



Project funded by the European Union

# PEER REVIEW MECHANISM FOR THE IMPROVEMENT OF WATER FRAMEWORK DIRECTIVE IMPLEMENTATION

## Manual of Procedures

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December 2014

Prepared by:



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## List of abbreviations

CIS: Common Implementation Strategy

MS: Member State

PR: Peer Review

PR Tripartite Agreement (PRTA)

QC: Quality Control

RBD: River Basin District

RBMP: River Basin Management Plan

RCA: Reviewed Competent Authority – the CA which RBMP(s) benefit from the Peer Review

RE: Reviewing Experts making the evaluation

SCG: Strategic Coordination Group

ToR: Terms of Reference

WFD: Water Framework Directive

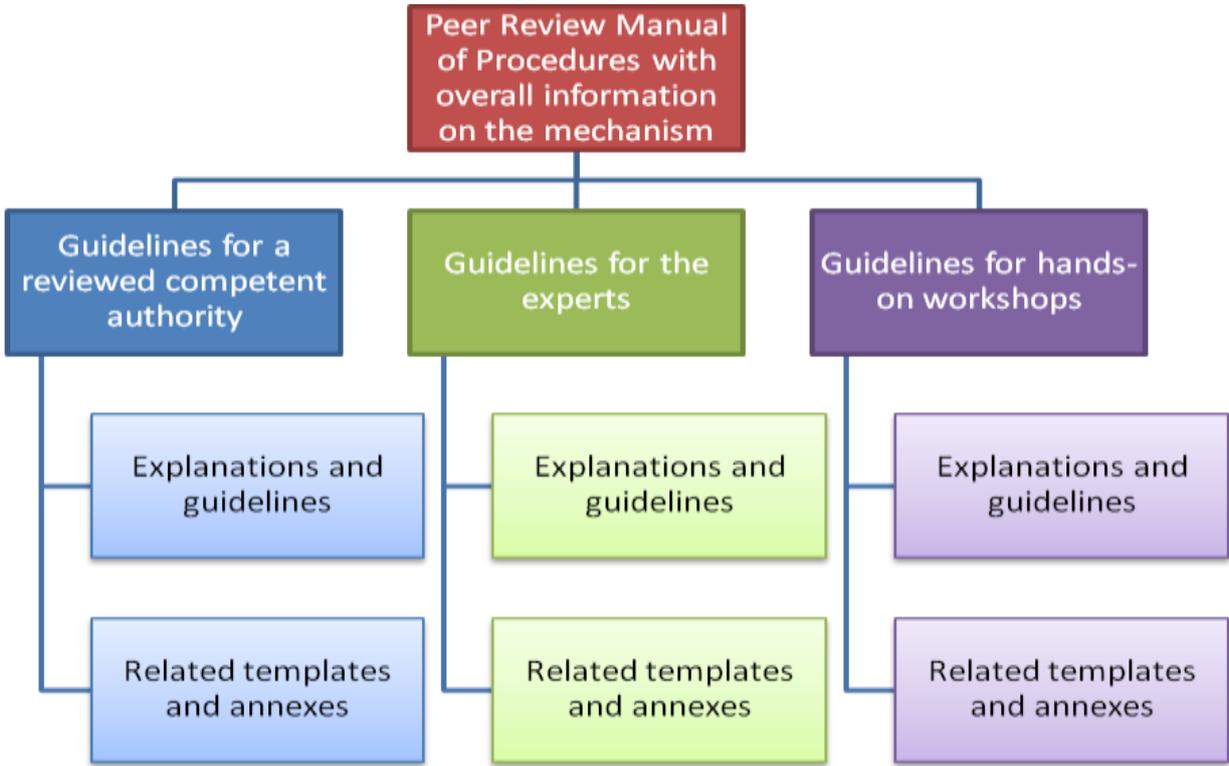
## Introduction of the manual of procedures structure

The present document was elaborated with the support of the European Union in the frame of the setting-up of a Peer review mechanism related to the Water Framework Directive (WFD) implementation under the Common Implementation Strategy (CIS).

Its main objectives is to introduce the Peer review mechanism but also to provide guidelines, necessary information and related forms and documentations to the reviewed competent authorities or experts that would like to be involved in the process.

The document is organised in four independent parts that could be used separately. Compiled as such in the present document, these different sections form the extensive Manual of Procedures for the Peer Review mechanism.

The following figure illustrates the document logic:



## Scope and purpose of the Peer Review

The Water Framework Directive (WFD) introduced in 2000 many new concepts and governance and technical challenges in an integrated approach to sustainable water management.

The Common Implementation Strategy (CIS) process has been successful in delivering a range of guidance documents which have supported the performance of Member States (MS) and have contributed to harmonised implementation.

A lot of effort has been put by Member States into the development of the first River Basin Management Plans (RBMPs), and knowledge of water status has considerably improved.

However, the Commission's 2012 assessment of the RBMPs has shown important differences in implementation level across the EU and more efforts are needed to ensure the achievement of the WFD objectives in the 2015, 2021 and 2027 planning cycles.

Some best practice can be identified in almost all areas of implementation. The successful experience of these best performers can help improving the implementation in other MS by applying the best problem-solving approaches.

The Commission, in the 2012 Blueprint proposed "*in the framework of the CIS, to set up a simple and voluntary **Peer Review system** through which river basin district authorities could submit their draft RBMPs to the review by other district authorities, within the same or in other Member States. This is expected, to favour mutual learning and improve the quality of the plans and their compliance with WFD requirements. The Commission could help identify, on the basis of its assessment of the first cycle RBMPs, the river basin district authorities that could benefit most from such an exchange*".

In the CIS process, the EU Water Directors endorsed at their meeting in Vilnius in December 2013 the approach proposed by the Commission to set up such Peer Review system.

**The objective is to set up a simple, voluntary and targeted system to allow mutual learning between peers about WFD implementation and participative river basin management planning. The main actors will be the practitioners from River Basin Districts (RBDs) and their competent authorities responsible for the implementation of the WFD, which will voluntarily submit RBMPs related issues to the review performed by reviewing experts from other authorities. The final output of this mechanism is the improvement of the WFD implementation across River Basin Districts (RBD) by sharing experience involving various European Member States (MS).**

A PR is not a consultancy work, where a Competent Authority sub-contracts a task to an external body, and waits for the outputs – a PR is based on exchanges and social learning, where reviewers are working hand-in-hand with receiving colleagues.

## Time schedule of the Peer Review project:

**Step 1:** on 15 September 2014, the Commission has signed a 2 years contract with a consortium in charge of setting up and coordinating the Peer Review mechanism. The Peer Review Secretariat will be responsible for launching and collecting expressions of interest from RBDs and from experts to participate in the review, organisational issues, facilitating the contacts between peers, covering expenses, etc.

**Step 2:** the Peer Review Secretariat, in consultation with the Commission and the Member States (through the SCG), establishes the protocol to perform the Peer Reviews, like a "manual of procedures". The draft version will be circulated end October 2014, presented at SCG meeting in November, with 2 weeks deadline for SCG comments.

**Step 3:** call for expression of interest for both RBDs and experts is launched in December 2014 or early January 2015, based on the manual of procedures.

**Step 4:** an initial tentative timetable for first Peer Reviews is presented at the SCG meeting in February 2015

**Step 5:** First Peer Reviews should be performed in spring 2015. The calendar of each specific review will be set in the Terms of Reference developed by the RBDs which participate in the exercise.

**Step 6:** Continuation of Peer Reviews until Spring 2016 and organisation of Hands-on workshop on specific topics

**Step 7:** Summer 2016, elaboration of lessons learnt documents

### Why HOST a Peer Review?

A Peer Review (PR) is an excellent instrument for assessing, inspiring and improving a River Basin Management Plan. It gives the Competent Authority (CA) the opportunity to get an external in-depth appraisal of its work and gain valuable insights into how to improve it.

Its key strength is the 'peer group' itself.

The Reviewing experts work in a field similar to that of their counterparts in the Reviewed CA, it is not only their scientific expertise, but also their experience in addressing the challenges and delivering solutions that make their contribution so important.

They are aware of the difficulties involved in implementing the Water Framework Directive (WFD), the organisational barriers, the complexity of the decision-making process, the financial restrictions and the technical challenges. At the same time work on how to overcome these barriers and can share this valuable experience with the RCA through a Peer Review.

### Why PARTICIPATE in a Peer Review?

Although a Peer Review is predominantly focused on supporting the Reviewed Competent Authority (RCA) and requires substantial time and effort from the reviewers, there are many benefits for Reviewing experts as well. By reviewing the work of the RCA, the Reviewing experts will gain much knowledge on how things are done in other basin authorities and will get a deep understanding of the main drivers, challenges and solutions of the local water policy, which can help them to further improve their own work back home.

Furthermore, as the Reviewing experts present and discuss their own experiences with the hosts and other Reviewing experts during the visit, they might also get relevant feedback.

## The Peer review process in a nutshell

The rationale of the Peer Review is as follows: a group of experts from different Public bodies, working in similar issues, evaluate local policies, programmes and practices, and in particular River Basin Management Plans, being implemented by a particular Competent Authority and give recommendations on possible areas of improvement.

This assessment is done in a structured and focused way, following common guidelines and methodology presented in this Manual of Procedures.

Those making the evaluation are the Reviewing Experts (RE). A key strength of the process is that – as peers – they can readily understand the goals of the practitioners whom they visit, the pressures on them, and the complexity of their environment.

Besides assessing the specific issues proposed by the RCAs, this is also a process of learning and exchange. Reviewing experts share their wealth of knowledge with the staff of RCA which they visit and review.

The Peer Review methodology is divided into a sequence of tasks and follows a clear schedule. Both the Peer Review team and the host RCA need to follow this sequence carefully, because each of its steps prepares for the next one. We can list them according to their order - before, during and after the Peer Review visit:

- Before the Peer Review visit: Tasks for the Reviewing Experts are to understand the needs for review and advices, and to do a desk review of the RCA self-assessment of the situation, thanks to materials provided by the RCA to the Reviewers. Tasks for the RCA include gathering evidence, contacting people to be interviewed, making practical arrangements for the visit and describing their self-assessment findings, and insure if needed the translation of the documents to be reviewed.

