifer; (4) a river basin +included lake basins and aquifers; (5) group of river basins; (6) group of aquifers; (7) group of a river basins +included lake basins and aquifers. Consequently, a classification matrix may be provided to define different classes of arrangements in terms of the physical unit(s) it/they cover(s) and of the level of specificity of what has been agreed upon.
- Explain that the percentage is: [basin area in country]/[total basin area (all countries)] and suggest not to answer if area is unknown in other countries (especially aquifers).

3. Examples

- Provide an organigram – graphic art - of different ways this section may be reproduced, depending on the overlap of agreements covering basin, sub-basin or part of a basin or group of basins. Encourage for instance that basin-specific agreements are reported first and then followed by bilateral agreements that cover all (or at least a group of) transboundary waters between two or more countries.

1. Is there one or more transboundary (bilateral or multilateral) agreement(s) or arrangement(s) on this basin, sub-basin, part of a basin or group of basins?

- One or more agreements or arrangements exist and are in force
- Agreement or arrangement developed but not in force
- Agreement or arrangement developed, but not in force for all riparians

Please insert the name of the agreement(s) or arrangement(s) [fill in]

Agreement or arrangement is under development

No agreement or arrangement

If there is no agreement or arrangement or it is not in force, please explain briefly why not and provide information on any plans to address the situation: [fill in]

If there is no agreement or arrangement and no joint body or mechanism for the transboundary basin, sub-basin, part of a basin or group of basins then jump to question 4; if there is no agreement or arrangement, but a joint body or mechanism then go to question 3.

1. Definition/scope

- Explain what is meant by 'in force', particularly for those agreements and arrangements where there is no specific procedure for entry into force, and provide some examples. Also explain difference between terms, 'signatory', 'acceptance', 'approval', 'adherence' and 'ratification'
- Cross-refer to definition of joint body or mechanism in question 3.

2. General guidance

- Cross-refer to guidance above on how to reference agreements or arrangements.

3. Examples

- As above, provide hypothetical examples of an agreement or arrangement developed, but not in force for all riparians.
- As above, provide hypothetical examples of an agreement or arrangement under development
- As above, provide some hypothetical examples of instruments that fall short of being classified as an agreement or arrangement.
- Provide an indicative example of where a country might have established a joint body or mechanism but an agreement or arrangement is not in force.

Questions 2 and 3 to be completed for each bilateral or multilateral agreement or arrangement in force in the transboundary basin, sub-basin, part of a basin or group of basins.

2. (a) Does this agreement or arrangement specify the area subject to cooperation?

Yes /No

If yes, does it cover the entire basin or group of basins and all riparian States?

Yes /No

Additional explanations? [fill in]

Or, if the agreement or arrangement relates to a sub-basin, does it cover the entire sub-basin?

Yes /No

Additional explanations? [fill in]

Which States (including your own) are bound by the agreement or arrangement? (*Please list*):
[fill in]

1. General guidance

- Explain different approaches to geographic coverage that have been included in agreements and arrangements. Also make the point that while some agreements and arrangements explicitly define the area subject to cooperation, others only imply the area that is subject to cooperation based on the nature of the agreement, e.g. covering all uses within a particular river basin.
- Make it clear that the question is different to asking if all riparian countries are party to an agreement. In other words, an agreement may cover the entire basin and all riparian States, but not all riparian States have become party to that agreement, e.g. Mekong Agreement.
- Explain that the countries must be party to the agreement or arrangement, rather than just signatories.

(b) If the agreement or arrangement relates to a river or lake basin or sub-basin, does it also cover aquifers?

Yes /No

If yes, please list the aquifers covered by the agreement **or arrangement**: [fill in]

1. General guidance

- Include an explanation of how groundwater is included in river basin treaties

(c) What is the sectoral scope of the agreement or arrangement?

