

THE HAGUE, FEBRUARY 2019

Quick-scan of socially inclusive Integrated Water Resources Management



By IRC: Erma Uytewaal (associate consultant, senior WASH advisor),
Laura van de Lande (consultant on human rights and water)



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Introduction

This document presents the results of a quick-scan study conducted by IRC on behalf of the Inclusive Green Growth (IGG) department in the Directorate for International Development Cooperation (DGIS), the Ministry of Foreign Affairs (MFA) of the Netherlands.

The main objective of the quick-scan is to complement the findings of the mapping study on socially inclusive WASH programming conducted by the Watershed partners (2018) <https://simavi.org/wp-content/uploads/2018/08/Social-inclusion-report-final-spreads.pdf> with insights into the current practices relating to social inclusion in integrated water resources management (IWRM) programmes and projects.

The results of this study, together with those of the mapping study on socially inclusive WASH programming, constitute an important basis for the promotion of improved socially inclusive programme development and implementation of IGG's (supported) programmes and projects. The results of the quick-scan are also expected to stimulate the strengthening of IGG's policy framework for water resources management particularly regarding the formulation of policy goals and target setting for social inclusion.

This working document also offers a resource document for other water resources professionals with an interest in translating organisational social inclusion policies and strategies into the implementation of IWRM programmes that effectively contribute to reaching the poorest and most marginalised groups.

This quick-scan does not review the concept of IWRM nor does it value the suitability of the IWRM approach to address social inclusion in water resources management (WRM). It does however look into efforts and experiences with addressing social inclusion in IWRM programmes. The study takes a practical approach and maps the approaches, methods and tools used for social inclusion in IWRM programmes and projects by a selected number of development organisations, some with a strong track record in this area. The study included web-based research and an interview with resource persons in each of the eight¹ participating organisations: Both ENDS, Conservation International, the UN's Food and Agriculture Organization (FAO), GIZ, IWMI and SIWI. The IHE Delft Institute for Water Education provided its inputs in writing. The mapping includes information received from the individual resource persons and does not necessarily reflect their respective organisations' views.

The quick-scan analysed the results collected through a limited number of interviews and therefore does not provide a comprehensive overview to social inclusion in IWRM. However, we believe that the research and selection of organisations for this study ensure reliable findings and conclusions that are important to take into account in the practical development of these concepts in future programming.

The preliminary results of the mapping study were peer reviewed by Dr Charles Batchelor². Although many of the eight organisations have valuable experience with social inclusion in WASH, it is important to note that this study focuses on the development context only.

The first chapter describes the conceptual framework that complements the one developed for the WASH mapping study. This chapter clarifies the concept of social inclusion in IWRM and its connection to the IWRM principles, human rights framework and Sustainable Development Goals (SDGs). Sub-chapter 1.4 portrays the operational model used for the WASH mapping exercise, slightly adapted for IWRM programming. It reflects information from the conceptual framework as a set of important questions that provide guidance for addressing social inclusion in each stage of the IWRM programme cycle.

Chapter 2 describes how social exclusion and inequalities manifest themselves in water resources management. It also lists examples of social exclusion within the different categories of water uses.

Chapter 3 explains the methodology used for the quick-scan study. This includes an overview of the participating organisations and a justification for their selection. It also lists the selection criteria used and describes the approach and instruments employed for data collection and assessment.

Chapter 4 presents the main findings of the quick-scan. It provides an overview of the socially inclusive IWRM approaches, methods and activities shared by the five organisations that participated in the quick-scan. The findings are organised according to the different stages of the programme cycle: definition of strategies and intervention levels; assessment and programming phase; planning and design phase; implementation; monitoring and learning.

Chapter 5 summarises the main findings, challenges and dilemmas for social inclusion in IWRM programming. It concludes with ideas on concrete actions for taking social inclusion forward in IWRM programming by the participating organisations.

1. Conceptual and operational framework

A conceptual framework was developed to clarify the concept of ‘social inclusion’ in IWRM and its connection to both the SDGs and human rights framework. It aimed to support the different development actors taking part in the study, by identifying and assessing their experiences with addressing social inclusion in IWRM programmes and projects. The conceptual framework is linked to the legal human rights framework, to international policy agreements relevant to IWRM, and to the 2030 Sustainable Development Agenda.

This chapter includes the main definitions and key terminology that are relevant for both social inclusion and for IWRM and it also describes the features of the most relevant (international) policy agreements, (customary) laws, and legal treaties that include:

- the 1992 Dublin Conference on Water, the Rio de Janeiro Summit on Sustainable Development and its Agenda 21.
- The 2030 Agenda for Sustainable Development
- (Local) customary laws on water resource usage
- The Core Human Rights principles.

The chapter concludes with the identification of key aspects to be taken into account when applying social inclusion in IWRM.

1.1 INTEGRATED WATER RESOURCES MANAGEMENT: DEFINITIONS, KEY PRINCIPLES AND POLITICAL AND LEGAL FRAMEWORK

IWRM is a cross-sectorial policy approach, designed to deal with the complexity in Water Resources Management (WRM). The Global Water Partnership (GWP) www.gwp.org defines IWRM as follows; “IWRM is a process which promotes the coordinated development and management of water, land and related resources in order to maximise economic and social welfare in an equitable manner without compromising the sustainability of vital ecosystems and the environment”.

According to the International Water Association (IWA), IWRM is based on three principles: social equity, economic efficiency and environmental sustainability.

TABLE 1. EXPLANATION OF THE THREE MAIN PRINCIPLES FOR IWRM

Social equity	“Ensuring equal access for all users (particularly marginalised and poorer user groups) to an adequate quantity and quality of water necessary to sustain human well-being. The right of all users to the benefits gained from the use of water also needs to be considered when making water allocations. Benefits may include enjoyment of resources through recreational use or the financial benefits generated from the use of water for economic purposes.”
Economic Efficiency	“Bringing the greatest benefit to the greatest number of users possible with the available financial and water resources. This requires that the most economically efficient option is selected. The economic value is not only about price – it should consider current and future social and environmental costs and benefits.”
Ecological Sustainability	Requires that “aquatic ecosystems are acknowledged as users and that adequate allocation is made to sustain their natural functioning. Achieving this criterion also requires that land uses and developments that negatively impact these systems are avoided or limited.” ³

Water serves diverse needs – sustaining agricultural systems, healthy ecosystems, people and livelihoods. Therefore setting policy and make balanced decisions requires coordinated action between decision-makers and stakeholders impacted by their decisions taken.⁴ IWRM provides a *flexible framework* that enables management of water resources based on a set of key principles adopted at the [1992 Dublin Conference on Water](#) and the [Rio de Janeiro Summit on Sustainable Development](#). These include:

- Fresh water is a finite and vulnerable resource, essential to sustain life, development and the environment.
- Water development and management should be based on a participatory approach, involving users, planners and policy makers at all levels.

- Women play a central part in the provision, management and safeguarding of water.
- Water has an economic value in all its competing uses and should be recognized as an economic good, taking into account of affordability and equity criteria.

In further defining the concept of IWRM, **Agenda 21** highlighted the following elements:

- Water resources must be protected, taking into account the functioning of aquatic ecosystems and the perennial nature of the resource;
- In developing and using water resources, **priority has to be given to the satisfaction of basic needs** and the safeguarding of ecosystems; and
- IWRM should be carried out at the level of the catchment basin or sub-basin in order to:
 - Promote a multisectoral approach to water resources management;
 - Plan for the sustainable management of water resources **based on community needs** and priorities within the framework of national economic development policy;
 - Design, implement and evaluate projects and programmes that are both economically efficient and **socially appropriate** within clearly defined strategies, based on an approach of **full public participation**; and
 - Identify and strengthen or develop the appropriate institutional, legal and financial mechanisms to ensure that water policy and its implementation are a catalyst for sustainable social progress and economic growth.

Note that the above information reflects the widely accepted definition of the concept of IWRM and reflects agreed language from international summits. The scope of this study does not allow for in-depth review of the concept of IWRM, nor does it evaluate the suitability of the IWRM approach to address social inclusion in water resources management. See Chapter 1.3 for more information on the scope of the quick-scan

Legal framework for IWRM at global level

As stated above, IWRM constitutes an approach to be applied in a watershed or river basin; it does not constitute a legal framework as such. However, a number of international instruments have been adopted to provide the framework for IWRM. This includes the Rio Declaration on Environment and Development and its Agenda 21⁵, which seeks to provide a comprehensive blueprint for action to be taken globally, nationally and locally by all stakeholders⁶. ⁷Agenda 21 resulted in IWRM becoming part of international 'soft' law. From 1992 onwards, IWRM principles would be further developed and reaffirmed in international forums and national laws and policies.⁸

IWRM in the Sustainable Development Goals

On 1 January 2016, the 17 SDGs of the 2030 Agenda for Sustainable Development, adopted by world leaders at a UN Summit in September 2015, came into force. The SDG Agenda reflects political commitments made by states in the form of goals and targets to be reached by 2030.

The current Agenda for Sustainable Development aims to "leaving no one behind". Goal 6 relates to ensuring the availability and sustainable management of water and sanitation for all and addresses the quality and sustainability of water resources, critical to the survival of people and the planet.

Target 6.5 aims to implement IWRM at all levels, Target 6.5 builds on the Johannesburg Plan of Implementation (2002) arising from the United Nations Conference on Environment and Development (1992). Indicator 6.5.1 tracks the degree of IWRM implementation, by assessing its four key components: enabling environment; institutions and participation; management instruments, and financing.

Under Goal 6 of the Sustainable Development Framework the following targets relate to IWRM:

- By 2030, implement integrated water resources management at all levels, including through transboundary cooperation as appropriate.
- Support and strengthen the participation of local communities in improving water and sanitation management.

(Local) Customary laws

The legal framework for social inclusion in water resources management comprises not only statutory legislation but also self-regulatory instruments and customary norms. Customary laws⁹ and traditions often play an important role, as some communities manage water according to traditional norms.¹⁰ Consideration of all types of norms containing rights and obligations is crucial: legal pluralism often occurs where traditional and customary water management rules are mixed with statutory regulations and national and global laws and declarations: “which both complements and complicates effective, legitimate and equitable policy and law formulation and implementation especially if the norms are not aligned.”¹¹ Documents at the international level establish mandatory mechanisms to ensure communities potentially affected by decisions are consulted, and in some cases implying that their consent must be obtained, as indicated for example in Article 19 in the United Nations Declaration of Rights for Indigenous Peoples (UNDRIP) and in the International Work Organization’s (ILO) 169th Convention.¹²

1.2 SOCIAL INCLUSION – DEFINITION OF CONCEPTS AND ITS LEGAL AND POLITICAL FRAMEWORK**Key definitions**

Social inclusion is understood as a process by which efforts are made to ensure equal opportunities for all, regardless of their background, so that they can achieve their full potential in life. It is a multi-dimensional process aimed at creating conditions that enable the full and active participation of every member of the society in all aspects of life, including civic, social, economic, and political activities, as well as participation in decision-making processes.

Exclusion Although there is no universally agreed definition or benchmark for social exclusion, lack of participation in society is usually at the heart of nearly all definitions.¹³ Overall, social exclusion describes a state in which individuals are unable to participate fully in economic, social, political and cultural life, as well as the process leading to and sustaining such a state.¹⁴ This also includes exclusion in access to water for different purposes (access to food, housing, water, sanitation, etc.).

Marginalisation is the social process of being confined to a lower social standing or to the outer limit – the margins – of society. Marginalised individuals often suffer material deprivation, and are excluded from information, services, programmes, and policies. People who are marginalised are often not consulted, they have little influence over decisions that affect them, their voices are not heard, and it is more difficult for them to claim their rights.¹⁵

Disadvantaged individuals and groups is a term to refer to all people who are discriminated against, experience inequalities, or are marginalised, stigmatised, or who are in vulnerable situations.¹⁶

Inclusion is about supporting marginalised people to engage in wider processes of decision making to ensure that their rights and needs are recognised and taken into account. Exclusion in decision-making processes takes place at the different stages of planning: Needs and voices of particular groups of people are not considered at the policy level and in the development of strategies.

In order to achieve social inclusion, one needs to recognise that people are different and need different support and resources to ensure that people can exercise their rights and that their rights are realised.¹⁷

Grounds for marginalisation and discrimination and barriers for inclusion

Marginalisation and discrimination are caused by different factors. The table in Chapter 2.1 in the mapping study on social inclusive WASH programming summarises those factors in a number of overarching categories including: Sex and gender; Race, ethnicity, religion, national origin, birth, caste, language and nationality; Disability, age and health status; Property, tenure, residence; economic and social status; and Other grounds. Many other grounds exist that exclude or discriminate people in processes affecting their access to water (rights). These include, for instance political or other opinion; marital and family status; people in vulnerable situations. Examples include exclusion of women in negotiations on water resource use, or the ability of poor and small-scale fishermen and farmers to claim rights to use the water resource to their benefit. Common barriers to inclusion manifest themselves through social, economic, political, physical, geographical and/or environmental factors.¹⁸ See chapter 2.1 for a further description of the different grounds of exclusion in the mapping study on social inclusive WASH programming.¹⁹

Social factors are often deep-rooted and have been perpetuated over centuries of socio-cultural norms, practices and traditions. **Economic** and **political** factors can change more quickly and their influence on people can vary. Exclusion may appear in direct and indirect ways: sometimes people or groups of people are intentionally

excluded or less favourably treated compared to others in similar situations for reasons related to the ones outlined above. Other times policies and practices can appear neutral but in practice have the effect of exclusion.²⁰

Legal framework for social inclusion

Social inclusion finds its legal basis in human rights law. Human rights, including the rights of indigenous peoples²¹; everyone’s right to an adequate standard of living, including the human right to food²², health²³ and to water and sanitation²⁴; are legal standards recognised at the international level, that have been translated into legally binding national and sub-national laws, regulations and policies.²⁵

Common to all human rights is that they are interdependent and based on core human rights principles (see Table 2). Some of these principles are shared among other disciplines, including for instance in water governance.

TABLE 2. HUMAN RIGHT PRINCIPLES

Human right principles	Explanation
Equality and non-discrimination ²⁶	Discrimination is defined as any “distinction, exclusion or restriction which has the purpose or the effect of impairing or nullifying the recognition, enjoyment or exercise, on an equal basis with others, of human rights and fundamental freedoms in the political, economic, social, cultural, civil or any other field.” Equality complements the principle of non-discrimination: equality demands a specific focus on those individuals, groups or communities who do not enjoy their rights fully, in order to close existing gaps in the enjoyment of rights.
Accountability ²⁷	“States and other duty-bearers are answerable for the (non) observance of human rights. In this regard, they are obliged to comply with the legal norms and standards enshrined in human rights instruments.” ²⁸ “The principle of accountability aims to mediate the relationship between people as rights holders and, in particular, those that wield power and affect the enjoyment of the former’s rights by exercising State-like powers or decisive and asymmetrical power that has considerable potential impact on people.” ²⁹ Individuals or groups who feel that their rights have been violated must have access to independent review mechanisms and courts to have their complaints heard and resolved. Furthermore, clear institutional mandates must be defined to build accountability into the entire water sector. Actions taken or decisions made under those mandates must be accountable and regulated through a system of oversight responsibilities.
Participation ³⁰	Ensuring active, free and meaningful participation goes beyond tokenistic forms of participation or superficial consultation. Elements of participation that must be guaranteed include: <ul style="list-style-type: none"> • “Involving people in setting out the terms of engagement (e.g. agenda, meeting times, venue). • Creating space and opportunity for participation • Enabling people to access participatory processes and eliminate barriers • Guaranteeing free and safe participation • Ensuring access to information • Providing reasonable opportunities to influence decision-making.”³¹
Access to information and transparency ³²	Access to information is essential: <ul style="list-style-type: none"> • for active, free and meaningful participation in the design of policies and planning on water and sanitation related issues; • to monitor decision makers and hold them accountable. Transparency is one of the best antidotes to corruption. ³³

Human rights are **legally binding rights**, obliging States to **respect** and **protect** these rights and **fulfil** these rights as quickly as possible, using all the resources available to them. As for the rights to water and sanitation for instance, obligations include ensuring that water is of good quality and available in sufficient amounts, and for everyone on an equal basis. Sources of drinking water need to be protected from both over-abstraction and contamination by irrigation systems, mining companies or factories.

The human rights principles form the bases for economic, social and cultural rights. For a more elaborated description and explanation of ‘social inclusion’, its definition and its basis in human rights law, see the **conceptual framework** developed for social inclusive WASH programming³⁴.

The Sustainable Development Goals

The SDG Agenda reflects political commitments made by all UN member states in the form of goals and targets to be reached by 2030. The current SDG Agenda is more human rights congruent, aiming to ‘leave no one behind’. SDG6 seeks to ‘realise the human rights of all’; besides ensuring availability and sustainable management of water and sanitation for all, the goal also includes the quality and sustainability of water resources, critical to the survival of people and the planet.

The conceptual framework underlines that. Although the ‘leaving no-one behind’ aspect of the SDG framework is highly political, it has been agreed on at the highest level, and is therefore not an ‘optional extra’. More than ever, decision-makers and implementing parties need to focus on “who” as much as on “what” has been delivered.³⁵ Also, although SDG 10 on ‘reducing inequalities’ particularly focuses on income inequalities, its indicator for target 10.3 aims to track the “percentage of the population reporting having personally felt discriminated against or harassed within the last 12 months on the basis of a ground of discrimination prohibited under international human rights law”.³⁶

The conceptual framework identifies a number of key elements to be addressed in socially inclusive IWRM approaches. This chapter identifies those key issues and explains how adoption of the human rights principles contributes to socially inclusive IWRM interventions.

The enabling environment and good governance in IWRM

IWRM is often explained as an approach that balances the different water uses on the basis of applying ‘good governance’ and ensuring an ‘enabling environment’. Both these concepts embrace multiple human rights principles (See Table 2 above). Both concepts do not have a fixed definition, and are regularly used interchangeably³⁷, although mostly the ‘enabling environment’ is explained as the wider set of conditions that set the stage for governing water, while ‘good governance’ focuses on rule-setting and regulation. Jiménez and others³⁸ explain the concepts as follows:

*“An all-encompassing definition of Enabling Environment describes the concept as “the set of interrelated conditions that impact on the capacity of...development actors... in a sustained and effective manner” (Thindwa, 2003:4). However, the environment can be more or less conducive towards the desired changes. Focusing further on the potential positive impact on development efforts, a more precise definition of the enabling environment can be “the policy, institutional and financial framework that is necessary for sustaining and replicating large scale...programs” (WSP, 2015)”*³⁹

*“Water governance has been defined as the set of rules, practices, and processes that determine who gets what water, when and how (Allan, 2001). These rules, practices and processes are continuously (re-)produced through the interactions between actors in the water sector and with their surrounding institutional frameworks and the broader structural conditions.”*⁴⁰

Tatiana Acevedo Guerrero, lecturer at IHE Delft explains water governance as follows:

*“...water governance is subject to a variety of interpretations and methodological approaches. In particular, two broad approaches can be distinguished. Water governance has been used to refer to a more instruments-oriented approach targeted at moving towards governance arrangements and processes which seek to enhance efficiency, equity and effectiveness of water management (good governance). In this perspective governance is understood as a tool or application that needs to be designed and tailored to produce specified desired outcomes. A second approach employs the term in analyzing contested decision-making processes, the ensuing allocation of resources and services and the impacts of such decisions on access to resources and services of different players. This approach critically analyzes governance processes, and the degree to which prevailing processes result in equitable access to resources and services for different players.”*⁴¹

According to Global Water Partnership (GWP), IWRM is about ‘good water governance’.⁴² In their [online toolbox](#), they define three thematic areas for IWRM: Enabling Environment, Institutional Arrangements, and Management Instruments.