- The Peer Review visit: Tasks for Reviewing Experts include testing evidence through conducting interviews and workshops; collating and evaluating this evidence; contributing with their experiences during the “peer exchanges opportunities”, and making a preliminary presentation of findings to the RCA.

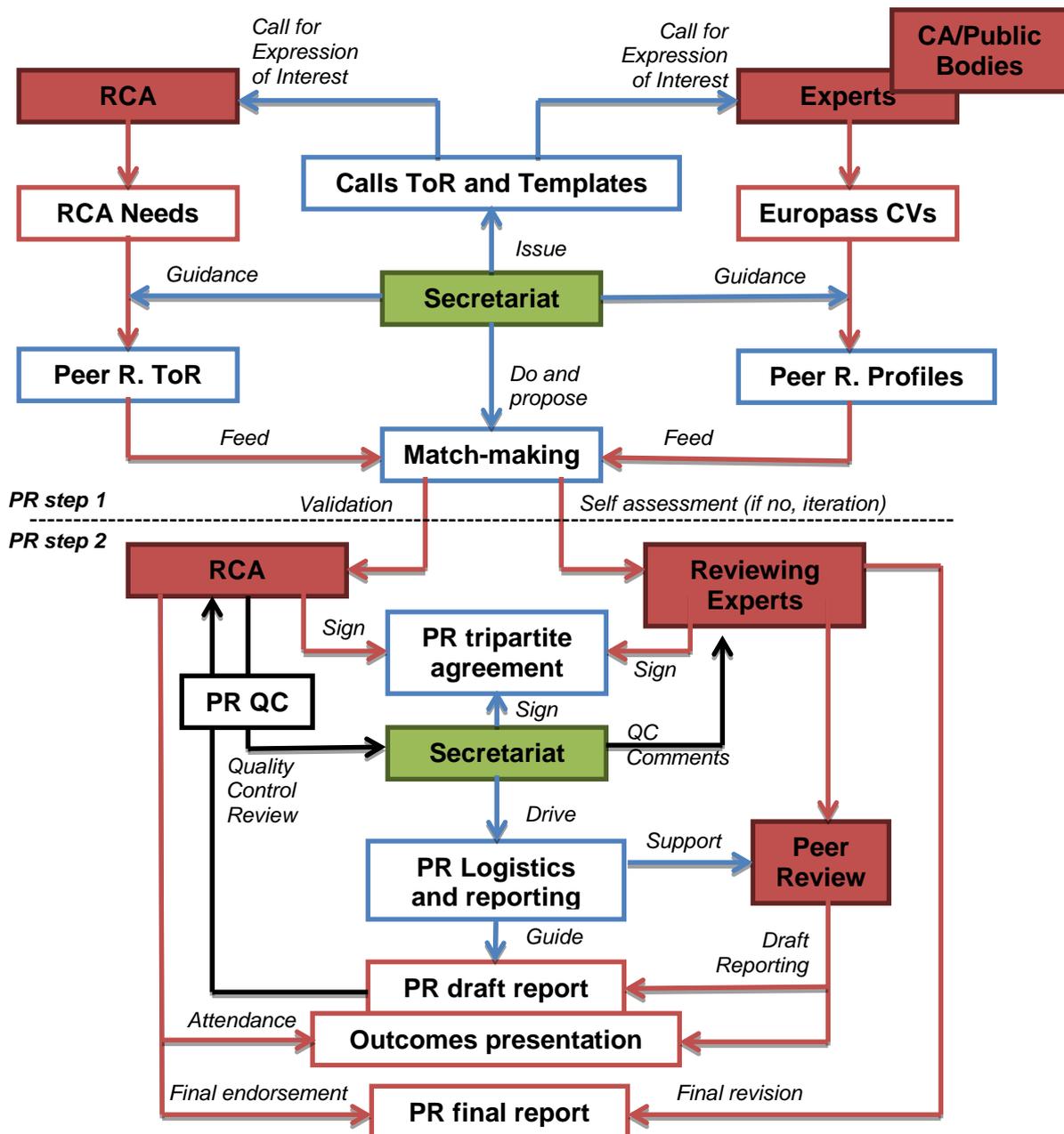
- After the Peer Review visit: Tasks for the Reviewers include producing a feedback report which assesses the RCA works, including specific recommendations for the host RCA and practical examples on how other CAs are tackling similar problems. The RCA will decide whether of not to make the report available to the public, and how to take it into account for its next works. Both the RCA and the Reviewing Experts will conduct an evaluation of their Peer Review experience.

### What can be reviewed?

- *Basin characterisation, Definition of Objectives*
- *Programmes of measures*
- *Horizontal management for RBM Planning (Public consultation/participative process, Water Information System/Data and Information sharing, etc.)*
- *Technical issues (Monitoring, Ground waters, Surface waters, Water quality, Water quantity, Hydro morphology, Pollutants/Chemical substances, Economic analysis, Ecology/Natural environment, Environmental flows, etc)*
- *Sector (Agriculture, Industry, Energy, Domestic Water, etc)*
- *Integration of policies (Floods, Droughts, Climate change, etc)*
- *Other specific fields of interests (to be specified by the CAs)*

## Role and expectations from the main actors (Secretariat, Reviewing Competent Authorities, Reviewing Experts),

The Peer Review (PR) process will be based on the following scheme, where the Secretariat will cooperate closely with the 2 parties, namely the Competent Authorities and the Reviewers/Experts, for facilitating a smooth work flow; the process is divided in 2 steps, the first one for identifying the parties, and match-making expertise Supply and Demand, the second for the PR itself:



**Going further:**

All materials related to the Peer review mechanism can be found on the project website:

[www.aquacoope.org/peer.review/](http://www.aquacoope.org/peer.review/)

For any further information feel free to contact the Peer review secretariat at the following email address:

[peer.review@oieau.fr](mailto:peer.review@oieau.fr)



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## **ESTABLISHMENT OF A PEER REVIEW MECHANISM FOR THE IMPROVEMENT OF WATER FRAMEWORK DIRECTIVE IMPLEMENTATION**

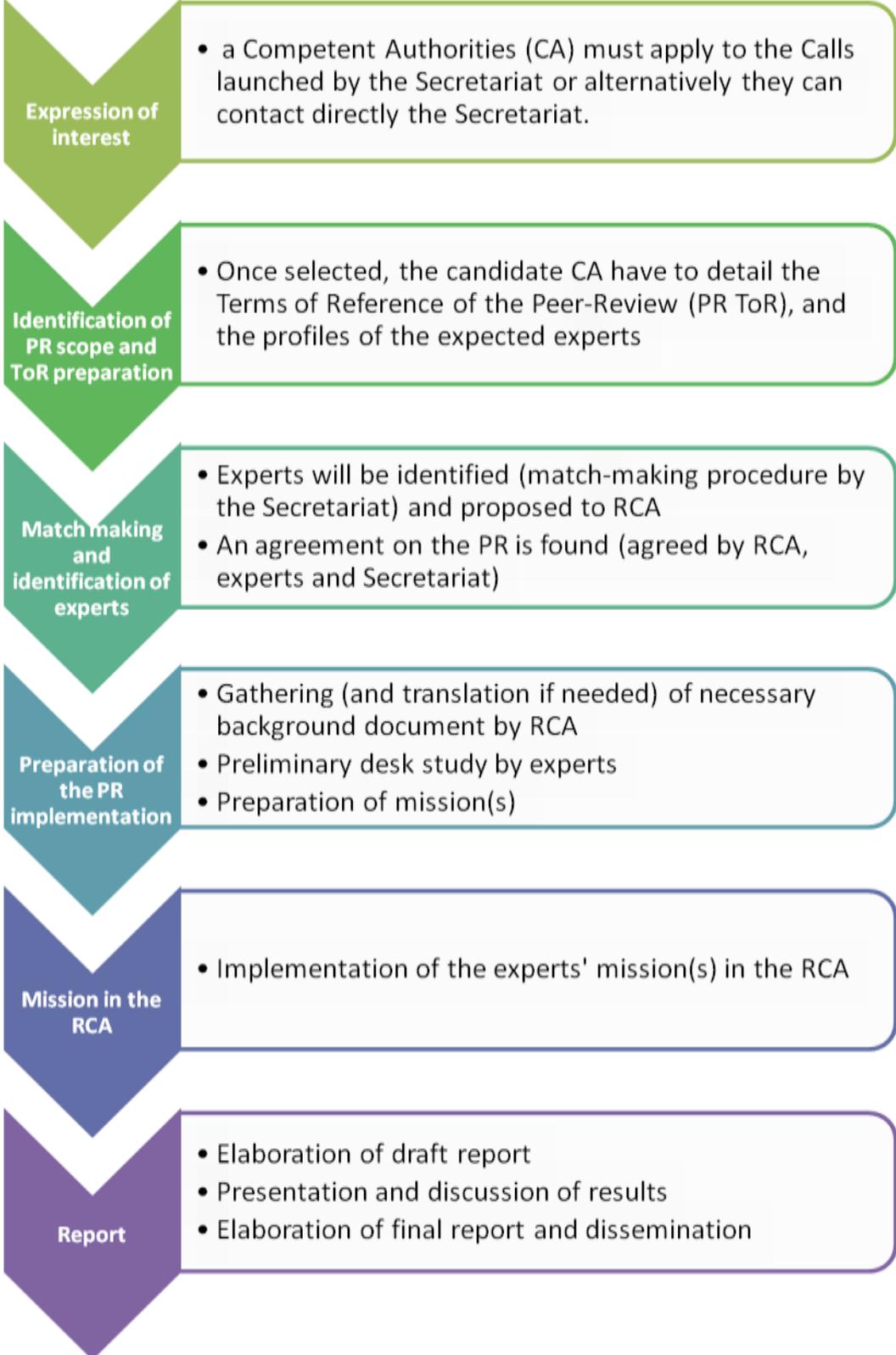
### Guidance section for the Reviewed Competent Authorities

**December 2014**

This document aims at providing to the Competent Authorities which would like to join and benefit from a Peer Review the necessary background information, logical steps to be followed and the necessary templates and forms to fill in.

