

## Article

# A Framework to Support the Selection of an Appropriate Water Allocation Planning and Decision Support Scheme

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**Abstract:** Water is becoming a scarce resource in many parts of the world, leading to increased competition amongst water users. Optimized water allocation is increasingly important to balance the growing demand for water and the limited supply of accessible clean water. The literature on water allocation schemes and decision support systems, developed for application in specific water management areas or watersheds, was critically reviewed. Although the literature is rich in studies on the application of a broad range of water allocation schemes, there is a lack of information available on the methodology and process of selecting the most applicable scheme that balances the local realities and requirements of stakeholders while considering the local context with regard to the economic, social and environmental impact of water usage. In this article, a framework is presented that water management practitioners can use to select applicable water allocation planning schemes and associated decision support systems based on the characteristics and requirements of the specific water management situation. The framework was used to analyse the water supply situation in South Africa (SA), taking broader factors into account. Based on this, a generic conceptualized water allocation planning and decision support framework for a typical SA water management area is proposed.

**Keywords:** water allocation scheme selection; water resource management; decision support system; water allocation planning



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## 1. Introduction

Water allocation planning comprises two main functions: determining how much water is available within a certain region and then deciding how this water can be shared between the different competing water users within that region as well as with other local and international regions [1]. Traditionally, water demand–supply mismatches were addressed through the construction of new water infrastructure to address water availability in the context of water allocation [2,3]. With a limited supply of water in many areas of the world and the possible effects of climate change, fresh water is either already or becoming a scarce resource in many regions [4–6]. This reality, together with the substantial economic and environmental impacts of large-scale water projects, is limiting further water infrastructure construction in many countries [7–9].

Over the past few decades, several areas around the globe have also experienced a rapid growth in terms of the demand for water. This is driven mainly by growing populations, increased urbanization and an increased focus on economic growth [10–12]. The management of water demands has therefore grown in importance, and the second main function of water allocation planning, namely, optimized allocation, has become one of the most important and effective water management mechanisms in the balancing of water demands and available water supplies in modern times [2,9,13–15].

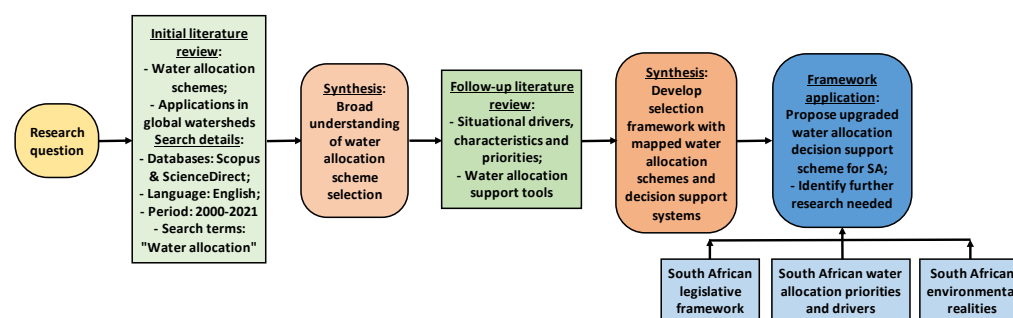
Several water allocation schemes, ranging from governmental-prescribed hierarchical priority schemes to strong market-orientated schemes [1,10,16,17], as well as a wide range of decision support systems [18–20] are described in the literature. Furthermore, the last few decades have been marked by a significant evolution in decision support systems as a result of developments in computer technology [18,21], and decision-making models used in watersheds have increased in terms of their sophistication and integrative capabilities [22,23]. It is not clear from the literature, however, how researchers and water management practitioners decide which specific water allocation decision-making scheme is the most applicable for use in a specific situation. Given the broad range of allocation schemes and decision support systems covered in the literature, together with the historical, social, economic, political, environmental, legal, stakeholder, technological and other realities of the specific region, water management practitioners are left with a complex task when it comes to deciding on which water allocation scheme or combination of schemes to utilize for optimal results in their region. When evaluating the literature, one also derives that, over the last two to three decades, the focus of water allocation decision support research shifted towards more integrated and computationally complex software. This presents further problems, as operational practitioners are frequently not keen to implement changes and decision-making tools are rarely used after research projects have ended [19,24,25]. Furthermore, upgrades and improvements to existing decision support systems have a better chance of being accepted [26,27], and stakeholder participation during the process is particularly important [28].