Human rights principles (accountability, non-discrimination and equality, participation, transparency and access to information) are well-defined terms that are reflected in concepts like ‘enabling environment’ and ‘good governance’. Understanding and applying these internationally recognised core human rights principles (See Table 2) may help to define the enabling environment, apply good governance and to develop management instruments. They establish well-defined criteria and when applied properly, serve to ensure that all stakeholders are meaningfully taken into account in making decisions affecting people’s lives. Individuals, policy-makers, civil society and development organisations may benefit from understanding what these principles entail and how they apply to all decision-making processes that affect their lives, including on water resources. This gives them useful legal tools that can be used to not only shape policies, but also to educate communities and authorities on their rights and obligations.

Human rights principles as a tool to help establish a ‘fair’ and ‘balanced’ allocation of water

As pressures on the world’s freshwater resources increase, many watercourses will face both increasing freshwater scarcity and increasing pollution. Governments, service providers and other organisations will face greater challenges in their efforts to promote sustainable water management practices that maximise economic, social and environmental welfare.⁴³ The many competing – and sometimes conflicting – demands give rise to questions of equality and justice, such as what would be considered to be a ‘fair’ or ‘balanced’ allocation of water for competing uses.⁴⁴ As the examples of social exclusion show in the overview to chapter 4 (Table 7); water resources management that fails to balance the social factors in a thorough and considered manner, risks making the weakest parties bear the biggest burdens and profiting the least from existing water resources.

Abiding by international human rights law constitutes a legal obligation for States. Therefore, the human rights framework offers an important entry point for questions of ‘justice’ within IWRM by offering broadly endorsed frameworks that set minimum standards for governance and that define the rights and obligations of different categories of stakeholders. Human rights law can therefore help manage water resources use, as it sets priorities, while ‘leaving considerable room for sectorial laws, political and economic considerations to apply above the bar set by human rights law’.⁴⁵

BOX 1. WATER RIGHTS VERSUS RIGHT TO WATER

A ‘**water right**’ refers to the right of a user to use the water (resource). Water use licenses and permits — and exemptions from licenses and permits — are some of the most important elements of IWRM. Water rights holders, in this sense, may be individuals or companies, for instance. A water right is a temporary right that can be provided to an individual and, importantly, that can be withdrawn.⁴⁶

In contrast, a **right to water**, as laid down in the human right to safe drinking water and sanitation, are not temporary, not subject to state approval and cannot be withdrawn — it constitutes an inalienable right of every individual. Further, “a number of other water-related human rights trigger inalienable water rights entitlements, which need to be satisfied as a matter of priority by authorities before allocating water for other uses. These water rights entitlements are derived from other human rights and include: water rights for subsistence agriculture (which is especially well protected for indigenous communities), and water quality standards (including water treatment considerations) to avoid infringing on the human right to a healthy environment.”⁴⁷

Equal benefits and impacts of the water resource allocation

In addition to a fair or ‘equitable’ division in the right to use the water resource, it must be ensured that the *benefits* are equally divided, considering for instance the financial benefits to the economy; employment benefits deriving directly from water use; and social benefits deriving from the government’s share of the economic benefits.⁴⁸ This includes an equal division in both benefits and detriments that may stem from variability in water flow due to drought or climate change, for instance. It is important that one user group is not disproportionately affected by such negative events compared to others.

This must be translated into processes of IWRM: looking beyond the question whether all stakeholders have a seat at the negotiation table. Participation lists too often serve as a ‘tick-box exercise’ without ensuring that all needs and voices are meaningfully represented in the negotiation process and its outcomes. Decision-making bodies must ensure that decisions taken on water resources establish equal outcomes and benefits amongst stakeholders.

Similarly, negative effects of water resource decisions must not harm one stakeholder disproportionately. ‘Social inclusion’ requires supporting marginalised people to engage in processes of decision making to ensure that their rights and needs are recognised. Inclusion in decision-making processes needs to take place at the different stages of planning and decision-making, not just at the final stages of decisions.

Identification of excluded groups and root causes

Socially excluded groups are often invisible at first sight: often they are neglected groups without the capacity to make their voices heard. Social inclusion therefore requires a thorough assessment of stakeholders and identification of marginalised and currently excluded groups. Reasons for exclusion can be deeply rooted and structurally applied throughout the society. They form the basis of neglect by governments, majority groups, or other stakeholders. Existing inequalities are based on profound cultural concepts, which are often perceived as ‘natural’ by those involved.

Disaggregated data is essential in order to fully understand the root causes of exclusion, including why, where and how exclusion occurs. However, due to deeply entrenched social, cultural, political, and economic reasons, there is often no existing information on *who* these groups are. Available data on exclusion and inequalities may also not be comprehensive: excluded groups are often (on purpose or not) not counted and fall outside the scope of statistics. Programmes aiming to combat social inclusion must therefore also target the more powerful groups to ensure that mindsets are changed, root causes addressed, and more information is collected and shared on existing exclusion of people.

Gender is a common form of exclusion in WRM, being a male-dominated sector where the representation of women is low. Although women are primary stakeholders of decisions around water – men mostly make the decisions.⁴⁹ It is important to note that exclusion may take place beyond the most obvious stakeholder groups. It takes time, effort and expertise to find out which people are currently neglected or overseen. If exclusion is not identified and understood, it is impossible to develop effective measures to address it.

Application of the human rights principles in water resources management

To truly consider all stakeholder groups in decision-making processes it may be important to look beyond the IWRM approach as it is currently shaped. Applying the full set of existing human rights principles at all stages of WRM can assist this process:

TABLE 3. REQUIREMENTS AND IMPLICATIONS OF HUMAN RIGHTS PRINCIPLES APPLIED TO IWRM

3.1 NON- DISCRIMINATION AND EQUALITY

Requirements	Implications for IWRM programming
<p>Non-discrimination requires a thorough analysis of marginalised groups, and the root causes to their exclusion.</p> <p>Equality demands a specific focus on those individuals, groups or communities who do not enjoy their rights fully, in order to close existing gaps in the enjoyment of rights.</p> <p>A special focus must be placed on the ‘levelling up’ of the situation of those who live with inadequate or no services by understanding the particular needs of each group. This is only possible when the root causes and the de facto discriminatory practices are identified and when positive measures like affirmative action are put in place.⁵⁰</p>	<p>For example, currently vulnerable or excluded groups may need to receive more assistance or targeted investments to empower them in exercising equal rights and voices in decision-making processes on the water resource. Root causes embedded in society that caused the exclusion must also be addressed and tackled: eg water rights, land tenure and credit systems are all biased towards men within WRM processes – resulting in small-scale farmers (predominantly women) being at the end of the line. Solely making tenure and credit systems available for women will not lead to equality: disadvantages related to women’s education may restrict their ability to understand, and fully enjoy such rights. In such cases therefore, simply creating gender-neutral water management will not be enough to reduce inequalities –root causes to gender equality must be simultaneously addressed eg by behaviour change and training, as well as linkages to other sectors where inequalities take place.</p>

3.2 ACCOUNTABILITY

Requirements	Implications for IWRM programming
<p>Accountability requires clear institutional mandates and systems of control and oversight. It moreover requires that actors involved in the regulation and management of water resources must have clearly defined responsibilities and performance standards.</p> <p>When people feel that their rights have been violated or not dealt with in a satisfactory manner, they must have the possibility to seek redress. Monitoring structures must ensure that processes can be adapted over time when outcomes fail to establish the envisioned social inclusion.</p>	<p>Guarantees must be built into decision-making processes that monitor and oversee the implementation of envisioned inclusion strategies. This may for instance affect the allocation of functions within the organisation: allocations must avoid an excessive concentration of power, for example, by separating the function of conflict resolution from that of decision-making and by creating neutral, often, external forums for appeal.⁵¹</p> <p>Targeted groups must moreover have the opportunity to complain and seek redress when decisions on water resources negatively affect them in a disproportionate manner.</p>

Corruption and lack of transparency

Analysis shows that the water sector is at high-risk of corruption. Accountability is difficult to maintain when water management responsibilities are distributed across many agencies and levels, or concentrated within small groups, and when technical information can make it inaccessible to the average citizen, especially those who are marginalised. The most common areas for corruption relate to: assignment of water permits and distribution; pollution control and environmental protection; and large irrigation systems or hydroelectric plants. Further; “powerful groups can influence decision making, whether public or private, through payments or by capturing the decision-making processes. These corruption problems are seen in both large decisions, such as the construction contract for a large dam, and small decisions, such as the diversion of a small stream to benefit one user, and in virtually all countries.”

3.3 Participation

Requirements	Implications for IWRM programming
<p>Meaningful participation not only requires equal opportunities for a seat on the negotiation table, it must ensure that everyone’s opinion is heard and meaningfully taken into account when making decisions.</p>	<p>For WRM decisions, this may for instance include that rules for the approval of collective decisions must be put in place. Particularly when it comes to decisions of great importance that affect members’ rights, extra checks beyond simple majority rules, may be needed.⁵⁴</p> <p>To ensure participation in an equal manner, barriers to participation of marginalised persons must be identified and lifted.</p>

Identifying root causes and tackling existing barriers to participation

Root causes to exclusion in participatory processes must also be identified and tackled. These include deeply rooted discriminatory practices, but may also consist of a more practical nature. Common barriers to inclusion in participation in WRM processes include, for instance:

- **Meeting times, locations and economic barriers**

Women’s participation in meetings is often hindered by meeting times, because of working hours and caretaking responsibilities. Women sometimes face social barriers to participating in meetings due to cultural norms against women speaking in public.⁵⁵ Sometimes, meetings can be physically inaccessible for chronically sick or disabled. There are often economic reasons for limiting participation: people may not have time off work or afford a bus ticket. People must be adequately notified of opportunities to participate so they can adequately prepare themselves.⁵⁶ Organising meetings locally will reduce travel time and costs for participants and increase the likelihood of involvement.

- **Sufficient (technological) knowledge**

For all stakeholders to participate, accessible information must be made available in a transparent manner and in local languages.⁵⁷ See *access to information below*.

• **Problems of collective action and agency**

For all stakeholders to participate in decision-making processes on water resource use, they must have the capacity to organise themselves and negotiate along with the larger, more powerful associations. Therefore the functioning of water user organisations and civil society bodies plays a decisive role in the quality of negotiations within the water sector and in the level of social inclusion. It is critical that measures are taken to stimulate learning, strengthen self-confidence, and build stakeholders’ capacity to both participate in debates and form alliances to further their interests.⁵⁸

BOX 2. PARTICIPATION IN IWRM

Participation is a key principle for social inclusion in WRM, and a bedrock principle of the IWRM approach. Principle 2 of the Dublin Statement on Water and Sustainable Development states: “Water development and management should be based on a participatory approach, involving users, planners and policy makers at all levels”. Principle 3 also recognises that “Women play a central part in the provision, management and safeguarding of water”. Agenda 21 also seeks to promote and strengthen the role and involvement of water-user groups as one of the four principles for IWRM should be pursued as follows; “To design, implement and evaluate projects and programmes that are both economically efficient and socially appropriate within clearly defined strategies, based on an approach of full public participation, including that of women, youth, indigenous people and local communities in water management policy-making and decision-making” (18.9.c).

3.4 TRANSPARENCY AND ACCESS TO INFORMATION

Requirements	Implications for IWR programming
<p>Only informed stakeholders are able to understand and influence decision-making processes. All stakeholders need access to the same information to make the process equitable. So, it is important that information is published through different media and procedures, taking into account local conditions and languages. In Chile for example, by law, new requests for water rights or for changes in existing water allocations must be published in newspapers on certain dates and with certain formalities. They are also communicated through radio, to reach rural areas.⁵⁹</p>	<p>The complexity of water resource systems means that decision-making often relies on substantial technical information⁶⁰. Not being able to receive, process and understand this information tends to have greater repercussions for downstream users, who are more vulnerable to shortages and upstream over-exploitation.</p> <p>Some stakeholders do not have the required technical or legal expertise to guard their interests. Measures must be taken to ensure that marginalised stakeholders gain the capacity and support they need to inform themselves, participate, and to represent their needs and interests.⁶²</p>

1.3 REFLECTIONS ON THE CONCEPTUAL FRAMEWORK AND ITS SCOPE

In chapter 1.4 we aim to translate the conceptual framework as described in the previous subchapters (1.1 and 1.2) into an operational framework that can help assess and/or guide social inclusion in IWRM programmes and projects. The following challenges and common critiques on the concepts that are referred to in the proposed conceptual framework are useful in contextualising the scope of this quick-scan.

BOX 3. CHALLENGES AND COMMON CRITIQUES OF THE CONCEPTS REFERRED TO IN THIS STUDY

IWRM:

IWRM is a process, an *approach*, that has been criticised for its ineffectiveness regarding social equity. In the case of Tanzania, some problems were observed during the implementation of IWRM:

- Studies in Tanzania have shown that IWRM may have harmed smallholders' access to water and rendered them more vulnerable to poverty and unemployment (van Koppen et al, 2016);
- Empirical findings from Tanzania (and other countries in Africa) suggest that IWRM may have resulted in: 1) An unwarranted policy focus on managing water instead of improving poor women's and men's access to water and 2) Creation of institutional arrangements that centralise the power and control of the State and other powerful actors (Mehta et al, 2016);
- Institutional and capacity weaknesses around IWRM implementation in Tanzania may have been exploited by powerful actors that seek to meet their own interests, thus allowing water grabbing to take place (Van Eeden et al 2016).

IWRM should be viewed as a process rather than a fixed approach, one which seeks to shift water development and management systems from their currently unsustainable forms. IWRM has no fixed beginnings or endings. There is not one correct model and the art of IWRM lies in selecting, adjusting and applying the right mix of these tools for a given context and situation.⁶³ When social equity and inclusion are sought to be reached through IWRM, it is important to ensure that its processes are adapted to include the identification and analysis of who is currently excluded, and *why*, and *what* must be done to address this. As suggested in the conceptual framework, understanding the concept of social exclusion and human rights principles can help to improve these processes.

Human rights framework:

States have the primary obligation to protect and promote human rights. Human rights obligations are generally defined and guaranteed by international human rights treaties, creating binding obligations on the States that have ratified them. They form the Constitution of human rights, that are above all national laws, and must be adopted and exercised in all countries. However, this does not automatically mean that all international human rights are indeed translated meaningfully into respective national and local level laws and policies. Even where human rights are adopted into national laws, it does *not* automatically mean that authorities are aware of the responsibilities stemming from such laws. Rights-holders are most often unaware of their rights, or unable to claim such rights. A major obstacle to equal enjoyment of human rights (including to water) is therefore not the 'existence' of rights, but the possibilities and capacity of people to claim their rights.

(International) organisations and civil society therefore fulfil a crucial role in capacity building, education, and advocating for the voices and rights, especially of those people that are currently left out.

Sustainable Development Goals:

The Sustainable Development Agenda seeks to be human rights congruent and aims to "leave no one behind", ensuring availability and sustainable management of water and sanitation for all, and ensuring the quality and sustainability of water resources, critical to the survival of people and the planet. The most notable difference between inclusiveness in a human rights framework compared to "leaving no-one behind" in the SDG framework is based on the legal nature of the former and the political nature of the latter. The human rights framework consists of legal obligations, enforceable in courts and other judicial mechanisms, whereas the Sustainable Development Agenda is based on political commitments.

However, it should be noted that although the "leaving no-one behind" aspect of the SDG framework is highly political, it has been agreed on at the highest level, and it is therefore not an optional extra for any State. More than ever, States need to focus on "who" as much as "what" has been delivered.⁶⁴

Informed by the above critique and comments, for the purpose of this quick-scan we highlight the following elements that are important background for the scope of the quick-scan and the translation of the conceptual framework into an operational model for the purpose of the study.

Integrated Water Resources Management is a contested approach.

It is important to acknowledge the widespread agreement on the need for IWRM. This is based on over 25 years of practical experience and academic studies which have led to organisational learning on the concept and its approach. However, this has not always been positive: the vision of IWRM is far from uncontested⁶⁵. Over time it has been critiqued by academics and practitioners for its concept (too naïve and idealistic, too narrow and too broad); for its process (being too formulaic, prescriptive, top down and, all too often, based on a standard package of measures); and for the limited evidence that IWRM has been successful in addressing problems⁶⁶. Alternative approaches are now being proposed including a “light”, or more opportunistic and practical approach to IWRM⁶⁷. However, it goes beyond the scope of this quick-scan to review the IWRM, its concept, approach, outcomes or evolution.

IWRM takes account of social exclusion by being participatory and inclusive

It should be noted that IWRM, in its principles, already takes account of social exclusion by being participatory and inclusive. Hence many professionals may believe that social inclusion is already sufficiently addressed in IWRM programmes. However, experience has shown that in practice IWRM rarely gives sufficient attention to social inclusion and that reducing inequalities in use and decision-making on water resources is not easy. It goes beyond the scope of this study to assess the suitability of the IWRM approach for addressing social inclusion or to identify the potential negative impacts on equality that may have been caused by (inappropriate) IWRM interventions.

IWRM is already a complicated process

Many actors find IWRM already a burdensome and overly complicated process. For social inclusion to become part of the IWRM process it should not over-complicate it as this is one reason why IWRM does not work so well in practice. This quick-scan does not aim to propose a new model or to make essential adjustments to the IWRM approach, rather we propose an operational model that provides a systematic structure for mapping existing experiences with social inclusion in the development and implementation of IWRM programmes and projects.

IWRM is an approach, a process and not a project

The quick-scan maps out the experiences with addressing social inclusion in IWRM programming. For this purpose it identifies the different stages in the programme or project cycle as potential entry points to identify and describe the methods and tools used in each of those stages. We are also aware that, as an approach, IWRM requires a longer term process. We assume that actors define IWRM programmes and projects for their contribution to the longer term IWRM process and for the IWRM principles that guide the interventions in water resources and water resources management within a project setting.

IWRM implies involvement of numerous actors at different levels of intervention

IWRM implies engagement and interaction of multiple actors across different administrative or watershed levels. A limitation in the quick-scan is that we have not interacted directly with governments that have invested in IWRM at the national or river basin scale. The quick-scan focuses on the experiences and views of individuals partaking through international organisations only.

1.4 OPERATIONAL FRAMEWORK FOR SOCIALLY INCLUSIVE IWRM PROGRAMMING

Sub chapters 1.1 and 1.2 form the basis for the operational framework as described in this section. However, it is important to take into account the important caveats made on the conceptual framework and on the scope of the study. The operational framework follows a similar program-cycle-model as used in the **former mapping** study on social inclusion in WASH, and outlines some of the critical issues and questions to be addressed at the different stages of socially inclusive IWRM development programming. The programme cycle model is **explicitly not** meant to be used as an additional model on top of the existing IWRM approach or to replace it, rather it provides a framework for a programming cycle for “IWRM programmes and project” that includes social inclusion in different ways.