All water uses

A single water use or sector

Several water uses or sectors

If one or several water uses or sectors, please list (check as appropriate):

Water uses or sectors

Industry

Agriculture	<input type="checkbox"/>
Transport (e.g., navigation)	<input type="checkbox"/>
Households	<input type="checkbox"/>
Energy: hydropower and other energy types	<input type="checkbox"/>
Fisheries	<input type="checkbox"/>
Tourism	<input type="checkbox"/>
Nature protection	<input type="checkbox"/>
Other (<i>please list</i>): [fill in]	

1. General guidance

- *Explain that the sectors might be explicitly stated in the agreement, or implied from the substantive provisions of the agreement. Provide examples of the latter.*

(d) What topics or subjects of cooperation are included in the agreement or arrangement?

Procedural and institutional issues

- Dispute and conflict prevention and resolution
- Institutional cooperation (joint bodies)
- Consultation on planned measures
- Mutual assistance

Topics of cooperation

- Joint vision and management objectives
- Joint significant water management issues
- Navigation
- Human health
- Environmental protection (ecosystem)
- Water quality
- Water quantity or allocation
- Cooperation in addressing floods
- Cooperation in addressing droughts
- Climate change adaptation

Monitoring and exchange

- Joint assessments
- Data collection and exchange
- Joint monitoring
- Maintenance of joint pollution inventories
- Elaboration of joint water quality objectives
- Common early warning and alarm procedures
- Exchange of experience between riparian States
- Exchange of information on planned measures

Joint planning and management

- Development of joint regulations on specific topics

Development of international or joint river, lake or aquifer basin management or action plans	<input type="checkbox"/>
Management of shared infrastructure	<input type="checkbox"/>
Development of shared infrastructure	<input type="checkbox"/>
Other (<i>please list</i>): [fill in]	

1. General guidance

- Explain that the sectors might be explicitly stated in the agreement, or implicit from the substantive requirements of the agreement. Provide examples of the latter.

(e) What are the main difficulties and challenges that your country faces with the agreement or arrangement and its implementation, if any?

Aligning implementation of agreement or arrangement with national laws, policies and programmes	<input type="checkbox"/>
Aligning implementation of agreement or arrangement with regional laws, policies and programmes	<input type="checkbox"/>
Lack of financial resources	<input type="checkbox"/>
Insufficient human capacity	<input type="checkbox"/>
Insufficient technical capacity	<input type="checkbox"/>
Tense diplomatic relations	<input type="checkbox"/>
Non-participation of certain riparian countries in the agreement	<input type="checkbox"/>
No significant difficulties	<input type="checkbox"/>
Other (<i>please describe</i>): [fill in]	

(f) What are the main achievements in implementing the agreement or arrangement and what were the keys to achieving such success?: [fill in]

(g) Please attach a copy of the agreement or arrangement or provide the web address of the document (*please attach document or insert web address, if applicable*): [fill in]

1. Examples

- Provide some indicative examples of achievements and keys to success, ie., question 2(f) above. [nb While this might encourage countries to complete the question, care needs to be taken not to influence the answers.]

3. Is your country a member of any joint body or mechanism for this agreement or arrangement?

Yes /No

If no, why not? (please explain): [fill in]

Where there is a joint body or mechanism

(a) If there is a joint body or mechanism, which kind of joint body or mechanism *please tick one*)?

Plenipotentiaries

Bilateral commission

Basin or similar commission

Expert group meeting or meeting of national focal points

Other (please describe): [fill in]

(b) Does the joint body or mechanism cover the entire transboundary basin, sub-basin, part of a basin?

Yes /No

(c) Which States (including your own) are members of the joint body or mechanism? (Please list): [fill in]

(d) Are there any riparian States that are not members of the joint body or mechanism? (please list): [fill in]

[Suggested text]. A 'joint body or mechanism' can be considered as 'any bilateral or multilateral commission or other appropriate institutional arrangements for cooperation between the Riparian Parties' (Article 5(1), Water Convention). The *Guide to Implementing the Water Convention* [include REF/LINK] (paras. 258-260) highlights several common features of such a joint body or mechanism, namely i) a permanent body meeting at reasonably regular intervals (see question 3(i) below); ii) composed of representatives of the riparian States, headed usually by officials, authorised for that purpose by governments; iii) usually comprised of a decision-making body, an executive body, and iv) usually having a secretariat; and v) sometimes supplemented by subsidiary bodies, such as working or expert groups, monitoring units, data and processing units, an auditing commission, a network of national offices, a consultative group of donors, an information centre, a training centre and/or observers.