Several water allocation and decision support schemes described in the literature are reviewed in this article and a structured framework is proposed that can be applied by water management practitioners to analyse their specific water management situation and identify the water allocation planning and decision support schemes which are the most appropriate to be developed for their specific situation. The process is based on identifying the most important characteristics and priorities that influence water allocation and then selecting a water allocation planning scheme, with an associated decision support system, that can be developed to best support these priorities. The application of the framework is demonstrated by the proposal of an upgraded water allocation framework for South Africa (SA), which can be customized and further developed for its application in specific water management areas.

## 2. Materials and Methods

For well-researched topics, an integrative literature review provides an opportunity for consolidating knowledge and evolving understanding [29,30]. Since water management is a well-researched subject and a broad range of studies on numerous aspects of the subject are available, an integrative approach was used to review the literature and build a framework for selecting water allocation planning and associated decision support schemes.

The research approach diagrammatically presented in Figure 1 portrays the main steps of the integrative literature review, which was followed after implementing the guidelines proposed by Torraco [31]. The initial literature review focused on identifying generic water allocation schemes and their broad range of applications in different watersheds around the globe. To obtain a broad understanding of the drivers and schemes, a synthesis followed, after which the next stage of the literature review could be executed. This stage of the literature review focused on identifying situational characteristics, priorities and drivers as well as links to decision support systems which are important for the selection of water allocation schemes in the context of specific situations. Further synthesis led to a basic framework, highlighting the relationships between situation characteristics (drivers and priorities) and water allocation schemes. Lastly, the framework was applied to propose an upgraded water allocation planning scheme for a typical SA situation, which can be further developed in future research.



**Figure 1.** The research approach: an application of integrative literature review.

### 3. Literature Review

Starting with the first main function of water allocation planning, namely, the determination of available water, the modelling of the various individual components of the hydrological cycle dates back many years [22]. As computing power increased, and with parallel developments in such areas as remote sensing, satellites, radar applications and geographical information systems (GISs), hydrological process models also became more sophisticated [22], and well-integrated hydrological models could be developed and integrated in commercialized software programs [32,33]. With the modelling of water availability in South Africa being satisfactory [34], we do not address this aspect of water allocation, i.e., the determination of available water, in this article, but focus instead on the allocation of available water between users, and the decision-making schemes associated with this. When researching water allocation decision-making, there are three main factors to consider:

- The water allocation schemes described in the literature;
- The associated water allocation decision support systems;
- The specific water management situation's characteristics and the associated water allocation drivers and priorities.

#### 3.1. Water Allocation Schemes

Traditionally, water allocation was based on social criteria to provide water for human consumption, sanitation and food production [16]. This was often achieved with the substantial involvement of governments, with the process being commonly referred to as public allocation. In most cases, not much attention was paid to economic efficiency. With population growth and increasing water scarcity, however, both the economic value and efficient use of water have become increasingly important over the past few decades. By treating water as an economic good, increased focus on decentralized management, a heightened reliance on pricing and the broad participation of all stakeholders became critical factors for successful water management [35]. Both the social and the economic value of water have to be recognized and taken into consideration [36]. Furthermore, the increased focus on environmental factors and climate change, socio-political realities and governments' developmental and strategic objectives, all result in an expanding range of objectives and uncertainties within the water sector [17,37]. Modern catchment planning therefore has to incorporate a wider range of issues and challenges combining the factors mentioned above [17]. Based on the required trade-offs between different social, economic, environmental and other objectives and needs, several authors have proposed similar categories of water allocation schemes [1,16,17].

After consolidating and integrating the work of these authors, the broadly defined categories of water allocation schemes listed below were identified:

1. Hierarchy or priority allocation is typically an administrative, public (governmental) method of allocating water in line with priorities that can be socially, politically, environmentally, strategically and/or economically orientated [1,38].