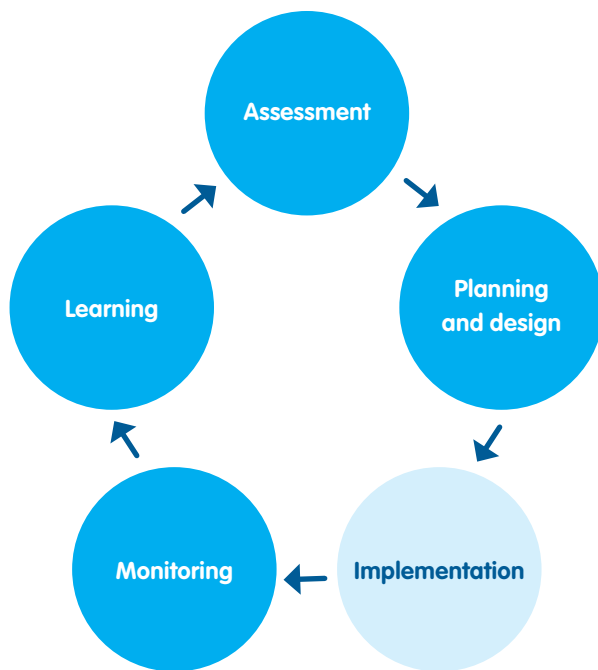
The specific questions for each phase in the IWRM programme cycle are guided by the following overarching questions and objectives of socially inclusive IWRM interventions:

Who are the excluded and what are the root-causes of their exclusion?
What (programme and policy) responses are suitable to tackle these root-causes?
How to establish a fair and balanced allocation of water resources?
How to ensure meaningful participation in decision-making?
How to ensure equal benefits and impacts of IWRM interventions?

The operational framework was used to map experiences, methods and tools used for social inclusion in each of the different stages of the programme and project cycle. The different stages in the programme development cycle are portrayed in Diagram 1. The guiding questions for ensuring social inclusion in each of the different stages of the cycle are set out in Table 4.

DIAGRAM 1: OPERATIONAL MODEL FOR ASSESSING SOCIAL INCLUSION IN THE IWRM PROGRAMME CYCLE

Source: Mapping Social Inclusive WASH programming (page 69)



Next to the programme cycle the Enabling Environment (EE) is featured as an additional important influencing factor to be taken into account in the operational framework for addressing social inclusive programming and project development.

TABLE 4. EXAMPLES OF GUIDING QUESTIONS TO BE ADDRESSED IN EACH OF THE PHASES IN THE IWRM PROGRAMMING CYCLE

Programme cycle phases	Guiding questions relevant for social inclusion
Assessment phase	Who is excluded from decision-making processes on the use of the water resource and/or unequally benefits from the water resource? Who are disproportionately affected by extreme events including droughts and floods, climate change etc.? (Where do they live, what are their socio-economic characteristics, etc.). What will be done to identify excluded groups, even when they are largely invisible? Who will potentially be the (most) impacted groups of current developments in the available water resources? What measures will be taken to make these groups more visible and capable of being heard? What are the structural causes for exclusion and what are the main barriers to inclusion? And if data on the root causes for exclusion is not available, how will the structural causes for exclusion and the barriers to inclusion be identified?
Planning and design	What dedicated actions are needed to identify how currently excluded groups and decision-makers (including user groups, negotiating associations and organisations) can be strengthened in their roles and responsibilities towards an inclusive approach in water resource management? How to overcome the inequalities in terms of benefits from using the water resource, also in extreme events such as droughts and climate change, quality of the water received, or permits to abstract water, for instance, for currently excluded groups of users? How to address the root causes and structural barriers for participation in decision-making or for equally benefiting from the programme interventions? How to determine the required levels of participation and to address the challenges of ensuring “effective” participation of the beneficiaries and the most excluded people in decision-making processes?
Implementation	What specific guidelines to integrate social inclusion into WRM and IWRM programmes are available to the programme/project team? What practical interventions does the programme or project approach include to ensure that the ‘socially excluded’ are reached and meaningfully participate? How are the main challenges/limitations when it comes to putting social inclusion strategies into practice, addressed?
Monitoring and evaluation	What are the programme or project’s goals and specific targets for social inclusion? How will progress towards these goals and targets be monitored and regularly reviewed? What indicators and methods are needed to track social inclusion in IWRM? Is the monitoring process inclusive and does it capture all views, including those of vulnerable groups and people still left behind? Are people who were supposed to benefit from the programme benefiting as was planned? Is there progress on reaching out to those who are marginalised and are the disparities reduced? Is there a positive impact in structurally improving the conditions for participation and inclusion?
Learning	How do we learn from the experiences and monitoring results of “inclusive” actions in IWRM? Are both outcomes and processes being monitored and evaluated? Are experiences documented and shared? Do the lessons learned inform and result in adaption of improved policies and approaches for social inclusion in IWRM?

For IWRM, as with WASH programming, it should be considered that the dynamics and structural causes of exclusion and the barriers to inclusion are different in every area. Therefore a thorough analysis for different contexts is necessary to identify all exclusion factors and barriers to inclusion. For IWRM programmes the “context” and its complexity will also largely depend on the scale of implementation of the programme that may vary from a watershed, to (sub-) basin level. The type of structural causes identified in the assessment phase will influence the type of intervention planned and designed. For instance, when barriers are of a social nature working with men, women and children to change attitudes may be one of the solutions to tackle these structural causes. Political or economic causes are likely to be addressed through policy and advocacy work - by persuading decision-makers to meet their obligations and combat exclusion and empowering marginalised people to demand their legitimate rights to water and voice in decision-making.

Enabling environment

It is important to recognise that social inclusion in WRM projects are part of a complex interplay of institutional structures and processes across different levels. These determine how effectively human, material and financial inputs are turned into a fair and balanced use of the water resource. A well-functioning ‘enabling environment’

includes structural and institutional factors⁶⁸ that offer opportunities and include bottlenecks for successfully addressing social inclusion in WRM. Overcoming inequalities in this sector in a sustainable way requires projects that address the structural and institutional barriers in the enabling environment. Systematically assessing the enabling environment in the assessment and design phase of programmes, and monitoring the results and impact of these on the institutional structure and processes, are important ways to address the root causes of social exclusion and inequalities in WRM. Within the WASH sector several studies and tools have been developed for describing and assessing the enabling environment. In the quick-scan we did not come across studies or tools that would highlight the particularities of the “enabling environment” for IWRM.

Dilemmas

Dilemmas for organisations that do aim to address social inclusion in their IWRM programmes are often related to their role in the project, (limited) responsibilities in negotiations over water management, and capacities to address social inclusion. Also, it may be difficult to determine the action to be taken when other parties with responsibilities in the IWRM programme clearly have other priorities and interests. Other key stakeholders in the programmes may give little priority to social inclusion when battling with challenges on water security, food security, government austerity programmes etc.

The exemplary questions in the programme cycle are not easy to address. However, structurally addressing them in the different phases of the programme cycle will ensure that issues are at least taken into account, and looked into at best. Some organisations will be able to address these questions more thoroughly than others: this among other reasons depends on the efforts and investments each organisation is willing to allocate to address social inclusion. It takes time an effort to ensure that the most excluded groups are engaged, and root causes are tackled; that does not show immediate measurable outcomes. Regardless of the final policy choices made in each phase of the programme cycle – structural consideration of these questions will have a positive influence on how social inclusion is addressed in the long term.

2. Forms of exclusion in IWRM

Exclusion in the context of IWRM manifests itself in many ways. Examples can be summarised along the following sub-categories:

- Inequalities or exclusion in water uses:
 - Distribution of water allocation/use between the different sectors (domestic use, agriculture, industries, environmental services etc.)
 - Distribution of water allocation to different groups in a certain sector (e.g. differences in allocation and permits for irrigation between large (commercial) and powerful farmers and those with smaller plots and less power)
 - Distribution of water allocation between users in different geographical areas including upstream and down-stream users, rural and urban etc.
 - Distribution of water allocation during dry seasons and droughts and other extreme conditions
 - Differences in access to permits/ licences caused by conditions such as costs, political power, economic power that makes it harder for certain groups to access the permits
 - Differences in the quality of the water source for different groups of people
- Exclusion in decision-making on WRM-related issues
- Unequal benefits of IWRM interventions
- Different levels of impact of IWRM interventions and projects on certain groups of people.

It is important to highlight that data availability on social inclusion in IWRM is an overall challenge. The information on “exclusion” in IWRM is not systematically monitored nor is it available at an aggregated watershed, water basin, national or global level. This contrasts with the WASH sector that has aggregated data on social exclusion in WASH through the WHO/UNICEF Joint Monitoring Programme for Water Supply, Sanitation and Hygiene (JMP)⁶⁹.

Despite the overall limitations in data availability on how social exclusion manifests itself across the different water uses and its management⁷⁰ some examples are commonly referred to across water resources use regarding the environment, agriculture, industry, and WASH. Some of those examples that underscore the different categories of “exclusion” in IWRM are included in **Table 5**. In the absence of concrete data these provide a conceptual reference to existing broad examples of exclusion, that may appear overwhelming to practitioners that seek a hands-on approach to social inclusion in IWRM.

TABLE 5. EXAMPLES OF DIFFERENT FORMS OF EXCLUSION IN IWRM

<p>Environment</p>	<ul style="list-style-type: none"> Water resources provide goods and services that benefit people and their livelihoods, the destruction or pollution of these resources often hit minorities and marginalised people the hardest (for instance those who suffer from poverty and indigenous communities) since they are the ones who benefit from the “free” common resources such as water, fisheries, food/fire wood.⁷¹ Vulnerable or marginalised people suffer most from climate change, floods and droughts. Different analyses show that floods particularly affect poor rural areas. Also, in many regions, poor people in cities also tend to settle in more flood-prone areas. In addition, poor communities are less able to recover from flood events because of their “precarious material and economic conditions.”⁷² Analysis also shows that smallholder farmers are likely to be particularly vulnerable to the impacts of climate change due to their high dependence on agriculture for their livelihoods and their limited resources and capacity to cope with shocks.⁷³ Benefits from investments – including in flood protection – may also be unequally enjoyed: these may for instance go to powerful riparian sectors that enjoy the greatest amounts of the newly generated added value.⁷⁴
<p>Agriculture</p>	<ul style="list-style-type: none"> Big vs. small farmers: “Small-scale farmers make up the bulk of world’s poorest people and roughly half of the undernourished. There is a demonstrated correlation between reductions in poverty and access to water for irrigation. Research has also shown that the growth of agriculture is the main reason for the decline of poverty in numerous developing countries, and its impact on poverty is greater than that of other sectors of economy.”⁷⁵ “In the agriculture sector, dams and canals can deliver large amounts of vital irrigation water to rich, predominantly male, farmers. At the same time, they block or divert the precious silt that has historically enriched the fertility of floodplains where poorer, mainly women, subsistence farmers earn just enough to live on.”⁷⁶ Participation: The difficulty of getting the diffuse group of small farmers and marginalised people to interact meaningfully with the well-organised lobbies of big agriculture. Their needs are overlooked. Agriculture and gender: “Agriculture has the potential to contribute enormously to improving the situation of women in developing countries. Some 70% of agricultural workers are women, and women’s small-scale agriculture feeds the vast majority of the world’s poorest people. Regrettably, current irrigation and land-management practices strongly favour men. Land tenure, water rights and credit systems are all biased towards males and the institutional framework of irrigation water management means that the small-scale, predominantly women, farmers are at the end of the line.”⁷⁷ Other water uses important to poor or marginalised sections in society may suffer from water allocated for agriculture: “In the Mekong, where fish is the most important source of animal protein, poverty reduction may be threatened by a new wave of dam building.”⁷⁸ Pollution: Often water resources are overused and polluted, especially in irrigated agriculture. “Pollution is a problem that disproportionately affects the poorer segments of society. The better off members of society are covered by drinking water and sanitation facilities, as well as enjoying better conditions in terms of health, nutrition, and other factors that make them less vulnerable to the effects of pollution.”⁸⁰
<p>Industry</p>	<ul style="list-style-type: none"> Pollution/over extraction: poor communities often suffer most from over extraction and pollution of water sources they are depending on. “Pollution is a problem that disproportionately affects the poorer segments of society. The better off members of society are covered by drinking water and sanitation facilities, as well as enjoying better conditions in terms of health, nutrition, and other factors that make them less vulnerable to the effects of pollution.”⁸¹ Unequal share of benefits: Benefits that for instance include financial benefits generated from the use of water for economic purposes are often unequally divided among people and actors. Hydropower may, for example, allow an expansion of electricity in low-income slum areas – or only benefit large economic players. Participation: The difficulty of getting the diffuse group of small communities to interact meaningfully with the well-organised lobbies of industry.
<p>WASH</p>	<ul style="list-style-type: none"> <i>Impact of IWRM on WASH</i> “Above all, properly applied IWRM would lead to the water security of the world’s poor and unserved being assured. The implementation of IWRM-based policies should mean increased security of domestic water supplies, as well as reduced costs of treatment as pollution is tackled more effectively. Participatory IWRM, especially at basin or catchment level, can include and empower previously disadvantaged, poor and voiceless people, and provide opportunities for further development, in the form of jobs, newly acquired skills, etc. Recognising the rights of people, and particularly women and the poor, to a fair share of water resources for both domestic and household-based productive uses, leads inevitably to the need to ensure proper representation of these groups on the bodies that make water resource allocation decisions.” <i>Impact of WASH on IWRM</i> “Social inclusivity and women’s influence in decision-making have been seen as desirable for some time in the water and sanitation sector. However, because of the community-based nature of this sector, the adoption of inclusive approaches has had only local effect and local impact. The basin-wide approaches of IWRM will be able to build on these local successes and extend successful participatory approaches to higher levels of decision-making. Communities will thus be made more aware of the implications of their activities on others and be able to work together on unified plans for catchment protection, water conservation and demand management.” See chapter 3 in the Mapping study on social inclusive WASH programming https://simavi.org/wp-content/uploads/2018/08/Social-inclusion-report-final-spreads.pdf

3. Methodology of the quick-scan

This chapter describes the methodology used for the quick-scan. It explains the process, different activities undertaken and selection of the 'sample organisations', including a brief explanation of the selection criteria, with an overview of the selected organisations and their particular value for this study.

The purpose

As explained in the introduction to this report, the primary goal of this quick-scan is to complement the results of the socially inclusive WASH mapping study with the experiences of the approaches, methods and tools used by a selected number of organisations with a track record in social inclusion and IWRM. The method used in the present quick-scan is less comprehensive and more practical in nature compared to the method used in the WASH mapping study.

IGG aims to use the findings of both studies to strengthen social inclusiveness in the programming and implementation of all their WASH and IWRM related projects. Some of these are being implemented directly by IGG, some by the Dutch Embassies in the so-called Water Partner countries, and some are developed and or implemented by implementing agencies including multi-lateral development banks, UN specialised agencies, international Non-Governmental Organisations (NGO's) and partnerships and consortia of Dutch based NGO's, utility companies and water boards.

This document offers a resource document for all water resources and IWRM professionals involved in the implementation of Ministry of Foreign Affairs funded programmes and those with an interest in translating social inclusion policies and strategies into the implementation of IWRM programmes that effectively contribute to reaching the poorest and most marginalised groups.

The process

One important step in the quick-scan process was to formulate a conceptual framework to supplement the theoretical foundation that was used for the socially inclusive WASH Mapping study, taking into account the particularities of the political and legal context relevant for social inclusion in IWRM. The conceptual framework for social inclusion in IWRM programmes and practices is different to and more complex than the WASH sector framework.

In addition to the practical purpose of the quick-scan, the study aims to clarify what 'social inclusiveness' means in relation to IWRM⁸⁵. Clarification of the concept is considered important as it provides an analytical framework for identification of good practices, useful methods and relevant tools. We also believe that actors in the field will be encouraged and better placed to take 'social inclusiveness' into account in practical ways in once the concept is well understood.

Another important step was the identification of funding and implementing organisations involved in IWRM and with a track record in addressing social inclusion in their programmes and projects. Eight organisations were selected on the basis of criteria informed by the conceptual framework, to map their approaches, methods and tools and to learn from their experiences with inclusive IWRM strategies.

The methodology included the following subsequent activities:

- Web based desk research to identify and consult existing documents relevant for elaborating the conceptual framework on IWRM and social inclusion and to identify relevant organisations with a track record in social inclusion and IWRM.
- Definition of a shortlist of maximum five international organisations⁸⁶ with IWRM programmes (from a predefined longlist), document collection and preparation of semi-structured interviews⁸⁷
- Implementation of semi-structured interviews with selected organisations and documentation of the results
- Analysis of the collected data and the results of the eight case studies
- Desktop-report writing and peer review by renowned and independent expert on social inclusion and IWRM.

Selection procedure of sample organisations

The section outlines the selection-procedure of the 'sample organisations', including a brief explanation of the selection criteria, with an overview of the selected organisations and their particular value for this study. To identify the most relevant organisations for this study, a list of 11 agencies was compiled. This included each organisation's demonstrable experience with and explicitly formulated IWRM programmes. Based on a brief web-based research and consultation with IGG, the consultants narrowed this down to eight organisations that serve as the cases for this study.

Selection of these eight agencies was based on several criteria:

1. They must include implementing agencies;
2. They have explicit programmes/policies focusing on IWRM;
3. They have a demonstrable track record of addressing social inclusion in their strategies;
4. They cover a broad geographical spectrum (i.e. they do not all focus on the same regions);
5. They include both Dutch-based and international organisations.

Organisations that already participated in the mapping study on socially inclusive WASH programming⁸⁸ were, for practical reasons, excluded in this study. A decisive factor in the definition of the shortlist of organisations was the short-term availability of key resource persons in the different organisations for participation in the interviews.

In this study the same grouping of organisations is followed as used in the WASH social inclusion mapping study that identified five categories of organisations: multilateral institutions; development banks; bilateral institutions; international NGOs; and Dutch-based organisations. Care was taken to ensure that both funding as well as implementing agencies are included in the sample.

By 'funding agencies' we mean those multilateral and bilateral institutions and development banks that fund governments and or other agencies to implement programmes on the ground. In contrast to implementing agencies, funding agencies are not expected to have hands-on experience in the field in which they would be required to follow programme activity plans and to deal with the practical application of social inclusion.

Rather, in terms of a social inclusion framework, funding agencies are more likely to have formulated a set of broader criteria for programme proposals and evaluations.

'Implementing agencies' are organisations that put IWRM programmes in practice on the ground. They are usually responsible for the formulation of detailed programme and project strategies and activity plans.

Where funding agencies can formulate a framework of criteria for social inclusive approaches, implementing agencies need to operationalise such criteria.

However, in practice the distinction between funding and implementing agencies is not always as clear-cut: implementing agencies in practice can be funders and vice versa. Therefore, in the mapping the core work of the selected organisations takes centre stage and determines the dominant focus of the mapping exercise when studying their strategies and activities. This is important as the different approaches and levels of interaction of funding and implementing organisations can result in different research outcomes both in the desk research and in the interviews with representatives of the selected organisations. It is important to highlight that the core business of many of the organisations taking part, such as Both Ends, IWMI and SIWI, consists in providing advisory services to programme and projects developed and implemented by others.

TABLE 6 A. LIST OF PRE-SELECTED ORGANISATIONS FOR PARTICIPATION IN THE QUICK-SCAN

Type of organisation	Pre-selected organisation
UN	FAO
Development bank	ADB ⁸⁹
Bi-lateral institution	GIZ
Int NGO	CARE, CRS, IUCN or CI
Dutch based NGO	Both ENDS
Research and knowledge organisations/ institutions	IWMI, IHE, SIWI
IWRM networks (for web based research only)	GWP and GWA

Overview of organisations

Below is an overview of the seven organisations featured in this study.