While likely to have the aforementioned features in common, a 'joint body or mechanism' may be called by a variety of names, including 'plenipotentiaries', 'basin or bilateral commission', 'expert group meeting', 'meeting of national focal points', 'joint water authority', 'committee', or 'working group'.

The geographical scope of a joint body or mechanism can usually be found within the agreement or arrangement in which it is established, and is likely to align to the geographical scope of the agreement or arrangement itself (see Question 2(a) above). For instance, the *Agreement on the Establishment of*

the Zambezi Watercourse Commission [include REF/LINK] stipulates that the Commission has the objective, ‘to promote the equitable and reasonable utilisation of the water resources of the Zambezi Watercourse as well as the efficient management and sustainable development thereof’. Such an objective implies that the Commission covers the entire basin, as it would not be possible to achieve this objective without considering the basin as a whole.

In other cases, the Commission might apply to all transboundary rivers, lakes and/or aquifers shared between countries. For instance, the 2001 Agreement between China and Kazakhstan established a joint Commission on the Use and Protection of Transboundary Rivers. ‘Transboundary rivers’, are defined in the agreement as covering, ‘all rivers and river flows that cross state borders or are located along the border between the Republic of Kazakhstan and the People’s Republic of China’.

1. General guidance

- For question 3(d), explain the link with question 3(b) and (c) above.

(e) If not all riparian States are members of the joint body or mechanism how does the joint body or mechanism cooperate with them?	
No cooperation	<input type="checkbox"/>
They have observer status	<input type="checkbox"/>
Other (<i>please describe</i>): [fill in]	
(f) Does the joint body or mechanism have any of the following features (<i>please tick the ones applicable</i>)?	
A secretariat	<input type="checkbox"/>
<i>If the secretariat is a permanent one, is it a joint secretariat or does each country host its own secretariat? (Please describe):</i> [fill in]	
A subsidiary body or bodies	<input type="checkbox"/>
<i>Please list (e.g., working groups on specific topics):</i> [fill in]	
Other features (<i>please list</i>): [fill in]	

1. Definition/scope

- Explain difference between membership and observer status.
- Explain what a joint secretariat looks like.
- Explain “subsidiary bodies/bodies”. Clarify that also an organigram might be provided.

(g) What are the tasks and activities of this joint body or mechanism? ²	
Identification of pollution sources	<input type="checkbox"/>

- | | |
|---|--------------------------|
| Data collection and exchange | <input type="checkbox"/> |
| Joint monitoring | <input type="checkbox"/> |
| Maintenance of joint pollution inventories | <input type="checkbox"/> |
| Setting emission limits | <input type="checkbox"/> |
| Elaboration of joint water quality objectives | <input type="checkbox"/> |
| Management and prevention of flood or drought risks | <input type="checkbox"/> |
| Preparedness for extreme events, e.g., common early warning and alarm procedures | <input type="checkbox"/> |
| Surveillance and early warning of water related disease | <input type="checkbox"/> |
| Water allocation and/or flow regulation | <input type="checkbox"/> |
| Policy development | <input type="checkbox"/> |
| Control of implementation | <input type="checkbox"/> |
| Exchange of experience between riparian States | <input type="checkbox"/> |
| Exchange of information on existing and planned uses of water and related installations | <input type="checkbox"/> |
| Settling of differences and conflicts | <input type="checkbox"/> |
| Consultations on planned measures | <input type="checkbox"/> |
| Exchange of information on best available technology | <input type="checkbox"/> |
| Participation in transboundary EIA | <input type="checkbox"/> |
| Development of river, lake or aquifer basin management or action plans | <input type="checkbox"/> |
| Management of shared infrastructure | <input type="checkbox"/> |
| Addressing hydromorphological alterations | <input type="checkbox"/> |
| Climate change adaptation | <input type="checkbox"/> |
| Joint communication strategy | <input type="checkbox"/> |
| Basin-wide or joint public participation and consultation of, for example, basin management plans | <input type="checkbox"/> |
| Joint resources to support transboundary cooperation | <input type="checkbox"/> |
| Capacity-building | <input type="checkbox"/> |
| Any other tasks (<i>please list</i>): [fill in] | |

² This may include tasks according to the agreement or tasks added by the joint body, or its subsidiaries. Both tasks which joint bodies coordinate and tasks which they implement should be included.