2. Strategic allocation is a public allocation method, whereby the government has very specific strategic objectives that it aims to achieve [1].
3. User-based allocation is aimed specifically at delegating the decision-making on a local level and involving stakeholders to such an extent that they regard the outcomes as fair and equitable [16].
4. Optimization-based allocation is aimed at achieving multiple objectives from the government and other stakeholders. It makes use of objective functions and goals that need to be optimized within a set of identified relationships and constraints [39–43].
5. Multiple-criteria-based allocation is based on evaluating and scoring different allocation scenarios against multiple criteria which may include social, economic and other factors. In general, this multi-criteria analysis is aimed at selecting an allocation scenario which is more equitable and acceptable to all stakeholders [44–47].
6. Price-driven allocation is based on the principle of the willingness of users to pay for additional water allocated to them. In this scheme, the water pricing has to be at a level which covers the marginal cost of supplying each additional unit of water [48].
7. Market-based allocation relies purely on market forces, with market instruments such as water markets, water trading or auctions determining the water allocation. In practice, this kind of allocation has to operate in parallel with another allocation scheme and under certain governmentally controlled rules and regulations [48].

### 3.2. Decision Support Systems

Water allocation schemes rely on optimized decision-making, and in most cases, decision support systems are needed to facilitate this decision-making. Several authors report that the application of decision support system technology in complex situations, such as in the context of water management, has developed significantly over the past number of decades [18,19]. Authors use different methods to categorize the broad range of decision support models and other tools available to decision-makers [20,49], but for this study, it made sense to link the classification of decision support tools to the categories used for water allocation schemes above:

1. Rule-based and hierarchy decision support is normally based on expert knowledge that is translated into rules and relationships to guide operation. It is also possible to use computer simulations as input to develop these rules and relationships [1]. Hierarchy or priority-based decision systems can be seen as a type of rule-based decision system with the rules based on legislation or strategic priorities [38,50,51].
2. Economic benefit models are based on maximizing the combined economic benefit for all water users and/or the community and are aimed at ensuring the economic sustainability of the allocation system [52–54]. Cost-benefit analysis is used to evaluate the benefits relative to costs in terms of water allocation and the system is aimed at maximizing the sum of the benefits. In order to address social and other non-economic aspects in water allocation, the economic benefit principle is frequently combined with multi-criteria systems [52,55,56].
3. The computable general equilibrium (CGE) method is also mainly economically orientated, but it combines economic theory with actual economic data to describe a whole economic unit and the interactions between the different parts (sectors, companies, households, government, markets) within it [57–59].
4. Game theory is based on actively involving stakeholders in the process of decision-making and conflict resolution in order to reach a well-balanced allocation situation [60–67]. Either cooperative or non-cooperative game theory approaches can be applied. The advantage of the cooperative methods lies in the way it motivates stakeholders to participate for the mutual benefit of all participants.
5. Multi-criteria analysis can be defined as a decision framework that scores and ranks the overall performance of different decision options against a range of multiple criteria. In this way, balanced allocation decisions are promoted [44,47,68,69].

6. Multi-objective analysis can effectively be classified as a multi-criteria analysis technique. Some authors, however, handle it as a separate technique, and specifically as an optimization method, that solves a set of multiple objectives which are to be satisfied simultaneously [39,41,70–74].
7. System dynamics (SD): Mirchi et al. [75] proposed the use of systems thinking in the form of SD to arrive at improved integrated solutions. Zomorodian et al. [23] executed a comprehensive review of the application of SD in water resource modelling. They found the technique to be appropriate for the solving of very complex multi-dimensional (watershed) problems but that it is also limited by a number of constraints.
8. Other systems, e.g., problem structuring methods [76,77], participatory modelling methodologies [78] and newsboy modelling techniques [79], do not present specific advantages and novelties in the context of this study, and are therefore not included in further analysis.

### 3.3. Water Allocation Drivers and Priorities

From the literature, it is clear that no one water allocation scheme can be regarded as superior in all circumstances, with the same being true for decision support systems [1,23]. Each water allocation scheme and decision support system has to be assessed on its ability to consider and balance economic, social, political, environmental, legal, stakeholder, technology and uncertainty factors and objectives relevant to the defined system boundary [23].