## Summary of the logical steps for a Peer Review

The following scheme presents the logical steps that will be implemented from the identification of needs up to the final PR report elaboration.



# What those logical steps for a PR review means for the RCA

In the following paragraphs, each step of the process is more detailed, focusing on the point of view of the RCA.



**Expression of Interest**  
Expression of Interest (Eoi) : a Competent Authorities (CA) which want to benefit from the initiative, i.e. getting an external point of view on their draft River Basin Management Plan; must apply to the Calls launched by the Secretariat, using the Template for describing their needs (as RCA sees them) ; alternatively they can contact directly the Secretariat.



Once selected, the candidate CA have to detail the Terms of Reference of the Peer Review (PR ToR), and the profiles of the expected experts (incl. language issues); the difference between needs expressed by the candidate CA and the ToR lies in the precision of the description of the concerns, to ease the selection of appropriate reviewers, and their work later on. On request the Secretariat will provide support for this step.

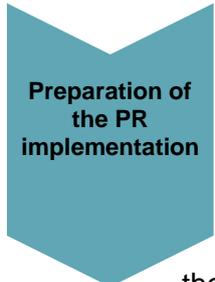
It is expected that no more than 2 up to 5 different sub-topics will be raised by each candidate CA (with an average of 3), requesting then an average of 3 experts for covering their needs (on the initial hypothesis of 1 topic - 1 expert, but subject to adaptation if needed because of a particular context).



The Secretariat will then implement match-making procedures to identify experts potentially able to answer to the needs expressed by the Reviewed Competent Authorities (RCAs).

At the best a choice of 2 or 3 experts per topic listed in the PR ToR will be proposed to the RCAs, for final ranking of the most-wanted experts (it is anticipated that criteria like the country of origin – the Basin they work with – and language skill will be key in the RCA choices).

The Secretariat will then contact the pre-selected experts (according to their ranking by the RCA) to check 1) if they are interested by the proposed PR, based on the PR-ToR, and 2) their availability according to the timing proposed by the RCA. In case of reviewers working in team, the secretariat will identify a unique Contact-Person as Reviewing Experts team coordinator.



If all parties agree, a PR Tripartite Agreement (PRTA) will be signed by the RCA, the Expert's organisation (which is legally responsible to cover the risk linked to the expert trip) and the Secretariat – this agreement will detail the PR objectives (based on the final ToR and presentation of the issues to be dealt with) and the rights and duties of each party, including a shared timetable.

If not, the Secretariat will negotiate with the parties the timing of the PR if the problem is there, or the scope of the PR ToR, if the problem lies in the lack of interest by the pre-selected experts.

**Mission in the  
RCA**

The RCA will nominate a unique Contact-Person and a team of local experts to be actively involved.

The RCA team will help the Secretariat and the reviewers to implement the PR process.

The table below present the RCA expected inputs in relation of the tasks to be performed in relation with the mission execution

| Task to be performed for the PR mission   | RCA expected inputs  |
|---|--|
| Preparation of the PR – desk study of the draft RBMP and relevant supporting documents<br>Possible adjustment of the time schedule of the mission to come | Supply of relevant documents, incl. the draft RBMP<br>Validation of the mission time schedule                    |
| On-site expertise – meetings and discussions with relevant RCA staff and stakeholders   | Appropriate working environment<br>Facilitation of the meetings and availability of staff and stakeholders       |
| Draft reporting, and recommendations  | In-depth Quality Control review of the draft report, and request for additional information/assessment if needed |
| Distant-presentation of the results using tele-conference (together with the other experts involved in the PR)  | Active attendance by selected staff  |
| Final report  | Endorsement<br>Dissemination options   |

An indicative workload of RCA's person managing the Peer Review is estimated at about 6-10 days:

- Contact person (supervision of the PR process): 1-2 days
- Facilitator of the mission + QC review: 5-8 days in case of a peer review concentrated of one single mission.

The time of exchange with other staff and stakeholders to be met during the missions should be very different from one PR to another and from one topic to another. If we consider that a reviewing expert meets 6 people during half-a-day each, we can give a rough estimation of 9 additional working-days for a PR with 3 topics. All in all, this time investment of the RCA has to be seen in regard of the benefit of the free of charge expertise and external vision provided by the reviewing experts.

In case all experts involved in a same PR could not have their mission during the same week, the reviewing experts missions can be spread over several weeks, which is likely to increase the total PR duration; the Secretariat will do its best to keep a compact PR implementation, but, if not possible and accepted by the different parties, the mission of different reviewers can be done at different time and the common presentation of conclusions can be delayed to take place after the end of the last reviewing expert's mission.



The final presentations of their works by the experts and their consolidation will be made during a distant-presentation (webinar if technically feasible for the different partners) organised by the Secretariat, with at least the attendance of the RCA's Contact person and the local experts involved in the PR, but open to other RCA staff (max 50); the webinar will typically last half-day.

The webinar will be recorded for further internal reuse by the RCA; further dissemination (e.g. through the project website) will be subject to a formal approval by the RCA.

The Quality Control of each individual draft PR report will be made by the RCA staff based on the content of the report vis-à-vis the PR ToR, and their understanding of the conclusions of the expert – if required they will issue comments and demand for clarification.

Beyond the conclusions applying directly to the RCA, will have to be formulated in the last part of the report, general recommendations derived from the exchange. These recommendations will be shared by the secretariat with the whole peer review community for a wider dissemination of the lessons learned of the peer review experience.

The Secretariat will check if the draft report meets the requirements of the Manual of Procedures, as well as professional expected standards.

If required, the final reports provided by the experts can be consolidated by the Secretariat; this consolidation will be made in respect of the experts' conclusions, since they are made under their individual responsibility. The final PR report will be transmitted to the Commission, and further dissemination (e.g. through the project website) will be subject to a formal approval by the RCA.

The RCA will be requested at the end of the PR to give their feedbacks and recommendations about the process it-self to feed the lessons learnt report; this will be done thanks to a questionnaire and bilateral interviews by phone or emails when an issue is raised.

It is expected that a PR execution takes place within 1.5 month or less after the PR Tripartite Agreement.

| Week 1  | Week 2  | Week 3       | Week 4    | Week 5       | Week 6       |
|---|---------|--------------|-----------|--------------|--------------|
| Exchange of background information and desk study | Mission | Draft report | QC review | Presentation | Final report |

A repartition of tasks at these different stages would be the following:

| Before the mission | Tasks  | Who do what ?                        |
|--------------------|--|--------------------------------------|
|                    | Signature of the PRTA with nomination of the RCA team  | All parties<br>RCA                   |
| Week 1             | Provision of background materials to the reviewers and preparation of the mission<br>Logistic of the reviewers (travel, accommodation) | RCA<br><br>Reviewers and Secretariat |

|                          |  |                            |
|--------------------------|--|----------------------------|
| Week 2                   | Feedback to RCA by reviewers – additional questions – tentative list of stakeholders to meet<br>Approval of the mission agenda and interviewees list | Reviewers                  |
| Week 3                   | Mission  | RCA and Reviewers          |
| <b>After the mission</b> | <b>Tasks</b>   | <b>Who do what ?</b>       |
| Week 4                   | Draft report issued  | Reviewers                  |
| Week 5                   | Review and quality control of the individual reports   | RCA and Secretariat        |
| Week 6                   | Webinar presentations of individual reviews<br>Collection of feedbacks from the RCA and the reviewers  | All parties<br>Secretariat |
| Week 6                   | Final report and dissemination issues  | Reviewers and Secretariat  |

#### Typical agenda of a Reviewer's mission

|                    | <b>Day 1 - Monday</b>   | <b>Day 2</b>  | <b>Day 3</b>  | <b>Day 4</b>      | <b>Day 5</b>  |
|--------------------|---|---|---|-------------------|---|
| <b>Morning</b>     | <b>Travel of the reviewer(s)</b>  | <b>Interviews:</b><br>Interviews are with a single person, either an internal or external stakeholder from the RCA. The peer asks a set of prepared questions (open semi-structured discussion). These interviews should be timetabled for 50 minutes up to 90 minutes (key actor or if an interpreter is needed) | <b>Interviews</b>   | <b>Interviews</b> | <b>Peer exchange seminar</b><br>Presentation of draft recommendations<br>Conclusion of the mission and follow-up. |
| <b>Lunch break</b> | Welcome lunch   |   |   |                   |   |
| <b>Afternoon</b>   | <b>Introduction</b><br>Introduction, team building and Reviewing experts' briefing. Description of needs by the RCA Contact Person. | <b>Site visit</b><br>Presentations and site visits can be used to gather evidence. Reviewing experts listen to a presentation of a key actor in the host CA or are taken to a site visit to see how a specific  | <b>Workshop</b><br>Workshops are interviews with two or more stakeholders. Reviewing experts prepare an introduction and ask a series of open questions to the local actors, either in the whole group or | <b>Workshop</b>   | <b>Drafting of the report</b>   |

|                       |  |  |  |  |                                       |
|-----------------------|--|--|--|--|---------------------------------------|
|                       |  | measure or initiative is implemented. Questions are asked during presentations to clarify issues | in break out groups.                                     |  |                                       |
| <b>Late afternoon</b> |  | <b>Debrief</b><br>Reviewer(s) and the RCA Contact Person   | <b>Debrief</b><br>Reviewer(s) and the RCA Contact Person | <b>Debrief</b><br>Reviewer(s) and the RCA Contact Person | <b>Travel back of the reviewer(s)</b> |

