



INTERNATIONAL HYDROLOGICAL PROGRAMME

Evaluation of the 2003-2004 Global Call for HELP Proposals

A report by the Evaluation Committee
to the International Steering Committee



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IHP Secretariat | UNESCO | Division of Water Sciences
1 rue Miollis, 75732 Paris Cedex 15, France
Tel: +33 (0)1 45 68 40 01 | Fax: +33 (0)1 45 68 58 11
E-mail: ihp@unesco.org
<http://www.unesco.org/water/ihp>

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1 INTRODUCTION

1.1 Implementing the HELP strategy

The HELP Task Force was established in 1999, following the 5th Joint UNESCO/WMO Conference on International Hydrology in Geneva, when it was agreed to establish a global network of catchments to improve the links between hydrology and society. They reported on “The design and implementation strategy of the HELP initiative” in January 2001. This sets out the aims of HELP, its management, its relationship with other international programmes and the proposed next steps. In November 2000 the HELP Interim Management Committee (IMC) agreed that a two-stage process of basin review would be adopted. A pilot phase reviewing unsolicited basins received up to the end of 2000 would be followed by a formally solicited call for basins after 2002. This formal call for basin proposals went out in 2003 and was evaluated in April 2004.

1.2 Pilot Basins 2001

A sub-committee of the IMC undertook a review of 24 proposed Pilot Basins at Wallingford in March 2001. The basins were provisionally classified as follows:

- Reference (Demonstration) basins – 1
- Operational basins – 5 in total
- Evolving basins – 13 in total
- Proposed basins – 5 in total

UNESCO sent out a report by the Wallingford Group in May 2001 to the 24 participating basins and other HELP members. Reports on the review process and from participating basins were presented at the HELP Symposium, Kalmar, Sweden, in August 2002. The pilot phase was successful in testing out the evaluation criteria and procedures. Two-thirds of the pilot basins were resubmitted in 2003 and were found to have progressed at least one step in most cases. This was a valuable benchmarking exercise.

2 GLOBAL CALL 2003-04

2.1 Evaluation Committee

The HELP International Steering Committee (ISC) met in Bonn in May 2003. They updated the evaluation criteria (See Annex 1) in the light of experience from the pilot phase and agreed to appoint a small Evaluation Committee (EC) to assist with preparing and assessing the 2003-04 Global Call. Terms of Reference set for the EC are given in Annex 2. In June 2003 UNESCO appointed a four-man Evaluation Committee:

- Peter Herbertson (Chairman), Director, Sustainable Water Management, UK
- Shahbaz Khan, Director of Research, Land and Water Division, CSIRO, Australia
- David Moody, Director, Beaver Woods Associates, USA
- Alistair Rieu-Clarke, Research Associate, IWLRI, Dundee, UK

The EC combined a wide range of technical and geographical experience; Peter Herbertson was also a member of the 2001 Wallingford review team for pilot basins. The Global Call and administration was organised by Marie-Camille Talayssat of UNESCO.

2.2 Designing the proposal document and evaluation criteria

The EC's first task was to design a structured proposal document. For the pilot phase unsolicited proposals came in a variety of formats, making it difficult to apply a standard set of criteria for evaluation. Using the ISC's evaluation criteria as the starting point, the EC designed a proposal form that explicitly incorporated the evaluation criteria, so that proposers could see clearly what is expected of a HELP basin. The guidance for the proposal form and evaluation criteria is shown in Annex 3. In developing the evaluation criteria and proposal form the EC received many helpful comments from Regional Coordinators and members of the ISC. UNESCO sent out the formal letter of solicitation in October 2003 (Annex 4), requesting submissions by 31st January 2004.

2.3 Promotion and response

Around 900 letters of solicitation were sent out by mail and Email and the Global Call was advertised on the UNESCO / HELP website. About 100 interested proposers responded by registering their interest, and 76 proposals were finally received. The EC were pleased to note that 90% of all submissions were classifiable, with only a tiny minority failing to follow or misunderstanding the guidance given.

The basins are distributed between the developed North (North America and Europe) and the South (rest of the world) in the approximate ratio 40: 60. The basins reflect a vast range of geographic and demographic properties, from the Aral Sea basin with five countries (1.6m sq km and population 42.5 m) to the Talise basin in Vanuatu covering 6 sq km and 400 people. Of the basins incorporated into the HELP network, ten basins were larger than 100,000 sq km and ten were less than 1,000 sq km. Twenty two basins had populations greater than 1 million and twelve basins had populations less than 100,000. This is a remarkably diverse set of river basins, providing a wide range of challenges and opportunities for developing HELP and IWRM globally. Figure 1 shows the geographical distribution of proposals received.

Figure 1 Map showing distribution of HELP basin submitted



3 EVALUATING PROPOSALS

3.1 Review process

The proposals were divided into four regional groups, each of which had a principal evaluator and a second opinion evaluator. Each EC member reviewed a quarter of the total proposals as principal reviewer and a quarter as second opinion reviewer, covering two regions. Thus two people independently scored the 20 criteria in each basin. Proposals were generally between 15 and 30 pages

long and took from 3-4 hours to score initially, including completing a four page pro-forma summary of comments and recommendations for the feedback reports to be sent to each basin. These were completed before the EC met for quality assurance meeting in Bonn in April 2004. During the quality assurance meetings the principal and second opinion evaluators worked in pairs to compare notes. In around 70% of basins the two independent scores were within 10%, indicating a robust scoring system and close agreement within the four man EC about HELP values. Most time was spent on basins with larger score differences and some cases were discussed in plenary session by the whole group. The EC devoted most time in preparing comments and recommendations to go back to each basin. The notes prepared by the EC were used after the meeting to prepare individual two-page feedback sheets for each basin. Taking into account time spent by the EC before, during, and after the EC meeting it is estimated that around 10 man-hours was spent on each basin proposal, totalling 22 man-weeks of effort over seven months.

The issues that were evaluated covered:

- Part I: Suitability of proposing organisation and river basin for inclusion in HELP programme (3 criteria).
- Part II: Relevance of the stated issues, purposes and outputs to the HELP programme (4 criteria).
- Part III: Adequacy and feasibility of the proposed activities (6 criteria).
- Part IV: Confirmation of commitment to providing resources and cooperation (5 criteria).
- Part V: Contribution to promoting HELP values (2 criteria).

Around two-thirds of the 20 evaluation criteria are directly, or indirectly, related to aspects of governance and management. During evaluation it was found necessary to add two more classifications:

Associated HELP Activity (AHA) – an activity that contributes important information, expertise and services to the HELP programme, either in a particular basin, in a region, or globally, but does not engage in the actual management process of a specific basin. (2 out of 76)

Unclassifiable – a proposal that did not provide sufficient information in the format of the nomination document to enable it to be classified consistently alongside other basins. (7 out of 76)

The EC subsequently recommended the adoption of these two classifications to the International Steering Committee in September 2004. They decided that the AHA classification did not make sufficient contribution to the development of the HELP philosophy for promoting practical research in IWRM at river basin level. The classification will therefore be discontinued for future evaluations. It is recommended that the two current AHA proposals be resubmitted with a revised focus. They both have potential to make a useful contribution to the HELP programme.

3.2 Coordination Meeting in Bonn

The Evaluation Committee met in Bonn from Monday 19th the Thursday 22nd April 2004, using the excellent meeting facilities provided by the UNESCO Centre for Technical and Vocational Education and Training (UNEVOC). Basin classifications were discussed on Monday and Tuesday and preliminary conclusions were finalised and discussed with Dr Mike Bonell on Wednesday. On Thursday the EC made a presentation to Ambassador Dr Ganns, representing the city of Bonn. The German Federal Ministry for Science and Research and the Ministry for Science and Research of the Federal Land of North Rhine-Westphalia are considering providing resources for a HELP Global Coordination Unit in Bonn. The EC held a closing meeting to agree next steps in finalising reports and disseminating results.

4 RESULTS OF EVALUATION

4.1 Final classification

76 proposals were received from all over the world and 69 of these were classifiable. Table 2 shows the distribution of basins by region and the final classifications.

Table 2 Regional classification of HELP basins						
Region	Basins Total	Demonstration	Operational	Evolving	Proposed	AHA

Africa	14	2	4	4	4	
Asia	13		4	6	3	
Australasia	5	2	2	1		
Latin America and Caribbean	5		3	1	1	
Europe	21	1	11	5	3	1
Middle East	2			1	1	
North America	9	2	4	2		1
Total	69	7	28	20	12	2

The Demonstration and Operational basins each have several years of practical experience of working within the HELP framework. In some cases longstanding scientific programmes have been developing further through the application of sustainability and good governance. The HELP initiative provides them with international recognition of progress achieved in this new direction. The high proportion of Operational basins in Europe is a result of developments in the European Union. Many of these projects have benefited from EU funding, or national funding linked to EU legislation. Most projects in the South are linked to local recognition that water problems are best approached through Integrated Water Resources Management (IWRM).

4.2 Lessons learnt

The lessons learnt from the evaluation were discussed in the Bulletin that was sent out to HELP participants in May 2004 (Annex 5). They are summarised as follows:

North – South : Around 60% of proposals came from basins in the South, often driven by a strong interest in developing IWRM; several research programmes in the South were being supported by institutions from the North.

Proposers: Most project teams were from universities or research institutions, with only a few members from government water agencies; HELP needs to promote its aims to government departments.

Water Management Agencies: Relatively few river basin agencies were closely involved in HELP; these are important target groups for HELP.

Stakeholder participation: Most basins needed to do more work with stakeholders and involve them in decision making from the outset of the programme.

Defining HELP issues: Although most proposals did a good job in defining issues in their basin, this was not always reflected in the programme of activities. Awareness of issues should translate into appropriate research activities.

Purpose, outputs and activities: A project management framework was introduced into the proposal document, but the distinctions between purpose, outputs and activities were not well understood. This needs explaining better in the next call.

Project plans: These were very variable, sometimes not really reflecting project purposes; these need more consideration and guidance in the future.

Monitoring and evaluation: Most projects made provision for regular annual monitoring and reporting. It is recommended that stakeholders are involved wherever possible and that there is a 5-yearly external review of the project.

Project teams: The composition of project teams was revealing, particularly of interdisciplinary working, inclusion of “soft” sciences (or social arts), the inclusion of local staff and of administrative capacity.

Budgets and funding: Most Operational basins had secured substantial budgets from a variety of sources, but many Proposed and Evolving basins need help in developing robust and convincing business plans.

Twinning: There are a number of opportunities for twinning between Demonstration / Operational basins and Evolving / Proposed basins. This is seen as a practical and effective way of promoting HELP objectives and supporting developing basins, but implies that the richer Demonstration / Operational basins need to budget for providing twinning support.

Indicators: Several basins are using indicators to monitor HELP impacts and this should be more widely developed. In a number of basins in the South it may be appropriate to work with indicators being developed by the World Water Assessment Programme.

Areal scale: With basin size varying from 6 sq km to over 1m sq km, programme objectives varied considerably. A few basins started with a small scale pilot sub-basin, allowing close contact with stakeholders, and then applied the lessons learnt to the larger main basin.

Timescale: Most Proposed and Evolving programmes were planned for 3-4 years only, reflecting a realistic time span for funding. There is a need to identify some HELP basins that are suitable for monitoring progress towards the Millennium Development Goals in 2015.

World Water Assessment Programme: There is considerable synergy between the WWAP and HELP; closer collaboration is recommended.

4.3 Outputs from the Evaluation Committee

In accordance with their contracts the EC have produced the following outputs:

- Working notes and scoring sheets for 76 proposals (confidential to EC members)
- Information sheet for German Federal Government: "Putting People at the Heart of HELP"
- Bulletin from the Evaluation Committee, May 2004, sent to all proposers
- Individual comments and recommendations (2 pages) sent to each of the 76 basins
- PowerPoint presentation to AWRA (American Water Resources Association) / IWLRI (International Water Law Research Institute, University of Dundee) conference, Dundee, August 2004 (http://www.dundee.ac.uk/law/iwlri/Conferences_IWLRI_2004_Home.php).
- Paper for AWRA / IWLRI conference, "Promoting Good Governance through HELP."
- Report to the International Steering Committee (this paper).