When evaluating water allocation and decision support systems, the situation needs to be analysed on the basis of the following list of characteristics, drivers and priorities:

1. Social and political dimensions: These refer to the social and equity orientation of the society impacted and the extent to which water is regarded as a social good [16,80–82].
2. Economic dimensions: These refer to the economic importance assigned to water, including cost recovery and associated pricing schemes [39,48,51,52,83].
3. Environmental dimensions: These include the ecological and environmental priorities and the relevant orientation of the society impacted [39,81,84,85]. The level of water conservation, demand management and water efficiency that will have to be implemented in the area are also included [1,53,86–88]. Furthermore, the interlinkage between the different resources (e.g., the food–water–energy nexus) and the resulting influence of water allocation on the other resources have to be taken into account [89–94].
4. Stakeholders: These would include the different categories of water users in a watershed relative to the water supply available [51,83,95–97], as well as the level of stakeholder participation expected [46,47,98,99]. The complexity of the catchment area and the range of challenges, objectives and issues that the allocation system needs to address also play an important role [39,47,68].
5. Legal framework: This refers to the water-related legal and institutional framework in the country [48,82,100,101].
6. Technical and knowledge base factors: These entail the availability of water management expertise amongst the decision-makers [47,49,51,68], the quantity, quality and uncertainty of the data available to support the decision-making process [102] as well as the availability of and need for computing power to support the requirements of the software [21,33,41,72,103].
7. Uncertainties and change: This element refers to the level of uncertainty and the sensitivity of the system to such uncertainties and changes [20,37]. Also included are the annual and seasonal variabilities that occur in the region and the flexibility required in the allocation system to provide for them [1,60,104].

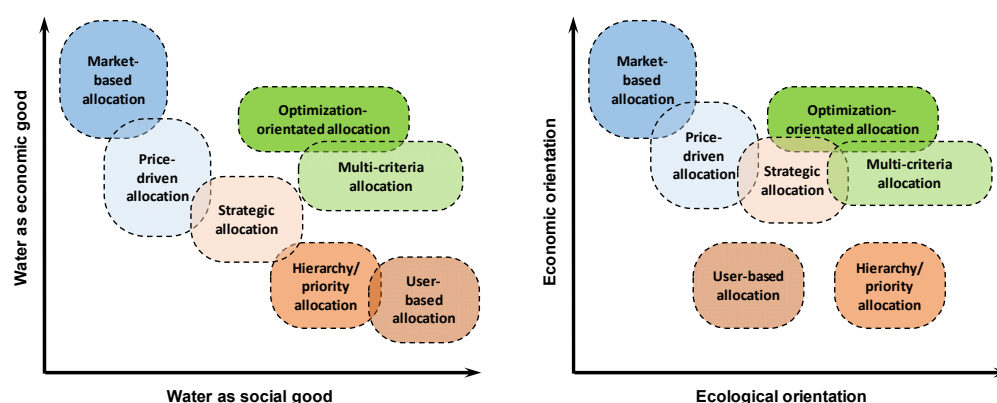
## 4. Results and Framework Development

A qualitative evaluation of the water allocation schemes and decision support systems described in the literature relative to the relevant characteristics, drivers and priorities listed in the previous section, produces a number of clear patterns and relationships. The

qualitative results for the water allocation schemes and decision support systems are summarized in matrix format in Tables 1 and 2, respectively. From the tables, it is clear that each of the different allocation schemes and decision support systems have areas of strengths and areas that are not well addressed. As an example, hierarchy/priority allocation schemes, typically backed by rule-based decision-making, tend to be socially oriented but with limited stakeholder participation, and a rather low number of priorities can be addressed using such schemes. These schemes do not need much computing power, but for them to be successful, high levels of water management expertise are required to set the priorities correctly. On the other hand, market-based allocation schemes are economically oriented, but are typically not socially and ecologically oriented. Stakeholder participation tends to be skewed towards economically active water users and the decision-making tends to focus on economic benefits. When water allocation necessitates that a wide range of priorities and criteria need to be taken into account and high levels of stakeholder participation is necessary, multi-criteria and optimization approaches are more applicable. In these cases, decision support systems such as game theory, multi-criteria analysis or system dynamics are more applicable. With such decision-making systems, rather high levels of water management expertise as well as reasonably high levels of computing power are necessary to achieve the desired results.