## **Annexes and templates for the RCA Guidelines**

**A1:** Expression of interest for a Peer Review (PR)

**A2:** PR Terms of references

**A3:** PR Report template

**A4:** PR Tripartite Agreement (PRTA)

## Annexe A1:

### Expression of Interest for a Peer Review

Form to be filled by RCA and send to [peer.review@oieau.fr](mailto:peer.review@oieau.fr)

#### Contact information

Name: -----

E-mail: -----

Phone: -----

#### Organism, Country:

-----

-----

-----

#### Specific point(s) to be reviewed:

- Basin characterisation, Definition of Objectives
- Programmes of measures
- Horizontal management for RBM Planning (Public consultation/participative process, Water Information System/Data and Information sharing, etc.)
- Technical issues (Monitoring, Ground waters, Surface waters, Water quality, Water quantity, Hydro morphology, Pollutants/Chemical substances, Economic analysis, Ecology/Natural environment, Environmental flows, etc)
- Sector (Agriculture, Industry, Energy, Domestic Water, etc)
- Integration of policies (Floods, Droughts, Climate change, etc)
- Other specific fields of interests (to be specified by the CAs)

**Please describe your expected results and objectives for the peer review in few sentences<sup>1</sup>**

---

<sup>1</sup> If you wish to provide more details, feel free to use directly the Peer Review Terms of Reference form

**Please list hereafter the tentative list of documents that could be made available for the reviewer(s):**

**Please indicate if your institution would be willing to organise a thematic workshop within the PR process, specifying:**

- Potential willingness to organise a thematic workshop covering the results of several peer reviews on specific topics, so at a later stage and in addition of my interest in a peer review mission presented above
- Would rather organise a single thematic workshop rather than a mission to meet my PR expected results and objectives
- My institution would not be willing to organise a thematic workshop

Annexe A2:

Terms of reference for the Peer review

Example of structure

|              |
|--------------|
| PR reference |
|              |

|       |
|-------|
| Date: |
|       |

|                            |
|----------------------------|
| <b>Terms of References</b> |
|----------------------------|

|  |  |
|--|--|
| RCA                                    |  |
| RCA counterpart responsible for the PR |  |
| Reviewing experts                      |  |

**1. BACKGROUND INFORMATION and PR OVERALL OBJECTIVES**

|  |
|--|
|  |
|--|

**2. EXPECTED RESULTS**

| Expected results | Estimated nber of reviewing expert man-days necessary | Field of competencies concerned for the expert |
|------------------|---|--|
| Description      |   |  |
|                  |   |  |

### 3. NECESSARY DOCUMENTS FOR THE REVIEW

*List of relevant documentation or sources to be delivered by the RCA (language)*

| Name | Description / Notice |
|------|----------------------|
| ▪    |                      |
| ▪    |                      |
| ▪    |                      |

| Websites |                     |        |
|----------|---------------------|--------|
| Name     | Description/ Notice | Adress |
|          |                     |        |
|          |                     |        |

### 4. DETAILED MISSIONS SCHEDULE

| <i>Date/ Hour</i> | <i>Activities</i> | <i>Persons involved</i> | <i>Address</i> | <i>Comments</i> |
|-------------------|-------------------|-------------------------|----------------|-----------------|
| Day 1             |                   |                         |                |                 |
| Day 2             |                   |                         |                |                 |
| ....              |                   |                         |                |                 |

### 5. OTHER INFORMATION FROM THE RCA

.....

.....

.....

.....

## 6. CONTACTS DETAILS

*Principal local contacts met*

| Name | Occupation | E-mail | Phone number |
|------|------------|--------|--------------|
|      |            |        |              |
|      |            |        |              |
|      |            |        |              |

Peer Review Report template

**Important notice:** It is propose to keep as a first part of the report all the information elaborated during the preparation of the Terms of Reference. In case of modification of agenda during the mission the parts 3 to 6 can be updated.

|                     |
|---------------------|
| <b>PR reference</b> |
|                     |

|              |
|--------------|
| <b>Date:</b> |
|              |

|               |
|---------------|
| <b>Report</b> |
|---------------|

|   |  |
|---|--|
| <b>RCA</b>                                    |  |
| <b>RCA counterpart responsible for the PR</b> |  |
| <b>Reviewing experts</b>                      |  |

**1. BACKGROUND INFORMATION and PR OVERALL OBJECTIVES**

|  |
|--|
|  |
|--|

**2. EXPECTED RESULTS**

| Expected results   | Topic: |
|--------------------|--------|
| <b>Description</b> |        |
|                    |        |

### 3. NECESSARY DOCUMENTS FOR THE REVIEW

*List of relevant documentation or sources to be delivered by the RCA (language)*

| Name | Description / Notice |
|------|----------------------|
| ▪    |                      |
| ▪    |                      |
| ▪    |                      |

| Websites |                     |        |
|----------|---------------------|--------|
| Name     | Description/ Notice | Adress |
|          |                     |        |
|          |                     |        |

### 4. DETAILED MISSIONS SCHEDULE

| <i>Date/ Hour</i> | <i>Activities</i> | <i>Persons involved</i> | <i>Address</i> | <i>Comments</i> |
|-------------------|-------------------|-------------------------|----------------|-----------------|
| Day 1             |                   |                         |                |                 |
| Day 2             |                   |                         |                |                 |
| ....              |                   |                         |                |                 |

### 5. OTHER INFORMATION FROM THE RCA

.....

.....

.....

.....

## 6. CONTACTS DETAILS

*Principal local contacts met*

| Name | Occupation | E-mail | Phone number |
|------|------------|--------|--------------|
|      |            |        |              |
|      |            |        |              |
|      |            |        |              |

## 7. PEER REVIEW REPORT

**Public peer review reports are available on the project website**

[www.aquacoope.org/peer.review/](http://www.aquacoope.org/peer.review/)

- 1 - Conclusions and recommendations regarding the reviewed documentation;
- 2 - List of persons met during the mission & short summary of meeting content/results ;
- 3 – Proposal of follow up activities to be done by RCA as well as potential time schedule;
- 4 - List & upload of documents that could be usefully put on the project's intranet;
- 5 - Summary in 15 lines of the report to be included in the overall Peer Review project report
- 6- General recommendations derived from the exchange. These recommendations will be shared by the secretariat with the whole peer review community for a wider dissemination of the lessons learned of the peer review experience.

*Annexes*

- Documents prepared during and/or for the mission;
- Presentation(s) used during the mission;
- Useful web-links.

### Peer Review Tripartite agreement

#### **Purpose of the "Tripartite agreement"**

This Tripartite agreement is a formal expression, of the acknowledgement of principles and rules of the Peer Review mechanism and of the willingness of signatories to contribute to it.

The Tripartite agreement is a voluntary agreement, entered into by the 3 main parties involved in the Peer Review mechanism i.e. the Reviewed Competent Authority, the Reviewing Experts contributing to the Peer review, and by the Peer review secretariat.

The signature of the agreement represents a public commitment to respect certain principles and to work professionally towards specific common goals and consensus in specific areas, falling under the scope of the Peer review mechanism.

This particular agreement implies the following public commitments:

- ◆ Commitment from signatories to help to improve the implementation of the WFD in their respective institutions,
- ◆ Commitment from signatories to concretely target the exchanges on the WFD related methodologies, techniques, tools etc...based on the Term of Reference attached and their best experience and knowledge,
- ◆ Commitment from signatories to co-operate in the production of recommendations and guidelines to be shared with all the Peer Review practitioner communities reflecting their mutual exchange of experience.

The tripartite agreement therefore represents a combination of commitments that together will enable and accelerate coherent developments for the mutual benefit of all those involved.

#### **Types of eligible actions/missions for the Peer Review visit**

The eligible Peer Review visits are the missions aiming at deepening the understanding and develop the capacities of the RCA, and the experience of the reviewing experts, on specific topics/aspects of the WFD implementation, or on WFD implementation as a whole, as described in the PR ToR and jointly agreed by the RCAs and the Reviewing experts, with validation from the Secretariat.

#### **ARTICLE I – SCOPE OF CO-OPERATION**

The scope of co-operation under this agreement covers all aspects of European Water Framework Directive implementation.

The fields of expertise covered by the review are very broad: Planning steps, horizontal management for RBMP preparation, Monitoring/Water Information System, technical issues, specific sector (Agriculture, Industry, Domestic Water, etc), integration of policies and other specific fields of interests. They have to be expressed by the RCA in detail in the PR ToR, prior to the signature of this agreement.

## **ARTICLE II – GENERAL PRINCIPLES**

The Signatories agree on the following general principles:

- (i) The Reviewed Competent Authorities expresses its needs via the Terms of Reference of the Peer Review (PR ToR), prepares the necessary documentation and ensures availability of experts from its institution to actively collaborate with other signatories. The agreed PR ToR, including the issues to be dealt with and the timetable are part of this Agreement.
- (ii) The Reviewing Experts agree on the PR ToR, answer to the needs of the RCA, share their knowledge and respect the rules of confidentiality expressed by the RCA,
- (iii) The Secretariat supports the exchanges, thanks to go-between efforts as well as practical and organisational tasks.

## **ARTICLE III – ORGANISING CO-OPERATION**

The Peer Review methodology is divided into a sequence of tasks and follows a clear schedule. Both the Reviewing experts and their host CA need to follow this sequence carefully:

***Before the Peer Review visit:*** Tasks for the Reviewing Experts are to understand the needs for review and advices, and to do a desk review of the RCA presentation of the situation, thanks to materials provided by the RCA. Tasks for the RCA include gathering evidence, contacting people to be interviewed, making practical arrangements for the visit and describing their self-assessment findings.

***The Peer Review visit:*** Tasks for reviewing experts include testing evidence through conducting interviews and workshops; collating and evaluating this evidence; contributing with their experiences during the “peer exchanges opportunities”, and making a preliminary presentation of findings to the RCA. The RCA is in charge of the local logistic organisation of the Peer Review visit.

***After the Peer Review visit:*** Tasks for the reviewing experts include producing a feedback report which assesses the RCA works, including specific recommendations for the host RCA and practical examples on how other European river basin district authorities are tackling similar problems. Both the RCA and the reviewing experts will conduct an evaluation of their Peer Review experience and design general recommendations based on their experience to be shared by all the practitioner community.