5 CONCLUSIONS

The quantity and quality of proposals received in response to the Phase II HELP Global Call 2003-04 has far exceeded expectations. There are encouraging signs of progress being made by the original Phase I Pilot basins of 2001. The nomination document guidelines have been well understood and correctly applied in the vast majority of proposals. HELP can now demonstrate a substantial and varied network of basin programmes all over the world, with researchers that enthusiastically subscribe to the HELP philosophy.

There is clear evidence of increasing numbers of researchers wishing to apply their knowledge and skill to real life problems in the developing world. In the South, there are a small number of HELP basins that have research activities that are rather remote from the needs of local communities, but those basins that have fully grasped the challenge of improving livelihoods outnumber them. HELP has proved attractive to a number of organisations outside the conventional hydrological research community and they have much to offer through their experience of community participation.

6 RECOMMENDATIONS FOR NEXT STEPS

The successful 2003-04 Global Call has demonstrated widespread interest in HELP and created considerable momentum that should not be lost. It is essential that the next steps be planned and

implemented in an effective manner and without delay. The EC has reviewed progress to date against the 2001 implementation plan and recommends that a number of the steps proposed at the time should now be addressed.

6.1 Progress since 2001

The 2001 Implementation Strategy set out the next steps as they saw them at the time:

- Phase 1 - Developing the Strategic framework
- Phase 2 – Establishing an operational plan
- Phase 3 – Implementing catchment projects
- Phase 4 – International reporting

The strategic framework has been established and a number of activities in the remaining three phases have been achieved. However, several key steps are outstanding and should now be taken up as a matter of some urgency:

Phase 2 – Establishing an operational plan

Priorities still outstanding include:

- Secure budget and timetable for establishing an international plan;
- Establish a HELP Secretariat;
- Negotiate international partnerships for promoting and funding HELP;
- Establish HELP advisory, review and accreditation procedures (part complete).

Phase 3 – Implementing catchment projects

The 34 Demonstration and Operational basins are effectively implementing HELP principles and much has been achieved since 2001. Outstanding actions for implementation now include:

- Specialised workshops to guide the implementation of HELP;
- Annual basin progress reports submitted to HELP Secretariat.

Phase 4 – International reporting

This phase relies on the previous establishment of an international Secretariat. Although there is an effective HELP website, it is recommended that the secretariat produce:

- Bi-annual global reports of HELP catchment outputs;
- A synthesis report to HELP programme partners on progress in meeting HELP objectives.

6.2 Specific EC recommendations

Based on the experience of reviewing the 2003-04 Global Call basins, the EC offer six specific recommendations.

1. Preparing a HELP Strategy and Business Plan (2005-10)

The implementation strategy is now due for an update, taking into account recent experience. The Global Call has achieved a HELP network of sufficient critical mass to represent a significant asset in negotiating with international agencies for funding and partnerships. The recommended activities now need to be costed and a five-year business plan developed, so that it can be used as a marketing document to secure funding from international agencies such as the World Bank, ADB, UNDP and the EU etc. Funding should be available for:

- Global Secretariat
- Regional Coordinating Units
- International workshops
- Training for basin staff

2. Establishing a Global HELP Secretariat

The EC consider that the absolute minimum requirement for a Global Secretariat is a six person team comprising:

- A global HELP director (strategic direction and management)
- A programme officer (coordinating workshops, conferences etc)
- A knowledge broker (managing publications and website)
- A communications officer (public relations, publicity and promotion)

2 secretarial, administrative and operational support staff

This is estimated to cost around \$1million at 2004 prices, including business overheads. The EC recommends that ideally a secretariat should be located with good geographical access to those HELP basins in the South needing the most support.

3. Developing Regional Coordination Units: The present RCUs are located in USA (for North America), Ecuador (for Latin America and Caribbean), and Australia (for Australasia). The capacity and available resources in each RCU are variable, some richly endowed, others less so. Part of the HELP strategy would be to review the achievements and objectives for the RCUs to confirm their role and required resources. The EC strongly advocates the development of regional centres which have dedicated resources and the capacity to provide support and training to local basins where required.

4. Providing support to Proposed and Evolving basins

There is a considerable need for support to Proposed and Evolving basins, particularly in topics such as project planning and management, budget planning, seeking funding sponsors, social marketing and working with stakeholders. Informal advice is sought from experts experienced in HELP type programmes, who could either be independent consultants, or be made available from other Operational or Demonstration basins. As the HELP programme develops training guides should be prepared on topics of common interest. Another means of support is to arrange regional workshops on specific topics, inviting representatives from all classes of basin. This should be a key element of the updated strategy and long-term plans should take into account facilities provided by other organisations offering similar training in IWRM, for example the UNESCO – IHE International Institute for Water Education, Delft.

5. Establishing review procedures for Demonstration and Operational basins

For those basins that were represented at the pilot stage, the EC compared their 2003-04 submissions with their 2001 submissions. In most cases clear progress was made in two years and it was encouraging to see progression to a more experienced classification. If HELP accreditation is to maintain its value then regular independent reviews are recommended every 2-3 years. This would be similar to ISO 9001 quality management accreditation procedures. In addition, a simple self-audit protocol should be developed that can be included in an annual report from the HELP basin to the RCU /Global Secretariat.

6. Preparing for the HELP Global Call 2005-06

To maintain momentum for basins that are currently Proposed, Evolving, or Unclassified, or that missed the submission deadline, it is recommended that the timetable for the next Global Call be announced soon. Twenty -five of the basins that expressed an initial intention to submit a proposal either failed to submit or were too late for inclusion. It is also recommended that there is a revised guidance document that draws on the experience of the existing basins and is a more general guide to HELP and IWRM principles. This should be available at least six months before the closing date for the receipt of new proposals. It is also recommended that there is a survey of proposers feedback on the 2003-04 Global Call. This will indicate amendments needed for the next Call.

REFERENCES

International Hydrological Programme, 2001. The Design and Implementation Strategy of the HELP Initiative. UNESCO-Paris Technical Documents in Hydrology, No 44.

ANNEXES

Annex 1 - Revised HELP criteria, recommended by the ISC, Bonn, 2003.

Annex 2 - Evaluation Committee for proposed HELP basins: Terms of Reference, 2003.

Annex 3 - Guidelines for Preparing Nomination Document for HELP Basins, October 2003.

Annex 4 - Letter of Solicitation, 21 October 2003.
Annex 5 - Bulletin from the Evaluation Committee, May 2004.
Annex 6 - Basin categories by region.
Annex 7 – Sample feedback letters; one for each category.

Annex 1 - Revised HELP criteria, recommended by the ISC, Bonn, 2003.

PROBLEM STATEMENT

- What are the issues, in terms of policy, management, hydrology, environment, socio-economic variables? (How do the issues fit with the HELP focal areas of (i) water and food, (ii) water quality and human health, (iii) water and the environment, (iv) water and climate, (v) water and conflict?)
- Expected project outcomes and deliverables. What innovative techniques/methods are anticipated to be used that would improve conditions through changes in water management? How do the outcomes relate to stakeholder objectives, new policy and law and advances in hydrological science ?
- Who benefits? How is the HELP process anticipated to yield improved decisions as compared with more traditional decision making? What is the value added from this project?

STATES OF COMMITMENT

- By the relevant government agencies, by way of statement of support.
- By the institutions conducting the research, committed to interdisciplinary collaboration and data sharing between HELP basins.
- Agency commitment to define in-kind services, e.g. data, technical expertise, instrumentation, and/or implementation.
- By the funding agency(s) supporting the project and/or proposed arrangements for funding/identification of proposal for funding.
- By the team, including the member expertise, experience, infrastructure, operating principles or mission statement of affiliated institutions, and interdisciplinary composition.
- The participation of all disciplines including hydrologists, other water-related scientists, water related social scientists, water resource managers and water law and policy experts .
- Active participation and empowerment of stakeholders.

STATEMENT OF PROPOSED ACTIVITIES

- Outline of the project design
- Schedule of proposed activities which are expected to include timelines – define milestones
- Baselines conditions (where are you starting from, i.e. benchmarks, including past studies and history of water management/policy, the use of stakeholder knowledge)
- Identification of stakeholders (key representatives and existing networks, and identification of barriers/conflicts)
- Promotion of stakeholder involvement and anticipated stakeholder meetings (with objectives)
- Planned workshops (with objectives)
- Dissemination of information/technology transfer plans
- Anticipated impacts and indicators or other measures of success in achieving improved transparency of IWRM.

Annex 2 - Evaluation Committee for proposed HELP basins: Terms Of References

1. The evaluation committee will consist of a minimum of 4 persons (a water related manager, policy-maker, scientist and legal expert)
2. The Evaluators will review all the basins proposals submission to be part of the HELP network following the criteria specified on the attached checklist (Annex A).
3. The Evaluators will also assess the progress made by the pilot basins on the basis of their re-submitted proposals.
4. Evaluators will receive a modest honorarium and all travel and accommodation costs for at least one meeting.
5. The New Regional Coordinating Units (see Annex B for details) will be involved in the evaluation process. They will be acting as focal points for coordinating proposals prior to sending them to the HELP Global Secretariat in Paris. This will enable them to comment/encourage contributors to revise their proposals.
6. The letter of global solicitation for new and revised HELP proposals for submission will be circulate on the 12 September 2003 and the deadline for submissions will be 5 December 2003. The submissions will be transmitted to the Evaluation Committee by the HELP Global Secretariat (C. Talayssat).
7. The Evaluation Committee will have to complete the evaluation and present its outcomes in written form to the HELP international Steering Committee before the joint HELP-Global Change Bonn Conference, "North-South Analysis of Global Change Impact on Watersheds", 1-3 March 2004.
8. The Evaluation Committee's report should include specific comments on each basin submitted that are suitable for feeding back to the basin nominator.

Annex 3 - Letter of Solicitation

October 21, 2003

Dear Colleagues,

Re: Subject: Global Solicitation of Hydrology for the Environment, Life and Policy programme (HELP) basin Proposals – Deadline 31st January 2004

In August 2002, the first international HELP Symposium (“Towards integrated catchment management: Increasing the dialogue between scientists, policy makers and stakeholders”, 18-22 August 2002, Kalmar, Sweden) provided an opportunity to review recent progress within several basins of HELP’s Pilot Phase global network. The results of this meeting also enabled the 3rd Session of the HELP International Steering Committee (ISC) (hosted by ZEF, University of Bonn, Germany, 5-7 May 2003) to review and amend the Selection Criteria for HELP basins previously adopted for use in the programme’s Pilot Phase. The ISC believes that HELP is now ready to extend its global network and invites you to submit proposals for HELP basin projects.

HELP, through its multi-disciplinary approach is taking on the challenge of how best to implement integrated land and water resource management within real basins. It is a programme of research that is centred on ‘user-driven’ science in order to better address the priorities of stakeholders, policy-makers, and managers. Background information on the origins of HELP, policy and scientific issues addressed, recent activities, and examples of submissions from selected HELP basins projects may be found on the UNESCO IHP Portal (<http://www.unesco.org/water/ihp/help>) under “You and HELP” and “About HELP.”

HELP basin proposals should follow the Nomination Document (Attachment A). Guidelines for preparing nomination for HELP basins are also attached (B). To assist the preparation of proposals we also provide an updated example which has been prepared by the Lower Murrumbidgee HELP basin (Attachment C)

In addition, the ISC requests that basins within the existing Pilot Phase network update their existing proposals on the basis of more recent work and resubmit them. The revised proposals will provide an indication on the nature of progress that has been made. Since the launching of the Pilot Phase in May 2001, HELP has received additional proposals or expressions of interest from over 30 drainage basins who wish to participate in the programme. Although some of these basins have already submitted proposals, the ISC would like this group to either update them or develop full proposals (which ever is appropriate), using the Proposal Form.

The Next Steps:

HELP has assembled a small Evaluation Committee to review the HELP basins proposals. In view of the pending work load, we have secured the agreement of two senior eminent persons who are familiar with the HELP programme since its inception and who are also in a position of having more time to undertake this arduous task, viz: Peter Herbertson (independent consultant, formerly of the UK Environment Agency with experience also in the Caribbean, Africa and Asia) to lead the team supported by David Moody (retired, formerly of the U. S. Geological Survey, consultant to the Organisation of American States, past President of the American Water Resource Association (AWRA) and who has strong interests in Latin America). These persons will be supported by Shahbaz Khan (CSIRO, Australia) (who represents one of the HELP Regional Coordinating Units) and Alistair Rieu-Clarke, University of Dundee, International Water Law Research Institute – IWLRI, UK.