1. Definition/scope

- *Where necessary clarify and provide examples for tasks and activities.*

(h) What are the main difficulties and challenges that your country faces with the operation of the joint body or mechanism, if any?

Governance issues

Please describe, if any: [fill in]

Unexpected planning delays

Please describe, if any: [fill in]

Lack of resources

Please describe, if true: [fill in]

Lack of mechanism for implementing measures

Please describe, if true: [fill in]

Lack of effective measures

Please describe, if true: [fill in]

Unexpected extreme events

Please describe, if any: [fill in]

Lack of information and reliable forecasts

Please describe, if any: [fill in]

Others (*please list and describe, as appropriate*): [fill in]

(i) Does the joint body or mechanism, or its subsidiary bodies meet regularly?

Yes /No

If yes, how frequently does it meet?

More than once per year

Once per year

Less than once per year

(j) What are the main achievements with regards to the joint body or mechanism?:
[fill in]

(k) Did the joint body or mechanism ever invite a non-riparian coastal State to cooperate?

Yes /No

If yes, please give details. If no, why not, e.g. are the relevant coastal States also riparian States and therefore already members of the joint body or mechanism?: [fill in]

1. Definition/scope

- *Explain “governance issues”*
- *Explain that all meetings – both “political” and “technical” (explain difference) - would be relevant in terms of determining whether there are regular meetings.*
- *Define what is meant by a non-riparian coastal State. Provide an example of a basin commission that may engage with non-riparian coastal states through co-ordination with a commission established for the protection of a marine environment.*

4. Have joint objectives, a common strategy, a joint or coordinated management plan or action plan been agreed for the basin, sub-basin, part of a basin or group of basins?

Yes /No

If yes, please provide further details: [fill in]

[Separate this question]

1. Definition/scope

- *Clearly and succinctly define each term, namely joint objectives, a common strategy, a joint or coordinated management plan, and an action plan.*
- *Explain and provide examples for each.*

5. How is the transboundary basin, sub-basin, part of a basin or group of basins protected, including the protection of ecosystems, in the context of sustainable and rational water use?

Regulation of urbanization, deforestation, and sand and gravel extraction.

Environmental flow norms, including consideration of levels and seasonality

Water quality protection, e.g. nitrates, pesticides, faecal coliforms, heavy metals

Water-related species and habitats protection

Other measures (*please describe*): [fill in]

1. Definition/scope

- *Explain the meaning of 'protection of ecosystems'*
- *Provide an explanation for each of the measures listed here*
- *Provide examples of 'other measures' that can be taken to protect ecosystems*

6. (a) Does your country regularly exchange information and data with other riparian States in the basin, sub-basin, part of a basin or group of basins?

Yes /No

(b) If yes, how often:

More than once per year

Once per year

Less than once per year

(c) Please describe how information is exchanged (e.g. in connection with meetings of joint bodies): [fill in]

(d) If yes, on what subjects are information and data exchanged?

Environmental conditions

Research activities and application of best available techniques

Emission monitoring data

Planned measures taken to prevent, control or reduce transboundary impacts

Point source pollution sources

Diffuse pollution sources

Existing hydromorphological alterations (dams, etc.)

Flows or water levels (including groundwater levels)

Water abstractions

Climatological information

Future planned measures with transboundary impacts, such as

infrastructure development

Other subjects (*please list*): [fill in]

Other comments, e.g. spatial coverage of data and information exchange: [fill in]

(e) Is there a shared database or information platform?

Yes /No

(f) Is the database publicly available?

Yes /No

If yes, please provide the web address: [fill in]

(g) What are the main difficulties and challenges to data exchange, if applicable?