## **Article IV – Information and Confidentiality**

The RCA specifies the level of confidentiality of the information shared with the reviewing Experts. The reviewing Experts commit to abide by it.

## **Article V - Financial modalities of the missions**

The direct costs of the Reviewing Experts' missions (travel cost and subsistence allowance) are the main cost covered by the project budget. Reimbursement conditions are specified under the annex B6 of the guidance section for the experts carrying out the review. These real costs will be reimbursed directly to the experts based on the supporting documents. Salary cost and/or fees are not eligible.

The RCA will be in charge of the other costs related to the Reviewing experts' missions: working space, internet connection, telecommunication, etc.

**RCA Signatory Page**

I, \_\_\_\_\_ (*name*)

in quality of \_\_\_\_\_ (*position*)

at \_\_\_\_\_

\_\_\_\_\_ (*Name and address of the RCA*)

\_\_\_\_\_ (*contact e-mail*)

Hereby subscribes to these Peer review principles and set of rules and will take necessary efforts to adequately benefit from this PR.

Signed in \_\_\_\_\_, (*location*)

on \_\_\_\_\_ (*date*).

\_\_\_\_\_ (*signature*)

**Reviewing Expert Signatory Page (1)**

I, \_\_\_\_\_ **(name)**

**In quality of**

\_\_\_\_\_  
\_\_\_\_\_ **(position)**

**at**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_ **(Name and address of the Employer)**

\_\_\_\_\_ **(e-mail)**

Hereby subscribes to these Peer review principles and set of rules and will take necessary efforts to participate adequately to a PR.

Declare having a duly signed agreement from my employer to perform the PR mission under its responsibility.

**Signed in** \_\_\_\_\_ , **(location)**

**on** \_\_\_\_\_ **(date)**.

\_\_\_\_\_ **(signature)**

## Reviewing Expert Signatory Page (2)

I, \_\_\_\_\_ (*name*)

In quality of

\_\_\_\_\_  
\_\_\_\_\_ (*position*)

at

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_ (*Name and address of the Employer*)

\_\_\_\_\_  
\_\_\_\_\_ (*e-mail*)

Hereby subscribes to these Peer review principles and set of rules and will take necessary efforts to participate adequately to a PR.

Declare having a duly signed agreement from my employer to perform the PR mission under its responsibility.

Signed in \_\_\_\_\_, (*location*)

on \_\_\_\_\_ (*date*).

\_\_\_\_\_  
\_\_\_\_\_ (*signature*)

**Reviewing Expert Signatory Page (3)**

I, \_\_\_\_\_ *(name)*

In quality of

\_\_\_\_\_  
\_\_\_\_\_ *(position)*

at

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_ *(Name and address of the Employer)*

\_\_\_\_\_ *(e-mail)*

Hereby subscribes to these Peer review principles and set of rules and will take necessary efforts to participate adequately to a PR.

Declare having a duly signed agreement from my employer to perform the PR mission under its responsibility.

Signed in \_\_\_\_\_ , *(location)*

on \_\_\_\_\_ *(date)*.

\_\_\_\_\_ *(signature)*

## Peer Review Secretariat

I, \_\_\_\_\_ (*name*)

**in quality of**

Representative of the Peer Review Secretariat

**declare that**

The Peer Review Secretariat (peer.review@oieau.fr)

Hereby subscribes to these Peer review principles and set of rules and will take necessary efforts to insure the success of this PR.

Signed in \_\_\_\_\_, (*location*)

on \_\_\_\_\_ (*date*).



Project funded by the European Union

## **ESTABLISHMENT OF A PEER REVIEW MECHANISM FOR THE IMPROVEMENT OF WATER FRAMEWORK DIRECTIVE IMPLEMENTATION**

Guidance section for the experts carrying out the review

---

**December 2014**

## Summary of the logical steps for involvement of a reviewing expert

Experts who would like to take part to the peer review process, must first apply to the formal Call for Expression of Interest (Eoi) by filling the Reviewers profile form (annex B1) and transmitting a Europass CV (annex B2) for detailing his competencies.

An expert involved in the process will act as a representative of the institution he works for, which is classically a competent authority or a public body involved in the WFD implementation and the process of RBMPs elaboration and implementation. The participation of recently retired public agents who are still professionally active is eligible too.

An expert will not be entitled to remuneration for the work undertaken within the PR process. It is therefore acknowledged that the experts are supported and under the responsibility of their employers. The expert shall thus seek a clear understanding of the Peer review mechanism by its institution.

During the match-making process, the Secretariat will proceed to a CV-based selection of the most adapted expert for the different PR to be implemented.

If all parties agree, a **PR Tripartite Agreement (PRTA)** will be signed by the RCA, the expert in close connexion with his organisation which will endorse the responsibility to cover his expert during the mission and the Secretariat – this agreement will detail the PR process (the final ToR and issues to be dealt with) and the rights and duties of each party, including a shared timetable.

If not, the Secretariat will negotiate with the parties to bridge the difficulties i.e. the timing of the PR if the problem is there, or the scope of the PR ToR, the pre-selected experts, etc.

The overall hereafter scheme is presenting the main logical steps of a Peer Review process for a reviewing expert after the tripartite agreement is signed.



## What is the overall workload a reviewing expert would have to deal with?

The reviewing experts' workload is estimated at an average of 10 working days per expert per PR:

| Task to be performed by the reviewer  | Expert's anticipated workload |
|---|-------------------------------|
| Preparation of the PR – desk study of the draft RBMP and supporting documents<br>Draft of the agenda of the mission to come | 2 days                        |
| On-site expertise – meetings and discussions with relevant RCA staff and stakeholders                                       | 5 days                        |
| Draft report and recommendations  | 1.5 - 2 days                  |
| Presentation at a distance<br>(together with the other reviewing experts involved in the PR)                                | 0.5 day                       |
| Final report  | 0,5 - 1 day                   |

## What is the overall timeframe for a reviewing expert?

It is expected that a PR execution takes place within 1.5 month or less after the PR Tripartite Agreement.

| Week 1  | Week 2  | Week 3       | Week 4                    | Week 5       | Week 6 |
|---|---------|--------------|---------------------------|--------------|--------|
| Exchange of background information and desk study | Mission | Draft report | QC review<br>Presentation | Final report |        |

A repartition of tasks at these different stages would be the following:

| Before the mission | Tasks  | Who do what ?                        |
|--------------------|--|--------------------------------------|
|                    | Signature of the PRTA with nomination of the RCA team  | All parties<br>RCA                   |
| Week 1             | Provision of background materials to the reviewers and preparation of the mission<br>Logistic of the reviewers (travel, accommodation)               | RCA<br><br>Reviewers and Secretariat |
| Week 2             | Feedback to RCA by reviewers – additional questions – tentative list of stakeholders to meet<br>Approval of the mission agenda and interviewees list | Reviewers                            |
| Week 3             | Mission  | RCA and Reviewers                    |
| After the mission  | Tasks  | Who do what ?                        |
| Week 4             | Draft report issued  | Reviewers                            |
| Week 5             | Review and quality control of the individual reports   | RCA and Secretariat                  |
| Week 6             | Webinar presentations of individual reviews  | All parties                          |

|        |  |                           |
|--------|--|---------------------------|
|        | Collection of feedbacks from the RCA and the reviewers | Secretariat               |
| Week 6 | Final report and dissemination issues                  | Reviewers and Secretariat |

### Typical agenda of a Reviewer's mission

|                       | Day 1 - Monday  | Day 2   | Day 3  | Day 4  | Day 5  |
|-----------------------|---|---|--|--|--|
| <b>Morning</b>        | <b>Travel of the reviewer(s)</b>  | <b>Interviews:</b><br>Interviews are with a single person, either an internal or external stakeholder from the RCA. The peer asks a set of prepared questions (open semi-structured discussion). These interviews should be timetabled for 50 minutes up to 90 minutes (key actor or if an interpreter is needed) | <b>Interviews</b>  | <b>Interviews</b>  | <b>Peer exchange seminar</b><br>Presentation of draft recommendations<br>Conclusion of the mission and follow-up |
| <b>Lunch break</b>    | Welcome lunch   |   |  |  |  |
| <b>Afternoon</b>      | <b>Introduction</b><br>Introduction, team building and Reviewing experts' briefing. Description of needs by the RCA Contact Person. | <b>Site visit</b><br>Presentations and site visits can be used to gather evidence. Reviewing experts listen to a presentation of a key actor in the host CA or are taken to a site visit to see how a specific measure or initiative is implemented. Questions are asked during presentations to clarify issues   | <b>Workshop</b><br>Workshops are interviews with two or more stakeholders. Reviewing experts prepare an introduction and ask a series of open questions to the local actors, either in the whole group or in break out groups. | <b>Workshop</b>  | <b>Drafting of the report</b>  |
| <b>Late afternoon</b> |   | <b>Debrief</b><br>Reviewer(s) and the RCA Contact Person  | <b>Debrief</b><br>Reviewer(s) and the RCA Contact Person   | <b>Debrief</b><br>Reviewer(s) and the RCA Contact Person | <b>Travel back of the reviewer(s)</b>  |

## **What are the expectations for a reviewing expert?**

### **What assistance will he/she receive from the Secretariat?**

The Secretariat will provide the procedures and templates for the on-site mission. It will support the organisation of the travel, in close cooperation with the expert for the selection of the best travel option and insure the reimbursement of eligible cost in line with annex B6.

The main task of the reviewing expert will be to study the case proposed by the RCA in the PR ToR and present its recommendations in the PR report. Beyond the conclusions applying directly to the RCA, will have to be formulated in the last part of the report, general recommendations derived from the exchange. These recommendations will be shared by the secretariat with the whole peer review community for a wider dissemination of the lessons learned of the peer review experience.

The Quality Control of each individual draft PR report will be made by the RCA staff based on the content of the report vis-à-vis the PR ToR, and their understanding of the conclusions of the expert – if required they will issue comments and demand for clarification.