The Committee has already developed a simple evaluation scheme based on the Selection Criteria and building on the classification scheme previously adopted for the Pilot basins, with the exception that the term ‘Reference’ be replaced by ‘Demonstration’. For your information, the scoring scheme is included to the Guidelines.

At the regional level, guidance in the implementation of HELP is progressively being supported with the assistance of Regional Co-ordinating Units (RCUs). The global coverage of RCUs is still not complete and those recently established are not all yet fully operational (Attachment D). However, those river basins within the geographical areas of an existing RCU, should make contact and exchange on their proposals. At a minimum, each RCU could provide comments on their proposals.

All proposals should reach Paris by 31st January 2004 and should be addressed to the attention of my assistant, Camille Talayssat, as follows:

Ms. Camille Talayssat
HELP Proposals
UNESCO Division of Water Sciences
1 rue Miollis

75732 PARIS CEDEX 15
FRANCE

E-mail: c.talayssat@unesco.org Phone: + 33 1 45 68 39 96 (or 97) FAX: + 33 1 45 68 58 11

This schedule should allow proposal authors to address the Selection Criteria and, for those that are able, to communicate with their respective RCU. To summarize the proposal process:

- Call for global solicitation of HELP basin proposals distributed on 31st October 2003. This includes a request for basins participating in the Pilot Phase to update their profiles as well as those additional group of basins that have already lodged with us an Expression of Interest or expanded proposals.
- All key partner agencies and IHP/National Committees notified of the Call for proposals on 31st October 2003
- Where appropriate, basin nominators should exchange with the Regional Co-ordination Unit or Camille Talayssat in UNESCO Paris.
- Proposers should pre-register their proposals by 30th November 2003, confirming by e-mail to Camille Talayssat at UNESCO that they will be making by a certain date and no later than 31st January 2004. It is preferred that you submit in English, as a Word document and by e-mail. If you need to submit in another language, or in a paper format, you must state that at this pre-registration stage.
- All pre-registered proposals will be publicised on the HELP website by early December 2003.

HELP basin proposals received **no later than 31st January 2004** (c/- Camille Talayssat, UNESCO Paris)

- Evaluation Committee meets at the end of March 2004 to review proposals
- Evaluation Committee reports findings to the 4th HELP ISC meeting by circular e-mail by May 2004.
- Classification of the HELP proposal will be publicized on the HELP website in June 2004.

For the most part, HELP projects will have to draw upon existing, national, regional or international financial resources for support. At the moment, there are no additional financial resources available. However, endorsement as part of the global HELP network may assist individual basins in their search for additional financial support at a national or regional level. Some existing Pilot basins have recently reported to us such success stories. That is through their international recognition by participating in HELP, has enabled 'the leverage' of additional financial support at the national level. In addition, the expansion of the existing Pilot Phase will continue to facilitate global networking of information and technology-transfer between the HELP basins.

We look forward to receiving your HELP basin proposals submissions and your participation in HELP.

Yours Sincerely,

Mike Bonell

Chief of Section, Hydrological Processes and Climate Division of Water Sciences, UNESCO
Global coordinator of the FRIEND and HELP programmes

Annex 4 - Guidelines for Preparing Nomination Document for HELP Basins

Background to the HELP River Basin Programme

The HELP programme was launched in 2001 through the establishment of a Pilot Phase based on 25 HELP Pilot Basins that were unsolicited. The International Steering Committee (ISC) of the HELP programme met in May 2003 in Bonn, Germany and requested the extension of the HELP network through a formal global call for HELP basins.

In the next future, several workshops and meetings are planned including: a HELP forum on best practices in integrated water management linked with the Commonwealth Agricultural Conference, "Power of Water", to be held in Albury, Australia, March 2004 ; a HELP session within the International Conference on Integrated Water Resources Management in Vulnerable Ecotype which that will be convened in August 2004 in Xinjiang, China ; a session dedicated to the HELP programme during the American Water Resources Association in cooperation with the International Water Law Research Institute, IWLRI-University of Dundee, International Specialty Conference entitled " Good Water Governance for People & Nature: What roles for Law, Institutions & Finance?", 29 August-1 September 2004, Dundee, Scotland.

The purpose of these guidelines

The HELP Basin Nomination Document should be completed in accordance with these guidelines. They explain the background to the HELP nomination process, the method of evaluation and give instructions for submission to the appropriate HELP Programme Office.

Programmes and projects

As the HELP initiative progresses with establishing a network of catchments to improve the links between hydrology and the needs of society, it is appropriate to think of it as a programme of work.. There are goals, purposes, outputs and activities, with monitoring and evaluation at every stage. Some river basin nominations may describe a wide ranging, high level, **HELP programme** of activities in the basin by many different stakeholders. Other Nominations may take a narrower, more in depth, approach which may be regarded as a **HELP project**. In the Guidelines programme and project are used interchangeably. Individual Nominations are asked to stick to which ever is the most appropriate term for their proposal

Classification and review of HELP river basins

The evaluation process will place a proposed HELP basin in to one of four groups of HELP River Basins. Demonstration and Operational basins have maturing HELP programmes and are committed to sharing best practice. Evolving and Proposed basins have developing HELP programmes and will welcome examples of best practice.

In the future it is planned to coordinate an external peer review process for HELP river basin programmes to monitor and evaluate progress against the original Nomination Document. The basin could then be reclassified in accordance with the measured progress. It is expected that participating river basins carry out such a review at least every five years.

Group P: Proposed HELP Basin Additional information is needed to re- classify this basin.

A Proposed HELP basin

- may need to provide more detail for various aspects described in the Nomination Document.; may not have yet have achieved any initial operational activity.
- may not have yet begun full stakeholder involvement;
- may have identified too few or too narrow a range of the HELP key issues;

may also need to provide further information about official endorsement, support and funding commitments.

Group E: *Evolving HELP basin* This is a basin which is not yet fully operational.

An Evolving HELP basin has successfully completed its Nomination Document and

- has demonstrated initial progress and commitment to develop the basin in accordance with HELP principles;
- has plans to involve stakeholder groups in regular meetings for HELP basin management;
- has budgetary and stakeholder commitment secured and is awaiting implementation;
- has a comprehensive project plan for proposed activities with timelines and milestones;
- has plans for workshops, regular reporting, publications and web site ;
- may become operational following at least one year's implementation of the project plan;
- may solicit external support, if local resources do not suffice.

Group O: *Operational HELP Basin.* This is an established basin which may become a World Demonstration Basin in due course.

An Operational HELP basin has had all the characteristics of an Evolving Basin and

- has implemented the HELP philosophy;
- has involved most HELP stakeholder groups in basin management;
- is substantially functioning across several HELP key issues in an integrated manner;
- demonstrates an active interface between science and water managers, and society;
- has established mechanisms for unrestricted information and data access and exchange;

follows the WMO Resolution 25 on international exchange of hydrological and related data..

Group D: *World Demonstration HELP Basin* This is seen as demonstrating best practice in HELP and IWRM, with something to offer other basins.

A World Demonstration HELP Basin has all the characteristics of an Operational Basin and

- has a high quality web site and a response facility for requests for information;
- is prepared to partner, cooperate with or engage in a twinning agreement with another HELP Basin;
- is able to provide facilities for local seminars and / or visits from other HELP Basins;
- is able to promote and attract sponsors for the HELP concept;
- addresses problems in all of the five HELP key issues areas;
- has a wide and varied range of stakeholders, including water resource managers, scientists, national and local government, private sector and NGOs.

The Evaluation Process

Evaluation of proposed HELP river basins is a process of peer review, with the primary aim of promoting HELP objectives and values. The process seeks to encourage those responsible for developing, implementing and evaluating HELP programmes. The evaluation scoring system has been designed to identify the key issue for a HELP programme. The scoring system also seeks to identify excellence. The scoring is not intended to be seen as though it were a marking scheme for exam papers, research proposals or contract tender documents, although elements of these other purposes may be evident.

The evaluation seeks to address the proposed programme itself. The style and presentation of your entries in the Nomination Document itself is important, but secondary. Guidance may be available from RCUs or HELP Secretariat for those whose working language is not English.

The Evaluation Criteria and scoring

Each of the five parts of the Nomination Document will be evaluated in accordance with the stated Evaluation Criteria (EC). There will be a total of 20 criteria, each scored from 0 to 5 points.

- 0 = Not addressed
- 1 = minimal / low
- 2 = below average
- 3 = adequate / fair
- 4= good
- 5= comprehensive / outstanding

The evaluation scoring of the Nomination Document is summarised as follows:

Part I	Suitability of the proposing organisation and the river basin for inclusion in the HELP world wide programme.	3 ECs
Part II	Relevance of the stated purposes to the HELP programme.	4 ECs
Part III	Adequacy and feasibility of the proposed activities.	6 ECs
Part IV	Confirmation of commitment to providing resources and cooperation	5 ECs
Part V	Contribution to promoting HELP values	2 ECs
Total Evaluation Criteria		20

The 20 individual criteria are explained below. The individual ECs may not carry equal weight. The EC score will be the main indicator for classifying a HELP river basin into one of four groups, but there will not be a fixed “pass mark” for each group. However, highest scores will indicate group D and lowest scores group P.

In completing the Nomination Document you are advised to be open about weaknesses against Evaluation Criteria. Highlight those areas where you seek guidance from the HELP programme to move to another HELP classification.

Description of Evaluation Criteria:

Overall evaluation criteria for Part I:

Suitability of the proposing organisation and the river basin for inclusion in the HELP world wide programme.

Evaluation criteria 1.1:

The lead and sponsoring organisations have the authority, responsibility and influence to promote HELP and IWRM within the basin.

Evaluation Criteria 1.2: The description of the basin properties demonstrate its suitability as a HELP basin and an understanding of its physical, environmental, institutional, economic and socio-cultural context, including identification of stakeholders and conflicts.

Evaluation Criteria 1.3: Baseline data and information is readily available between stakeholder organisations.

Overall evaluation criteria for Part II:

Relevance of the stated purposes to the HELP programme.

Evaluation criteria 2.1: Issues addressed by the project are relevant to HELP program goals for policy, management, hydrologic science, the environment, and human socio-economic well-being and to at least two, and preferably more, of the five HELP Policy issues.

Evaluation criteria 2.2 : Issues addressed by the project promote organisational change and capacity building.

Evaluation criteria 2.3: Principal purposes include **explicit** improvements in water management, science, policy, or law.

Evaluation criteria 2.4: Outputs contribute to the principal purpose and demonstrate best practice in water management and innovative techniques in hydrologic science.

Overall evaluation criteria for Part III:

Adequacy and feasibility of the proposed activities.

Evaluation criteria 3.1: Project activities provide well planned opportunities for interactions between the four main HELP components, to achieve a measurable impact on IWRM in the basin.

Evaluation criteria 3.2: Baseline conditions from which to measure progress are well defined and described;

Evaluation criteria 3.3: Project activities are likely to be effective in promoting stakeholder participation, including stakeholder analysis and consultation meetings.

Evaluation criteria 3.4: Project activities includes plans for dissemination of information and/or technology transfer, including workshops and web publishing.

Evaluation criteria 3.5: The project schedule covers all of the listed activities and has realistic products, timescales and milestones.

Evaluation criteria 3.6: There are convincing plans for monitoring and evaluation, with appropriate use of indicators. There is a plan for a five yearly external review process.

Overall evaluation criteria for Part IV:

Confirmation of commitment to providing resources and cooperation

Evaluation criteria 4.1: The proposed project team reflects a commitment to interdisciplinary collaboration, including hydrologists, other water related physical, social, environmental and biological scientists, water resource managers, economists, water law and policy experts.

Evaluation criteria 4.2: Team members have made the necessary commitment of time and possess the breadth and depth of expertise that will be needed to carry out the proposed activities.

Evaluation criteria 4.3: The list of supporting partners and benefiting stakeholders in the basin demonstrates that there is an effective commitment to improving IWRM and livelihoods in the river basin.

Evaluation criteria 4.4: Letters or other indications of commitment have been obtained from all relevant government, intergovernmental, or quasi-governmental agencies and other organizations.

Evaluation criteria 4.5: Institutions, agencies and/or organizations have committed a sufficient combination of funding and in-kind resources and services to carry out the proposed activities.