Frequency of exchanges

Timing of exchanges

Comparability of data and information

Limited spatial coverage

Inadequate resources (technical and/or financial)

Other (*please describe*): [fill in]

Additional comments: [fill in]

(h) What are the main benefits of data exchange on the basin, sub-basin, part of a basin or group of basins? (*please describe*): [fill in]

1. Definition/scope

- *Whilst adopting a broad approach, explain what type of data and information would be relevant here. Also, include distinction between 'data' and 'information'*
- *Include an explanation of the ways in which data and information can be exchanged. This could include the uploading of new data/info onto an information system that through the internet is accessible to riparian countries.*
- *Explain and provide examples for each subject on which information and data are exchanged.*

7. Do the riparian States carry out joint monitoring in the transboundary basin, sub-basin, part of a basin or group of basins?

Yes /No

(a) If yes, what does the joint monitoring cover?

	<i>Hydrological</i>	<i>Ecological</i>	<i>Chemical</i>
Border surface waters	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Surface waters in the entire basin	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Surface waters on the main watercourse	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Surface waters in part of the basin	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
please describe [fill in]			
Transboundary aquifer(s) (connected or unconnected)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Aquifer(s) in the territory of one riparian connected to a transboundary river or lake	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(b) If joint monitoring is carried out, how is this done?

National monitoring stations connected through a network or common stations

Please describe: [fill in]

Joint and agreed methodologies

Please describe: [fill in]

Joint sampling

Please describe: [fill in]

Common monitoring network

Please describe: [fill in]

Common agreed parameters

Please describe: [fill in]

(c) Please describe the main achievements regarding joint monitoring, if any: [fill in]

(d) Please describe any difficulties experienced with joint monitoring: [fill in]

8. Do the riparian States carry out joint assessment of the transboundary basins, sub-basin, part of a basin or group of basins?

Yes /No

If yes, please provide the date of the last or only assessment, the frequency and scope (e.g., surface waters or groundwaters only, pollution sources, etc.) of the assessment, and assessment methodology applied: [fill in]

1. Definition/scope

- Explain what joint monitoring entails
- Explain hydrological, chemical and ecological
- Explain and give examples of what is meant by 'aquifer(s) in the territory of one riparian connected to a transboundary river and lake'; and Transboundary aquifer(s)-(connected or unconnected)
- Explain and give examples of what is covered by joint assessment.

9. Have the riparian States agreed to use joint water quality standards?

Yes /No

If yes, what standards have been applied, e.g. international or regional standards (please specify which), or have national standards of the riparian States been applied?: [fill in]

1. Definition/scope

- Explain what is meant by 'joint water quality standards'.
- Provide examples of international and regional standards that have been adopted.

10. What are the measures implemented to prevent or limit the transboundary impact of accidental pollution?

Notification and communication

Coordinated or joint early warning or alarm system for accidental water pollution

Other (please list): [fill in]

No measures

If not, why not? What difficulties does your country face in putting in place such measures?: [fill in]

1. Definition/scope

- *Explain and provide examples for each measure.*

11. What are the measures implemented to prevent or limit the transboundary impact of extreme weather events and climate change?

Notification and communication

Coordinated or joint alarm system for floods

Coordinated or joint alarm system for droughts

Joint climate change adaptation strategy

Joint disaster risk reduction strategy

Other (*please list*): [fill in]

No measures

If not, why not? What difficulties does your country face in putting

in place such measures?: [fill in]

1. Definition/scope

- *Explain what is covered under extreme weather events and climate change*
- *Explain and provide examples for each measure and other measures (e.g. joint low water monitoring).*

12. Are procedures in place for mutual assistance in case of a critical situation?

Yes /No

If yes, please provide a brief summary: [fill in]

1. Definition/scope

- *Explain what is meant by mutual assistance and that it could also be covered by separate arrangements.*
- *Explain what is meant by critical situation.*

2. Examples

- *Provide some indicative examples of the type of assistance that might be described in this section. Provide examples of arrangements.*

13. Are the public or relevant stakeholders involved in transboundary water management in the basin, sub-basin, part of a basin or group of basins?