The Secretariat will also check if the draft report meets the requirements of the Manual of Procedures, as well as professional expected standards and expected standards.

The Reviewer will have then to finalise the report taking into account, as far as possible, the comments issued by the RCA and the Secretariat.

If required, the final reports provided by the experts can be consolidated by the Secretariat; this consolidation will be made in respect of the experts' conclusions, since they are made under their individual responsibility. The final PR report will be transmitted to the Commission, and further dissemination (e.g. through the project website) will be subject to a formal approval by the RCA.

The final presentations of their works by the reviewing experts and their consolidation will be made during a webinar organised by the Secretariat, with at least the attendance of the RCA's Contact person and the local experts involved in the PR, but open to other RCA staff (max 50); the webinar will typically last half-day. The webinar will be recorded for further internal reuse by the RCA; further dissemination (e.g. through the project website) will be subject to a formal approval by the RCA.

The Reviewer will be requested at the end of the PR to give his/her feedbacks and recommendations about the process it-self to feed the lessons learnt report; this will be done thanks to a questionnaire and bilateral interview by phone or emails when an issue is raised.

## **Key recommendations and tips for reviewers**

Reviewing experts will gather evidence and assess the implementation of the Water Framework Directive in the Reviewed Competent Authority (RCA) by means of interviews, workshops and presentations from key actors of the RCA. These actors may include RCA senior and middle managers, experts from the RCA, as well as representatives of external stakeholders (e.g. members of the Basin Committee, politicians, NGOs, and water users' communities within the Basin), etc. The aim is to gather evidence on how the water policy is received.

After having read the materials provided by the host CA, Reviewing experts already have a good knowledge of the local RBMP and PoM. However, the evidence Reviewing Experts gather in interviews and workshops is crucial to fully understand how policies are implemented and be capable of drawing conclusions and recommendations.

Probably no other skill, albeit water management skills, is as important to the Peer Review process as the ability to conduct good interviews and workshops. These include putting the respondent at ease, asking questions in an interested manner, noting down the responses without upsetting the conversation flow or giving support without introducing bias.

### **Be prepared for your interviews and workshops**

Before an interview or a workshop, reviewing experts should know who they are going to meet and their role/responsibilities. They should also have a clear idea of the theme of the interview or workshop and have 3-6 questions prepared in advance.

Interviewees and workshop participants must be previously briefed by the RCAs on the aims of the Peer Review visit, indicative length and structure of the interview/workshop, and be advised that the review is anonymous.

### **Make the interviewee feel comfortable**

Before asking the questions it is important to meet and greet the person or people you are interviewing and make them feel comfortable. Peer should also spend a few minutes introducing themselves and explaining the purpose and structure of the interview/workshop. This will help build trust so that the interviewee is as open and honest as possible.

Reviewing experts should also assure the interviewee/s that any answer or information given in the interview/workshop is confidential – so it will inform the report but will be ‘non-attributable’ to them.

### **Ask the *right* questions and in the *right* manner**

The main purpose of the interviews/workshops is to obtain evidence (‘facts’) to help Reviewing Experts to draw conclusions to feed the review.

When formulating questions, Reviewing Experts should keep this in mind and focus on asking high level ‘probing’ questions. The evidence gathered through the interviews can be:

- a factual answer given in reply to a factual question;
- an opinion – for example, why/how certain practices are carried out.

Reviewing experts should try to avoid questions that are hypothetical (‘what if’); questions that lead the interviewee to an obvious answer; long and multiple questions; or questions that start with ‘Why’ (these tend to make people feel the need to justify the reasons they do things).

### **Translators/interpreters**

In some RCA, the interviewees will not be able to communicate in English. In those cases, more time should be dedicated to the interview/workshop to allow enough time for interpretation. The interpreters should attend the team briefings and have a good level of competence or understanding in specific technical areas.

RCAs will be responsible for arranging interpretation, if needed.

### **Recording the answers**

The notes Reviewing experts make during the interview are crucial for the success of the Peer Review visit. At the end of each interview/workshop, the Reviewing experts that have participated will review together the notes and decide how to record the evidence they have gathered.

## **Evidences**

The purpose of the PR mission is to understand how the RCA could bridge the gap or difficulties they are targeting. This assessment started during the desk review and is consolidated during the Peer Review visit, mainly by questioning practitioners and stakeholders in interviews or workshops, but also by looking at reports and additional documentation supplied by the RCA.

## **Drawing conclusions and presenting recommendations**

One of the most important outputs of the visit will be the feedback the RCA will receive from the Peer Review experts. The later should offer valuable external views to the RCA staff.

The feedback to the host CA will be presented in a short final report produced by the Reviewing experts at the latest one month after its visit. But preliminary feedback is given by the reviewers as their visit draws to a close on Day 5 and in a draft report to be send the week following the visit.

Reviewing experts will deliver an initial summary of key findings and recommendations to decision-makers in the CA administration. The scope, format and venue for this feedback session will have been agreed in advance between the RCA and the expert(s) in the ToR. Its audience might be just the relevant director and one or two officials, or it could include other key practitioners and stakeholders.

## **Annexes and templates for the reviewing experts guidelines**

**B1:** Europass CV template

**B2:** Reviewers profile form

**B3:** PR Terms of references

**B4:** Report template

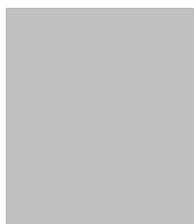
**B5 :** PR Tripartite Agreement (PRTA)

**B6:** Rules for reimbursement of eligible costs

## Annexe B1:

### Europass CV Template

#### PERSONAL INFORMATION



Replace with First name(s) Surname(s)

[All CV headings are optional. Remove any empty headings.]

Replace with house number, street name, city, postcode, country

Replace with telephone number Replace with mobile number

State e-mail address

State personal website(s)

Replace with type of IM service Replace with messaging account(s)

Sex Enter sex | Date of birth dd/mm/yyyy | Nationality Enter nationality/-ies

JOB APPLIED FOR  
POSITION  
PREFERRED JOB  
STUDIES APPLIED FOR

Replace with job applied for / position / preferred job / studies applied for (delete non relevant headings in left column)

#### WORK EXPERIENCE

[Add separate entries for each experience. Start from the most recent.]

Replace with dates (from - to)

Replace with occupation or position held

Replace with employer's name and locality (if relevant, full address and website)

▪ Replace with main activities and responsibilities

Business or sector Replace with type of business or sector

#### EDUCATION AND TRAINING

[Add separate entries for each course. Start from the most recent.]

Replace with dates (from - to)

Replace with qualification awarded

Replace with EQF  
(or other) level if  
relevant

Replace with education or training organisation's name and locality (if relevant, country)

▪ Replace with a list of principal subjects covered or skills acquired

#### PERSONAL SKILLS

[Remove any headings left empty.]

Mother tongue(s)

Replace with mother tongue(s)

Other language(s)

Replace with language

Replace with language

|  | UNDERSTANDING  |             | SPEAKING           |                   | WRITING     |
|--|--|-------------|--------------------|-------------------|-------------|
|  | Listening  | Reading     | Spoken interaction | Spoken production |             |
|  | Enter level  | Enter level | Enter level        | Enter level       | Enter level |
|  | Replace with name of language certificate. Enter level if known. |             |                    |                   |             |
|  | Enter level  | Enter level | Enter level        | Enter level       | Enter level |
|  | Replace with name of language certificate. Enter level if known. |             |                    |                   |             |

Levels: A1/2: Basic user - B1/2: Independent user - C1/2 Proficient user  
Common European Framework of Reference for Languages

Communication skills

Replace with your communication skills. Specify in what context they were acquired. Example:

▪ good communication skills gained through my experience as sales manager

|                                    |  |
|------------------------------------|--|
| Organisational / managerial skills | Replace with your organisational / managerial skills. Specify in what context they were acquired.<br>Example:<br>▪ leadership (currently responsible for a team of 10 people)                              |
| Job-related skills                 | Replace with any job-related skills not listed elsewhere. Specify in what context they were acquired.<br>Example:<br>▪ good command of quality control processes (currently responsible for quality audit) |
| Computer skills                    | Replace with your computer skills. Specify in what context they were acquired. Example:<br>▪ good command of Microsoft Office™ tools   |
| Other skills                       | Replace with other relevant skills not already mentioned. Specify in what context they were acquired.<br>Example:<br>▪ carpentry   |
| Driving licence                    | Replace with driving licence category/-ies. Example:<br>▪ B  |

#### ADDITIONAL INFORMATION

---

|                    |   |
|--------------------|---|
| Publications       | Replace with relevant publications, presentations, projects, conferences, seminars, honours and awards, memberships, references. Remove headings not relevant in the left column.<br>Example of publication:<br>▪ How to write a successful CV, New Associated Publishers, London, 2002.<br>Example of project:<br>▪ Devon new public library. Principal architect in charge of design, production, bidding and construction supervision (2008-2012). |
| Presentations      |   |
| Projects           |   |
| Conferences        |   |
| Seminars           |   |
| Honours and awards |   |
| Memberships        |   |
| References         |   |

#### ANNEXES

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Replace with list of documents annexed to your CV. Examples:

- copies of degrees and qualifications;
- testimonial of employment or work placement;
- publications or research.