Overall evaluation criteria for Part V:

Contribution to promoting HELP values

Evaluation criteria 5.1: Special factors that will contribute to the stronger and wider promotion of HELP values.

Evaluation criteria 5.2: Overall balance, quality and imagination in the proposal as a whole.

How To Complete the Nomination Document

Completing the Nomination Document is an important part of the HELP learning process. By following these guidelines, we hope you will benefit from world wide experience in HELP methodologies. We suggest you use the following steps:

1. Read these Guidelines and the Nomination Document carefully, paying particular attention to the Evaluation Criteria.
2. Make a full review of the HELP website, including basins that are already registered with the HELP programme.
3. Review the GWP website for the IWRM tool box.
4. Check other references and websites given in the Guidelines.
5. Complete pre-registration by 30th November (see below).
6. Consider how stakeholder participation can be introduced into the process of completing the Nomination Document.
7. Follow the Guidelines to make a first draft of each of the five parts of the Nomination Document, noting queries as you go along.
8. If you have any queries arising from step 5, raise them all together with your Regional Coordination Unit or with Camille Talayssat at UNESCO.
9. Finalise your submission in the light of guidance received.
10. Make sure your final Nomination Document is received by the correct HELP office before the submissions deadline on 31st January. If you are unable to meet the deadline there will be another call in two years time.

Pre-registration:

Complete pre-registration by 30th November, confirming by e-mail to Camille Talayssat at UNESCO that you will be making by a certain date and no later than 31st January 2004. It is preferred that you submit in English, as a Word document and by e-mail. If you need to submit in another language, or in a paper format, you must state that at this pre-registration stage. All pre-registered proposals will be publicised on the HELP website by early December 2003.

Submissions procedure:

The final proposals must reach RCUs and Paris by 31st January 2004 to be considered in this call. Electronic formats will be preferred, but paper will also be accepted. English is the preferred language, but pre-registration proposals will be accepted in Spanish and French.

Nomination Document:

- The Nomination Document is a structured Word document.
- The font typeface will be Arial and the size of characters will be 11.
- The maximum space allowed for each section is indicated in the Nomination Form.
- The Nomination Document must not exceed a maximum of 15 pages.

The Nomination Document is also available from the HELP website (<http://www.unesco.org/water/ihp/help>) as a Word document.

Detailed Guidance On Preparing The Nomination Document

You are asked to use the pre-formatted Nomination Document in MS Word. This gives all the required headings and indicates the allowable number of words or pages. It also includes the Evaluation Criteria for each section, as a reminder to you and a guide to the evaluator. Tables of data should be in Excel and inserted into the Word document. The guidance below follows the exact order of the Nomination Document

Name of the Proposed HELP River Basin:

Give the name of the river basin and country, e.g.

Uda Walawe River Basin, Sri Lanka

Thukela River Basin, South Africa

Executive Summary

Executive Summary :

No more than 150 words covering the highlights of the river basin organisation and properties, HELP purpose and outputs, proposed activities and commitment. Say what is distinctive about this nomination to catch the attention of the evaluators.

Part I Details of the Proposing organisation and the River Basin

Name(s) of key contacts preparing this nomination :

Title or position, organization, address, telephone number, email address

Give full contact details of at least two people closely involved in the preparation of this submission.

Name(s) of lead or sponsoring organization(s) :

Title and type of organisation, address, contact point name and/or position, Web site(s), etc.

Describe also the type of lead organisation within the IWRM framework. E.g.

- Government water resources management agency
- Research institution
- University

Organisations and institutions responsible for IWRM in the basin :

List the names and roles of relevant organisations

Cover all those with a role in IWRM within the basin, highlighting those that are partners and/or sponsors for this proposal. This may include local government and NGOs

River Basin Properties

(No more than 3 pages)

Wherever possible, try to provide the relevant information suggested by the bullet point below. You may wish to add other data relevant to your basin. For developing countries, some basins may not have all the data available, please include data which is planned to collect later.

Geographical properties :

Provide information in the Word document.

Tabulate relevant geographical information, describing quantitatively wherever possible, and include:

- longitude/latitude at downstream river outlet
- size of river basin in km²; and length and breadth in km.
- topography, including altitude range in m
- geology

- rainfall, average annual and seasonal distribution, etc.
- river(s), with lengths and average annual flows and seasonal distribution
- flood and drought incidence and impact

Demographic properties :

Provide information in the Word document

Tabulate demographic information including:

- Total Population in basin
- Population of principal cities or towns
- Average per capita income
- Industrial and agricultural Gross Domestic Product
- Population Below Poverty Line
- Water Poverty Index parameters (www.nwl.ac.uk/research/WPI/)
- Other relevant characteristics

Land uses :

Provide information in the Word document

- Tabulate principal land uses, as percentage of river basin area, including:
- Mountains
- Desert
- Forest
- Wetlands
- Pasture
- Agriculture
- Irrigated lands

Water resources and uses in the basin :

Provide information in an Excel table and inset into the Word document

Give principal water resources and uses in the basin, including as appropriate:

- Total available surface and groundwater resources
- Net usable capacity of surface reservoirs
- Total surface water abstractions (estimated, where not measured)
- Total groundwater abstractions (estimated, where not measured)
- Surface and groundwater quality (in general categories only)
- Water uses (total, by sector, principal uses, current (estimated) and future (projected), include in-stream uses (fisheries, etc.) where appropriate)
- Deficits and other resource concerns (e.g., quality, extremes, environmental degradation)

Environmental Properties :

Describe briefly any sensitive eco systems, biodiversity and environmental impacts in the river basin. The issues giving rise to the state of the environment are discussed in Part II.

Livelihood properties :

Describe briefly the local situation regarding sustainable livelihoods (www.livelihoods.org) and water poverty, referring to the Water Poverty Index or similar methodologies where appropriate. The issues giving rise to the state of livelihoods are discussed in Part II.

Policy and legislative properties :

Describe briefly the present legal and institutional context and current government policies for IWRM. The issues surrounding relevant policy and legislation in the basin are discussed in Part II.

Baseline information availability :

Provide numerical information in the Word document

Comment on the information and data available which is relevant to HELP, in terms of data quantity, quality, transparency and accessibility, including:

- observation networks;
- maps, with available scales, GIS and remote sensing imagery;
- data archives and their adequacy;
- research centres

Stakeholders should comply with the WMO Resolution 25 on international exchange of hydrological and related data. (<http://www.wmo.ch/index-en.html>)

Part II Statement of Issues, Purposes and Outputs/Deliverables

*Describe the main **issues** in the river basin. Part I described the properties, or **state**, of the river basin. Part II describes the issues or **pressures**, that give rise to that state. The **purpose** of the HELP programme is to address some of these issues. High level **outputs** show how the purpose is to be achieved.*

Hydrological and Water Management issues:

Describe the most important issues. eg

- Increased flood or drought frequency is affecting livelihoods
- Over abstraction of groundwater
- Unreliable water resource assessment

Environmental issues:

Describe the most important issues. eg

- Drying up of wetlands
- No treatment of effluent
- Industrial pollution

Livelihoods issues:

Describe the most important socio-economic and poverty issues. eg

- Poor people cannot survive on rainfed agriculture
- Inadequate rural water supply schemes
- Water costs too much for poor people

Policy and legislation issues:

Describe the most important issues. eg

- Poor coordination between water agencies
- Inadequate legislation for IWRM
- Inadequate enforcement of existing legislation

How do the issues fit with the Five HELP Policy Issues ?

Identify the issues above with one or more of the five HELP policy issues:

- water and food
- water quality and human health
- water and the environment
- water and climate
- water and conflict

Institutional change and capacity building issues:

Describe the most important issues that will be addressed: e.g.

- institutional change
- organisational re-structuring
- Integrated management development
- Professional and technical training needs and programme

Principal Purposes:

Describe how your proposals address some or all of these issues. What are your principal purposes in seeking nomination for your river basin for inclusion in the HELP programme. e.g.

- Identify a sustainable level of groundwater abstraction and recommend management actions required to achieve this

- Monitor and model the social, economic, and environmental impacts of deforestation and recommend remedial management actions

Principal Outputs / Deliverables:

Describe the principal high level outputs that you plan to meet your proposed purposes.. Say how IWRM and livelihoods will benefit from the outputs.

e.g.

- A calibrated groundwater model which demonstrates the environmental and social outcomes of different levels of abstraction.

- A review of abstraction permitting legislation, administration and enforcement.

- A bench mark survey (maps and data) of water poverty, ecosystems and biodiversity resulting from forest conversion (including deforestation).

- A review of the social, economic and legislative systems which contribute to deforestation and recommend institutional changes to control it.

- A regular monitoring, evaluation and reporting procedure established to measure the impacts of institutional change.

Part III Statement of Proposed Activities

Describe the activities that are proposed to achieve the high level outputs and purposes stated in Part II, including:

Outline of the HELP programme design and plan :

Describe the overall project or programme plan. Group the proposed activities under the general headings of Hydrology, Environment, Life and Policy. Include the following topics:

Measurement and reporting of baseline conditions in the basin :

Describe baseline conditions with respect to the basin and the project. Include past studies and brief history of water management/policy.

Stakeholder analysis, participation and consultation :

Plan for stakeholder analysis to identify primary (recipient) stakeholders and secondary (delivery partner) stakeholders, with description of stakeholder benefits from or contributions to IWRM. Describe proposals for stakeholder participation and consultation.

Capacity building, training and education :

Provide for a training needs analysis and a training programme with planned workshops and courses (with expected participants and objectives). Give plans for dissemination of information and/or technology transfer, including use of the internet.

Schedule of proposed activities :

List proposed activities with defined products, timelines and milestones. Activities should include demonstration of innovation and best practice in management, technology, research, dissemination, monitoring and evaluation, and capacity building,

Monitoring and evaluation :

Describe the monitoring and evaluation plan, with the use of indicators to measure the achievement of outputs.

Part IV Statement of Commitment

This part of the Nomination Document can be used as an opportunity to clarify and confirm promises of support from partners and stakeholders. The statement of Commitment is the most important indicator of a potentially successful HELP basin. A high level commitment may overcome a lower technical starting level.

Programme or project team members :

List project team members, including their functional expertise and institutional affiliation. Include statements concerning commitment to interdisciplinary work and research for institutions directly involved in the project..

Identify in team members as wide a range of HELP disciplines as possible

Supporting partners and stakeholders :

List the supporting partners (secondary stakeholders) including government agencies, academic institutions, NGOs and other organizations contributing to the proposed project.

List the intended beneficiaries of the project (primary stakeholders) and indicate their commitment to participation in the work by attending consultation meetings etc.

Provision of resources :

Provide evidence of support in terms of time by team members, funding, non-financial support and participation, and endorsements. Other contributions in kind may include data, technical expertise, instrumentation, transport and accommodation.

Include quotations from referenced letters of support from relevant government, intergovernmental, or quasi-governmental agencies and other organizations that endorse the project (though not necessarily with material contributions)..

Part V Contribution to promoting HELP values

Contribution to promoting HELP values:

Give additional information to support your nomination and its contribution to promoting HELP values locally, nationally, regionally and internationally. E.g.

- Local and national awareness of issues in the HELP basin
 - Good publicity material
 - Good website
 - Past experience in promoting IWRM
 - High profile personality support from government, industry or media.
 - Academic or civic awards for water related work in the basin
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Annex 5 – Evaluation Committee Bulletin, May 2004

UNESCO – WMO HELP Programme

A Bulletin from the Evaluation Committee, May 2004

Introduction

This bulletin from the Evaluation Committee (EC) gives preliminary comments on the HELP basin proposals received in February 2004 and evaluated in April. We hope that this gives proposers a good overview of the response to the global call, how the EC approached the evaluation and our immediate reactions.

We were impressed by the quantity, quality and diversity of the proposals we reviewed. Please bear this in mind as you read the comments below, which tend to highlight the weaknesses rather than the strengths of the proposals.

For those of us who have been working with HELP for over five years it is particularly exciting to see that the approach is both attractive and challenging to many people working towards Integrated Water Resources Management (IWRM) all over the world. We felt that new proposers had responded well to the demands of our nomination document framework and that many pilot basins had improved significantly.

A full report is being prepared for the HELP International Steering Committee (ISC) and the UNESCO - WMO International Hydrological Programme (IHP). Individual basin classifications and reports will be provided back to each proposer in June.