TABLE 6 B. ORGANISATIONS TAKING PART IN THE QUICK-SCAN

Bilateral donors
<p>The German Corporation for International Development Cooperation (GIZ) is a German development agency that provides services in the field of international development cooperation. GIZ mainly implements technical cooperation projects of the Federal Ministry for Economic Cooperation and Development (BMZ), works with the private sector and other national and supranational government organisations (but usually not with NGOs) on a public benefit basis. In its activities GIZ seeks to follow the paradigm of sustainable development, which aims at balancing economic development with social inclusion and environmental protection.⁹⁰ GIZ offers consulting and capacity building services in a wide range of areas, including rural development, sustainable infrastructure, security, social development, governance and democracy, environment and climate change, economic development and employment and governance and democracy. https://www.giz.de/en/html/index.html</p>
Specialised UN organisations
<p>The Food and Agriculture Organization (FAO) is specialized agency of the UN that leads international efforts to defeat hunger. With over 194 member states, FAO works in over 130 countries worldwide. FAO'S framework established the policy and domains of interventions in the following three mutually supportive areas: 1. Addressing the linkages, boundary conditions and interfaces between agriculture, water and related key sectors and elements such as food, land, energy, natural resources, societal goals, and major drivers of change. 2. Moving the scale of intervention from management to the governance of water in agriculture, and pointing to the underlying issues that management approaches alone cannot solve. 3. Addressing governance issues of access, rights and tenure from the perspective of sustainability, inclusiveness and efficiency. http://www.fao.org/land-water/water/watergovernance/en/</p>
International NGO
<p>Conservation International (CI) focuses on a wide range of topics related to ecosystems, biodiversity and human well-being, all around the world. This includes the main topics; Climate, Food, Forests, Fresh Water, Global Stability, Livelihoods, and Oceans. The methods taken by the organisation include; Field Projects, Funding Conservation, Innovating with Business, Partnering with Communities, Respecting Human Rights, Science + Innovation, Working with Governments. CI recognises that water, poverty and environment are interconnected, and that the long-term sustainability of WASH services depends on the health of the entire basin. https://www.conservation.org/Pages/default.aspx</p>
Dutch-based International NGO
<p>Both ENDS is a non-profit organisation that promotes alternatives that contribute to fair and sustainable use and management of land and water, to local solutions for climate adaptation, and to participation for all, including women. Main themes include: climate justice, human rights and gender, land and water governance, public finance for development, and trade and investment. https://www.bothends.org/en/</p>
Research and knowledge institutes
<p>The International Water Management Institute (IWMI) is a non-profit research organisation with headquarters in Colombo, Sri Lanka, and offices across Africa and Asia. Research at the Institute focuses on improving how water and land resources are managed, with the aim of underpinning food security and reducing poverty while safeguarding vital environmental processes. IWMI's mission is to provide evidence-based solutions to sustainably manage water and land resources for food security, people's livelihoods and the environment. IWMI works in partnership with governments, civil society and the private sector to develop scalable agricultural water management solutions that have a tangible impact on poverty reduction, food security and ecosystem health. http://www.iwmi.cgiar.org/</p>
<p>Stockholm International Water Institute (SIWI) is a Swedish, independent, not-for-profit foundation, which seeks to strengthen the governance of fresh water globally, regionally, nationally, and locally. It leverages knowledge and convenes power to strengthen water governance for a just, prosperous, and sustainable future. SIWI intends to influence decision-makers, directly and indirectly, by combining convening power with expertise in water governance, and by building dialogue, improving policies, and changing water governance practice. Each programme or initiative hosted by SIWI has its own focus, mandate and strategic partners. SIWI offers a variety of services, including: scientific research, policy advice, training or capacity building, advocacy support, and business services. http://www.siwi.org/about/</p>
<p>IHE Delft Institute for Water Education is the largest international graduate water education facility in the world and is based in Delft, the Netherlands. The Institute confers fully accredited MSc degrees, and PhD degrees in collaboration with partner universities. IHE Delft carries out educational, research and institutional strengthening activities that complement and reinforce each other in the broad fields of water engineering, water management, environment, sanitation, and governance. https://www.un-ihe.org/about-ihe-delft</p>

The purpose of the mapping in this study is to identify good practices addressing social inclusion in IWRM programmes and projects and to draw inspiration and lessons from these practices.

Data collection

To identify good practices and draw lessons from organisations' experiences, each of the selected organisations are examined in two phases: 1) An initial document analysis, in which available documents related to social inclusion and IWRM are analysed; 2) An interview, during which a IWRM and/or social inclusion expert from the selected organisation is questioned about their experiences and recommendations in relation to social inclusion in IWRM. Both the desk research and the interview questions are informed by the conceptual framework and further supplemented on the basis of a number of existing tools and policy guidelines.

Document analysis

Policy documents are gathered in a web-based search and/or provided by contact persons from the selected organisations. These documents, outlining the organisations' IWRM strategies and programme, as well as their social inclusion strategies, are analysed using the key questions in the operational framework that focus on key aspects of social inclusion in the different stages of programme development. The document analysis serves to: 1) identify how organisations define social exclusion in relation to IWRM; 2) learn what strategies organisations have formulated to address social exclusion; and 3) determine whether and how organisations' strategies are taking form in practice.

Interviews

Where the document analysis serves to provide a general overview of organisations' understanding of and approaches to social inclusion in WASH programmes, interviews with resource persons from the selected organisations are carried out to add more detail to this knowledge. Interview questions have been formulated to provide a general structure to the interviews. These questions address the following three core elements: 1. the organisation's general strategy, and the IWRM and social inclusion-specific strategies; 2. The experiences and methods used in each of the different phases of the programme planning, implementation and monitoring cycle; and 3. general reflections on the main challenges, opportunities and organisational learning on social inclusion in IWRM.

Annex 4 provides an overview of the guiding questions used for the interview. Not all questions are applicable to all organisations.

4. Approaches, methods and activities for socially inclusive IWRM programming

This chapter maps the socially inclusive IWRM approaches, methods and activities shared by the experts in seven organisations that participated in the quick-scan. All organisations shared their experiences and strategies in addressing social exclusion in their IWRM programmes and projects.

It is important to note that the seven organisations included in the quick-scan are at different stages of adopting a social inclusion perspective within their organisational strategy. Before describing the socially inclusive approaches adopted by the organisations taking part, it is relevant to point out the diversity of themes, geographical focus and areas of interest that these organisations are working on in their IWRM interventions. So, it is important to recognise that these approaches cannot be compared, but rather showcase a variety of different approaches towards social inclusion in IWRM.

The presentation of these findings in the subsequent subchapters is organised – similar to the WASH mapping study on social inclusion – along the lines of the programme cycle. It includes a presentation of approaches to analysis and decision-making structures of barriers to socially inclusive IWRM interventions. The section on analysis is followed by a description of the planning and programme development stages of organisations, which provide the frameworks for implementation and monitoring and evaluation. Descriptive text boxes are provided throughout to offer more details on inspiring methods and tools used by organisations to develop, implement or monitor their socially inclusive IWRM programmes. For more information on such tools and instruments, please refer to **Annex 1** for an extensive overview of tools and instruments in use by the mapped organisations.

4.1 STRATEGIES, THEMES AND LEVELS OF INTERVENTION

Social inclusion strategies

It is important to recognise that most participating organisations follow multi-annual plans or policies that have pre-determined overarching thematic interests and/or goals in IWRM. These strategies guide the analysis taking place at programme or country level and determine to a certain degree the relevant thematic points of entry per context. The pre-determined strategies of organisations also influence the available resources, capacities and opportunities that they can or are willing to act on. For instance, organisations focusing on environmental conservation and livelihoods choose other priorities with regard to social inclusion than those working on water for agriculture and (small-scale) irrigation.

Few organisations have a dedicated organisational policy on social inclusion. Rather, social inclusion is addressed in the context of ‘good governance’, ‘pro-poor’ and human rights-based approaches (HRBA). Some of the organisations participating in the quick-scan (Both ENDS, CI and IWMI) refer to their gender policy or strategy as one of the organisational strategies relevant to social inclusion. However, in those policies often only women are mentioned and identified as an excluded group.

The quick-scan study finds that CI, FAO and SIWI have developed a fairly comprehensive framework for social inclusion at organisational level. For example, SIWI’s organisational framework includes a set of core values, a code of conduct and a non-discrimination policy that together provide relevant guidance for social inclusion in their programmes and projects. IWMI is in the process of realigning their organisational strategy to include a stronger social inclusion focus. FAO’s work on social inclusion is part of one of their five strategic programmes focusing on rural poverty. These specifically support countries with the development and implementation of evidence-based pro-poor policies, strategies and programmes that promote inclusive sustainable growth, income diversification, decent employment, access to social protection and empowerment of women and men in agriculture and in rural areas. In addition, FAO’s policy framework includes specific policies on gender and indigenous peoples. FAO is currently developing an organisational poverty framework.

FAO also has the Social Policies and Rural Institutions Division (ESP) that coordinates FAO’s work on various social dimensions including on rural institutions, services, gender equality, and the right to food.

<http://www.fao.org/economic/social-policies-rural-institutions/en/>

The quick-scan study also finds that in IWRM, social inclusion is mostly addressed at programme or project level, sometimes supported by a set of tools on social inclusion.

BOX 4.

**Human-rights based approach to IWRM: Training manual and facilitator’s guide
By SIWI, Cap-Net, Water Governance Facility, WaterLex, UNDP and Redica**

This manual introduces human rights and IWRM, progressively integrating them into a single approach that has been dubbed a ‘human rights-based approach (HRBA) to IWRM’. It explains that whichever lens one prefers to see them through, human rights, development and governance are interlinked and mutually reinforcing. Furthermore; their core principles overlap, and all of them are essential to understanding and implementing social inclusion in IWRM.

The final chapter of the manual contains tools that will increase participant inclusion, promote knowledge dissemination and provide useful experiences that will enable both the individuals undergoing training and the workshop facilitators to fulfil the proposed objectives.

The training manual and facilitator’s guide is available here:

<http://www.siwi.org/human-rights-based-approach-iwrm-training-manual-facilitators-guide/>

TABLE 7. OVERVIEW OF ORGANISATION POLICIES AND STRATEGIES RELEVANT FOR SOCIAL INCLUSION

Organisations	Organisational strategies relevant for social inclusion	Social inclusion in IWRM strategies
Both ENDS	<ul style="list-style-type: none"> Gender strategy Human Rights and Gender is one of the organisation’s five main themes 	<ul style="list-style-type: none"> Strategies for social inclusion are developed at project level
Conservation International	<ul style="list-style-type: none"> Organisational set of policies and practices on the Rights based approach to Conservation. Gender policy Policy in indigenous groups 	<ul style="list-style-type: none"> Availability of tools that guides the HRBA approach in IWRM
FAO	<ul style="list-style-type: none"> Strategic Program 3 on Rural Poverty http://www.fao.org/docrep/017/i3205e/i3205e.pdf Indigenous Policy http://www.fao.org/publications/card/en/c/2ead5dd4-4fa1-46ef-9a3e-d6296fe39de9/ Voluntary guidelines in tenure http://www.fao.org/docrep/016/i2801e/i2801e.pdf Principles for Responsible Investment http://www.fao.org/3/a-au866e.pdf 	<ul style="list-style-type: none"> Not specifically for water resources management/IWRM. But water is integrated in the FAO key priority areas and organisational policies provide also guidance for social inclusion in water resources management/IWRM water programmes.
GIZ	<ul style="list-style-type: none"> The BMZ policy based on the ‘leaving no one behind’ principle GIZ orientation on human rights and the GIZ gender strategy 	<ul style="list-style-type: none"> BMZ’s strategy on the implementation of the SDGs in the water sector provide some guidance on LNOB in Water Resources Management GIZ has prepared a water sector strategy that addresses social inclusion in an abstract manner, solely based on the SDGs ‘leaving no one behind’ principle
IWMI	<ul style="list-style-type: none"> The gender and governance group’s work cross-cuts with all strategic programmes. The IWMI’s core values (integrity, equality, dignity excellence and collaboration) included in IWMI’s Strategic Plan 	<ul style="list-style-type: none"> strategies for social inclusion are developed at project level

TABLE 7. OVERVIEW OF ORGANISATION POLICIES AND STRATEGIES RELEVANT FOR SOCIAL INCLUSION

Organisations	Organisational strategies relevant for social inclusion	Social inclusion in IWRM strategies
SIWI	<ul style="list-style-type: none"> The organisational strategy has 4 core values: <ul style="list-style-type: none"> Inclusiveness and participation; Human Rights Based Approach; Gender equality; and Youth empowerment SIWI has a code of conduct and non-discrimination policy 	<ul style="list-style-type: none"> Toolbox for HRBA to IWRM
IHE	<ul style="list-style-type: none"> IHE has a department Integrated Water Systems & Governance, that contributes to understanding integrated water systems and how they contribute to social and environmental justice 	<ul style="list-style-type: none"> Research activities focus on inter alia Water Management & Governance, and ‘social inclusion’ is regarded as part of ‘good governance’ that is addressed in research and lecture activities.

Description of the “excluded” in the strategies

Few organisations define the “excluded” at organisational level; the organisations who participated in the quick-scan state that this is mostly done at project level. Commonly, organisational policies and strategies mention the attention to “the poor”, “marginalised” or “vulnerable groups” in general terms without specifying who those are or how they can be identified. Nevertheless, some of the organisations do identify certain “focus” groups that require specific emphasis in the implementation of their policies or strategies.

TABLE 8. DEFINITION OF THE EXCLUDED BY THE PARTICIPATING ORGANISATIONS

Organisation	Who are considered the most excluded?
Both ENDS	Focus on “Gender” and “indigenous communities”. Those groups that are most likely to be impacted by IWRM interventions and that are not likely to have the capacities/power/voice to claim their participation in decision-making are assessed and identified on a case by case bases.
Conservation International	The policy calls out the following groups: “located in remote areas”; “indigenous and local communities”; “children and youth”; and “broader category of other marginalized groups” (depending on where they work and the dynamics present.)
FAO	Rural poor and extreme poor: family farmers, subsistence producers, rural women and member of female-headed households, landless agricultural workers. They include fisherfolk, pastoralists, and forest-dependent peoples with limited access to productive means. Women and indigenous and tribal people.
GIZ	Based generally on leaving no one behind principle generally including gender, disability, age, ‘background’ and income. In practical terms there is no specification.
IWMI	This is defined at project level. In the past IWMI particularly focused on gender and poverty, and now they consider some other grounds, like disability and age. There is however no guideline that regulates this and defining these groups is context-specific.
SIWI	Women and youth (15-35 years), and indigenous groups.
IHE Delft	IHE does not call out any specific groups, but in identifying ‘who’ is excluded, IHE bases itself on the following explanation: “Decisions about water distributions occur in complex socio-political environments in which numerous social actors strategize with varying degrees of influence and certainty. These actors do not only have widely differing perspectives and interests, but are also drawing on different resources, norms and legal repertoires to articulate, frame, and defend their positions. The analysis used underscores that powers of water control are the product of complex negotiations that only partly occur in formally designated water governance domains.”

Interestingly, the information in **Table 8** shows that none of the organisations specify groups that are left out, such as water users affected by upstream versus downstream problems, water users affected by groundwater overdraft, and tail-enders on bulk water supply systems at organisational level. However, the organisations state that specification of the in the table mentioned groups happens at project level. Probably also IHE’s approach that doesn’t include predefined categories of the most vulnerable groups prone to be left out, has the potential to locally identify those that are left out of the use and benefits of water resources management.

Target-setting

Targets for reaching the excluded or for addressing social inclusion are seldom set at the organisational level by institutions working in IWRM. An exception is FAO that in its organisational result framework http://www.fao.org/fileadmin/user_upload/bodies/Progr_Comm/PC_125-documents/MX374-WA1e.pdf establishes clear measurable targets and corresponding indicators for each of the seven strategic objectives of the organisational strategic framework (2010-2019). Those targets include some specific ones on WRM: “by 2030 substantially increase water-use efficiency and reduce the number of people suffering from water scarcity (6.4)”, and various specific targets on reducing inequalities such as the targets on reducing extreme poverty: “By 2030, eradicate extreme poverty for all people (1.1), and by 2030, reduce at least by half the proportion of men, women and children in poverty (1.2). By 2030, ensure equal rights for all (1.4), and “-By 2030, double the agricultural productivity and incomes of small-scale food producers (2.3)”.

However, most of the organisations taking part in the study state that they establish targets related to concrete project goals and establish indicators of success at the individual project level. CI highlights their ambition to improve and learning on rolling-up the project goals to organisational targets for reaching the “excluded”. By re-evaluating their current metric, their team is trying to find out who they are targeting and those they are reaching who are otherwise excluded. CI underlines a tension they experience between their original organisational goals of biodiversity/ conservation and the target to address and advance people’s rights and human needs. It is traditionally not an organisation that specifically focuses on enhancing specific groups (like a child-welfare organisation or similar) and considers that this tension sometimes prevents them from focusing exclusively on outcomes for human well-being.

Both ENDS underlines the challenges in setting targets for policy and advocacy influencing activities. Both ENDS’s target on the number and amount of small grant funds awarded and used is interesting to note (See **Box 2**). The ‘small grant funds’ is used as a proxy indicator since the small grant funds usually reach local groups and organisations more easily than the bigger grants and in this way they contribute effectively to making visible people that otherwise remain invisible.

BOX 5. SMALL GRANTS FUNDS

Both ENDS is the co-founder of a number of small grants funds and works closely with funds that focus on environmental and human rights defenders. The organisation has experienced that small grants funds are a powerful alternative financing mechanisms for sustainable development at the grass root level, and for citizen’s initiatives in areas that are getting increasingly less conventional funding as their circumstances become more dangerous and insecure.

This is how it works: “Small grants funds channel big money from large donors and funds to local groups and organisations. The dozens of existing, locally set up small grants funds can form the link between large donors and these grassroots organisations. These national or regional funds raise funds with large donors and pass it on in smaller amounts to local organisations and groups. Small grants funds thus make sure that ‘big money’ ends up with those who know best what is really needed on a local level”.⁹²

Source: <https://www.bothends.org/en/Our-work/Dossiers/Small-Grants-Big-Impacts>

IHE Delft underlines that for setting targets on social inclusion, it is important to in addition to evaluating the ‘goodness’ of water governance in terms of process (integrity, accountability, transparency), to also evaluate it in terms of distributional outcomes.

Availability of data

All participating organisations mention the challenges with the availability on data on social exclusion in the water resources sector. At the global level the principle of ‘leaving no one behind’ is hard to establish with limited data available, and with no globally agreed indicators developed to measure social exclusion in the WRM sector. In the WASH sector, instruments like the Joint Monitoring Programme and the GLAAS report collect and monitor data that provide insights on equality and exclusion in the WASH sector globally, regionally and at country level. Such instruments are not yet in place for IWRM. The social inclusion expert in FAO refers to relevant data for: social inclusion and food insecurity; land rights and access to land <http://www.fao.org/gender-landrights-database/data-map/statistics/en/> and to AQUASTATS <http://www.fao.org/nr/water/aquastat/gender/index.stm> for data on gender and access to irrigation, and water scarcity maps.

BOX 6. AQUASTATS DATA

The AQUASTAT ‘water and gender’ page has different sections that also can be accessed from the horizontal menu above:

- The **Case Study** section provides the results of the AQUASTAT case study conducted in Algeria, Tunisia and Morocco on the role of women in agricultural water management.
- The **Census** section displays agricultural census reports and explains how the census data could be used for sex-disaggregated data in water statistics.
- The **National data** section displays the result of gender-disaggregation of national-level data in a number of European countries.
- The **Terminology** section assembles a variety of terms relative to gender and water that are in AQUASTAT’s Glossary.
- The **Documents** section presents a selection of documents, case studies, policies, guidelines and tools that are all in some way significant for gender issues in agricultural water management and data.

These pages intend to gather a range of information relevant to gender and agricultural water and data.

Availability of information on access to water resources, ownership rights and the financial/labour or livelihood implications are available in the national regulator and or user associations, however the organisations taking part find that these data are seldom disaggregated for specific groups relevant for social inclusion. This kind of information exists sometimes at project level, but its availability at a broader level is scattered and unreliable.

To overcome the data gap, most organisations mention producing their own analysis based on the data they collect or receive from other institutions such as UNDP, or by undertaking their own data collection activities. Data collection is often undertaken at the local level in the project area. Research projects and the involvement of local partners are instruments used for data collection and assessment of the situation in a specific area. SIWI stresses that the organisations’ long-standing experience in certain regions and/or countries facilitates their insights into the situation and enables reflection on their own data. IHE Delft indicated that data is available at the local level.