Yes /No

If yes, how? (please tick all applicable):

Stakeholders have observer status in a joint body or mechanism

Stakeholders have an advisory role in the joint body

Stakeholders have a decision-making role in the joint body

If yes, please specify the stakeholders for the joint body or mechanism:

[fill in]

Intergovernmental organizations

Private sectors organizations or associations

Water user groups or associations

Academic or research institutions

Other non-governmental organizations

General public

Other (please specify): [fill in]

Availability of information to the public

Consultation on planned measures or river basin management plans³

Public involvement

Other (*please specify*): [fill in]

³ Or, where applicable, aquifer management plans.

1. Definition/scope

- *Provide an explanation of the term ‘public or relevant stakeholders’*
- *Explain what type of activities might be included in the term ‘involvement’.*
- *Explain and provide examples for each activity, and which sort of stakeholders participate.*

Please remember to complete section II for each of the transboundary basins, sub-basin, part of a basin or group of basins. Please also remember to attach copies of agreements or arrangements, if any.

SECTION III

III. Water management at the national level

In this section, you are requested to provide general information on water management at the national level as it relates to transboundary waters. Information on specific transboundary basins, sub-basins, part of basins and groups of basins, should be presented in section II and not repeated here.

1. (a) Does your country's national legislation, policies, action plans and strategies refer to measures to prevent, control and reduce any transboundary impact?

Yes /No

If yes, please briefly describe the main national laws, policies, action plans and strategies [fill in]

If yes, list the main national policies, action plans and strategies: [fill in]

(b) Does your country's legislation provide for the following principles?

Precautionary principle Yes /No

Polluter pays principle Yes /No

Sustainable development Yes /No

User pays principle Yes /No

If yes, please briefly describe how these principles are implemented at the national level: [fill in]

1. Definition/scope

- *Provide different examples of the ways in which different laws, policies, action plans, and strategies refer to transboundary impact.*
- *Include widely accepted definitions for precautionary, polluter pays, sustainable development and user pays principles.*

2. General guidance

- *Explain the types of descriptive text that could explain the main national laws, policies, action plans and strategies; and the implementation of the principles (precautionary, polluter pays, sustainable development and user pays).*

(c) Does your country have a national licensing or permitting system for wastewater discharges and other point source pollution? (e.g., in industry, mining, energy, municipal, wastewater management or other sectors)?

Yes /No

If yes, for which sectors?

Industry	<input type="checkbox"/>
Mining	<input type="checkbox"/>
Energy	<input type="checkbox"/>
Municipal	<input type="checkbox"/>
Livestock raising	<input type="checkbox"/>
Aquaculture	<input type="checkbox"/>

Other (please list): [fill in]

Please briefly describe the licensing or permitting system, indicating whether the system provides for setting emission limits based on best available technology?

If yes, for which sectors? (please list): [fill in]

If not, please explain why not (giving the most important reasons) or provide information if there are plans to introduce a licensing or permitting system: [fill in]

1. Definition/scope

- *Explain the type of licensing or permitting systems that might be included here.*
- *Explain what is covered by ‘emission limits based on best available technology’, and include indicative examples.*

2. General guidance

- *Provide an indicative list of the types of reasons why a licencing or permitting system is not in place.*

(e) Are the authorized discharges monitored and controlled?

Yes /No

If yes, how? (Please tick the ones applicable):

Monitoring of discharges

Monitoring of physical and chemical impacts on water

Monitoring of ecological impacts on water

Conditions on permits

Inspectorate

Other means (*please list*): [fill in]

If your country does not have a discharge monitoring system, please explain why not or provide information if there are plans to introduce a discharge monitoring system: [fill in]

1. *Definition/scope*

- *Explain what is meant by ‘authorised’, ‘monitored’ and ‘controlled’ within the context of discharges.*
- *Explain and provide examples for how authorised discharges are monitored and controlled.*

(f) What are the main measures which your country takes to reduce diffuse sources of water pollution on transboundary waters (e.g., from agriculture, transport, forestry or aquaculture)? The measures listed below relate to agriculture, but other sectors may be more significant. Please be sure to include these under “others”:

Legislative measures

Norm for uses of fertilizers

Norms for uses of manure

Permitting system

Bans on or norms for use of pesticides

Others (*please list*): [fill in]