How to read this Bulletin

With such a large number and range of proposals, the comments that follow are necessarily generalised. Proposals in the North (see below) are very different from those in the South. In the North we found many examples of first class scientific programmes and hope that they will note the challenges faced by basins in the South. A shift towards implementing the HELP philosophy is demonstrated by river basins in the South where improved water management lies at the heart of social and economic development. Our comments reflect this bias and are intended to be supportive, but without avoiding difficult issues. Our general comments do not name basins and proposal sponsors are invited to choose for themselves the comments that are appropriate to their particular situation. Individual comments back to basins will be more targeted!

The Evaluation Committee

UNESCO appointed the Evaluation Committee in Autumn 2003. Its four members cover a wide range of age, technical background and geographical experience:

Peter Herbertson (Chairman) worked as a water resources manager in a regional water authority, the National Rivers Authority and the Environment Agency in the UK, with international experience in the Caribbean, Africa and Asia.

David Moody worked as a hydrologist for the US Geological Survey and as a water resources specialist for the Organisation of American States, with international experience in Latin America.

Shahbaz Khan comes from Pakistan, but is now a director of the Land and Water Division of the Commonwealth Scientific and Industrial Research Organisation (CSIRO) in Australia; he leads the HELP Regional Coordination Unit for Asia and Australasia, where he has international water management experience.

Alistair Rieu-Clarke is an international water lawyer working at the International Water Law Research Institute, University of Dundee, UK, specialising in transboundary water issues.

Marie-Camille Talayssat – from UNESCO, Paris, is the focal point for all HELP communication and is a great support to the EC.

The EC have worked closely together in preparing the nomination document guidelines, evaluating each proposal and quality assuring each others assessments at a four-day meeting in Bonn, Germany, 19 – 22 April, 2004. Each proposal had a principal reviewer and a second opinion. Each evaluator reviewed nearly 20 proposals as principal reviewer and provided a second opinion on additional 20 proposals. Each proposal received a total of around 6 – 10 hours evaluation time from the EC.

Response to the Phase II Global Call

The Phase I Pilot stage received 25 proposals in 2001. Two thirds of the original pilot basins were resubmitted this year to monitor progress and it is encouraging to see many of those basins moving higher up in their classification this year, in spite of more rigorous evaluation procedures in Phase II.

The Phase II Global Call for basin proposals in November 2003 attracted an unexpectedly large number of 75 proposals from all round the world. (See the list of basins in Table 1, the map in Figure 1 and the basin categories in Figure 2)

HELP basin categories

The four main categories of basin have been defined in full by the ISC and were reproduced in the proposal document. However, the EC will be recommending two additional categories to the ISC:

Demonstration – shows best practice in HELP and IWRM and serves as a model or demonstration basin for other basins.

Operational - is implementing the HELP philosophy in an integrated manner and is involved with stakeholders in basin management.

Evolving – well-developed plans conforming to the HELP philosophy which are beginning to be implemented.

Proposed – further work is required to develop plans and activities in an integrated way that supports the HELP philosophy.

Associated HELP Activity – an activity that contributes important information, expertise and services to the HELP programme, either in a particular basin, in a region, or globally, but does not engage in the actual management process of a specific basin.

Unclassifiable – a proposal that did not provide sufficient information in the format of the nomination document to enable it to be classified consistently alongside other basins.

North – South

The founders of HELP were mostly from North America and Europe, with excellent hydrological research backgrounds. They came mainly from the developed world, in the North, with a genuine desire to contribute to solving water resources issues in the developing world of the South. The acronym HELP was chosen with care.

It is striking that the 2004 proposals were split almost evenly between North and South. In the South we found, in general, a stronger interest in developing IWRM and a developing understanding of water poverty and livelihoods issues. There were several excellent proposals from grass roots NGOs in India,

Africa and Asia who seek higher level support in Hydrology and Environment, but have much to offer to basins in the North in their understanding of Life / Livelihoods and Policy issues.

Slogans, slogans ...

As the EC shared its feedback via flip charts or computer projector, we found ourselves expressing ourselves in banner headlines or slogans. Here are a few that reflect our immediate reactions:

“Superb science – so what?”
“Service from science”
“The appliance of science” (with acknowledgements to Zanussi!)
“Partner or perish!”
“From livelihoods to water wealth”
“Too many chiefs and not enough Indians.”
“Moving the mindset”
“Paradigm lock needs cultural shift.”

Proposers

Most proposers are from universities or national and international research institutes. There are examples of large European research teams working in the South and some where there are partnerships between universities in North and South. Proposers outside the traditional hydrological research community included local and international NGOs working on livelihoods and environmental issues, with strong participation from local communities. There were only a few proposals from government water agencies in the South, mostly in partnership with foreign organisations. There was no proposal from a river basin commission or agency as lead partner, North or South.

Water management agencies

Very few of the proposals included river basin management agencies, either on the project team, or as working partners. They were often mentioned as stakeholders, but the links to those with day today responsibility for IWRM were often surprisingly poor. This is seen as a very serious weakness in many proposals from both North and South. It suggests that HELP programmes are not seen as relevant to day-to-day water managers. HELPerS are urged to communicate their ideas to water managers, to listen to the local priorities for support and research, and to adapt their HELP proposals accordingly. Without strong ties to water managers and their active participation in HELP projects, it is difficult to see how any improvements made by HELP projects will be continued after the project sponsors leave the basin. This is the key to sustainability.

Stakeholder participation

Few of the university and research institute proposals had carried out a convincing stakeholder analysis, identifying the primary stakeholders as the beneficiaries of HELP and improved IWRM, and secondary stakeholders as the partners in delivering the programme and benefits. Most projects mentioned stakeholders, but usually in terms of briefing them about the progress of the study, or reporting conclusions. Less frequently, the stakeholders are trained to implement some of the remedial actions, or modelling tools developed by the project team.

In some cases, sadly, the basic lessons of sustainable development work have not yet been learnt: if you fly in, pay for a water pump and install it, the pump may well be broken within a year; if you train local people in funding, building and operating the same pump, it will work much longer. People learn best by doing and this applies to research as well as development. Some basins in the South seemed to be research field stations for PhD students from the North, rather than opportunities for local stakeholders to participate and learn by doing things for themselves.

In a very few cases, usually led by NGOs, local communities form part of the project team and are consulted first on what issues are affecting livelihoods. These issues are prioritised by the same primary stakeholders and they set the goals. The project team then provides the support and empowerment to achieve the project purpose in partnership with stakeholders.

Stakeholder participation is a critical component of the HELP philosophy. The process of participation requires regular, frequent and direct participation of stakeholder representatives within the decision making process, but this was hardly ever allowed for in programme schedules and budgets.

Coordination of basin organisations

Another key element of the HELP approach is to build working partnerships and coalitions of organisations with a shared interest in implementing IWRM and solving diverse problems. This can be particularly effective at a local sub-basin level where NGOs can bring people together and central government is too remote to be effective.

Issues definition

Most proposals did an adequate job of describing the hydrologic, water management, environmental, policy and legislation issues. However, a major deficiency in most proposals is the treatment of livelihood issues. This is understandable in the North where water related poverty is not usually a major issue. In the South the best appreciation of livelihoods issues came from proposals with strong links to local communities.

In many cases the research programme seemed disconnected from the appraisal of water management and livelihood issues. Some proposals for HELP basins in the South came from research groups in the North and in these cases a good academic analysis of issues was not reflected in the proposed work programme. Traditional hydrological research was planned with little evidence of engagement in local water management issues and communities.

Research agendas

The list of management issues to be addressed by a project usually suggests that the research agenda will support management needs and actions to mitigate these problems. Most proposals from university scientists followed a predictable three-year programme:

- Year 1 – collect data;
- Year 2 – develop model;
- Year 3 – write report and communicate results to stakeholders.

These proposals were often vague about how these results would be used to improve water management on the ground. Indeed, it was not always clear that the decision support systems or other models were a high priority for local managers.

Proposals prepared with involvement from local communities, or NGOs, did a good job of explaining the kinds of local problems, but were less clear about the role of science in finding solutions. In many cases although the issues were well defined in the earlier sections, the research agenda failed to show it will prioritise and pursue these topics.

Purpose, outputs and activities

Part II and III of the nomination document aimed to draw out the linkages between overall project purpose, high level outputs and detailed activities. In a number of proposals this was not well understood, or clearly expressed. The EC will recommend that the guidance notes be developed for the 2005/6 call.

Many projects express the purpose of the project as the accomplishment of a series of poorly related research objectives, without explaining the broader water management goals and how the project outputs would contribute to those goals. The outputs were often a “laundry list “ of models and reports as opposed to outcomes that would lead to improvements in basin management.

Some proposals did not clearly distinguish between outputs and the activities needed to achieve them. These sections in the nomination document often revealed the need for much clearer project planning.

Project plan

The quality of project plans was very variable. Most are for three year projects (see “Timescales” below) and gave little idea of what outputs would be available at the end of each year and how these efforts will be sustained into the future. Often the project plan is not well structured and poorly related to the stated purpose of the project. We recommend that much more attention be paid to project planning and management.

Monitoring delivery of activities

Monitoring the progress and delivery of activities is fairly straightforward, but it needs to be done frequently and regularly (monthly or quarterly, say). A local committee of independent stakeholders working with the project managers best does it. We found that most projects did not distinguish clearly between activity monitoring, or progress chasing, and the monitoring and evaluation of outputs, or results, as an impact on the basin.

Monitoring and evaluation of results

An annual evaluation of outputs and results should establish what impact the project is having on achieving the project purpose. A number of projects planned such review meetings and involved local stakeholders, project managers and sometimes international sponsors. The majority of proposals should consider greater involvement of local stakeholders, particularly to comment on the relevance of outputs to local needs through internal review and audit.

The HELP process recommends a five-year external review or audit (technical, management and financial). It is further recommended that an internal review or audit take place after about 2-3 years. A few projects planned to use indicators to monitor impacts of the programme and all projects are recommended to follow this example. (See “Indicators” below)

Project team composition

The project team composition is a good indicator of the implementation of HELP values. Almost all proposals listed team members by name and job title or discipline, but not always indicating their speciality. Team sizes varied from a handful of NGO workers to as many as 45 workers from several university departments. The EC were most impressed by teams that included both representatives of local water interests and technical specialists. All team members should be identified by their specialist contribution and the time commitment assigned to the project.

Projects with larger multidisciplinary teams and covering large geographical areas need strong managerial and administrative leadership within the basin. In the South practical logistics are more of a challenge than the science. In most cases it seemed that a senior researcher was assigned to these duties as an additional burden. Not enough attention was paid to local day-to-day management of projects and maintaining open channels of communication with all stakeholders to achieve HELP goals at the catchment level. We suggest that most projects would benefit from a full time administrator. The fact that many of the proposals listed directors of institutes or heads of agencies as part of the project team led us to wonder whom, in fact, would actually do the field work – “Too many chiefs and not enough Indians!”

Budgets

In outlining the resources needed or available for the project, only a few proposals gave a well thought out and detailed budget. A number of large operational basins had already secured substantial budgets from sponsors and responsibility for auditing budgetary planning and accountability lies with the funding agencies.

Many of the proposed and evolving basins clearly need support in developing robust and credible business plans and budgets. These will be essential if funding sponsors are to be attracted. A good proposal should provide information on the funds and other contributed resources allocated to the major activities, year by year.

Twinning

Demonstration and Operational basins often included offers of help to other basins through sharing knowledge and methodologies. Several smaller basins, proposed and evolving in the South, made explicit requests for help, particularly in hydrological and environmental topics, whilst offering experience in applying participative approaches to improving livelihoods and implementing policy and legislation at the community and river basin level.

The 2003/04 call for HELP proposals shows that there is a real need and opportunity for twinning between basins. We recommend that the UNESCO Secretariat facilitate those basins which request technical assistance to find appropriate Demonstration basin projects willing to help.

Indicators

We were pleased to see that a few basins are using indicators to monitor the impacts of their HELP programmes. We will recommend that these be covered more explicitly in the 2005/06 guidelines.

Most of the HELP processes involve slow and long-term changes, both hydrological and human. If HELP programmes are to be sustainable and make a real difference to the world water crisis, then a portfolio of indicators are essential. These will also reinforce the need for long-term continuity and sustainability in the case of many short-term programmes planned for only three or four years.

