



## W-SMART

*Water Security Management Assessment, Research & Technology*

**New York February 3rd 2006**

## CHARTER

***This Charter provides additional information to complete the general status of the association. It details the objectives and the fundamental principles adapted by the founders of W-SMART.***

## PURPOSE AND OBJECTIVES

The article 1 of the status of the association specifies: « *The main purpose of W-SMART is to create the necessary international forum for promoting and catalyzing information sharing and collaboration in the field of water security particularly among metropolitan public and private water agencies, national organizations representing these agencies, institutions and local, national and international authorities and applied R&D in the field of drinking water*».

This cooperation is focused on operational needs of the water utilities. Its main objective is to upgrade their technical capabilities and improve their emergency response, crisis management and recovery practices with respect to both terrorism, man made and natural disasters, contribute to increase public safety and upgrade water supply security worldwide.

The water supply security is defined as the capacity to supply water in sufficient quantity and required quality to the users' tap at any time both, during normal operation and crisis situation, which can be the consequence of natural disasters or direct/indirect man activity.

To accomplish its missions W-SMART will implement the following actions:

1. ***Promoting experience sharing and interactive assessment through international experts' forums*** (policy makers, security specialists, operators, researchers). The goal of this forum will consist to define the security measures, regulations, policies and best practices of water security

1. **Developing Guiding Principles, evaluating the best practices of water security and disseminating an annual publication of a Manual of Effective Security Management Practices for metropolitan water service operators.** This manual will bring together the collective experience and recommendations of the member organizations of W-SMART..
1. **Facilitating collaborative technical assistance and the cooperation among the member organization in critical security tasks** including: recovery practices, vulnerability assessment, professional training, etc (such collaboration could include mutual aid agreements and/or peer-to-peer testing of emergency response plans).
1. **Identifying priority security needs of common interest within the group** in order to establish protocols for cooperation between interested member organizations of W-SMART and other stakeholders. The main common objective is to gather the resources for the development, implementation and monitoring of collaborative projects to jointly address the mutually identified priority needs.
1. **Providing a secured information system** to establish databases, to index and analyze the impacts of the disasters which affect the distribution of drinking water and allow the members organizations of W-SMART to share their experiences in a mutual confidence climate.
1. **Providing concrete partnerships of cooperation between the members of W-SMART, in sharing the resources, the competences and the diversity of their infrastructures**, to efficiently accelerate the R&D projects, the b testing, full scale demonstration, and finally the deployment of emerging technologies on sites before their industrialization.
1. **Coordinating and supervising the joint projects initiated by the members of W-SMART** including but not limited to:
  1. R&D projects;
  2. Demonstration and field monitoring of innovative technology solutions;
  3. Professional training;
  4. Workshops and experts' forums;
  5. Technical assistance.
1. **Developing collaboration across the sector of water and the other critical infrastructure networks:** the stakeholders of urban networks (gas, electrical power, cyber, transportation, etc...) and the other concerned sectors to explore interdependencies and common strategies for efficiently addressing multi-lateral infrastructure security needs;
1. **Representing the interest of the member of W-SMART beside other organizations** (IWA, ISO, International aid organizations, etc) in order to :
  1. promote strategic partnerships,
  2. emphasize and use the collective expertise of the members
  3. establish standards
  4. pursue co-funding opportunities for priority projects as identified by the members of W-SMART.

10. ***Establishing with the support and cooperation of IWA an international Water Security & Safety Management Specialist Group.***

11. ***Creating, with the support and cooperation of IWA, an international network of experts***, capable of providing, as appropriate, technical assistance to governments and water agencies in disaster zones; such technical assistance may include on-site expertise, international aide in mobilizing critical resources, professional education and any other technical activities as mutually identified by the member organizations of W-SMART.

### **Strategic Partners**

In the achievement of its mission, W-SMART will establish strategic partnerships with national and international organizations; in particular with the International Water Association, the organizations of standardization, collaboration and assistances to disaster zones, etc.

For the creation of each partnership, an agreement will be proposed by the general secretary and to be approved by a majority vote of the members gathered in a general assembly.