Limited data availability is a continuing problem but, according to the interviewed resource persons in some of the participating organisations (e.g by Both ENDS and SIWI), cannot be used as an excuse to not find other ways to identify and tackle the problems. According to those organisations, data itself is not always the problem so strengthening the data availability alone will not necessarily lead to success. A step by step process, being agile enough to adapt, and using core values and approaches as the foundation of a project, have more potential for furthering social inclusion.

The following quotes reflect the different ways the organisations are tackling the data gap at project level.

“We collect our own data, and are often involved in the same region/country for years – which gives us good insights of the situation and enables us to reflect on our own data. Outcome mapping to monitor social inclusion is a way to get around the lack of baseline data, it established a way for more qualitative monitoring, rather than quantitative information[...].” (SIWI)

“Data is often not available. Therefore we often initiate a study to collect data. This way we can show the exclusion or negative impact of determined IWRM interventions within a certain area/problem.” An example of data collection to a project includes the exclusion of groups in the Jakarta Bay – see for more information:

Chapter 2 of the Social Justice at Bay - The Dutch role in Jakarta’s coastal defence and land reclamation, April 2017, available at: https://www.bothends.org/uploaded_files/document/ILR_Social_justice_at_bay_A4.pdf (Both ENDS)

“We look per area on a case to case basis what the vulnerable and excluded groups are that we need to focus on. In South Africa we worked with the government to do a vulnerability assessment to understand climate change and better understand the actors involved. From there we looked at it through a gender lens, to see who is currently not looked at – to see how we incorporate this into the project, and strategies.” (Conservation International)

It was also mentioned that key stakeholders are often reluctant to share the available data on social exclusion because of the potential (political) sensitivities it may raise.

4.2 ANALYSIS AND PROGRAMME/PROJECT DEVELOPMENT DECISION-MAKING

Organisations carry out context specific (pre-assessments) to determine the thematic priorities and approaches for their respective programmes or projects. Final decisions on target areas, populations and activities are informed by the results of the contextual analysis and guided by the organisational strategies, taking into account the available resources.

After the initial selection of an area and WRM project, a more focused analysis or assessment is needed to gain an overview of the stakeholders involved, including their different needs and priorities. Questions that drive such analyses include: What type of groups are present in this area? Who are the poorest people? Are there specific ethnic groups that are marginalised? Organisations may then establish which groups to target within their IWRM programme and social inclusiveness strategy, and the kinds of issues that should be addressed to overcome existing exclusion.

Use of methods and tools in the assessment phase

Most organisations develop, promote and use similar methods and tools for assessing the context and for identifying the (potentially) “excluded” in the planned project area. Only a few organisations say they apply a standardised method or set of tools in the (pre-) assessment phase of all projects. GIZ for instance applies the ‘two-step safeguard procedure’, which also addresses questions of inclusion:

1. For the first step GIZ assesses what data are currently available on exclusion and identifies the main problems that lead to exclusion.
2. As a second step GIZ makes a more detailed assessment. Special experts with the required knowledge are hired to do this.

GIZ further explains that when national data is available it is used as a first source of information to identify existing challenges. In practice however, more specific information is not easy to get. The information they manage to get comes from government organisations and NGO’s/civil society during detailed assessments on the ground.

Both ENDS, CI and FAO also mention livelihoods and livelihood assessments as an entry point for assessing the local context. This helps them identify different facets of poverty and marginalisation and identify the most vulnerable and potentially excluded groups as well as the root causes to discrimination and exclusion.

SIWI teams draw on the HRBA toolbox (See Table 9) and the guidance note on cultural approaches to comprehend the project area and the potential situations of exclusion. CI explains that right now they do not have a standardised method for the analysis phase that must be implemented at every level as they do not have a clear overview of the effectiveness of the various analysis tools. However, they identify this as an area in progress. IHE Delft state that they assess social exclusion solely through the lens of ‘water governance’; they believe that water governance at heart is about political choices as to where water should flow, among other

issues. They identify distributions – of water, voice and authority, and expertise – as the empirical anchor and entry-point of their conceptualisation of water governance. This usefully allows foregrounding questions of equity in water governance discussions. Equitable water governance is not limited to a single discipline or academic domain, but rather requires a deeply interdisciplinary approach.

In terms of analysis, different tools and instruments are being used by the seven organisations to conduct an analysis of barriers to socially inclusive IWRM. Most of these concern the adaption of existing tools, including the stakeholder analysis or stakeholder engagement assessment tools. Other existing tools such as conflict analysis, socio-economic or gender analysis tools are also mentioned as being powerful and effective. Gender assessment tools do not so much analyse who is excluded, but identify who does what, and why. These questions highlight realities that otherwise might be missed. Stakeholder analysis tools are used to define the relevant stakeholders and the extent they are potentially impacted by the project interventions: these can be economic impacts for instance. Potentially affected groups of people are brought to the negotiation table to assess the potential impact. Additional research is sometimes needed to define the baseline and fully understand the underlying factors for exclusion and the opportunities to address them in a structured manner.

Some organisations including FAO apply a standardised framework for project examination that includes risk assessment and environmental and social safeguards screening including specific safeguards on gender and for indigenous populations.

The FAO project cycle guide <http://www.fao.org/docrep/016/ap105e/ap105e.pdf> is underpinned by three important normative principles that are relevant for social inclusion: HRBA; Right to Food/Decent Work; Gender equality; and Environmental sustainability. The guide establishes in appraisal format explicit criteria that include: the extent the project contributes to achieving human rights; whether a stakeholder analysis has taken into account the most vulnerable people including people living with HIV/AIDS; and whether a gender-sensitive stakeholder analysis has been carried out, addressing relative roles of men and women, indigenous people, institutional dimensions.

TABLE 9. TOOLS USED TO IDENTIFY THE POTENTIALLY “EXCLUDED” IN THE ANALYSIS AND PROGRAMME DEVELOPMENT DECISION-MAKING PHASE OF IWRM PROGRAMMES⁹³

Organisations	Tools
Both ENDS	Gender assessment guideline The organisation also developed trainings using the guideline developed by Oxfam: Balancing the scales: using gender impact assessment in hydropower development (Oxfam Australia 2013) Oxfam Australia, Challenge Program on Water and Food. 2013. Balancing the Scales: Using Gender Impact Assessment in Hydropower Development: https://cgspace.cgjar.org/handle/10568/34805
Conservation International	Gender analysis tools https://sites.google.com/a/conservation.org/rights-based-approach/tools-and-guidelines/ gender-integration Stakeholder mapping and conflict assessment tools https://sites.google.com/a/conservation.org/peace/home/training
FAO	FAO guide to the project cycle http://www.fao.org/docrep/016/ap105e/ap105e.pdf SEAGA guidelines in Irrigation https://gender-gap.net/content/seaga-irrigation-sector-guide Gender Passport http://www.fao.org/docrep/017/i3173e/i3173e.pdf Water and the Rural Poor – livelihood mapping approach to target the rural poor. Participatory and Negotiated Territorial Approach http://www.fao.org/land-water/land/land-governance/land-resources-planning-toolbox/category/details/en/c/1043145/ Specific tools to target rural poor - Livelihood approach http://www.fao.org/in-action/water-for-poverty-in-africa/en/
GIZ	Stakeholder mapping Two-step safeguard procedure
IWMI	Gender data tools for basin level – developed in a project (including Indus Basin Gender Profile Mapper, Gender Performance Indicator and Gender in irrigation tool)
SIWI	HRBA toolbox Guidance tool on cultural approaches.
IHE Delft	Equitable water governance is seen as an entry point in questions around social inclusion.

Most organisations say they use tailor made methods, depending on the local context and particular conditions

such as the existing capacity and interest in the project team, or the experiences of the particular consultant tasked to conduct the assessment. IWMI mentions that they have social scientists amongst their research staff with a background in gender or exclusion and these researchers have the tools and skills to identify groups of people and causes for exclusion. The resource person in GIZ underlines the availability of various methods and tools for assessing the national and local context and for stakeholder mapping. But he states that which method is chosen and applied often depends on the consultant that leads the project planning mission.

In addition, several organisations including Both ENDS, CI and SIWI highlight the importance of involving local partners, including local NGO's or interest groups, and their reliance on them for knowledge on the local context, their insights into the prevailing dynamics and power relations, and their capacity to identify the most vulnerable and excluded groups.

Organisations also mention that excluded groups may become part of their programmes “by chance”: Often it is the groups themselves that speak up and seek assistance through the organisation. Alternatively, certain excluded groups are known by local partners and this way the organisation becomes aware of their existence and target them through their programmes. More rarely, an organisation actively identifies the full range of stakeholders present in a certain basin or watershed, including their reasons for exclusion.

Both ENDS for example explains that due to a limited mandate, it is difficult to ensure within a certain project that the groups they work with capture the voices and needs of other excluded groups in the region: *“The work Both ENDS does concerns an in depth project/research within a certain community or interest group. The dilemma is sometimes whether that group is exemplary for the concerns at stake in this larger delta/basin. Representing a certain group with certain interests does not always also translates the interests of other stakeholders that are not considered within our program.”*

The resource person in GIZ identifies two ways that exclusion manifests itself in practice:

1. Groups that have less access to water (often because of ethnicity, social standing, gender)
2. Groups that are less able to participate, organise, represent themselves and have their voices heard in participatory formats such as water user groups, water forums etc. because of a lack of capacity and trust.

He also points to the difficulty of accessing the data on social exclusion in IWRM and the additional efforts needed to collect them.

BOX 7. GIZ experience

“Poorer and smaller farmers often have more difficulties in obtaining water licenses as opposed to the more powerful actors. Often the data we can receive on social inclusion in access to water is a list provided by the basin organisation on actors who have obtained the water permits. In order to then really identify who is excluded you have to go beyond this data. The forms that exclusion takes is for example shown in the access to, or use of water by groups which are the less powerful sitting at the end of the irrigation channel and who are unable to participate and have their needs and voices heard. It is those people that find it particularly difficult, or are afraid to speak up, as they do not have the same capacity as stronger groups, and are not similarly well organised as stronger actors”.

Availability and access to information in the project area

As highlighted in chapter 5.1, the organisations experience the lack of availability or access to disaggregated data on grounds of exclusion a real challenge. To overcome this data gap, organisations conduct their own studies, such as the base line studies mentioned by CI and research carried out by IWMI. CI use conflict analysis tools to understand who the most vulnerable are in the selected project area. GIZ for instance collects its own data on water users reached, but this is usually limited to data on gender and not on further potential parameters of exclusion.

As mentioned, some resource persons like those for Both ENDS and SIWI argued that the lack of appropriate data

on social inclusion can never be an excuse for not tackling the problem and failing to address social inclusion in all phases of the project cycle. See above for examples on how organisations go about data collection for programme or project design.

Unlike experiences in the WASH sector, we have not found statistical methods to measure rates of inequality in a population regarding water resources. Information is usually collected at the local or project level by using questionnaires, surveys and focus group discussions. Such data collection methods are useful as long as the groups are identified and 'counted'. According to the interviews, no one is aware of data on inequality in IWRM being collected and or aggregated on a larger scale.

4.3 PLANNING AND DESIGN

Target setting for social inclusion

Few organisations taking part in the study set specific objectives or concrete targets for addressing social inclusion in the design of their respective IWRM programmes or projects. SIWI, IWMI and Both ENDS flag the nature of their work that mainly consists in providing support and technical assistance in the implementation of existing projects, designed and implemented by others. In this context SIWI mentions that the specific objectives of their interventions are very much context specific, depending on the ongoing process and the opportunities for the SIWI team to influence the process. *"Sometimes in challenging contexts you have to wait and see when you see an opportunity to influence targets". (SIWI)*

Notwithstanding the limited role of some of the participating organisations in target setting for the overall programme or project they are involved in, they mention setting objectives for their own interventions in support of existing programmes and projects. For example Both ENDS stresses that most of their interventions aim to overcome the exclusion gap by bringing the affected or excluded groups to the table and by giving them a voice. Both ENDS and CI both mention that safeguarding and improving livelihoods are often central to their project interventions.

IWMI mentions that in studies that focus on donors or water users associations, targets are used to secure diverse stakeholder participation in the programme or projects concerned. And SIWI states that targets for gender representation in project implementation are often used. For instance a current programme on female leaders' training includes targets for how many women they want to reach.

BOX 8. THE 'GOLD STANDARD' USED BY SIWI

SIWI's gold standard for the Stockholm World Water Week:

"Women and youth play critical roles in all aspects of water governance, yet too often their voices are missing from the water dialogue. At World Water Week, we want to give more young people and women the opportunity to have their voices heard."

"SIWI's ambition for World Water Week is to create a conference that has equal professional representation. That's why in 2016 we introduced the 'Gold Standard' to promote more balanced representation in all World Water Week sessions."

Source: <http://www.worldwaterweek.org/raising-female-and-youth-voices-at-world-water-week/>

The resource person in GIZ acknowledges that few IWRM projects include social inclusion targets and indicators.

The FAO Results Framework provides guidance for target setting at programme and project level.

Overcoming the “gap” and addressing root causes of social exclusion

All interviewed organisations recognise the importance of identifying root causes to exclusion, and each applies different approaches to address them.

FAO's Livelihood approach <http://www.fao.org/in-action/water-for-poverty-in-africa/en/> provides a set of specific tools to target rural poor.

BOX 9. FAO SOCIAL PROTECTION FRAMEWORK

Social protection is employed as a critical strategy for poverty reduction and inclusive growth.

For FAO, social protection is a set of interventions whose objective is to reduce social and economic risk and vulnerability, and to alleviate extreme poverty and deprivation. “Evidence coming from country-level impact evaluations shows that social protection, when integrated in broader rural development strategies, can generate a broad range of impacts: boosting economic growth; enhancing the productivity of families; achieving food security and nutrition, and building the resilience of poor rural families.” <http://www.fao.org/social-protection/en/>

Almost all organisations also state that doing this is particularly challenging. Both ENDS for example explains that the organisation always considers root causes to exclusion by addressing the enabling environment in terms of its work on policy and advocacy and participation of stakeholders. At the same time, this work is not always straightforward and many obstacles may be in the way.

“The work is often not straight forward though, even to tackle root causes you need a strategic entry point. Looking at for example Indonesia – Jakarta bay project – on the one hand the Netherlands wants to export water expertise. But at local level there is also an agenda – including big economic goals. There is little conversation between different stakeholders. We try to work on structural issues by seeing where the best opportunities for these are. Looking for entry points to tackle root causes”. (Both ENDS)

BOX 10. IWMI: SETTING AND ACHIEVING WATER RELATED SDGS – SOCIAL INCLUSION⁹⁴

Practical solutions to address root causes: “structural constraints”

- Challenge economic and political systems that exclude or restrict women and poor farmers from fair and affordable access to water, both as a resource and as an infrastructure service, through better understanding and data on how the systems work. At the same time, ensure that reforms do not marginalize them further.
- Create incentives for civil servants in water planning so they actively include and address gender and inclusivity issues.
- Increase awareness and understanding of institutional and legal aspects to rights to water.
- Experiment in the collective management of land and water resources, where women and poor farmers can work together to achieve economies of scale.
- Involve women at a higher level within water bureaucracies and water management committees, beyond solely being members.
- Ensure that training and resources underpin any social inclusion measures—the decision-making and management ability of women and the poor depends on their ability to assert themselves in often unfamiliar roles and settings.

CI highlights their experience in South Africa where they started to integrate WASH more intentionally into their programming and in how they were conceiving the watershed. They co-created guidelines http://www.abcg.org/action/document/show?document_id=533 and a monitoring and evaluation framework http://www.abcg.org/action/document/show?document_id=638 with partners in the Africa Biodiversity Collaborative Group (See **Box 9**). This includes assessments, information gathering, design of projects, messaging and communication, as well as monitoring and evaluation. CI found that root causes were part of the programme objectives in the South Africa project⁹⁵, because of how these dynamics and questions were addressed. This experience really encouraged the team to perceive their conservation work afresh.

BOX 11. Freshwater Conservation and WASH Integration Guidelines: A framework for implementation in sub-Saharan Africa

The purpose of this document is to provide guidance to health, development, and conservation professionals in sub-Saharan Africa on how to plan, coordinate, develop, and achieve mutually supported WASH and freshwater conservation outcomes. It provides an overarching framework to consider when working across sectors. The guidelines were developed by seven organisations: the African Wildlife Foundation, Conservation International (CI), the Jane Goodall Institute, The Nature Conservancy (TNC), Wildlife Conservation Society, World Resources Institute, and World Wildlife Fund (WWF) (together called ABCG). ABCG's mission is "to tackle complex and changing conservation challenges by catalysing and strengthening collaboration, and bringing the best resources from across a continuum of conservation organizations to effectively and efficiently work towards a vision of an African continent where natural resources and biodiversity are securely conserved in balance with sustained human livelihoods." The guidance lists core principles, and explains how these principles can be translated into action.

Source: www.abcg.org/action/document/show?document_id=533

GIZ's resource person describes the challenges of addressing social exclusion without looking into the root causes (**Box 10**).

BOX 12. Example of difficulties in overcoming social exclusion without addressing root causes

GIZ are currently reshaping a water project. The programme focused on groundwater contracts which are negotiated between all water users within the aquifers' reach. GIZ assists different user groups, to negotiate basin conventions and groundwater contracts. However, in such participatory formats, the smaller, poorer farmers often have problems expressing their needs and the larger often more powerful farmers dominate participatory groups such as Water User Associations. GIZ therefore intends to focus the scope of this project more into a 'leaving no one behind' project in the near future.

Challenges with regard to tackling root causes

Identifying and tackling root causes to social inclusion may be challenging, for various reasons. GIZ for instance indicates that root causes often find their basis in other sectors, that fall outside the particular work scope of GIZ water projects. Social inclusion in IWRM will thus require more integrated approaches that seeks collaboration and integration with other sectors beyond WRM. This is one of the reasons for GIZ's increased number of Nexus projects.

"But root causes are very often found beyond the water sector. This then limits us in addressing these root causes as this goes beyond the scope of work of our partner ministries (e.g. ministry of water cannot intervene into the plans of the energy ministry). We can often only address all the water management related questions. For instance; Why is one group getting less access to irrigation systems than the other?" (GIZ)

Both ENDS indicate that it is often hard for them to find entry-points in addressing and tackling root causes as part of the programme, as agendas of other parties involved in the wider water resource field differ, and other objectives are involved.

SIWI say they specifically tackle root causes at the local level. Their expertise in cultural and social issues helps them work with local stakeholders, but this is more challenging at the regional level, when it root causes are more political.

IHE Delft, as an educational organisation, explains that to address social inclusion in programme implementation, many of their projects seek to analyse how water systems are or become politicised, as various groups contend for access to, and are excluded from, the network. They describe how water production reflects wider tensions - of

gender, race, and class formation. They aim to address gender in three ways. First, being conscious of the changing and negotiated nature of gender relations. Second, focusing on the role of the State, as it structures social priorities. And finally, being aware of the fact that gender and material inequalities intersect to influence water access.

Tailor made approaches for addressing social inclusion

Several of the organisations mentioned the importance of a tailor made approach in the design of socially inclusive IWRM programmes. As SIWI's resource person said: *"Inclusiveness is key to us as an organisation – but how we apply this in dialogues and project design is very context specific"*. This same point is also highlighted by others, such as Both ENDS's resource person who underlines that the socially inclusive IWRM project objectives and approach depend on the particular case. For instance in Central America, water "safety" is a central issue, and the specific demands of local partners and/or project funders also play a role in programme design.