Indicators are a key component of the UN World Water Assessment Programme and we recommend that basins adopt their approach to indicators, which they are developing to measure progress towards the Millennium Development Goals (MDG) for 2015. (See the World Water Assessment Programme section below).

The problem of areal scale

Basin sizes varied from only 30 sq km to over a million sq km. It was very striking that the smallest basins in the South had the best participation from local communities, whilst the large basins found it very difficult to organise local work on livelihood and management issues. Communication across the large basins, sometimes crossing national boundaries, presents huge logistical and budgetary challenges.

One proposal by a non-hydrological NGO had a very clear strategy of establishing a pilot phase in a very small sub basin. By working closely at grass roots level with the community, they had established local priorities. Here they developed approaches to new land and water management practices. The second phase is scaling up the lessons learnt in the pilot basin by adapting them to communities in the larger river basin. We commend this approach to some of the larger basins where the HELP programme is necessarily somewhat superficial because of the sheer size of the basin under investigation.

Timescale

Although major programmes from research institutes were generally longer term (over 5 – 10 years at least), we were disappointed by the number of proposals that have apparently planned for a three or four year life only. This is usually due to the difficulty of securing long-term funding commitments.

The UN Summit of 2000 set the Millennium Development Goals for 2015 and this provides an appropriate timeframe for HELP programmes to operate within. We recommend that HELP basins in the South link their programmes and timescales to the MDG time frame with milestone reports in 2005, 2010 and 2015.

International programmes

Some proposals mentioned links with international programmes such as those being sponsored by the Global Water Partnership, the World Water Assessment Programme, the CGIAR (Challenge Programme on Water and Food Activities), and HARVEST. The HELP initiative provides a framework of reference for researchers who want to contribute to IWRM and aims to establish networks between like-minded workers. We recommend that proposers consider links with other international programmes

HELP and the World Water Assessment Programme (WWAP)

The HELP programme was initiated by the joint UNESCO – WMO 5th Water Conference in Geneva, February 1999, when UNESCO was asked to take the lead. The HELP Secretariat is at present provided by UNESCO.

In 2000, the 23 UN agencies with an interest in water and food jointly established the World Water Assessment Programme, with its Secretariat in UNESCO, Paris, (next door to the HELP office). From a different starting point WWAP addresses similar issues to HELP, but at a higher level and across a broader, more political, canvas. Their first World Water Development Report (WWDR), “Water for People, Water for Life” contains much of interest to HELP basins, especially in the South. It also provides milestones and indicators that lead to the internationally agreed MDGs and these provide an important timeframe for HELP programmes. We recommend reading chapter 3 of “Water for People, Water for Life” on “Signing progress: Indicators mark the Way” (www.unesco.org/water/wwap)

The WWDR includes seven pilot case studies of river and lake basins. These have been selected to provide an overview of the water challenges facing humankind and include one of the currently proposed HELP basins. The case studies are descriptive snapshots in time and do not give details of ongoing work programmes. They have a useful section on the development of local water related and MDG indicators.

We recommend that demonstration and operational HELP basins be presented on the web in a similar format, with the addition of ongoing work programmes. We also recommend that more HELP basins become linked to the WWAP.

Conclusions

The quantity and quality of proposals received in response to the Phase II Global Call 2003-04 has far exceeded expectations. There are encouraging signs of progress by the original Phase I pilot basins of 2001. The nomination document guidelines have been well understood and applied in the vast majority of proposals. HELP can now demonstrate a substantial number of basin programmes all over the world that enthusiastically subscribe to the HELP philosophy.

There is clear evidence of increasing numbers of researchers wishing to apply their knowledge and skill to real life problems in the developing world. Although there are a small number of HELP basins in the South that have research activities that are rather remote from the needs of local communities, they are outnumbered by basins that have fully grasped the challenge of improving livelihoods. HELP has proved attractive to a number of organisations outside the conventional hydrological research community and they have much to offer through their experience of community participation.

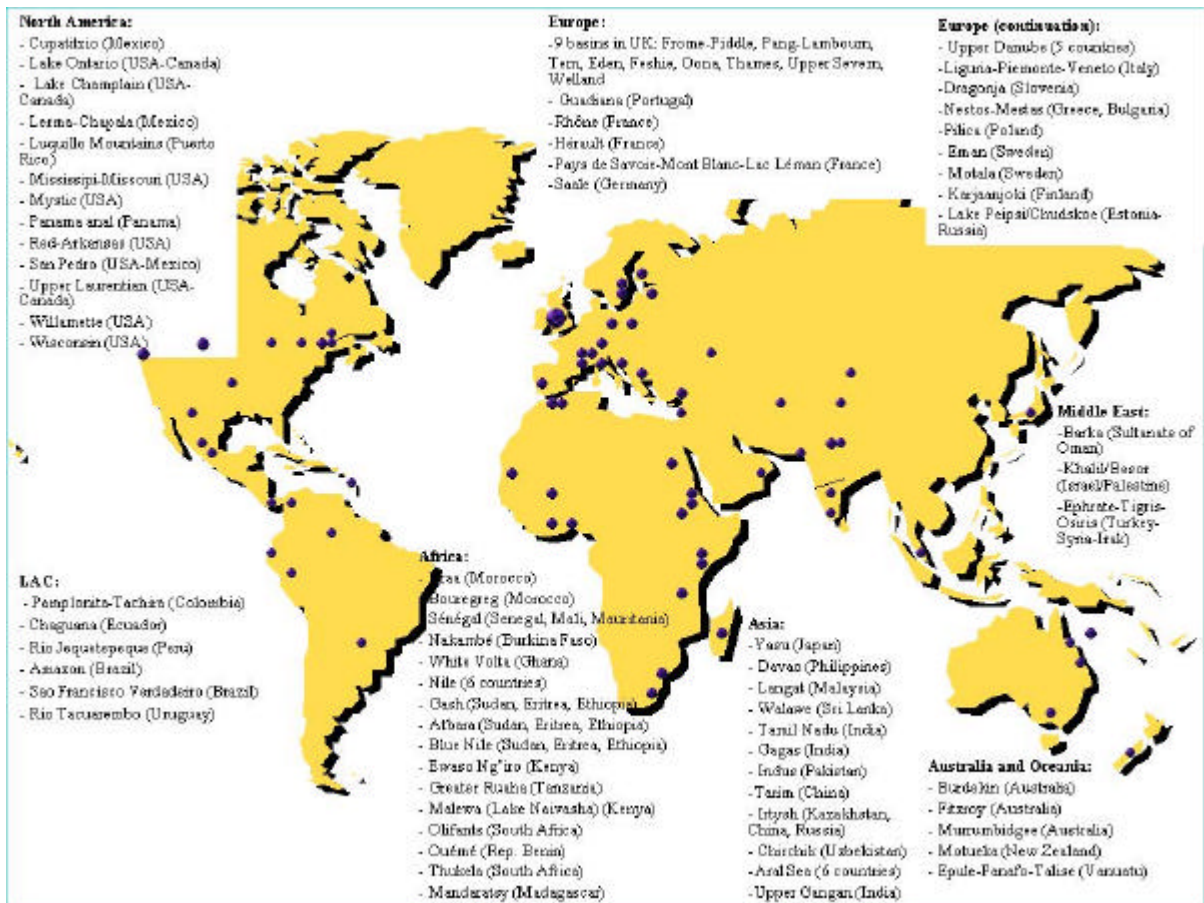


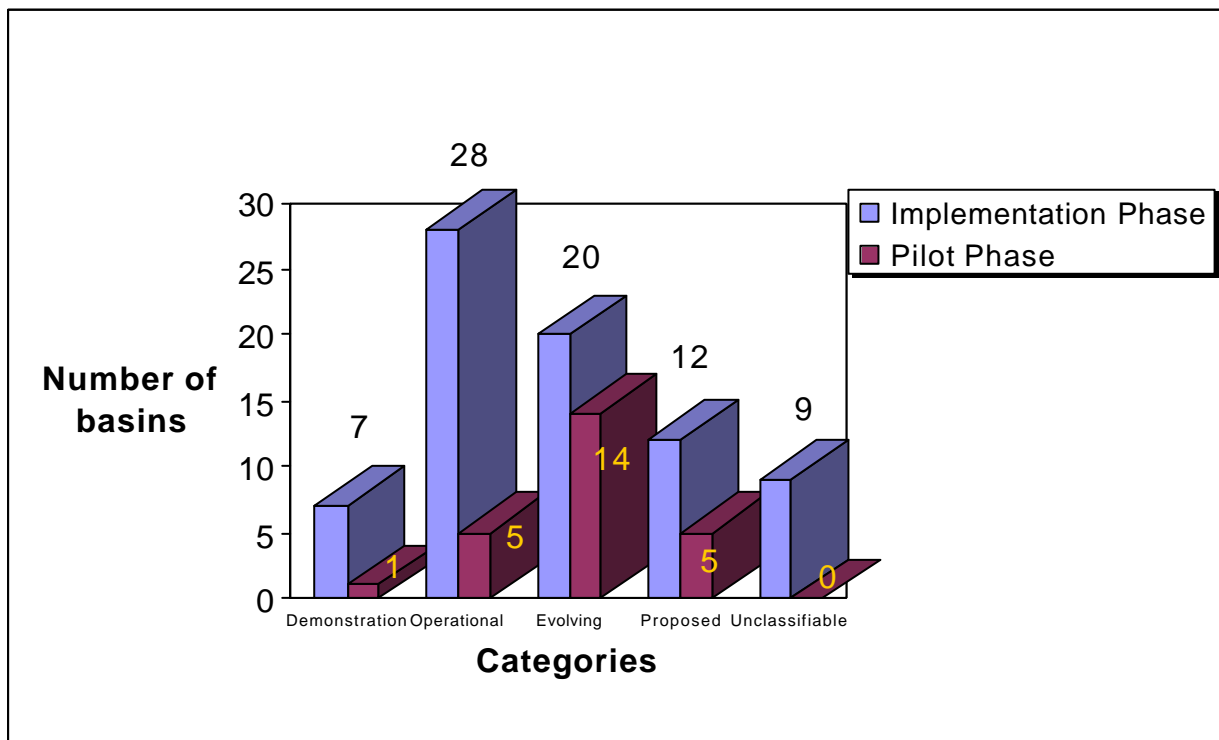
Figure 1: Map of basin locations

Table 1
List of the 76 HELP basin proposals received, areas and populations

Basin	Countries	Size (km2)	Total population
Aral Sea	Kazakhstan-Kyrgyzstan-Tajikistan-Turkmenistan-Uzbekistan	1,549,000	42 500 000
Atbara	Ethiopia-Eritrea-Sudan	112,400	1 500 000
Barka	Sultanate of Oman	2,020	-
Blue Nile	Sudan-Ethiopia	121,497	7 718 247
Bouregreg	Morocco	10,000	2 175 000
Brahmani-Baitarani	India	51,882	16 700 000
Burdekin	Australia	133,432	55 000
Chaguana	Ecuador	320	7 549
Chirchik	Uzbekistan	14,900	3 500 000
Cupatitzio	Mexico	4,347	372 870
Davao	Philippines	1,800	800 000
Draa	Morocco	29,500	694 884
Dragonja	Slovenia-Croatia	215	5 860
Eden	UK	2,288	167 000
Emån	Sweden	4,500	100 000
Ephrate-Tigris -Osiris	Turkey-Syria-Irak	73 000	8,500,000
Epule-Fanafo-Talise	Vanuatu	6	400
Ewaso Ng'iro	Kenya	209,576	2 030 881
Fitzroy	Australia	142,000	140 000
Frome/Piddle	UK	597	150 000
Gagas	India	1,500	> 50 000
Gash	Sudan-Ethiopia	31,000	600 000
Greater Ruaha	Tanzania	20,811	750 000
Guadiana	Portugal	66,800	230 000
Hérault	France	2,550	150 000
Indus	Pakistan	561,253	140 000 000
Irtys	Kazakhstan-China-Russia	596,000	1 900 000
Jequetepeque	Peru	4,372	2 614 999
Kaluvelly-Pondicherry	India	1,400	1 200 000
Karjaanjoki	Finland	2,050	50 000
Lake Champlain	USA-Canada	21,326	600 000
Lake Ontario	USA-Canada	82,990	7,700,000
Lake Peipsi/Chudskoe	Estonia-Russia	56,200	1 000 000
Langat	Malaysia	2,938	1 184 917
Lerma-Chapala	Mexico	58,725	10 500 000
Liguria-Piemonte-Veneto	Italy	7,668i in total	2,635,316 in total
Luquillo Mountains	Puerto Rico	750	268 920
Mandaratsy	Madagascar	Approx. 29	1200
Missouri-Mississippi	USA	1,847,179	22,268,500
Motala	Sweden	15,500	564 100
Motueka	New-Zealand	2,170	53 400
Murrumbidgee	Australia	84,000	520 000
Mystic	USA	197	510 000
Malewa (Lake Naivasha)	Kenya	1,730	107 000
Nakambé	Burkina Faso	81,932	4 332 214
Nestos/Mesta	Greece-Bulgaria	6,280	170 000
Nile	Burundi-DR Congo-Egypt-Eritrea, Ethiopia-Kenya, Rwanda-Tanzania-Sudan-Uganda	3,349,000	250,000,000
Olifants	South Africa	54,400	3 400 000
Oona/Blackwater	Northern Ireland-Republic of Ireland	1,556	82 686
Pamplonita-Tachira	Colombia	1,360	930,033
Panama Canal	Panama	5,527	
Pang/Lambourn	UK	404	100 000
Pays de Savoie-Mont	France	1,600	340 527