Economic and financial measures

- | | |
|--|--------------------------|
| Monetary incentives | <input type="checkbox"/> |
| Environmental taxes (such as fertilizer taxes) | <input type="checkbox"/> |
| Others (<i>please list</i>): [fill in] | |
| Agricultural extension services | <input type="checkbox"/> |
| Technical measures | |
| <i>Source control measures</i> | |
| Crop rotation | <input type="checkbox"/> |
| Tillage control | <input type="checkbox"/> |
| Winter cover crops | <input type="checkbox"/> |
| Others (<i>please list</i>): [fill in] | |
| <i>Other measures</i> | |
| Buffer/filter strips | <input type="checkbox"/> |
| Wetland reconstruction | <input type="checkbox"/> |
| Sedimentation traps | <input type="checkbox"/> |
| Chemical measures | <input type="checkbox"/> |
| Others (<i>please list</i>): [fill in] | |
| Other types of measures | <input type="checkbox"/> |
| <i>If yes, please list:</i> [fill in] | |

(g) What are the main measures which your country takes to enhance water resources allocation and use efficiency?

Please tick as appropriate (not all might be relevant)

- | | |
|---|--------------------------|
| A regulatory system regarding water abstraction | <input type="checkbox"/> |
| Monitoring and control of abstractions | <input type="checkbox"/> |
| Water rights are defined | <input type="checkbox"/> |
| Water allocation priorities are listed | <input type="checkbox"/> |
| Water-saving technologies | <input type="checkbox"/> |
| Advanced irrigation techniques | <input type="checkbox"/> |
| Demand management activities | <input type="checkbox"/> |
| Other means (please list) | <input type="checkbox"/> |

(h) Does your country apply the ecosystems approach?

Yes /No

If yes, please describe how: [fill in]

(i) Does your country take specific measures to prevent the pollution of groundwaters?

Yes /No

If yes, please briefly describe the most important measures: [fill in]

1. Definition/scope

- *Explain and provide examples for each of the measures.*
- *Explain meaning of both water resources allocation and use efficiency.*
- *Include widely accepted definition of an 'ecosystem approach'. Explain what is required for the country to be considered as 'applying' the ecosystem approach.*

2. General guidance

- *Explain the types of measures that might be described in relation to pollution of groundwaters.*

2. Do your national laws require transboundary environmental impact assessment (EIA)?

Yes /No

If yes, please briefly describe the legislative basis, and any related implementing procedures [fill in]

If not, do other measures provide for transboundary EIA? [fill in]

1. Definition/scope

- *Explain what can be considered as a transboundary EIA.*

2. Examples

- *Give examples of the types of legal basis for transboundary EIA.*
- *Give examples of the types of other measures that might provide for transboundary EIA.*

SECTION IV

IV. Final questions

1. What are the main challenges your country faces in cooperating on transboundary waters?

- Differences between national administrative and legal frameworks
- Lack of relevant data and information
- Difficulties in data and information exchange
- Sectoral fragmentation at the national level
- Language barrier
- Resource constraints
- Environmental pressures, e.g. extreme events
- Sovereignty concerns
- Please list other challenges and/or provide further details: [fill in]

2. What have been the main achievements in cooperating on transboundary waters?

- Improved water management
- Enhanced regional integration, i.e. beyond water
- Adoption of cooperative arrangements
- Adoption of joint plans and programmes
- Long-lasting and sustained cooperation
- Financial support for joint activities
- Stronger political will for transboundary water cooperation
- Better knowledge and understanding
- Dispute avoidance
- Stakeholder engagement

Please list other achievements, keys to achieving success, and/or provide concrete examples: [fill in]

1. Examples

- *Include the types of concrete examples that might be listed as main challenges and achievements/ key to achieving success.*