Key features of social inclusion approaches

All organisations taking part in this study include participatory approaches in the design of the IWRM programmes. Some highlighted that dedicated efforts are needed to bring the affected or potentially excluded groups to the table and give them a voice (**Box 11**).

BOX 12. The Negotiated approach by Both ENDS

Both ENDS uses a two-fold strategy to bring affected or excluded groups to the table and to give them a voice; by addressing:

1. What does not go well? Case studies are an important tool to get insights into this question.
2. What does go well? What can we support that is already there?

The **Negotiated approach** focuses on the second question: building on initiatives that do make a difference and trying something new. Both ENDS supports these approaches in the following phases:

1. Inception phase: What do we already know about a basin? What does the local population know and want? This includes a hydrological analysis.
2. Empowerment phase: What is currently missing? How can we support the needs of people, through for instance capacity building?
3. Negotiation process: How do we get managers to integrate the needs/proposals of the people we have supported?

Source: <https://www.bothends.org/en/Our-work/The-Negotiated-Approach>

SIWI recognise there are power differences that lead to the exclusion of certain parties. They includes strategies to change the conditions so that groups are more equally balanced. On a local level also SIWI engages with stakeholders in tackling the root causes of exclusion. But WRM at a regional level is far more political and requires, according to their resource person, a different approach. SIWI says the best approach to take is situation dependent, *"Sometimes you just have to have a strong process approach and finding windows of opportunity where you can make the partners or the main stakeholders present a case themselves. For instance, ask the participants whether everyone is here who should be present"*.

Involvement of local partners and building up long-lasting partnerships is a key characteristic of SIWI's approach. Ultimately all actors are subject to the existing power dynamics, but by investing in long term partnerships with local actors SIWI feels they understand who they work with and why they would exclude certain people.

CI highlights that the programme recommendations usually follow results of the conflict and or gender analysis. These results are usually taken forward in the development of larger stakeholder engagement plans. An example is the project in South Africa which is now working to put the recommendations of the gender analysis report http://www.abcg.org/action/document/show?document_id=822 into practice to increase social inclusion (**Box 12**).

BOX 13. Recommendations of the Africa Biodiversity Collaborative Group's gender analysis report "Integrating Freshwater Conservation, WASH and Rangeland Management in South Africa's Mzimvubu Catchment"

This report, published March 2017, identifies key gender issues and constraints for the project to address. By increasing information gathering and analysis of men and women's existing roles in the catchment area, CSA and its partners identified how men and women can improve activities that conserve water and biodiversity while improving human health. One of the conclusions is that integrating women's needs and input within conservation and WASH programming is critical to achieving successful outcomes, but getting buy-in from men is equally important. Evidence shows that men's support is critical to the success of gender-responsive projects. One of the recommendations is to *"Pursue further research on the opportunities for female involvement in livestock management and water protection. This should produce key knowledge around men and women's distinct roles, priorities, access to, and needs with regards to water and sanitation issues. This should then be followed with capacity-building efforts that support women's decision-making and livestock management roles based on the insight gained through this research."*

The report is available at: http://www.abcg.org/document_details?document_id=822

GIZ uses the Water Resources Security Framework (WRAF) that provides a set of tools for flexible application, recognising that partnerships and their development differ case by case. These tools address various themes, such as building relationships; assessing water risks and options for water risk mitigation measures; and making the business case for water stewardship. The GIZ resource person points out that the use of appropriate methods and tools such as stakeholder mapping, the participatory format, and support to strengthening the water user groups, are not a necessary guarantee of success. According to GIZ, the trade-off between "to what level the project really focuses on certain groups, those who are very prone to be left behind, or to reach the general interest of a broader group and work more effectively" throws up an important challenge (**Box 13**).

BOX 14.

GIZ highlights trade-offs in the design phase of socially inclusive IWRM projects:

"There is always a thin line between including all groups in a rural setting, having a functioning participatory format and in addressing specific problems of groups who are excluded in the rural setting."

If we have these participatory formats as programme activities, then you have on the one hand user groups that work very well and are accepted by powerful groups in the local setting. The powerful can push through their interests because they are organised well and they consider the water user associations 'worth their engagement'. If the powerful actors participate, the water user associations have a higher decision-making power and they can have a real impact to improve water management. However, the interests of the less powerful groups are not addressed.

On the contrary when you establish water users' organisations where you try to include all the less powerful groups in the rural areas – you often fail to have real impact. The powerful groups won't join these groups – because they cannot push their voices through and cannot have a lot of influence, if the needs of the less powerful are addressed. Then these participatory groups do not have a real decision-making power, are not linked with public administration and do not have an impact on the local level.

In addition, less powerful groups are often not well organised (and so are the sectors/commercial activities, the less powerful work in, e.g. small-scale fishermen), while large farmers, industries, mining tend to have functioning local associations. They are able to send representatives to water user association, who can speak for the group.

Finally, less powerful/excluded tend to be less self-confident to speak up in public meetings, for example, in discussions on water management, when the big men of the village/region are present.

GIZ also recognises that dedicated approaches are needed to ensure that groups most prone to exclusion are reached. In its project design, GIZ includes activities that specifically engage sectors where the excluded group works, usually the small- scale sector. For example: *“In the river basin, these are often the fisheries, since for fishing you don’t need to owe land so we can address needs of poorer population groups if we include fisheries.”*

Another example of dedicated efforts is given by IWMI in a field project that they were asked to support as an external research organisation. Women were not official members of the water users association in this project, and therefore decisions were taken that did not suit women such as irrigating the fields at night. The IWMI team identified those issues and made recommendations on how to better include women.

An approach promoted by IWMI is the Multiple Use Systems (MUS)⁹⁶, which focuses at community level, looking at different water sources, groups and needs, so they are considered for inclusion in water supply and irrigation programmes. Hence both household and productive uses of water are considered.

In South Africa IWMI applied a “hybrid approach to water law” meaning that they look both at existing water laws and customary laws and how they can be merged and used positively for social inclusion.⁹⁷

TABLE 10. EXAMPLES OF APPROACHES FOR SOCIAL INCLUSION IN THE DESIGN OF IWRM PROJECTS

Both ENDS	<ul style="list-style-type: none"> • Bringing the excluded to the table and by giving them a voice • Using the negotiated approach
Conservation International	Stakeholder Engagement Plans
FAO	<ul style="list-style-type: none"> • Regional approaches and the social protection approach http://www.fao.org/social-protection/en/
GIZ	<ul style="list-style-type: none"> • Using participatory formats • Water Resources Security Framework https://wrs-water-giz.de/
IWMI	<ul style="list-style-type: none"> • Multiple Use Systems (MUS) • Hybrid approach to water laws
SIWI	Approaches are established in the course of the project and rather target the participating (included) stakeholders instead of the excluded, by incorporating methods during the programme that trigger an identification of currently excluded groups by participants themselves.
IHE Delft	IHE acknowledge that equitable water governance is not limited to a single discipline or academic domain, but rather requires a deeply interdisciplinary approach. Different disciplines illuminate various elements and dimensions of water governance arrangements and processes. Such interdisciplinary enriches the understanding of water governance. IHE strives to pursue interdisciplinary research, education and capacity development activities. In their approach to water governance they recognise the importance of both historical analysis and the need to study water governance arrangements and processes in the contextual setting in which they unfold.

Capacities for designing social inclusive IWRM programming

Interviewed organisations stated that the use of social inclusive tools in the assessment phase is often dependent on the expertise and capacities of the particular consultant or team tasked with the context analysis in the programme or project area. This was stressed by GIZ’s resource person who states that it depends on the particular consultant to what degree the questions of social exclusion and its root causes are addressed in the project planning mission: *“Some consultants are more familiar with, and more experienced with issues regarding social inclusion and methods how to address this. This in turn also depends on demands of the BMZ and our partner countries on the project specifications – in one project it is more important to focus on social inclusion than in the other project. If BMZ specifies that there should be a particular focus on inclusiveness (beyond the normal inclusion procedures) then we make sure that the Terms of Reference requires a consultant to specifically focus on these aspects. Then still of course, one consultant will be more experienced than the other.”*

This statement also underlines the influence of the funder in determining the level of effort for ensuring social inclusive programming.

Few organisations include standard guidelines for monitoring social inclusion in the design of their projects

Most organisations recognise the difficulty of monitoring social inclusion in IWRM programmes and projects and highlight how this differs from the WASH sector. In the WASH sector it is easier to establish the excluded and the basis for exclusion, as well as the targets/goals to be reached by a certain programme or project, as compared to the water resources sector in which less differentiated baseline data on access and use is available.

CI applies the ABCG Freshwater Conservation and WASH Monitoring and Evaluation Framework for integrated projects. The indicators include several different categories. ‘Value added indicators’ treat water more holistically, including governance, peace and protection, youth, gender and specific indicators for this. The ABCG M&E framework also includes sex disaggregated indicators and indicators that measure impacts on different age groups (youth, elderly). IWMI explains that by asking the relevant questions, the challenges of poverty and lack of access to health, hygiene and corresponding knowledge became visible and started to become more central in their programme focus.

SIWI uses an approach called ‘outcome mapping’, a process analysis tool which monitors steps in a process – rather than having a logical framework analysis. Progress is identified by using a theory of change that identifies the envisioned changes (outcomes) in the targeted partners (outcomes), and by the use of a results indicator framework. Outcome mapping to monitor social inclusion is a way to get around the lack of baseline data, and it offers a method for more qualitative monitoring, rather than quantitative information.

“Rather than developing a database with poor methods we decide to focus on what input we can give: who and what can we influence. How can we directly and indirectly influence the boundary partners that we work with? Very much about monitoring in a qualitative way.” (SIWI).

Within SIWI, the Water Governance Department especially focuses on the development of indicators. Furthermore, the Source-to-Sea Management Action Platform for (S2S Platform) is a multi-stakeholder initiative that helps freshwater, coastal and marine experts contribute to global knowledge generation on source-to-sea interconnections; connect and engage in collaborative projects; promote best practices; and take collaborative action to improve the management of land, water, coastal and marine linkages. This platform is currently developing and will lead to more tangible monitoring on the ground.

Both ENDS does not use specific monitoring tools for social inclusion. However, on a project basis they collect some data relevant for social inclusion. Examples include a check of the participation lists of important meetings.

4.4 IMPLEMENTATION

Key factors for effectively reaching the “socially excluded” during project implementation

Participatory approaches are mentioned by all organisations taking part in the study as an essential format for stakeholder engagement throughout the project. However, the participatory formats used by the organisations differ in scope and intensity.

Both ENDS highlights the key role of the local partner organisations in engaging potentially excluded groups. SIWI underlines the importance of establishing an open dialogue with the partners - showing them the benefits of having the right people at the table and recognising the pitfalls and (financial) long-term implications of not including marginalised groups.

The GIZ Water Resources Security Framework acts as a guideline and gives examples on social inclusion during project implementation. Other organisations are not yet supported by organisational guidelines for social inclusive programme implementation.

Challenges with putting social inclusion strategies into practice

The organisations participating in the study identified the following practical limitation in putting social inclusion into practice: low capacity in local partners, particularly in government institutions. Although national civil society organisations (CSOs) often have the knowledge and expertise to identify and be aware of existing inequalities and root causes to exclusion, there are several challenges that come into play:

- Capacity is generally quite low within the governance structures. Behind the scene there are strong power dynamics that influence the process and can constitute a challenge.
- Cultural sensitivity and the need to understand the local and cultural context. It is essential to have a thorough understanding of the social/cultural context, its norms and values, and the dynamics within or among social groups.
- Lack of physical presence on the ground. Most of the organisations in this study (with some exceptions) do not have a physical presence in the programme or project area. Most work with partners on the ground and rely on their awareness of the cultural, historical and political context. The organisations mention the need to build in checks and balances, but they are aware that political situations and power structures influence everyone in a given setting, including their local partners.
- Lack of data on social inclusion prevents insights into who “the excluded” are and how they are excluded. In order to tackle social exclusion it is important to know who is excluded and why –the lack of a clear definition creates an added barrier.
- Difficulties in solving exclusion issues, beyond enabling participation of the groups that are considered most prone to exclusion. *“Often you set targets in your programs for example ‘we should include this amount of casteless in India, this amount of women...’ But then you still risking a tick-box exercise and not getting to the bottom of issues.” (CI)*
- The scale of implementation of IWRM programmes can be extensive; often spanning an entire delta or river basin. Specialised organisations like Both ENDS and IWMI conduct in-depth research within a certain community or interest group. The dilemma is sometimes whether that group is exemplary in this large delta or basin. Representing a certain group with certain interests does not always translate the interests of other stakeholders that are not considered within the (research) programme.
- Other challenges include: the broader socio-political environments do often not allow for participatory data collection, workshops and research results dissemination; project partners, responsible authorities and water users are sometimes not able or willing to participate and collaborate in research including implementation of new campaigns and management changes; and institutional instability in service providers.

BOX 15. IHE DELFT EXPLAINS EXISTING CHALLENGES REGARDING SOCIAL INCLUSION:

“Our work is particularly informed by, though not restricted to, our desire to better recognize equity as a distinct and central concern of water governance analyses and debates. In prevailing water policy and governance parlance – with its reliance on metaphors of markets, competition and its emphasis on individual economic rationality when describing human behaviour – equity and justice either appear as after-thoughts, or are simply assumed to synergistically happen alongside or even because of improvements in efficiency or sustainability. We find this disturbing, as declining quantities and qualities of water prompt reallocations that inevitably favour some uses and users over others. The increased incidence of floods and droughts, or proposed ways to deal with those, likewise affects different groups of people differently.”

BOX 16.**An example of cultural sensitivity:**

"In the context of a programme in the Euphrates and Tigris funded by Sida that aims to mainstream gender issues, we held a meeting and a woman stood up. She said that she does not agree what is being said in the presentation about how women must be empowered. She said I'm here in my own capacity – why are you talking about having 50% women in the room? She was upset because she felt they were undermining their capabilities. So understanding the local and cultural context is absolutely key to programming and how to advance the dialogue." (SIWI)

Successful practical interventions for social inclusion in IWRM programmes

The organisations identified the following practical interventions or critical factors for success:

- Involvement of local actors including trust-building and dialogue to ensure participation of the potentially excluded groups;
- Participatory approaches are considered powerful instruments to get everybody around the table and involved;
- Capacity development support to some groups of water users (often excluded groups) in their self-organisation (by example small-scale miners, fishermen, people earn a living from wetlands) so they can articulate their needs and have representatives in participatory formats such as water forums or water user groups that can really speak for them. Capacity development support should be done as an initial step in setting up water user associations during the first stages of the programme;
- Monitoring and the use of good indicators and outcomes to make sure that inclusion is implemented and that the intended changes are also reached in practice. These enable timely adjustments to the programme if needed.
- Addressing social inclusion right from the start in the assessment and design phase, not as an afterthought.

Additional practical interventions mentioned by the interviewees include:

- Both ENDS has effectively used tools like safeguards, policies and strategies from parties like the World Bank, or governments, for advocacy purposes. These policies - safeguarding social inclusion and principles like participation - can be used to advocate for excluded groups in their delta/basin projects. The tools may include organisational policy, existing water policies, laws, or for instance UN documents/conventions.
- Additional to the above, CI considers the following interventions to be important:
 - Gender analysis to be a powerful tool, *"with the collected information you can have great impact"*.
 - Conflict analysis can highlight relationships, including stakeholder mapping where you see dynamics that people do not articulate when asking them or when gathering the information on who is included.
 - Visioning with communities; talking to them about what do they want. No matter where the organisational drive for managing that water source comes from, it will only work when it is aligned with people's visioning.
 - Patience.
 - CI is a member of **Movement for community led development**, which informs how CI designs its 'Community-led development planning' especially for communities that are left out by government or forgotten. This includes considering what communities want and how does nature fits into that. The main elements include considering who the main partners are that can be brought into the project.
- SIWI highlights the involvement of project participants in establishing who should be included. They underline their positive experiences working closely with local partners who know the context and assess who is currently excluded.
- FAO emphasises strengthening local institutions, compilation of disaggregated data and focus group for planning and implementation as key practices for socially inclusive project implementation.

BOX 17. IWMI – SETTING AND ACHIEVING WATER RELATED SDGS – SOCIAL INCLUSION⁹⁸**Practical solutions for targeting and including individuals include:**

- Assess the needs, constraints and values of men and women farmers from different socio-economic groups prior to designing or recommending interventions.
- Increase consultation with the men and women affected by water management, especially those most marginalised but likely to benefit.
- Recruit more female workers and social and technical experts in public irrigation agencies.
- Provide targeted training on inclusivity and gender mainstreaming for members of irrigation bureaucracies.
- Develop closer links and capacity of water managers to react to the changing dynamics and demands for water in agriculture and gender roles.

Other examples of IWMI's recommendations to social inclusion' approaches are found in the following reports and working papers:

- IWMI Working Paper 153, Gender Aspects of Small-scale Private Irrigation in Africa: www.iwmi.cgiar.org/Publications/Working_Papers/working/WOR153.pdf
- IWMI, Gender dimensions of community-based groundwater governance in Ethiopia: using citizen science as an entry point: www.iwmi.cgiar.org/2018/10/gender-dimensions-of-community-based-groundwater-governance-in-ethiopia-using-citizen-science-as-an-entry-point/
- Gender policies and implementation in agriculture, natural resources and poverty reduction: case study of Ghana's Upper East Region: <http://www.iwmi.cgiar.org/publications/other-publication-types/books-monographs/iwmi-jointly-published/research-for-development-learning-series-issue-3/>
- Building resilience through sustainable groundwater use: http://www.iwmi.cgiar.org/Publications/wle/towards-sustainable-intensification-briefs/wle_towards_sustainable_intensification_insights_and_solutions-brief_no-7.pdf
- Enclosures for Ecosystem Restoration and Economic Benefits in Ethiopia: A Catalogue of Management Options: http://www.iwmi.cgiar.org/Publications/wle/r4d/wle_research_for_development-learning_series-4.pdf
- A generation on the move: Voices of youths in the context of climate change, migration, and livelihood transition: <http://publications.iwmi.org/pdf/H048245.pdf>

4.5 MONITORING, EVALUATION AND LEARNING**Indicators**

Participating organisations point to the challenge in tackling the lack of baseline data and the need for an agreement on adequate indicators for social inclusion, considering those indicators are mostly qualitative in nature. Such a qualitative indicator could be "livelihood loss", but it is extremely difficult to define and quantify adequately.

Gender indicators are regularly used but the organisations indicate that indicators for monitoring other relevant social inclusion dimensions are not available. It is also flagged that monitoring of exclusion in the WASH sector is more common, particularly monitoring access to safe drinking water. A similar monitoring framework including corresponding indicators for monitoring exclusion aspects beyond gender (income, ethnicity, disability etc.) in IWRM projects and M&E approaches for WRM is not available.

The targets and indicators in the FAO result framework are aligned to the relevant SDGs, including 6.3 and 6.4 for SDG 6. It includes a number of interesting explicit targets with specific indicators on reducing inequity, particularly on reducing poverty and on gender that are interesting examples but not applied to WRM.

There is a dilemma in the trade-offs in decisions about which indicators to include and which not, because organisations feel that you cannot include them all. *"In the project you cannot spend all your time collecting indicators you lose valuable time."* (CI)

Monitoring methods

At organisational level, at the end of each biennium, FAO assesses and reports to its membership on performance based on achievement of results planned in the Programme of Work and Budget. These provide information on delivery of targets and indicators of outputs and outcomes in the Programme Implementation Report (PIR) under Strategic Objectives. Targets are set at programme level in the Programme of Work and Budget: <http://www.fao.org/pwb/home/en/> Project targets and indicators are expected to contribute to the organisational and programme targets and monitored through a predefined project monitoring cycle.