## **GOVERNANCE**

### **Role of the General Assembly (GA)**

*Article 5.1: "The General Assembly gathers all the members of W-SMART, organizations and individuals. Each organisation nominates its representative to the GA, and can change this representative by informing in advance the President by certified mail. With the exception of decisions concerning the acceptance of new members for which unanimity is required, the decisions in GA are made upon a majority vote; if there is equality, the vote of the President is determining. The GA accepts the new members, elects the President, the Treasurer, the Secretary General and the members of the Executive Council, and approves the accounts and the action plan of the association. The GA is gathered every year in ordinary GA upon the initiative of the President who individually convenes all the members regularly registered and up to date with their subscription, and provides them the agenda of the GA. When at least half of the registered members is present or represented by delegation, the quorum is reached and the works of the GA can take place. Upon a written proposal gathering the signatures of at least a third of the members, the extraordinary GA can meet to discuss particular items."*

The General Assembly is chaired by the President of W-SMART; The GA it has the overall responsibility for establishing objectives, policies and operating guiding principles for the development, implementation, oversight, control and monitoring of the projects undertaken by the W-SMART Association.; it approves the reports and the action plans proposed by the Specialists' Groups and validates the creation of new Experts Groups; it approves the financing initiatives suggested by the EC and establishes in particular the level of membership fees.

The GA maintains up to date and approves the rules of confidentiality which apply to the information flow inside and outside the association.

The members of the association who cannot be present to a GA, other members can represent them by delegation.

The GA establishes the operational procedures of the association. The GA shall have the overall responsibility for defining implementation policies and procedures for the development, performance, oversight control, and monitoring of the projects undertaken by the W-SMART Association in accordance with this Charter and the Terms of Reference adopted by the members.

The AG will also have the responsibility for the following tasks:

- 1. Identifying priority security needs of common interest and establishing protocols for cooperation between interested member organizations and other public and private participating agencies for the development, implementation and monitoring of collaborative projects to jointly address the mutually identified priority needs;**
- 2. Establishing operating guiding principles for selecting projects, setting policies for creating partnerships and leveraging the expertise and resources of the interested public and private water agencies, establishing intellectual property rights, as well as implementing and monitoring joint projects in order to meet the priority objectives identified by the members.**
- 3. Establishing co-financing criteria and allocating funding for the selected projects in accordance with the operating guiding principles agreed upon by the parties and project specific co-financing investment agreements of the interested stakeholders (public and private water agencies, the financial sector, technology / systems providers, as well as R&D institutions); Funding commitments and ownership interests in any intellectual property that may be created in the course of pursuing projects or activities hereunder shall be determined in writing, on a case-by-case basis.**
- 4. Establishing confidentiality policies for the member organizations of W-SMART. Confidential rules will be established by the GA. The members shall not issue any public statements or other types of publicity with respect to this agreement, neither about the objectives, neither about W-SMART activities without the prior written consent of the GA. Communication policies for any information related to the technical activities and projects undertaken by W-SMART shall be established by the GA and coordinated by the Secretary General of W-SMART.**
- 5. Establishing, upon review and approval of the recommendations of the EC, a yearly work program including technical activities, selected projects, allocated funding, oversight control and performance evaluation criteria. The AG shall also identify necessary financial resources for the execution of the identified projects and approve the financial balance sheet and the annual budget of W-SMART. This program shall be reviewed and updated by the GA every six months by considering progress status of each project and needs and approvals of new initiatives.**
- 6. Providing, with the support of WaterISAC, an Information Center and a Sharing Information System with control access to support the work accomplished by the W-SMART Experts' Groups and the sharing and diffusion of information between its members. This Center will allow coordinating their technical activities, disseminating**

information among their members, organizing specialty workshops, preparing and disseminating manuals of effective security practices. The Center will also allow providing information infrastructure to support communication and dialogue with local, national and international organizations involved in water security.