3. Please indicate which institutions were consulted during the completion of the questionnaire

- | | |
|---|--------------------------|
| Joint body or mechanism | <input type="checkbox"/> |
| Other riparian or aquifer countries | <input type="checkbox"/> |
| National water management authority | <input type="checkbox"/> |
| Environment agency/ authority | <input type="checkbox"/> |
| Basin authority (national) | <input type="checkbox"/> |
| Local or provincial government | <input type="checkbox"/> |
| Geological survey (national) | <input type="checkbox"/> |
| Non-water specific ministries, e.g. foreign affairs, finance, forestry and energy | <input type="checkbox"/> |
| Civil society organizations | <input type="checkbox"/> |
| Water user associations | <input type="checkbox"/> |
| Private sector | <input type="checkbox"/> |
| Other (please list): [fill in] | |
| Please briefly describe the process by which the questionnaire was completed: [fill in] | |

4. If you have any other comments please add them here (*insert comments*): [fill in]

5. Name and contact details of the person(s) who filled out the questionnaire (*please insert*): [fill in]

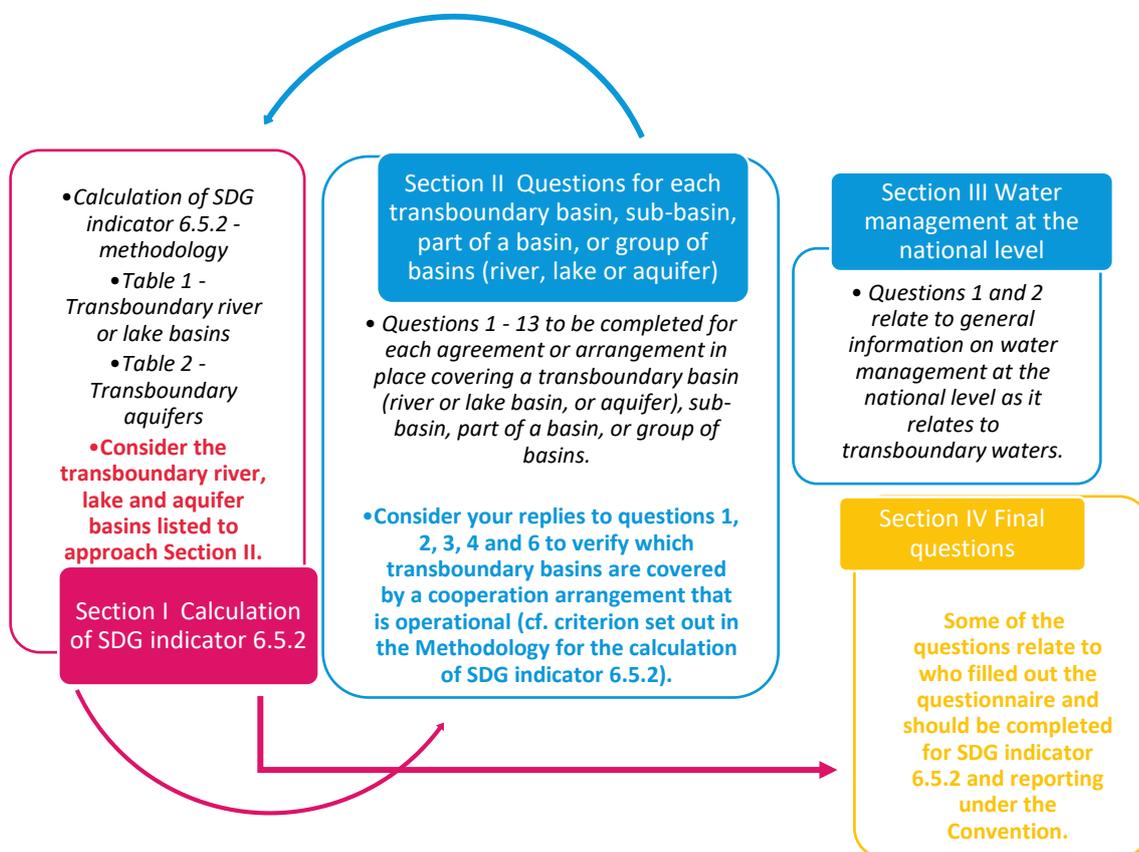
Date: [fill in] Signature: [fill in]

1. General guidance

- Explain the types of comments that might be included under question 4.

Annex I

Structure of the reporting template and relationship between Section I, II, III and IV.



Annex II
Decision-making tree for completion of Section II