Organisations point to the limited available data from the outset of a project that makes it particularly challenging to set targets, and this in turn makes it difficult to follow project progress.

Some pointed to a strong focus on monitoring the participatory aspects in programme implementation such as whether there are any participatory formats in place, and whether groups are present in water forums, or water user groups. However, the outcome related to social inclusion are seldom monitored. Some organisations feel that it is very hard to get data on how to measure social inclusion, beyond participation in water forums and meetings. Both ENDS does regularly check the participants list of important meetings. However, they are aware of the shortcomings of this method as it is hard (impossible) to know on the basis of these lists whether presence at meetings also meant ‘meaningful input’. It is not tracked whether everyone got a chance to present their opinions and concerns and whether these have been meaningfully taken into consideration by all stakeholders.

BOX 18. Both ENDS’ experiences with monitoring participatory formats

Experiences show that participants often indicate that they are not invited in time (they hear the evening before that they are invited to a meeting). Or even when they participate in a meeting another barrier is that the meeting organisers say the participants agree with the meetings’ outcomes, and that they commit themselves to the results – even if their opinion has not been heard or taken into account. (Both ENDS)

An interesting monitoring method that seems to be suitable for monitoring social inclusion is SIWI’s use of the outcome mapping in combination with their Theory of Change and result framework. The outcome mapping focuses on the changes achieved in the targeted actors that are relevant for overcoming social exclusion. Outcome mapping offers a method for more qualitative monitoring that is not limited by a lack of baseline data.

In addition to their role in monitoring social inclusion in ongoing projects, IWMI also works on mapping and clarifying unintended impacts in these projects. Projects with climate smart agriculture for instance, where new water storage and pump systems are introduced, are especially beneficial for ecological reasons, but IWMI staff also ask ‘what is the impact for women? Do they actually benefit from these improvements?’ Are they able/allowed to use these pumps? Can everyone afford it? The unintended effects are then mapped.

Some of the organisations feel that because of their advisory role their potential impacts on inclusion are quite indirect. Data is therefore not collected as they feel the attribution gap is too wide. The advisory role sometimes includes monitoring an ongoing project when organisations are tasked by the implementing organisation to track whether indeed the intended number of ‘socially inclusive’ goals have been reached within a certain programme.

Organisational learning on social inclusion and IWRM

Not all participating organisations have a structured approach to organisational learning that is informed by the results of regular monitoring and documented experiences. However, all indicated that they have invested resources in learning and further developing of (some aspects) of knowledge, organisational guidelines and tools relevant to socially inclusive IWRM programming.

For example CI has a specialist leading the work on ‘stakeholder engagement’ and identifying ‘what are the stakeholder engagement tools available that address inclusion?’ ‘Where does the organisation need to supplement and what can we share as our experiences?’

Other examples of learning include the internal discussion within GIZ on the use of quota regulations and screening of tools for basin management plans as they have been successful with regard to gender in some context. CI is currently researching on behalf of the ABCG framework how integration is done in an African context. This work has included the production of tools to improve integration, pilot testing the tools, and disseminating information to practitioners. Products include: **A complementary monitoring and evaluation framework** – intended to help measure the “added benefits” of integrated projects.

CI explains that to promote social inclusion in the organisation it is important to have indicators and outcomes, to track whether interventions that aim to implement inclusiveness strategies are effective. This way, outcomes are informing the organisation whether the targeted people were reached, and where changes in the programme need to be integrated. CI further indicates that while recognising the importance of monitoring and learning, it still needs to improve this area and the integration of social inclusion at all stages of the project.

IHE Delft underlines that they work as educators, researchers, and advisors on a wide variety of water questions, and therefore, although they all work on similar water problems, their disciplinary backgrounds are diverse—ranging from civil engineering, public administration and law to human geography, anthropology, and the political sciences. *“Talking to and understanding each other about our dealings with water forces us to continuously make our own assumptions as explicit as possible and to keep on scrutinizing what we mean. Being forced to continuously compare and contrast our different views and approaches also serves as an inspiration to develop a truly interdisciplinary water governance research and action agenda.”*

Sharing lessons learned

Organisations occasionally communicate their experiences and good practices with socially inclusive IWRM projects through internet postings and dissemination of publications in other networks or platforms.

A large part of IWMI's work as a research organisation is about publishing experience and knowledge on social inclusion in IWRM. This can be through *inter alia* research papers⁹⁹, articles in journals¹⁰⁰, or their website¹⁰¹.

Another example is the lessons learned report by CI, http://www.abcg.org/action/document/show?document_id=927 by ABCG, led by Conservation International. The report calls on social inclusion, with all corresponding principles and highlights why social inclusion is necessary and why it needs to be a specific focus in IWRM projects for them to succeed. The **lessons learned report**, is based on 2.5 years of implementation and is now piloting the tools through implementing projects in both South Africa and with a partner organisation in Uganda.

One organisation flagged the challenges of communicating their experiences through the internet or in the form of publications: “Publications are often not read”, so they need to be made more accessible and attractive. Both ENDS uses documented cases of good and bad practices for advocacy purposes.

5. Main findings, challenges and way forward

5.1 SUMMARY OF MAIN FINDINGS

Social inclusion in IWRM has a legal and policy basis in the international human rights framework, the 2030 Sustainable Development Agenda and in the internationally adopted principles on IWRM. For the purpose of this study the conceptual framework, informed by the relevant legal and policy frameworks for IWRM and social inclusion respectively, is translated into an operational framework. For the purposes of this quick-scan we used this to map the existing experiences of the participating organisations with socially inclusive IWRM programming and these can also be a useful tool for guidance in social inclusive IWRM programming. The operational model follows the same structure as the model that was used in the mapping study on social inclusive WASH programming. A number of caveats on the use of the main concepts in the conceptual framework are described in chapter 1.3. Those caveats helped clarify the scope of the study and the use of the operational framework.

Despite the believe of many professionals that IWRM does already use the right approach for social inclusion, in practice existing experience shows that IWRM programmes rarely successfully contributes to structurally reducing inequalities in WRM and in some cases even contributes to more exclusion. The operational model identifies key questions that provide guidance for each phase of the programming cycle. The ultimate aim is that the IWRM programme or project interventions contribute to a fair and balanced allocation of water resources and can guarantee equal benefits and impacts. To address the root causes of social exclusion in a structural way the key questions in the operational model include those that address the enabling environment and contribute to 'good governance' by promoting approaches that focus on non-discrimination and equality, accountability, meaningful participation, transparency and access to information.

The operational model provided a useful framework for documenting the organisations' experiences with socially inclusive IWRM programming. It can also be used by actors for guidance in addressing social inclusion in IWRM programmes and projects, but is not meant as an alternative to or an add-on to the IWRM approach and principles. Comparing the WASH sector to IWRM, that is in fact not a sector but an approach, the quick-scan results reveal that the water resources sector lags behind in social inclusion programming as compared to the WASH sector - particularly in terms of data availability, target-setting and monitoring social inclusion. Most interviewees indicate that, since the adoption of the 2030 Agenda for Sustainable Development, their organisations have been increasingly aware of the need to focus on social inclusion as a crosscutting issue in all their organisational work. Some are currently working on integrating this across policies or programmes relevant to IWRM.

Although there are some good practices on socially inclusive IWRM programming, overall it is found that integration of social inclusion in IWRM is more challenging than in WASH. Generally, organisations are making efforts to address social inclusion in the design and implementation of their programmes and projects, but struggle to do so in consistent ways as organisational guidance on the type of exclusion and how to tackle it is often lacking.

The results of the quick-scan not only point to a significant difference in progress social inclusion between the WASH and IWRM sectors, they also underline the challenges for advancing socially inclusive programming in IWRM. The WASH sector is considered by the organisations to be ahead of the WRM sector, particularly with regard to collecting data, developing approaches and indicators for social inclusion and its root causes.

Partnership building with local organisations and participatory formats are common approaches for identifying and addressing potentially excluded groups and for understanding the root causes of exclusion. However, many of the organisations acknowledge that in practice "participation" of the potentially excluded groups results in a tick-box exercise as follow-up is often lacking. Social inclusion in IWRM programme implementation is seldom tracked. It also remains unclear what the results are, and whether changes have been made and/or root causes

tackled. While this is particularly the case for implementation of the broader social inclusion concept in WRM, there are a wide range of experiences, methods, tools and studies supporting gender inclusive IWRM programming. Many organisations mention the relevance and use of the gender equality methods and tools for addressing other inequalities.

The results of the interviews with participating organisations on their experiences with social inclusion in the different stages of the IWRM programme cycles are summarised in this section.

Policies, strategies and themes

- Few organisations have a dedicated organisational policy on social inclusion and all organisations are at different stages of including social inclusion in their respective organisational strategies. However, inclusion of “social inclusion” in the organisation’s programmes and projects is often informed by other organisational policies and or strategies relevant to social inclusion such as the organisational gender policy, policies on good governance, human rights approach etc.
- Few organisations define the “excluded” at organisational level, and refer to the “the poor”, “marginalised” or “vulnerable groups” in general terms without specifying who those are. Some organisations however identify certain “focus” groups such as “gender”, “youth”, “indigenous groups”, or “those living in rural areas”.
- Targets for reaching the excluded or for addressing social inclusion are seldom set at the organisational level and are at the most dealt with at the programme or project level.
- There is little to no global or country level data available on social exclusion within WRM, with the exception of data on gender and water resources. All organisations indicate that this is a problem.

Project analysis phase

- Few organisations use a standardised or specific approach or tools for the contextual assessment and the identification of the (potentially) excluded at the individual programme or project level. Most organisations address such analysis in a tailor made way depending on the local context and the particular conditions such as the existing capacity and interest in the project team.
- Stakeholder analysis or stakeholder engagement tools are used to define the relevant stakeholders and to what extent they are potentially impacted by the project interventions. Other existing tools such as conflict analysis, socio-economic or gender analysis tools are said to be powerful and effective too. Those existing tools are used and adapted depending on the specific project needs.
- All organisations indicate that there is a general lack of data and information on social exclusion in the WRM sector, particularly on a regional or global level.
- Engagement of local partners is a common feature in the approaches in the project assessment phase. The organisations mention, also because of the lack of (qualitative) data on social inclusion, that they are highly reliant on those partners because of their knowledge and insights into the cultural context and existing power relations.

Project planning and design

Social inclusion targets

- Organisations struggle to formulate “social inclusion” objectives in a tangible way, and concrete targets are seldom set. An exception is for gender inclusiveness for which project target-setting is more common.
- Because of the nature of the participating organisations that (with the exception of FAO and GIZ) mainly play an advisory role in support to existing programmes, most are not involved in target-setting for the overall programme or project. However, to guide their own contributions to programmes and projects, objectives rather than concrete targets are formulated.
- Those objectives are often formulated in terms of “overcoming the exclusion gap”, and “bringing the marginalised to the table”, “giving them a voice”, but it remains unclear who will listen and how “having a voice” contributes to reducing inequalities in a structural way.
- All organisations say that their programme and project objectives go beyond simply overcoming the “gap” and

that their projects are expected to structurally address the root causes of social exclusion in the project area.

- The target groups (identified as ‘the excluded’) are identified on a project level basis, and dependent on either the partner organisations or experts the interviewed organisation works with; and on the excluded groups who seek assistance from the organisation (those groups who voice their need for help).
- The organisations acknowledge the challenges with addressing the root causes for social exclusion in the planning of WRM projects. Addressing the root causes for exclusion requires interventions in the enabling environment and is particularly challenging as many of the bottlenecks for overcoming social exclusion may be situated in other sectors, beyond the water sector.

Proposed approaches for addressing social inclusion

- Several of the organisations mention the importance of including tailor made approaches in the design of projects. Socially inclusive IWRM projects require approaches that are adapted to the particular context and its specific conditions.
- However, a number of common features in the proposed approach for project implementation by the organisations include the inclusion of:
 - participatory approaches that imply dedicated efforts to bring the affected or the (potentially) excluded groups to the table and to give them a voice;
 - development of stakeholder engagement plans;
 - involvement of local partners and building up trustworthy lasting partnerships with fixed partners;
 - water risk assessments and options for water risk mitigation measures.

Dependence on donors’ priorities and existing capacities

The level to which social inclusion is actually included in the design of the programme or project is said to be highly dependent on the requirements of the particular funder of the programme and the interest and experiences of the (team of) consultant responsible for the programme or project design and planning. Some organisations indicate that the capacity of their organisation sometimes form a barrier to tackle social inclusion thoroughly, as structural causes to exclusion are overlapping with other areas and sectors that fall outside the scope and mandate of the organisation.

Only a few of the organisations already create strategies to monitor social inclusion in the design phase.

Programme and project implementation

- Most organisations have examples of projects that include “good practices” in addressing social inclusion in (parts of) the IWRM programme cycle.
- Few organisations, with exception of GIZ, apply standard guidelines for socially inclusive programme and project implementation. Most of the organisations highlighted the flexibility in programme implementation that is needed for addressing social inclusion. However, a number of common features in the practical interventions and critical factors for success can be summarised as follows:
 - Involvement of local actors including trust building and dialogue to ensure participation of the (potentially) excluded groups;
 - The participatory approaches that are considered powerful instruments to get everybody around the table and involved;
 - Capacity development support to water users (often excluded groups) in their self-organisation from the initial stages in the project;
 - Monitoring and the use of good indicators and outcomes to follow social inclusion in project implementation; to track whether interventions are effective; and to make timely adjustments to the programme if needed.

The main challenges for putting social inclusion into practice identified by the organisations include:

- Low capacity in the local partners, particularly in government institutions.
- Cultural sensitivity and the need to understand the local and cultural context.
- Lack of physical on the ground presence by the partaking organisations.
- Reliance on local partners who are knowledgeable on the local context but at the same time are also part of or subject to the local social dynamics and political power relations.
- Lack of data relevant for social inclusion.
- The large scale of IWRM programmes and projects, and the scale of operations of local partners.
- The level of dedicated effort needed that can only reach determined interest groups that are not necessarily representative for all stakeholders potentially excluded or affected by the project.

Monitoring, evaluation and learning

- Organisations point to the lack of baseline data and the need for an agreement on adequate indicators for social inclusion that is challenging as it will require more qualitative rather than indicative indicators.
- Gender indicators are included quite often, but social inclusion indicators on other relevant exclusion aspects beyond gender (income, ethnicity, disability etc.) in IWRM projects are often lacking.
- Almost all organisations mention the difference between WASH and WRM: the monitoring of exclusion is common in WASH, a monitoring framework including corresponding indicators and M&E approaches for WRM is most often lacking.
- An interesting method for monitoring social inclusive IWRM programming used by one of these organisations is “outcome mapping” that focuses on the changes in the target actors and the processes contributing to those changes. It focuses on “outcomes” and can be applied without a detailed baseline.
- Few organisations have a structured approach to organisational learning on socially inclusive IWRM programming. However, most organisations do invest in learning on specific aspects relevant for socially inclusive programming such as documenting successful approaches and piloting new tools.
- ‘Lessons learned’ are often shared through the website or publications, and one organisation publishes a ‘lessons learned’ report.

Some dilemmas and challenges highlighted by interviewees include:

- Defining adequate indicators and collecting baseline and monitoring information can be time intensive. What is the right balance between what we need to know and the capacities and resources available for the project to spend on defining and gathering relevant information for social inclusion?
- There may be too much organisational focus on whether participatory formats are in place and whether groups are present. More focus on monitoring the outcomes of participation related to social inclusion is needed.
- As to ‘lessons learned’: it is difficult to find the right format for this – as publications for instance, are rarely read.

5.2 MAIN CHALLENGES AND DILEMMAS

This section summarises the main challenges and dilemmas emerging from the interviews.

Main challenges

Higher priority for social inclusion by the different stakeholders

- Many local partner institutions do not indicate social inclusion as a focus area. Their challenges are often quite basic (having a functioning water management at all – social inclusion is often not very high on their agenda).
- NGOs and CSOs in developing countries are often implementing partners of donors or the government and less often advocacy groups who address social inequality in water management.
- There is a tension between the mandate of organisations and needs and reality of the population.
- Often there is a conflict between the intention of a project to focus on social inclusion and the government of the receiving country to focus on specific groups: For instance, slums are not always duly considered. Dilemma is how to deal with this as also country ownership has to be considered. Which parties have a duty to take a stronger role in advocating for and enabling meaningful participation of all stakeholders?

Availability of data and information on social exclusion

- There is limited reliable data available on exclusion at the project, national and global level.
- A lack of information makes it very hard to ensure an adequate point of departure for ensuring social inclusion in water management. Hidden issues and causes – often embedded in cultures and root causes – remain undiscovered. This makes it challenging to avoid the work just scraping the surface of the real issues that need to be dealt with.
- Specific reporting on social inclusion in WRM is seldom demanded by the commissioning (funding) partners, so the data is not being collected.

Understanding the social and cultural context

- The cultural and social context often form a major challenge. It is essential to understand this in each region or local context.
- Both formal and informal power structures present a challenge – either hidden or visible – a good and thorough understanding is needed in order to mitigate these challenges.

Lack of effective approaches to tackle social inclusion

- Target setting, when it happens at all, eg “we should include this amount of casteless in India, this amount of women...” still risks being reduced to a tick-box exercise and does not penetrate the issues.
- There are misconceptions, that public participation in water management is (or automatically leads to) social inclusion. In most contexts, it is the opposite. Social inequality in a local setting is often reflected in participatory water management mechanisms. Water user groups are captured by “local big men” and “representatives of the community”, who often reinforce social exclusion in water management.
- IWRM is often used as a tick-box-exercise. The “gender box” can for instance be tick-boxed, but a next step, a follow-up is often lacking. This way the results of including social inclusion in IWRM are not always tracked. Have changes really been made? Root causes are often not looked at, and not tackled.

Need for adequate capacities

- Social exclusion can be broad – so it is hard to prioritise and identify what is most critical for a set place. More experiences are needed to improve this.
- Capacity is a challenge, such as in relation to gender. You require educated and trained women who are able to influence. This includes the capacity of the organisation itself: building capacity is a continuous process.
- Being socially inclusive requires an institution to be aware and have the capacity to do this, in alignment with government and other parties.

- Addressing social inclusion needs expertise and time – which is often not available.
“We have worked in some programs with very dedicated and experienced researchers (Nepal) who did look at root causes specifically and who developed very creative solutions to improve relations between men and women for instance.”

Conflict with time-bound projects and short-term deliverables

- Tackling root causes of social exclusion requires a thorough process that takes time and expertise. These organisations consider that most donors do not like it when timelines are not met.

5.3 MAIN CONCLUSIONS AND WAY FORWARD

5.3.1 Some overarching reflections on the main findings

This section does not attempt to give an overarching conclusion, an assessment of the results of the mapping study, nor generic recommendations on how to improve socially inclusive IWRM programming. The following paragraphs highlight a few reflections based on the inputs received from participating organisations.

Experiences with socially inclusive IWRM programming across different levels and at scale

Most of the experiences and good practices of the participating organisations relate to community level experiences. However, it should be mentioned that the mapping study did not specifically ask for evidence on socially inclusive WASH programming at the different intervention levels (community, sub-basin, basin or national level). Decisions on water resources are often made at national or intermediate levels that impact allocation and use of water resources at community level.

Participatory approaches can work well in IWRM processes at the local level. At the intermediate and basin levels representation of some kind is needed. This is delicate because elected representatives (men and women) may not have the confidence, knowledge, respect or power to be heard in, for example, multi-stakeholder dialogue that involves stakeholders beyond the local community. Representation is critical if the socially excluded are to be heard during multi-stakeholder dialogue at the sub-basin and basin levels.

The above considerations are of particular relevance to the potential to bring the community based experiences to scale. Independent evidence on this is needed.