**7. Providing oversight control of the operations of W-SMART and of the projects it supports. The GA shall have the overall responsibility for the financial and technical operations of W-SMART.**

### **Role of the Executive council (EC)**

*Article 5.2 : « The EC is chaired by the President of the association; it includes in addition to the President, the officers of the association, the vice-presidents (Strategic Development, Communication, Programs and Emerging Technologies), the treasurer, and the Secretary General acting as the Executive Director of W-SMART. The EC assumes the responsibilities of management and monitoring of the day to day operations in accordance with the operating guiding principles established by the GA and within the limits of the action plan and the yearly budget approved by the GA. The EC members meet at least twice a year. The decisions are made on simple majority votes; each member of EC has one voice. »*

The EC Members will duly represent the public and the private sectors of the Water Industry as well as the regions involved. They shall be elected by the GA for a term of three years renewable upon a majority vote of the GA for a second term.

### **Role of technical Committee (TC)**

*Article 5.3: “The TC is chaired by the Secretary General and includes the Presidents of Specialists’ Groups (SG). It assumes the tasks of coordination, projects monitoring, communication and logistic support for the implementation of the yearly action plans defined and developed by the Experts’ Groups. The members of TC meet at least twice a year.”*

### **Role of Experts’ Groups (EG)**

*Article 5.4: “The Experts’ Groups (SG) are created upon the initiative of the members of W-SMART in order to develop and implement thematic programs and/or action plans of mutual interest. Their creation is proposed by the initiators during a GA and approved by the GA upon a majority vote.”*

The President of an Experts’ Group is generally the initiator of the proposal or in a case where the initiator cannot assume this responsibility, it is assumed by another member of W-SMART who is elected by the GA on a majority vote. The president of each EG assumes the responsibility to develop the annual action plans of the group, to present these plans to GA and to implement them in agreement with the decisions taken in GA. For this purpose, the President has to make a written and oral presentation of the annual action plan of the group to the GA during the annual conference of W-SMART.

The current four working groups of the association are:

- EG 1: Assessment of the Effective Security Practices (a annual publication is envisaged).

- EG 2: Vulnerability Assessment Protocols and Risk Management Measures
- EG 3: Crisis Management
- EG 4: R&D & Assessment of Emerging Technology Solutions

### **Roles of the President, Treasurer and Secretary general**

Article 5.5: *“The president, the treasurer and the secretary general are usually elected upon the majority of the members of the association in GA for a term of three years renewable once upon a majority vote.”*

#### **1) President**

The President represents the association in all the acts of civil life. He/she chairs the Executive Council. The President convenes the ordinary or extraordinary GA and chairs its sessions. If there is an unforeseen difficulty or absence, the President delegates his functions to a member of Executive Council.

#### **2) Treasurer**

The Treasurer assumes the financial oversight, control and monitoring of the annual revenues and expenses related to any and all the activities of W-SMART. The treasurer proposes to the GA the level membership fees to be established for the year to come for both the organizations and the individuals. He/she can also explore resources of financing for the implementation of the action plans and present specific plans to the GA. If necessary, he/she may delegate its functions to the Secretary-General.

#### **3) Secretary General**

The Secretary General assumes the responsibilities of the Executive Director of W-SMART and is a member of the GA and of the Executive Council. He/she is responsible for the daily, technical and financial, management of W-SMART operations and chairs the Technical Committee. The General Secretary can be delegated permanent or periodic responsibilities by EC.

## **CONFIDENTIALITY POLICIES**

Article 9: *« Each member of W-SMART will have to comply with the regulations and principles of confidentiality established by the GA. When sharing information with W-SMART, each member of the association as individual member or a representative of an organization, is directly responsible for the complying with constraints, national safety regulations, internal policies of the organization, and rights of intellectual ownership. »*

Additional regulations of confidentiality established in accordance with all the members of W-SMART and validated by GA, may be included in the terms of reference.

### **Communication Policy**

1. The confidentiality policies of W-SMART will be proposed by the EC and will be approved unanimously by GA vote.
1. W-SMART meetings will be closed to the public. Only W-SMART members and identified/invited external experts can participate in the meeting. The objective of these meetings is to provide a forum in which W-SMART members can discuss and share potentially sensitive information.