Blanc-Léman			
Pilica	Poland	9,258	-
Rhône	France	97,000	> 9 000 000
Rio Jau-Rio Branco_Rio Negro	Brazil	-	176,029,560
Saale	Germany	24,079	4 200 000
San Pedro	USA-Mexico	7,600	114 000
Sao Francisco Verdadeiro	Brazil	2,189	400 000
Severn	UK	4,325	-
Senegal	Guinea-Mali-Mauritania-Senegal	280,000	1.550 000
Tacuarembó	Uruguay	16,974	185 000
Tarim	China	102,000,000	8 260 000
Tern	UK	852	60 000
Thames	UK	9,948	12 000 000
Thukela	South Africa	29,036	-
Uda Walawe	Sri Lanka	2,442	574 000
Upper Danube	Germany-Italy-Switzerland-Czech Republic	76,653	8 000 000
Upper Gangan-Upper Laurentian	India-USA	1,016,104 and 1,049,621	Approx. 381m and approx. 57m
Upper Ouémé	Benin	14,500	577 318
Wadi Khalil/Nahal Besor/Wadi Gaza	Israel-Palestinian Territories	3,400	approx. 450 000
Washita	USA	20 578	70 000
Welland	UK	1,578	125 000
White Volta	Ghana	104,749	15 548 524
Willamette	USA	29,728	2 842 321
Yasu	Japan	377	260 464

Figure 2: Proportion of HELP basin categories for each phase



Annex 6 - Basin Classification by Regions

Africa

Mandaratsy	Madagascar	Demonstration
Olifants	South Africa	Demonstration
Draa	Morocco	Operational
Greater Ruaha	Tanzania	Operational
Oueme	Benin	Operational
White Volta	Ghana	Operational
Ewaso Ng'Iro	Kenya	Evolving
Gash	Sudan-Ethiopia	Evolving
Lake Navaisha	Kenya	Evolving
Nakambé	Burkina Faso	Evolving
Atbara	Ethiopia-Eritrea-Sudan	Proposed
Blue Nile	Sudan-Ethiopia	Proposed
Bouregreg	Morocco	Proposed
Thukela	South Africa	Proposed

Asia

Aral Sea	Central Asia	Operational
Davao	Philippines	Operational
Lake Peipsi/Chudskoe	Estonia-Russia	Operational
Walawe	Sri Lanka	Operational
Indus	Pakistan	Evolving
Gagas	India	Evolving
Irtys	Kazakhstan-China-Russia	Evolving
Langat	Malaysia	Evolving
Tarim	China	Evolving
Yasu	Japan	Evolving
Brahmani-Baitarani	India	Proposed
Chirchik	Uzbekistan	Proposed
Kaluvelly	India	Proposed

Australasia

Motueka	New Zealand	Demonstration
Murrumbidgee	Australia	Demonstration
Burdekin	Australia	Operational
Fitzroy	Australia	Operational
Talise	Vanuatu	Evolving

Central and South America

Chaguana	Ecuador	Operational
Jequetepeque	Peru	Operational
Sao Francisco Verdadeiro	Brazil	Operational
Panama	Panama	Evolving
Tacuarembó	Uruguay	Proposed

Europe

Nestos/Mesta	Greece-Bulgaria	Demonstration
Eden	UK	Operational
Frome-Piddle	UK	Operational
Hérault	France	Operational
Motala	Sweden	Operational
Oona/ Blackwater	N Ireland/Rep. Ireland	Operational
Pang-Lambourn	UK	Operational
Pays de Savoie-Mont Blanc-Lac Léman	France	Operational
Rhône	France	Operational
Saale	Germany	Operational
Tern	UK	Operational
Welland	UK	Operational
Eman	Sweden	Evolving
Guadiana	Portugal	Evolving
Karjaanjoki	Finland	Evolving
Severn	UK	Evolving
Thames	UK	Evolving
Dragonja	Slovenia	Proposed
Pilica	Poland	Proposed
Upper Danube	Germany-Switzerland-Italy-Czech Rep-Austria	Proposed
Liguria-Veneto-Piemonte	Italy	Associated HELP Activity

Middle East

Khalil/Besor	Israel/Palestine	Evolving
Barka	Sultanate of Oman	Proposed

North America

Basin	Country	Classification
Lake Champlain	USA-Canada	Demonstration
Upper San Pedro	USA-Mexico	Demonstration
Cupatitzio	Mexico	Operational
Lerma-Chapala	Mexico	Operational
Upper Washita	USA	Operational
Willamette	USA	Operational
Lake Ontario	USA-Canada	Associated HELP Activity
Luquillo Mountains	Puerto Rico	Evolving
Mystic	USA	Evolving

Annex 7 Sample feedback letter and comments

Basin name and country(ies): Olifants, South Africa

Classification: Demonstration

Name(s) of key contacts preparing the nomination :

Dr. Hilmy Sally

Senior Researcher, Irrigation & Water Management Specialist, International Water Management Institute

Dr. Daniel K. Yawson

Hydro-Ecologist, Post-doctoral Scientist, International Water Management Institute (IWMI)

Recommendations:

The proposal by IWMI (South Africa) is for a basin experiencing rapid water resource development, but inequitable distribution of benefits. Most people do not have access to potable water, yet South Africa's progressive National Water Act 1998 addresses issues of inequity and improving livelihoods. This is an ideal case study basin for putting into practice the principles contained in the law. This is already an IWMI benchmark basin, ensuring long term continuity. The proposal addresses technical, social, economic and environmental challenges and will make practical recommendations for local land and water management.

To confirm its designation as a Demonstration basin the sponsors should do the following:

- Confirm partnership with the newly established Catchment Management Agency
- Consider applying WWAP indicators monitoring progress towards Millennium Development Goals for 2015.
- Disseminating best management practice using IWMI's Quality Management System.
- The basin develops a website, particularly featuring its participative approaches with WUAs and the CMA.
- Plans are confirmed for sharing knowledge gained on this project with other HELP basins.

Multi-Stakeholder Engagement

- This is a good example of best practice in stakeholder analysis, participation and consultation. As a Demonstration Basin, it would be very useful to organize a seminar on this subject for other HELP basins.
- The project plan should include partnership with and capacity building for the new Catchment Management Agency.

Project Design

- There are good links between understanding hydrological processes and improving livelihoods.
- The existing designation of this basin as an IWMI benchmark basin gives long term security for monitoring and evaluating the implementation of South Africa's new policies and laws. This will be of considerable interest to other basins.
- It is recommended that the basin also adopts the indicators being developed by the World Water Assessment Programme to Millennium Development Goals – see below. There are several other HELP basins in Africa which could follow IWMI's lead in this.

Project Implementation

- The application of IWMI's Quality Management System to this HELP project will set a much needed example of best management practice to other basins. It is suggested that this management methodology be disseminated to other HELP basins as part of the Demonstration Basin activities.
- As one of around 6 HELP Demonstration Basins worldwide, IWMI are asked to develop a website for the Olifants basin which will report on progress and best practice. Topics of particular interest will include: the South African experience, stakeholder participation, developing and working with WUA's and Catchment Management Agencies. These are weak points in a number of African HELP proposals.

Inter-basin linkages.

- A major component of HELP is promoting the transfer of knowledge, skills and technology between basin (North-North, North-South, South-North and South-South). The proposers should explore the possibility of linking with other basins within the HELP program, particularly within Africa.

World Water Assessment Programme (WWAP)

- A number of HELP river basins in the South also be could be considered as a case studies for the UN World Water Development Report. ("Water for People, Water for Life", UNESCO-WWAP, 2003). The HELP basin network could provide a useful platform for applying indicators to monitor progress towards the Millennium Development Goals for 2015.

Basin name and country(ies): Fitzroy Basin, Queensland, Australia

Classification: Operational

Name(s) of key contacts preparing the nomination :

Mr Chris Carroll, Principal Scientist, Department of Natural Resources & Mines

Ms Claire Rodgers, Science and Knowledge Coordinator, Fitzroy Basin Association

Prof Bob Miles

Executive Director, Institute for Sustainable Regional Development, Central Queensland University

Assoc Prof Bofu Yu

School of Environmental Sciences, Faculty of Environmental Sciences, Griffith University

Recommendations:

Strong government and non-government support. Great potential for a future demonstration basin. To move toward the “HELP Demonstration” level the basin sponsors should consider the following:

Multilevel Stakeholder Engagement

- The role of community stakeholder groups in decision-making in this project and the mechanisms for their participation needs to be more clearly established. Primary stakeholder involvement is a critical component of the HELP philosophy. This process of stakeholder participation requires the regular, frequent, and direct participation of representatives of stakeholder organisations in the management process – most directly in understanding (through education) the water management issues facing the basin and then in assisting in setting priorities and choosing options for their solution. In this way, the groups most affected by the management decisions “buy in” to the needed management actions and programs.

Project Design

- The project sponsors should revise the project plan to more clearly define how the project activities relate to one another and support the purpose(s) of the project. The project plan provides a road map of what activities will be performed at different times during the life of the project, who will accomplish the work, and how various activities related to each other support the purposes of the project. The most effective project plan is usually presented as a table showing what project activities take place in time during each year of the project and how the outputs of one project step are inputs to the next step.

Project implementation

- The project plan should provide for an annual review and evaluation of the project’s progress. This review is best accomplished by a group outside the project team. The project proposal should specify how this annual evaluation will be made and by whom.
- The project should provide further details as to the commitment of its team members, supporting partners and stakeholders to implementing the project plan.

Inter-basin linkages

A major component of HELP is promoting the transfer of knowledge, skills and technology between basin (North-North, North-South, South-North and South-South). The proposers should explore the possibility of linking with other basins within the HELP program.

Basin name and country(ies): Lake Naivasha, Kenya

Classification: Evolving

Name(s) of key contacts preparing the nomination :

Dr David Harper, Senior Lecturer in Aquatic Ecology, Department of Biology, University of Leicester, England

Professor Kenneth Mavuti, Director of International Relations, University of Nairobi, Kenya

Mrs Sarah Higgins, The Hon. Secretary, Lake Naivasha Riparian Association, Naivasha, Kenya.

Dr Robert Becht, International Institute for Geo Information Science and Earth Observation, The Netherlands

Recommendations:

This proposal comes from a consortium of riparian interests, universities and an international research institute. The basin includes a wetland of world-class biodiversity and a lake, which are both in competition for water used by irrigation and geothermal energy. The project is developing links between RAMSAR, Man and Biosphere and Millennium Ecosystem Assessment programmes. The proposal aims to mobilize local action in implementing the Lake Naivasha Management Plan through the Lake Naivasha Riparian Association.

To move toward the HELP Operational basin level the basin sponsors should consider doing the following:

- Develop working relationships with the local water management agency
- Clarify process of engaging stakeholders from the wider basin in the project
- Review and prioritize the principle proposes to complement and support the development of the Lake Naivasha Management Plan
- Prepare five year business plan with timetable for activities, budgets, monitoring & evaluation etc
- Develop indicators to monitor impacts of implementing IWRM.