## Annexe B2:

### Reviewers profile form

Please fill the form information and send it to [peer.review@oieau.fr](mailto:peer.review@oieau.fr) with your Europass CV

#### Contact information

Name:

E-mail:

Phone:

#### Organism, Country:

#### Type of documents that the expert is particularly prepared to review:

#### Possible working languages:

#### Field of competencies for the review:

- Planning process
- Basin characterisation
- Ground waters
- Surface waters
- Water quality
- Water quantity
- Pollutants/Chemical substances
- Ecology/Natural environment
- Environmental flows
- Agriculture
- Industry
- Domestic Water
- Floods
- Droughts
- Main issues for the basin
- Objectives for the basin
- Program of measures
- River Basin Management Plan
- Economic analysis
- Water Information System/Data and Information sharing
- Monitoring
- Public consultation/participative process
- Climate change
- Other - Please specify:

**Annexe B3:**

**Terms of reference for the Peer review**

*Example of structure*

|              |
|--------------|
| PR reference |
|              |

|       |
|-------|
| Date: |
|       |

|                            |
|----------------------------|
| <b>Terms of References</b> |
|----------------------------|

|  |  |
|--|--|
| RCA                                    |  |
| RCA counterpart responsible for the PR |  |
| Reviewing experts                      |  |

**1. BACKGROUND INFORMATION and PR OVERALL OBJECTIVES**

|  |
|--|
|  |
|--|

**2. EXPECTED RESULTS**

| Expected results | Estimated nber of reviewing expert man-days necessary | Field of competencies concerned for the expert |
|------------------|---|--|
| Description      |   |  |
|                  |   |  |

### 3. NECESSARY DOCUMENTS FOR THE REVIEW

*List of relevant documentation or sources to be delivered by the RCA (language)*

| Name | Description / Notice |
|------|----------------------|
| ▪    |                      |
| ▪    |                      |
| ▪    |                      |

| Websites |                     |        |
|----------|---------------------|--------|
| Name     | Description/ Notice | Adress |
|          |                     |        |
|          |                     |        |

### 4. DETAILED MISSIONS SCHEDULE

| <i>Date/ Hour</i> | <i>Activities</i> | <i>Persons involved</i> | <i>Address</i> | <i>Comments</i> |
|-------------------|-------------------|-------------------------|----------------|-----------------|
| Day 1             |                   |                         |                |                 |
| Day 2             |                   |                         |                |                 |
| ....              |                   |                         |                |                 |

### 5. OTHER INFORMATION FROM THE RCA

.....

.....

.....

.....

## 6. CONTACTS DETAILS

*Principal local contacts met*

| Name | Occupation | E-mail | Phone number |
|------|------------|--------|--------------|
|      |            |        |              |
|      |            |        |              |
|      |            |        |              |

**Annexe B4:**

**Peer Review Report template**

**Important notice:** It is propose to keep as a first part of the report all the information elaborated during the preparation of the Terms of Reference. In case of modification of agenda during the mission the parts 3 to 6 can be updated.

|                     |
|---------------------|
| <b>PR reference</b> |
|                     |

|              |
|--------------|
| <b>Date:</b> |
|              |

|               |
|---------------|
| <b>Report</b> |
|---------------|

|   |  |
|---|--|
| <b>RCA</b>                                    |  |
| <b>RCA counterpart responsible for the PR</b> |  |
| <b>Reviewing experts</b>                      |  |

**1. BACKGROUND INFORMATION and PR OVERALL OBJECTIVES**

|  |
|--|
|  |
|--|

**2. EXPECTED RESULTS**

| <b>Expected results</b> | <b>Topic:</b> |
|-------------------------|---------------|
| <b>Description</b>      |               |
|                         |               |

### 3. NECESSARY DOCUMENTS FOR THE REVIEW

*List of relevant documentation or sources to be delivered by the RCA (language)*

| Name | Description / Notice |
|------|----------------------|
| ▪    |                      |
| ▪    |                      |
| ▪    |                      |

| Websites |                     |        |
|----------|---------------------|--------|
| Name     | Description/ Notice | Adress |
|          |                     |        |
|          |                     |        |

### 4. DETAILED MISSIONS SCHEDULE

| <i>Date/ Hour</i> | <i>Activities</i> | <i>Persons involved</i> | <i>Address</i> | <i>Comments</i> |
|-------------------|-------------------|-------------------------|----------------|-----------------|
| Day 1             |                   |                         |                |                 |
| Day 2             |                   |                         |                |                 |
| ....              |                   |                         |                |                 |

### 5. OTHER INFORMATION FROM THE RCA

.....

.....

.....

.....

## 6. CONTACTS DETAILS

*Principal local contacts met*

| Name | Occupation | E-mail | Phone number |
|------|------------|--------|--------------|
|      |            |        |              |
|      |            |        |              |
|      |            |        |              |

## 7. PEER REVIEW REPORT

**Public peer review reports are available on the project website**

[www.aquacoope.org/peer.review/](http://www.aquacoope.org/peer.review/)

- 1 - Conclusions and recommendations regarding the reviewed documentation;
- 2 - List of persons met during the mission & short summary of meeting content/results ;
- 3 – Proposal of follow up activities to be done by RCA as well as potential time schedule;
- 4 - List & upload of documents that could be usefully put on the project's intranet;
- 5 - Summary in 15 lines of the report to be included in the overall Peer Review project report
- 6- General recommendations derived from the exchange. These recommendations will be shared by the secretariat with the whole peer review community for a wider dissemination of the lessons learned of the peer review experience.

### *Annexes*

- Documents prepared during and/or for the mission;
- Presentation(s) used during the mission;
- Useful web-links.

## Annexe B5:

### Peer Review Tripartite agreement

#### **Purpose of the "Tripartite agreement"**

This Tripartite agreement is a formal expression, of the acknowledgement of principles and rules of the Peer Review mechanism and of the willingness of signatories to contribute to it.

The Tripartite agreement is a voluntary agreement, entered into by the 3 main parties involved in the Peer Review mechanism i.e. the Reviewed Competent Authority, the Reviewing Experts contributing to the Peer review, and by the Peer review secretariat.

The signature of the agreement represents a public commitment to respect certain principles and to work professionally towards specific common goals and consensus in specific areas, falling under the scope of the Peer review mechanism.

This particular agreement implies the following public commitments:

- ◆ Commitment from signatories to help to improve the implementation of the WFD in their respective institutions,
- ◆ Commitment from signatories to concretely target the exchanges on the WFD related methodologies, techniques, tools etc...based on the Term of Reference attached and their best experience and knowledge,
- ◆ Commitment from signatories to co-operate in the production of recommendations and guidelines to be shared with all the Peer Review practitioner communities reflecting their mutual exchange of experience.

The tripartite agreement therefore represents a combination of commitments that together will enable and accelerate coherent developments for the mutual benefit of all those involved.

#### **Types of eligible actions/missions for the Peer Review visit**

The eligible Peer Review visits are the missions aiming at deepening the understanding and develop the capacities of the RCA, and the experience of the reviewing experts, on specific topics/aspects of the WFD implementation, or on WFD implementation as a whole, as described in the PR ToR and jointly agreed by the RCAs and the Reviewing experts, with validation from the Secretariat.

#### **ARTICLE I – SCOPE OF CO-OPERATION**

The scope of co-operation under this agreement covers all aspects of European Water Framework Directive implementation.

The fields of expertise covered by the review are very broad: Planning steps, horizontal management for RBMP preparation, Monitoring/Water Information System, technical issues, specific sector (Agriculture, Industry, Domestic Water, etc), integration of policies and other specific fields of interests. They have to be expressed by the RCA in detail in the PR ToR, prior to the signature of this agreement.

## **ARTICLE II – GENERAL PRINCIPLES**

The Signatories agree on the following general principles:

- (iv) The Reviewed Competent Authorities expresses its needs via the Terms of Reference of the Peer Review (PR ToR), prepares the necessary documentation and ensures availability of experts from its institution to actively collaborate with other signatories. The agreed PR ToR, including the issues to be dealt with and the timetable are part of this Agreement.
- (v) The Reviewing Experts agree on the PR ToR, answer to the needs of the RCA, share their knowledge and respect the rules of confidentiality expressed by the RCA,
- (vi) The Secretariat supports the exchanges, thanks to go-between efforts as well as practical and organisational tasks.

## **ARTICLE III – ORGANISING CO-OPERATION**

The Peer Review methodology is divided into a sequence of tasks and follows a clear schedule. Both the Reviewing experts and their host CA need to follow this sequence carefully:

***Before the Peer Review visit:*** Tasks for the Reviewing Experts are to understand the needs for review and advices, and to do a desk review of the RCA presentation of the situation, thanks to materials provided by the RCA. Tasks for the RCA include gathering evidence, contacting people to be interviewed, making practical arrangements for the visit and describing their self-assessment findings.

***The Peer Review visit:*** Tasks for reviewing experts include testing evidence through conducting interviews and workshops; collating and evaluating this evidence; contributing with their experiences during the “peer exchanges opportunities”, and making a preliminary presentation of findings to the RCA. The RCA is in charge of the local logistic organisation of the Peer Review visit.

***After the Peer Review visit:*** Tasks for the reviewing experts include producing a feedback report which assesses the RCA works, including specific recommendations for the host RCA and practical examples on how other European river basin district authorities are tackling similar problems. Both the RCA and the reviewing experts will conduct an evaluation of their Peer Review experience and design general recommendations based on their experience to be shared by all the practitioner community.

## **Article IV – Information and Confidentiality**

The RCA specifies the level of confidentiality of the information shared with the reviewing Experts. The reviewing Experts commit to abide by it.

## **Article V - Financial modalities of the missions**

The direct costs of the Reviewing Experts' missions (travel cost and subsistence allowance) are the main cost covered by the project budget. Reimbursement conditions are specified under the annex B6 of the guidance section for the experts carrying out the review. These real costs will be reimbursed directly to the experts based on the supporting documents. Salary cost and/or fees are not eligible.

The RCA will be in charge of the other costs related to the Reviewing experts' missions: working space, internet connection, telecommunication, etc.

**RCA Signatory Page**

I, \_\_\_\_\_ **(name)**

in quality of \_\_\_\_\_ **(position)**

at \_\_\_\_\_

\_\_\_\_\_ **(Name and address of the RCA)**

\_\_\_\_\_ **(contact e-mail)**

Hereby subscribes to these Peer review principles and set of rules and will take necessary efforts to adequately benefit from this PR.

Signed in \_\_\_\_\_, **(location)**

on \_\_\_\_\_ **(date)**.