**c. Communication Policy for the Press - The members shall not issue any public statements or other types of publicity, neither about the works, neither about the objectives, neither about W-SMART activities without the prior written consent of the GA. Communication policies for any information related to the technical activities and projects undertaken by W-SMART shall be established by the GA and coordinated by the General Secretary of W-SMART.**

1. Communication limited to certain members – Information can be communicated to either all the members of W-SMART, or to selected members identified by the member source of information. The purpose of this principle is to allow sharing efficient of information, in particular sensitive information which can not be disseminated to all the members but can be shared between two or several organizations having for example privileged relationship. A secured information sharing system will be used to allow for restricted sharing of information. However, and as long as that is possible, W-SMART has the role to share as widely as possible information among the members of the association.

### **Sensitive Information**

The Terms of reference proposed to define “sensitive information” can include:

- 1) Information on system-specific, attributable tactical security procedures, etc. or integrated or aggregated detail on water security, which can involve specific vulnerabilities
- 2) Information, already available in the public domain, cannot be considerate sensitive in no case.
- 3) The members of the association are directly responsible for all the information that they want to share and/or diffuse. They shall identify the “sensitive information” and specify the use of this information for an oral presentation as well as for a written communication (minutes of W-SMART meeting, press communications, etc.).

### **RESOURCES AND FINANCING OF PROJETS**

Article 7: « *The budget of W-SMART association includes revenues and expenditures resulting from the operations of the association and from its identified projects; each project has an associated budget indicating external financings whenever. The current operational budget and the project financing are well separately specified. »*

Each project undertaken by W-SMART will have financing suggested and validated by the GA. The annual budget of W-SMART, approved by the GA upon recommendation of the EC, will include core technical activities and selected projects.

In accordance with the operating guiding principles agreed upon by the members of the GA, the EC will also have to identify and establish, as appropriate, strategic partnerships to leverage resources for accomplishing priority projects identified by the GA.

The EC shall assume executive management for the day to day operations as well as the implementation of new initiatives and oversight control of the selected projects in accordance with the operating guiding principles.

The principles of resources management and of financing of association's life and of its projects are included in the terms of reference.

The annual budget of W-SMART, approved by the GA, will include the financing of core technical activities and selected projects.

### **Management Tasks of the Association**

Allocation of the annual budget of W-SMART for implementation of the core technical activities and support tasks of action plans shall include, as appropriate, resources for the core technical experts and administrative staff support, as well as financial resources for logistics, travel, and organization of meetings. These technical activities and the current management tasks are specified in the Terms of Reference.

### **Financing of Projects selected and approved by GA**

Selected projects may include but are not limited to:

1. R&D projects;
2. Demonstration and field monitoring of innovative technology solutions;
3. Professional training;
4. Organization of conferences, workshops, forums;
5. Technical assistance in vulnerability assessment, help to the definition of operational instructions.

Financing and intellectual properties related to the selected projects in the above referred categories shall be determined on a case-by-case basis by the parties involved.

### **Accounts**

The accounts are prepared annually, under the responsibility of the treasurer, to show operating result and balance sheet of the association. The accounts are validated by the GA.

### **Core technical activities and coordination tasks**

These activities may include but are not limited to:

1. Developing and disseminating a W –SMART annual publication of a Manual of Effective Security and Safety Management Practices;
2. Establishing and maintaining a secured information sharing system to facilitate sharing information between the members of W-SMART and to create databases relative to the cases of crisis management due to both terrorist triggered and natural disasters;
3. Planning and coordinating the W-SMART annual meetings, working group meetings, thematic workshops, Experts' forums and the monitoring of action plans approved by the GA;
4. Programme Administration ;
5. Coordinating with IWA technical activities of the Water Security Specialty Group;
6. Developing collaboration across the stakeholders of water supply with public and private agencies of critical infrastructure sectors (gas, electrical power, cyber, transportation, etc.) to explore interdependencies and common strategies for efficiently addressing infrastructure security needs;
7. Establishing strategic partnerships to leverage resources for accomplishing priority projects identified by the GA;
8. Creating a multi-national source of expertise, bringing together decision makers, security professionals and technical experts, able to provide technical assistance to support metropolitan water agencies in disaster zones in rebuilding their institutional capacity for post disaster impacts mitigation, emergency management, restoration and recovery operations.