Multi-Stakeholder Engagement

- One part of the HELP philosophy is to have river basin managers, water resources researchers, and policy makers in a dialogue to better understand each others needs and how to utilize hydrologic understanding in solving the basin's social, economic, environmental, and hydrologic problems. The project sponsors should assist with the development of the local water management organization that will be responsible for the long-term management of water resources in the basin and for implementation of IWRM. If possible, representatives of the local water management agency should be included as part of the project team to benefit from the project activities and to assure continuity after these specific project activities have ended.
- Interagency coordination is a key management issue in any multi-organizational program. The sponsors of the project need to consider how the existing national policy and legal instruments can be implemented locally to establish an appropriate local institutional framework between water stakeholders.

Project Design

- The principle outputs of the project should directly support the purposes of the project and directly support specific improvements in water management, science, policy, or law. The linkages between the outputs and the project purposes should be explicitly stated.

- The project plan provides a road map of what activities will be performed at different times during the life of the project, who will accomplish the work, and how various activities related to each other in supporting the purposes of the project. The most effect project plan is usually presented as a table showing what project activities take place in time during each year of the project and how the outputs of one project step are inputs to the next step. The project sponsors should develop the project plan to more clearly define how the project activities related to one another and support the purpose(s) of the project.
- The project plan should provide for an annual review and evaluation of the project's progress. This review is best accomplished by a group outside the project team. The project proposal should specify how this annual evaluation will be made and by whom.

Project Implementation

- In describing the team members, the expertise of each member should be listed and their commitment to the project (percentage of time that they expect to spend on the project).
- A budget should be developed for the project showing the proposed allocation of funds to each of the proposed activities for each year of the project.
- In monitoring and evaluation of the project, the sponsors should establish simple indicators that can be used in the long term to evaluate whether or not the policies and actions taken in implementing IWRM have a measurable effect on the mitigation of problems in the basin. Such measures could include improvement of low flows, improvement in water quality, the reduction of untreated sewage discharges, improvement of irrigation efficiency, reduction of sediment loads, and so on.

Inter-basin linkages.

- A major component of HELP is promoting the transfer of knowledge, skills and technology between basin (North-North, North-South, South-North and South-South). The proposers should explore the possibility of linking with other basins within the HELP program.

World Water Assessment Programme (WWAP)

- A number of HELP river basins in the South also be could be considered as a case studies for the UN World Water Development Report. ("Water for People, Water for Life", UNESCO-WWAP, 2003). The HELP basin network could provide a useful platform for applying indicators to monitor progress towards the Millennium Development Goals for 2015.

Basin name and country(ies): Kaluvelly & Pondicherry sedimentary coastal basin, Tamil Nadu, India

Classification: Proposed

Name(s) of key contacts preparing the nomination :

Sophie Violette, Assistant Professor, Université Pierre et Marie Curie, Paris, France

Aude Vincent, PhD student, Université Pierre et Marie Curie, Paris, France

Ghislain de Marsily, Professor, Université Pierre et Marie Curie, Paris, France

Gilles Boulicot, Director of HARVEST, HARVEST Center for Water Resources Management, Naidu House, Kottakarai, *Tamil-Nadu, INDIA*

Recommendations:

The proposal relates to groundwater management that is an important issue worldwide. It is a manageable small basin with international interest/support and Harvest – grassroots contacts. The proposal includes very good discussion of issues. A good initiative between academia and NGO. In future revise proposal to introduce community participants/training academics to support/work with team/learn from HARVEST, including students. Develop water management rules in consultation with government etc.

To move toward the “HELP Evolving” level the basin sponsors should do the following:

Multilevel Stakeholder Engagement

- One part of the HELP philosophy is to have river basin managers, water resources researchers, and policymakers in a dialogue to better understand each others needs and how to utilise hydrological understanding in solving the basin’s social, economic, environmental and hydrologic problems. Primary stakeholders and universities should be included as part of the project team to benefit from the project activities and to assure continuity after these specific project activities have ended.

Project design

- The principle outputs of the project should directly support the purposes of the project and directly support specific improvements in water management, science, policy or law. It appears that legal and institutional reform and stakeholder participation are major issues to be addressed and should therefore be developed further. Include a dedicated HELP budget and develop inter-basin linkages.
- Baseline conditions from which to measure progress should be better defined and described. A brief description of past studies and a brief history of water management/policy within the basin should be given.
- The project sponsors should include a detailed project plan to clearly define how the project activities relate to one another and support the purpose(s) of the project. The project plan provides a road map of what activities will be performed at different times during the life of the project, who will accomplish the work, and how various activities related to each other support the purposes of the project. The most effective project plan is usually presented as a table showing what project activities take place in time during each year of the project and how the outputs of one project step are inputs to the next step.
- The project team should be expanded to better reflect the wide range of actors involved in IWRM. The team should include water law and policy experts, hydrologists, other water related physical, social, environmental and biological scientists, water resource managers, and primary stakeholders.

Project implementation

- The project plan should provide for an annual review and evaluation of the project's progress. A group outside the project team best accomplishes this review. The project proposal should specify how this annual evaluation will be made and by whom.
- A budget should be developed for the project showing the proposed allocation of funds to each of the proposed activities for each year of the project.
- The project should provide further details as to the commitment of its team members, supporting partners and stakeholders to implementing the project plan. The proposal should provide evidence of existing and expected support in terms of the amount of time team members have dedicated to the project, the availability of funding and non-financial support, and the extent to which the supporting partners and stakeholders are committed to, and will participate in, the implementation of the project.

Inter-basin linkages

- A major component of HELP is promoting the transfer of knowledge, skills and technology between basin (North-North, North-South, South-North and South-South). The proposers should explore the possibility of linking with other basins within the HELP program.

Basin name and country(ies): Lake Ontario, USA-Canada

Classification: Associated HELP Activity

Name(s) of key contacts preparing the nomination :

Dr. Theodore A. Endreny, P.H., P.E. Assistant Professor,
State University of New York (SUNY), College of Environmental Science and Forestry (ESF)

Dr. Jack Manno, Executive Director/Assistant Professor,
State University of New York (SUNY), College of Environmental Science and Forestry (ESF)
Great Lakes Research Consortium

Recommendations:

The Executive Summary of this proposal states that the bi-national “Lake Ontario basin hosts numerous scientific investigations probing components of the basin’s hydrological, ecological, and socio-economic systems. Lake Ontario has and will continue to share this wealth of scientific and management experience to complement dialogue and learning between a diverse collection of Hydrology, Environment, Life, and Policy (HELP) basins.”

This is a good definition of a new category of project established at the 2004 HELP Evaluation Committee meeting held in Bonn. The proposal, sponsored jointly by the Great Lakes Research Consortium and the State University of New York, is in an excellent position to review, screen, and, in some case implement, research projects that support Integrated Water Resources Management (IWRM) in the Lake Ontario basin and elsewhere.

The project, as presented in the proposal, is not a river basin management program and does not incorporate on the project team representatives of agencies of the two projects discussed in the proposal – the Lake Ontario –St. Lawrence River Study Water Levels research and the Lake Ontario Lake wide Management Plan. In reviewing the 75 basin proposals, the Evaluation Committee has concluded that this participation is essential if the HELP basin project is to succeed. Without official endorsement by management, it is hard to see how this project can proceed beyond being a loose coordination effort.

However, all the project purposes and outputs defined, especially the coordination functions listed in the proposal are extremely useful to the overall management of the basin and should be pursued.

The Committee proposes that this project proceed as an Associated HELP Activity that provides technical support of water resources management activities in the Lake Ontario basin. The project staff and the Great Lakes Research Consortium should begin work immediately with water management agencies to develop proposals and lay the ground work for the next Call for HELP Basin nominations, perhaps by identifying smaller tributary basins draining into Lake Ontario as specific projects. Our collective experience suggests that smaller basins are more tractable projects.

The suggestions that follow are generic advice resulting from the review of 75 proposals in 2004 and may be helpful to the development of future basin proposals.

Multilevel Stakeholder Engagement

- An important part of the HELP philosophy is to have river basin managers, water resources researchers, policymakers, and stakeholders engage one another to better understand each other’s needs and how to use hydrologic understanding to help resolve the basin’s social, economic, environmental, and hydrologic problems. The project sponsors should identify the water management organization that will be responsible for the long-term management of water resources in the basin and for implementation of IWRM. Representatives of the local water management agency should be included as part of the project team to benefit from the project activities and to assure continuity after these specific project activities have ended.

- If a water management agency does not exist for the basin, the project team should work with the state or regional water agencies to create such an organization (river basin or watershed council). The sponsors might consider suggesting to the national, regional or local authority, that it establish a prototype or pilot watershed organization to test this institutional approach to water management or as a model for other river basins to follow.
- Stakeholder involvement is a critical component of the HELP philosophy. Stakeholder participation requires the regular, frequent, and direct participation of representatives of stakeholder organizations in the management process to assist them in understanding (through education) the water management issues facing the basin and then to empower them to assist in setting priorities and choosing options for the solution of water problems that affect them. In this way, the groups most affected by the management decisions can “buy in” into the needed management actions and programs. The role of community and stakeholder groups in decision-making in this project and the mechanisms for their participation needs to be defined.
- Interagency coordination is a key issue in any multi-organizational water resources management program. The sponsors of the project need to consider how existing policy and legal instruments can be strengthened to establish an appropriate institutional framework within which water agencies and stakeholder organizations can collaborate. Steps may be needed to improve communications, coordination, and outreach activities at the national, state, local, and watershed levels. The framework should allow water law and policy experts, water resources managers, and water scientists to work together on water-related problems. It should also permit the development of integrated programs between these organizations, especially between sub-basin and basin level activities, and the equitable resolution of conflicts and disputes that inevitably will arise. Organization changes may be needed.
- The “Life” in HELP concerns people. These issues related to the quality of life in the basin such as the level of poverty, employment opportunities, economic development opportunities, access to clean water and sanitation services, levels of literacy and education, tourism opportunities, and so on. A balanced HELP proposal should spend considerable effort addressing the water-related aspects of these issues. The project sponsors should consider addressing some aspects of these livelihood issues in the project.

Project Design

- The proposal needs to define a scientific research agenda needed to address the water issues of interest in the basin. What information and understanding is needed to support modelling of hydrologic processes, such as agricultural nutrient transport, erosion control, crop water requirements, or in stream flow requirements to support aquatic habitats. Who will do this research? Who will implement the results of the research?
- The principle outputs of the project should directly support the purposes of the project and directly support specific improvements in water management, science policy, or law. The linkages between the outputs and the project purposes should be explicitly stated.
- The project plan provides a road map of what activities will be performed at different times during the life of the project, who will accomplish the work, and how various activities relate to each other in supporting the purposes of the project. The most informative project plan is usually presented as a table showing what project activities take place during each year of the project and how the outputs of one project step serve as inputs to the next step. The project sponsors should revise the project plan to more clearly define how the project activities related to one another and support the purpose(s) of the project.

Project Implementation

- The project plan should provide for an annual review and evaluation of the project’s progress in terms of accomplishing the project activities laid out in the project plan. This review is best

accomplished by a group outside the project team. The project proposal should specify how this annual evaluation will be made and by whom

- In monitoring and evaluation of the project, the sponsors should establish simple indicators that can be used in the long term to evaluate whether or not the policies and actions taken in implementing IWRM have a measurable effect on the mitigation of problems in the basin. Such measures might include the improvement of low flows, improvement in water quality, the reduction of untreated sewage discharges, improvement of irrigation efficiency (reduced irrigation use per ton of crop produced), reduction of sediment loads, and so on. Models may be needed to estimate some of these indicators. It should be recognized that the use of such indicators to detect trends is often a long-term activity. The evaluation of project results should be part of the 5-year project review of HELP projects.
- In describing the team members, the expertise of each member should be listed and their commitment to the project (percentage of time that they expect to spend on the project).
- A budget should be developed for the project showing the proposed allocation of funds to each of the proposed activities for each year of the project. Such a budget shows the approximate level of support planned for various project activities, such as outreach, public education, stakeholder meetings, research, etc., that are defined in the project plan.

Inter-Basin Linkages

- A major component of HELP is promoting the transfer of knowledge, skills, and technology between basins (North-North, North-South, South-North, and south-South). The proposers should explore the possibility of linking to other basins in the HELP programme.

Postscript

The decision of the ISC in September 2004 discontinues this classification and the proposers are invited to resubmit their proposal as a more focussed river basin management programme, involving the relevant operating agencies.