This also indicates that few organisations mentioned their role and involvement with governments at the intermediate and basin levels, which are relevant for social inclusion on IWRM.

Assessment of root causes

While most of the identified good practices in socially inclusive IWRM programming are implemented at the community level, it also needs to be recognised that some causes of social exclusion may have their origins beyond the community space. It draws the attention to the assessment of root causes at institutional levels. Social exclusion is likely to vary in space and time.

Alternative approaches to IWRM

Some of the organisations highlighted the trade-off between their organisational focus e.g. on ecosystems, livelihoods and food security and the specific emphasis needed on “humans” and the social dimension required to reduce inequalities. This also reflects a wider discussion on the use of IWRM as some believe that IWRM already gives too much attention to humans and not enough to natural ecosystems. Others believe that good or reasonable governance should have a stronger place in IWRM.

It is interesting that some of the organisations refer to what could be alternative frameworks to IWRM, perhaps better suited to addressing social inclusion. The “Source-to-Sea Management” Action Platform and the governance approach by IHE seem to point in this direction.

Other alternative approaches, not necessarily identified in the mapping study, are the Nexus approach and the so-called IWRM “light” that may offer a more practical framework for addressing social inclusion. In any case it seems important to note that further learning on IWRM approaches and their scope for addressing social inclusion may be needed.

Trade-offs and unintended negative impacts

The study may not have sufficiently considered the trade-offs these organisations encounter in decision-making on socially inclusive IWRM programming. Although some of the trade-offs have emerged, others such as those in areas experiencing increasing water scarcity were not exposed in the study findings.

Similarly, unintended negative impacts are another important aspect, such as experiences with reducing social exclusion and trade-offs that were not recognised or monitored, or did not come to light through the mapping study.

5.3.2 Way forward

During the quick-scan study the resource persons were asked how they believe their organisations can enhance inclusive IWRM programming. The activities mentioned here are practical next steps that are considered realistic to be undertaken in the short or medium term by these organisations. However, they will probably not suffice to address all the challenges that socially inclusive programming faces and that were identified in this mapping study. While the recommendations include next steps that are specific for these organisations, the proposed measures may be inspirational and relevant for other organisations with an interest in socially inclusive programming. The recommendations included:

At the strategic level:

- Provide clarity at the organisational level on what is understood by social inclusion in IWRM, who the “excluded” are, and what the organisation’s priority groups are.
- Include “social inclusion” as an explicit crosscutting theme in the organisation’s strategic plan.
- Establish targets for social inclusion relating to the (potentially) excluded groups and people to be reached.
- Establish partnerships with organisations outside the water sector and that are stronger in working on gender, youth and indigenous groups.
- Become better at communicating messaging about inclusiveness and why it is so important. While it becomes a mantra that development agencies always emphasise, sometimes it is hard to find ways to get the message across without it becoming just a tick-box exercise. We need to revise our messages.

At the operational level:

- Adopt more formalised criteria for all projects to consider in identifying who are most in need and why.
- Include a social inclusion specialist in the team who encourages adaptation of inclusiveness across programmes, to apply a gender and/or inclusive lens to all projects.
- Develop tools focused on WRM since currently only generic tools exist.
- Ensure the fundraising department structurally includes social inclusion in all the organisation’s project proposals.
- Ensure sufficient funding for programme design and implementation, to enable working together with more diverse interest groups. And to ensure that these groups also communicate well among each other.

More generally, it is expected that the results of this mapping study and the use of the operational framework with its guiding questions for each stage of the programming cycle will inspire and enhance the ability of actors to address socially inclusive IWRM programming and to effectively contribute to overcoming social exclusion.



ANNEX 1. Overview Methods and tools for social inclusive IWRM planning by the partaking organisations

Programme development phase	Both ENDS	Conservation International	GIZ	IWMI	SIWI	IHE	FAO
Analysis and project design	Gender assessment guidelines, including: m Oxfam Australia, Challenge Program on Water and Food. 2013. Balancing the Scales: Using Gender Impact Assessment in Hydropower Development Active involvement of local groups/ organisations	Gender assessment tools Fresh water health index' scorecard for a basin-- that looks at governance, economics, social dynamics, conflict, ecological indicators	2 steps safeguard procedure that also addresses questions of inclusion.	Some gender data tools available for basin level – developed in a project (including for instance Indus Basin Gender Profile Mapper , Gender Performance Indicator, and Gender in irrigation tool)	<ul style="list-style-type: none"> HRBA toolbox Guidance note on cultural approaches 	IHE Delft underlines that for setting targets on social inclusion, it is important to in addition to evaluating the 'goodness' of water governance in terms of process (integrity, accountability, transparency), to also evaluate it in terms of distributional outcomes..	SEAGA guidelines in irrigation https://gender-gap.net/content/seaga-irrigation-sector-guide Gender Passport http://www.fao.org/docrep/017/i3173e/ Water and the Rural Poor – livelihood mapping approach to target the rural poor. Participatory and Negotiated Territorial Approach http://www.fao.org/land-water/land/land-governance/land-resources-planning-toolbox/category/details/en/c/1043145/
Planning and design	The negotiated approach	Core Principles: Freshwater Conservation and WASH Project Implementation	Stakeholder mapping, the participatory format, the support to strengthening the water user groups	Multiple Use Systems (MUS) ¹ Hybrid approach to water law	Tailormade processes	IHE aims to address gender in 3 fronts. First, being conscious of the changing and negotiated nature of gender relations. Secondly, they focus on the role of the state, as it structures social priorities. And finally, to be aware of the fact that gender and material inequalities intersect to influence water access.	FAO Results Framework (http://www.fao.org/fileadmin/user_upload/bodies/Progr_Comm/PC_125-documents/MX374-WA1e.pdf) Territorial approaches, Social Protection http://www.fao.org/social-protection/en/ Results Framework (http://www.fao.org/fileadmin/user_upload/bodies/Progr_Comm/PC_125-documents/MX374-WA1e.pdf)

¹ van Koppen, B., Smits, S., Rumbaitis del Rio, C. and Thomas, J.B. (2014) Scaling up Multiple Use Water Services: Accountability in the Water Sector, Rugby, UK: Practical Action Publishing <<http://dx.doi.org/10.3362/9781780448299.000>>.

Programme development phase	Both ENDS	Conservation International	GIZ	IWMI	SIWI	IHE	FAO
Implementation	Involvement of local partners, support to meaningful participation of potentially impacted groups that have difficulties in raising their voice	Freshwater Conservation and Water, Sanitation, and Hygiene INTEGRATION GUIDELINES. A framework for implementation in Sub-Saharan Africa http://www.abcg.org/action/document/show?document_id=53 Visioning with the communities Stakeholder Engagement Tools https://sites.google.com/a/conservation.org/rights-based-approach/tools-and-guidelines The Training of Trainers (ToT) courses and toolkits: https://sites.google.com/a/conservation.org/rights-based-approach/tools-and-guidelines/stakeholder-engagement	Water Resources Security Framework acts as a guideline and gives examples https://wrs-water-giz.de/	IWMI – Setting and Achieving water related SDGs – Social inclusion ² IWMI Working Paper 153, Gender Aspects of Small-scale Private Irrigation in Africa IWMI, Gender dimensions of community-based groundwater governance in Ethiopia: using citizen science as an entry point Gender policies and implementation in agriculture, natural resources and poverty reduction: case study of Ghana's Upper East Region Building resilience through sustainable groundwater use Exclosures for Ecosystem Restoration and Economic Benefits in Ethiopia: A Catalogue of Management Options A generation on the move Voices of youths in the context of Climate Change, Migration, and Livelihood Transition	Establishing a trustful dialogue	IHE strives to pursue interdisciplinary research, education and capacity development activities. In their approach to water governance they recognize the importance of both historical analysis, and the need to study water governance arrangements and processes in the contextual setting in which they unfold.	- Livelihood approach http://www.fao.org/in-action/water-for-poverty-in-africa/en/

² IWMI, Nicole de Haan, Fraser Sugden, Social Inclusion, Chapter 5, page 3. Available at: http://www.iwmi.cgiar.org/Publications/Books/PDF/setting_and_achieving_water-related_sustainable_development_goals-chapter-5-social_inclusion.pdf

Programme development phase	Both ENDS	Conservation International	GIZ	IWMI	SIWI	IHE	FAO
Monitoring, evaluation and learning	Checking participants lists	ABCG Freshwater Conservation and WASH Monitoring and Evaluation Framework and Indicators http://www.abcg.org/action/document/show?document_id=638		Mapping unintended impacts Spreading knowledge and lessons learned through research projects	Outcome mapping	IHE Delft underlines that they work as educators, researchers, and advisors on a wide variety of water questions; Talking to and understanding each other about dealings with water forces them to continuously make our own assumptions as explicit as possible and to keep on scrutinizing what we mean. Being forced to continuously compare and contrast different views and approaches also serves as an inspiration to develop a truly interdisciplinary water governance research and action agenda.	Programme of Work and Budget. http://www.fao.org/pwb/home/en/lessons/learned are discussed in Technical Committees (Com. On World Food Security, Com. Of Agriculture, Com of Forestry, Com of Fisheries) which gives recommendations on the Programme of Work.
Advocacy and policy influencing tools	Use of documented cases of good and bad practices						

ANNEX 2. Resource persons consulted in the partaking organisations

Resource persons	Function / Department	Organisation
Giacomo Galli	Policy and advocacy officer	Both ENDS
Colleen Sorto	Director of Development Partnerships	Conservation International
Patricia Mejias Moreno	Project Leader Land & Water Division, and and Water Division	FAO
Daniel Däschle	Fachplaner, Advisor	GIZ
Tatiana Acevedo Guerrero, PhD	Lecturer/Researcher in Politics of Sanitation and Wastewater Governance Department of Integrated Water Systems and Governance	IHE Delft
Julie van der Blik	Director, Partnership and Knowledge Management	IWMI
Therese Sjömander-Magnusson	Chief Operations Officer	SIWI

ANNEX 3 List of references and relevant documents

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ANNEX 4. Questions for semi-structured interviews

GENERAL SOCIAL INCLUSION STRATEGY FOR WATER RESOURCES MANAGEMENT AND OR IWRM SPECIFIC PROGRAMS AND PROJECTS

1. Could you briefly describe the work and objectives of your organisation? What is your role within the organisation?
2. How is water or IWRM positioned or addressed within the organisational priorities? E.g as a specific sector, or as a component or integrative part of another (broader) sector e.g natural resources management, nutrition and food security, agriculture etc?
3. What is the organisation's role in water resources management and or IWRM?
 - a. Thematic areas: Does your organisation, for instance, work on governance, enabling environment, or management plans?
 - b. Target groups: does your organisation, for instance, target policy-makers, watercourse organisations, communities, or special groups?
 - c. Type of activities: Does your organisation, for instance, do advocacy work, research, investments, or field projects?
4. Does the organisation have an *organisational policy* on social inclusion? If so, what does it entail?
5. Does the organisation have a dedicated social inclusion strategy for water resources management / IWRM?
6. Who are the excluded being prioritised by the organisation?
 - a. Does the organisation identify 'who' they consider the most "excluded"?
 - b. On what grounds are people identified as 'most excluded'?
 - Identification is on the basis of global, country-wide, or local level data on social exclusion?
 - Does the identification take place on the basis of grounds for exclusion, equal to discriminatory grounds including sex/gender, religion, ethnicity, disability, age, property, social status...)?
 - c. Does the organisation establish specific organisational targets for reaching the currently "excluded" target groups?
7. How does the organisation inform itself on exclusion? Does it collect data? Is there generally data available on forms and numbers of exclusion in water management at different levels?

WATER RESOURCES AND OR IWRM SPECIFIC STRATEGY AND PROGRAMMES

Assessment

8. How does the organisation inform itself on exclusion in the programme or project area? Does it collect and assess data?
 - a. Is there generally data available on forms and numbers of exclusion in water management or IWRM at different levels?
 - b. Does the programme design specify specific approaches or tools to assess social exclusion (and its root causes for social exclusion) in the programme or project area? (e.g. contextual analysis, identification of specific barriers to inclusion, etc.)
 - c. Does the programme design include approaches or tools to assess the possible negative impact of the programme or project on certain vulnerable groups?

Design/planning

9. How is social inclusion translated into programme design?
 - a. Is 'social inclusion' included as a general programme objective, or are specific targets outlined?
 - Are the objectives/targets focused at overcoming the "exclusion" gap?
 - Are the objectives/targets focused at addressing the root causes of exclusion?
 - b. Does the programme design specify specific approaches to achieve social inclusion? If so, could you give some examples?
 - Are specific measures or interventions included in the programme design to ensure that the identified 'priority-groups' are indeed included? If so, could you give some examples?
 - c. Does the programme design already envision strategies to monitor on social inclusion? If so, how?

Programme implementation

10. How does your organisation ensure that the 'socially excluded' are reached in the practical implementation of its programmes? Can you give some examples of practical measures?
11. If the programme design includes specific guidelines to integrate social inclusion into water resources management and IWRM programmes, how do guidelines translate into practical implementation? Can you give examples?
12. Looking at the implementation of your organisation's programmes, what are the main challenges/limitations when it comes to putting social inclusion strategies into practice?
 - a. At the level of your organisation, the communities, the parties you work with, or other factors?
13. What would you say are the most important practical interventions your organisation implements to promote social inclusion?
 - a. Can you identify steps or activities in the implementation phase that particularly drive social inclusion in your programme?

Monitoring, Evaluation & Learning

14. Does the organisation keep track on the results of the "social inclusion" dimension in water resources management and IWRM ?
 - a. Does the organisation set targets for reaching the most excluded?
 - b. If so, are the targets set at organisational level or for water resources management and IWRM specifically?
 - c. Are social inclusion indicators part of M&E frameworks? If so, what are they? (I.e. How is social inclusion translated into measurable indicators?)
 - d. Does the organisation use specific methods / M&E approaches or tools to track progress in improving on social inclusion in WASH-reducing inequities, in their programme monitoring and reporting systems?
15. How does the organisation learn from its experiences with addressing social inclusion?
 - a. Does the organisation have documented experience with social inclusion in the water resources management and IWRM sector reported on their website?
 - b. How are lessons learned used and do they influence the organisational policies and practices?

CONCLUSION

12. What are the main challenges and what are the main dilemmas in addressing social inclusion in water resources management and IWRM?
13. How could your organisation enhance inclusive programming for water management and IWRM? What would you consider the 3 main 'best practices' to ensure social inclusion in water resources management and IWRM programmes?
14. What organisation / agency do you regard as exemplary when it comes to ensuring social inclusion in water resources management and IWRM?
15. **Could you refer us to useful resources, best practices, tools or guidelines from your organisation or elsewhere that could be useful for our study?**
 - a. **Could you refer us to publications / data sources that collect, or give an overview of documented exclusion in the water management sector (at all levels – for each water use).**

Footnotes

- 1 Interviews with ADB, FAO and IHE are planned for the beginning of January and the results are not included yet in this preliminary report.
- 2 Dr Batchelor is a hydrologist and water management specialist. He is the director of Water Resources Management Ltd and an associated consultant to IRC. He has extensive experience as a hydrologist in integrated approaches to WRM and has published extensively on the topic of IWRM and water resource management.
- 3 <https://www.iwapublishing.com/news/integrated-water-resources-management-basic-concepts>
- 4 <https://www.iwapublishing.com/news/integrated-water-resources-management-basic-concepts>
- 5 <https://sustainabledevelopment.un.org/outcomedocuments/agenda21>
- 6 UN agencies, governments and major groups. Major groups include: business and industry, farmers, indigenous peoples, local authorities, NGOs, the scientific and technological community, trade unions, women, workers and youth.
- 7 SIWI, Cap Net and others, Human rights-based approach to integrated water resources management, training manual and facilitator's guide, page 41, available at: <http://www.siwi.org/human-rights-based-approach-iwrm-training-manual-facilitators-guide/>
- 8 *ibid.*
- 9 Customary law is a common rule or common practice that is, as the word 'customary' suggests, a traditional and accepted form of conduct in society (e.g. the laws, practices and norms of indigenous peoples and local communities). Page 5 HRBA
- 10 Social Equity and Integrated Water Resources Management, No. 15 (2011) https://www.gwp.org/en/learn/KNOWLEDGE_RESOURCES/Global_Resources/background-papers/ page 41
- 11 See text of Joyeeta Gupta, Professor of Law and Policy in Water Resources and Environment, at IHE Delft - available at: <https://www.un-ihe.org/water-law>
- 12 Social Equity and Integrated Water Resources Management, No. 15 (2011) https://www.gwp.org/en/learn/KNOWLEDGE_RESOURCES/Global_Resources/background-papers/ page 41
- 13 Identifying social inclusion and exclusion, at: <http://www.un.org/esa/socdev/rwss/2016/chapter1.pdf>
- 14 *ibid.*, page 18.
- 15 Louisa Gosling, Wateraid Report Framework, Equity and Inclusion, 2009
- 16 C. De Albuquerque, Handbook on the rights to water and sanitation, Booklet Principles.
- 17 Sara Ahrari, Leaving No One Behind in WASH Alliance programme Through adopting an Inclusion Lens, November 2016 page 4
- 18 *ibid.*,
- 19 *ibid.*, Page 13.
- 20 Catarina de Albuquerque, A Handbook, Booklet Introduction, page 30: www.ohchr.org/EN/Issues/WaterAndSanitation/SRWater/Pages/Handbook.aspx
- 21 United Nations Declaration on the Rights of Indigenous Peoples 2007, ILO convention Number 169
- 22 Art. 25 Universal Declaration of Human Rights, Art. 11 International Covenant on Economic, Social and Cultural Rights, Art. 6 International Covenant on Civil and Political Rights.
- 23 For example: Article 12 International Covenant on Economic, Social and Cultural Rights.
- 24 For example: Article 11 International Covenant on Economic, Social and Cultural Rights.
- 25 See for examples of international human rights law translated into national and local level laws, policies and regulations: WASH United, FAN, WaterLex, The human right to safe drinking water in law and policy - a sourcebook. Laws and policies guaranteeing the human right to drinking water and sanitation at the national, regional and international levels. Available at: www.wash-undated.org/files/wash-undated/resources/RTWS-sourcebook.pdf
- 26 The legal basis constituted in: The Universal Declaration of Human Rights states in article 1 that "All human beings are born free and equal in dignity and rights", and in article 2 that "Everyone is entitled to all the rights and freedoms set forth in this Declaration, without distinction of any kind.
- 27 Accountability is implicit in any human rights instrument, and reflected in numerous conventions, resolutions and declarations through clauses on inter alia access to justice and the right to an effective remedy and to provide for a legal framework with internal checks, oversight and responsibilities.

- 28 SIWI, Cap Net and others, Human Rights-based approach to intergrated water resources management, training manual and facilitator's guide, page 24, available at: <http://www.siwi.org/human-rights-based-approach-iwrm-training-manual-facilitators-guide/>
- 29 UN General Assembly Report of the Special Rapporteur on the human rights to safe drinking water and sanitation, 73rd session on Accountability: www.unwater.org/report-of-the-special-rapporteur-on-the-human-rights-to-safe-drinking-water-and-sanitation/
- 30 Inter alia; Article 21(a) of the Universal Declaration of Human Rights, Article 25 of the International Covenant on Civil and Political Rights (ICCPR), Article 7(b) and 14(2)(a) of the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW).
- 31 C. de Albuquerque, Realising the human rights to water and sanitation: A handbook, available at: <http://www.righttowater.info/handbook/>
- 32 Article 19 of the International Covenant on Civil and Political Rights (ICCPR), Article 19 of the Universal Declaration of Human Rights, Article 5(c) Aarhus Convention of the United Nations Economic Commission for Europe (UNECE).
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