\_\_\_\_\_ **(signature)**

**Reviewing Expert Signatory Page (1)**

I, \_\_\_\_\_ *(name)*

In quality of

\_\_\_\_\_  
\_\_\_\_\_ *(position)*

at

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_ *(Name and address of the Employer)*

\_\_\_\_\_ *(e-mail)*

Hereby subscribes to these Peer review principles and set of rules and will take necessary efforts to participate adequately to a PR.

Declare having a duly signed agreement from my employer to perform the PR mission under its responsibility.

Signed in \_\_\_\_\_, *(location)*

on \_\_\_\_\_ *(date)*.

\_\_\_\_\_ *(signature)*

## Reviewing Expert Signatory Page (2)

I, \_\_\_\_\_ (*name*)

In quality of

\_\_\_\_\_  
\_\_\_\_\_ (*position*)

at

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_ (*Name and address of the Employer*)

\_\_\_\_\_  
\_\_\_\_\_ (*e-mail*)

Hereby subscribes to these Peer review principles and set of rules and will take necessary efforts to participate adequately to a PR.

Declare having a duly signed agreement from my employer to perform the PR mission under its responsibility.

Signed in \_\_\_\_\_, (*location*)

on \_\_\_\_\_ (*date*).

\_\_\_\_\_  
\_\_\_\_\_ (*signature*)

**Reviewing Expert Signatory Page (3)**

I, \_\_\_\_\_ *(name)*

In quality of

\_\_\_\_\_  
\_\_\_\_\_ *(position)*

at

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_ *(Name and address of the Employer)*

\_\_\_\_\_  
\_\_\_\_\_ *(e-mail)*

Hereby subscribes to these Peer review principles and set of rules and will take necessary efforts to participate adequately to a PR.

Declare having a duly signed agreement from my employer to perform the PR mission under its responsibility.

Signed in \_\_\_\_\_ , *(location)*

on \_\_\_\_\_ *(date)*.

\_\_\_\_\_  
\_\_\_\_\_ *(signature)*

## Peer Review Secretariat

I, \_\_\_\_\_ (*name*)

**in quality of**

Representative of the Peer Review Secretariat

**declare that**

The Peer Review Secretariat (peer.review@oieau.fr)

Hereby subscribes to these Peer review principles and set of rules and will take necessary efforts to insure the success of this PR.

Signed in \_\_\_\_\_, (*location*)

on \_\_\_\_\_ (*date*).

## Annexe B6:

Rules for reimbursement of eligible costs, referring to General Conditions for Service Contracts Article II.16 – Reimbursements, and to Annex 7 of PR Tender Specifications.

The reimbursement of travel and subsistence cost for reviewing experts participating to the peer review mission will be proceed by the secretariat based on production of original supporting documents as follows:

- Travel expenses
  - Train (or boat): first-class ticket based on production of original ticket and bill if purchase by the expert
  - Flight: economy class air travel for distances over 400 km (one way) based on production of original boarding passes and bill if purchase by the expert
  - Private car: the travel shall be reimbursed at the same rate as the first-class rail ticket, or at the rate of 0.22 € per km.
  
- Subsistence expenses shall be reimbursed on the basis of EC rates ceiling updated on [http://ec.europa.eu/europeaid/perdiem\\_en](http://ec.europa.eu/europeaid/perdiem_en)
  - Daily subsistence allowances will be payable only if the mission is over 100 km from the expert domicile. They are based on receipt of mission certificates proving that the person concerned was present at the destination over the period.
  - Where appropriate, daily subsistence allowance and accommodation will be reimbursed based on real cost, back up with corresponding bill and in respect to the EC daily subsistence and accommodation ceiling
  - In other cases, daily subsistence allowances will take the form of a flat-rate payment to cover all subsistence expenses, including meals, local transport which includes transport to and from the airport or station, insurance and sundries.
  - Hereafter are the EC flat-rate per country in December 2014

| DESTINATION    | Daily subsistence allowance in euros (i) | Accommodation in euros (ii) | Daily subsistence allowance including accommodation in euros (i + ii) |
|----------------|--|-----------------------------|---|
| Austria        | 95                                       | 130                         | 225   |
| Belgium        | 92                                       | 140                         | 232   |
| Bulgaria       | 58                                       | 169                         | 227   |
| Croatia        | 93                                       | 145                         | 180   |
| Czech Republic | 75                                       | 155                         | 230   |
| Cyprus         | 120                                      | 150                         | 238   |
| Denmark        | 120                                      | 150                         | 270   |
| Estonia        | 71                                       | 110                         | 181   |
| Finland        | 104                                      | 140                         | 244   |
| France         | 95                                       | 150                         | 245   |
| Germany        | 93                                       | 115                         | 208   |
| Greece         | 82                                       | 140                         | 222   |
| Hungary        | 72                                       | 150                         | 222   |
| Ireland        | 104                                      | 150                         | 254   |
| Italy          | 95                                       | 135                         | 230   |
| Latvia         | 66                                       | 145                         | 211   |
| Lithuania      | 68                                       | 115                         | 183   |
| Luxembourg     | 92                                       | 145                         | 237   |
| Malta          | 90                                       | 115                         | 205   |
| Netherlands    | 93                                       | 170                         | 263   |
| Poland         | 72                                       | 145                         | 217   |
| Portugal       | 84                                       | 120                         | 204   |
| Romania        | 52                                       | 170                         | 222   |
| Slovakia       | 80                                       | 125                         | 205   |
| Slovenia       | 70                                       | 110                         | 180   |
| Spain          | 87                                       | 125                         | 212   |
| Sweden         | 97                                       | 160                         | 257   |
| United Kingdom | 101                                      | 175                         | 276   |



Project funded by the European Union

## **ESTABLISHMENT OF A PEER REVIEW MECHANISM FOR THE IMPROVEMENT OF WATER FRAMEWORK DIRECTIVE IMPLEMENTATION**

Guidance section for the hands-on workshop

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**December 2014**

## **Why a hands-on workshop?**

During the preliminary phase of the process, when contacting CAs for expressing their interest in the PR process, the Secretariat are also asking if they could be interested by hands-on workshop(s), where their staff could meet colleagues from several Member-States for exchanging practices on a particular topics.

The Secretariat will also analyse the expected results and objectives listed by the CAs, to see if complementary hands-on workshops on most shared issues could be more beneficial than multiplying individual PR, thanks to the discussions with multiple peers that could occur during the session.

Lastly, if some (fairly-needed) expertise happens to be rare among the experts involved, despite all efforts which would have been made to identify ad'hoc experts, it will be worth to organise a workshop to share this particular expertise at an affordable time cost for those few experts.

It is anticipated that 4 workshops will be organised during the project.

## **What form a hands-on workshop could take?**

The duration of a workshop will typically be 2 days, with an average of 3 speakers for which the travel and stay will be covered. They will take place in Brussels (premises made available by the Commission), or host by a RCA. In the latter case the RCA would have the possibility to involve local stakeholders together with the experts for analysing local best practices. The workshops will be limited to 20 participants for allowing practical activities and close exchanges.

Whenever possible and depending on the identified subjects to be covered, and in order to avoid adding too much extra events to an already demanding agenda of meetings related to implementation of WFD, it will be sought to hold those workshops back-to-back with existing events or meetings, such as CIS working groups meetings for example.

Proceedings of the workshops will be compiled by the Secretariat, and disseminated on the project web page, and possibly on a CIRCA project page, at the latest 4 weeks after each workshop completion.

# Template for hands-on workshop

Typical programme structure of a workshop, with the expected balance between presentations and hands-on activities

## Hands-on Workshop Peer Review Project

*Date, Location  
RCA*

PROGRAMME

---

### I – Objective of the workshop

Objective:

This workshop aims to enable staff from the RCA to meet colleagues from several Member-States for exchanging practices focusing on the following topics: ....  
Findings will be formalised in the form of: ...

### II – List of Participants

Indicative list of participants to the workshop:

|   | Organization | Participant |
|---|--------------|-------------|
| 1 |              |             |
| 2 |              |             |
| 3 |              |             |
| 4 |              |             |
| 5 |              |             |
| 6 |              |             |
| 7 |              |             |
| 8 |              |             |
| 9 |              |             |

|    |  |  |
|----|--|--|
| 10 |  |  |
| 11 |  |  |
| 12 |  |  |
| 13 |  |  |
| 14 |  |  |
| 15 |  |  |
| 16 |  |  |
| 17 |  |  |
| 18 |  |  |
| 19 |  |  |
| 20 |  |  |

### III – Main speakers

*Ms./Mr. NAME, Organism, Country*

*Ms./Mr. NAME, Organism, Country*

*Ms./Mr. NAME, Organism, Country*

### IV – Draft agenda

| <b>Day One</b> |                        |                 |
|----------------|------------------------|-----------------|
| <b>TIME</b>    | <b>TOPIC</b>           | <b>SPEAKERS</b> |
|                | Introduction           |                 |
| <b>Topic 1</b> |                        |                 |
|                | Presentations          |                 |
|                | Discussions and debate |                 |
|                | Lunch Break            |                 |

|                |                        |  |
|----------------|------------------------|--|
| <b>Topic 2</b> |                        |  |
|                | Presentations          |  |
|                | Discussions and debate |  |
|                | <b>Conclusion</b>      |  |

| <b>Day 2</b>   |                        |                 |
|----------------|------------------------|-----------------|
| <b>TIME</b>    | <b>TOPIC</b>           | <b>SPEAKERS</b> |
|                | Introduction           |                 |
| <b>Topic 3</b> |                        |                 |
|                | Presentations          |                 |
|                | Discussions and debate |                 |
|                | Lunch Break            |                 |
| <b>Topic 4</b> |                        |                 |
|                | Presentations          |                 |
|                | Discussions and debate |                 |
|                | <b>Conclusion</b>      |                 |

### **V – Language**

Simultaneous English / *RCA language* translation  
 Written presentations will be in English

## VI – Contacts

For more information, please contact:

- *RCA Contact*
- Peer Review Secretariat,  
[Peer.review@oieau.fr](mailto:Peer.review@oieau.fr)