The analysis clearly shows that it is important to match the allocation scheme to the specific situation, with its unique characteristics, drivers and priorities. Depending on the situation, it might also be necessary to combine water allocation schemes to address a range of objectives that have to be met. While some of these characteristics or priorities are more or less independent, others are, to a certain degree, linked. In such cases, a water allocation scheme's orientation to one aspect might influence its orientation to another.

Following the qualitative analysis of allocation schemes and decision support systems, schematic presentations help to further improve understanding and demonstrate how different water allocation schemes support different evaluation areas. Figure 2 presents a qualitative evaluation of different allocation schemes relative to the philosophy of water being regarded as a social good as opposed to an economic good. It also presents the economic orientation of the allocation schemes relative to the ecological orientation. In this case, it is clear that the market-orientated allocation schemes will typically treat water as an economic good, whereas allocation with high governmental involvement can be more socially and ecologically orientated. Multi-criteria and optimization-orientated systems are in general more balanced, as multiple goals can be addressed at the same time.



**Figure 2.** Social and ecological orientation of water allocation schemes relative to their economic orientation (Note: position and size of allocation scheme forms is purely schematic).

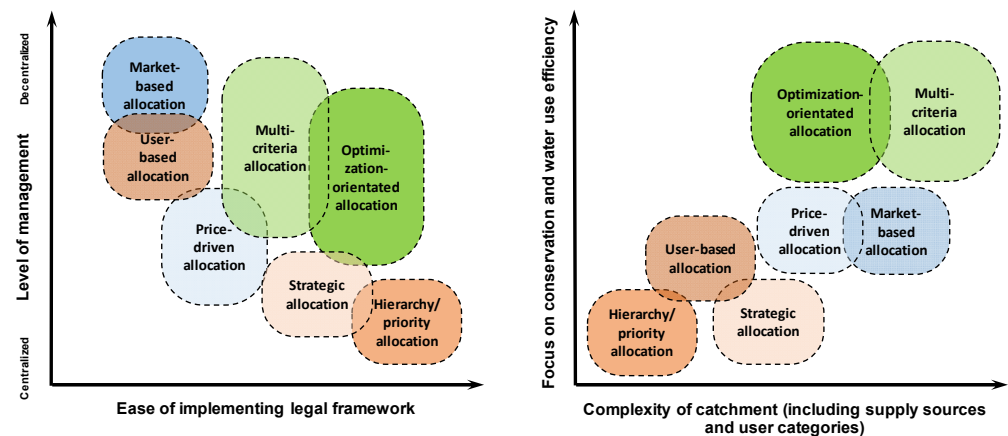
**Table 1.** (Simplified—refer to Appendix A Table A1 for details). Characteristics of different broad categories of water allocation schemes.

|                          | Evaluation Area                                        | Hierarchy/Priority Allocation                             | Strategic Allocation                           | User-Based Allocation                                      | Optimization Approaches                          | Multi-Criteria Approaches                            | Price-Based Allocation                                 | Market-Based Allocation                                    |
|--------------------------|--------------------------------------------------------|-----------------------------------------------------------|------------------------------------------------|------------------------------------------------------------|--------------------------------------------------|------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------|
| Environmental dimensions | Social/equity orientation                              | Medium/high                                               | Medium                                         | High                                                       | Medium                                           | Medium                                               | Low                                                    | Low                                                        |
|                          | Economic orientation                                   | Medium/low                                                | Medium/high                                    | Low                                                        | Medium                                           | Medium                                               | Medium/high                                            | High                                                       |
|                          | Environmental orientation                              | Medium/high                                               | Medium                                         | Medium                                                     | Medium                                           | Medium                                               | Medium                                                 | Low                                                        |
|                          | Promotion of water conservation and efficiency         | Low/medium                                                | Low                                            | Medium                                                     | Medium/high                                      | Medium/high                                          | Medium                                                 | Low/medium                                                 |
|                          | Stakeholder participation                              | Low                                                       | Low                                            | High                                                       | Medium/high                                      | Medium/high                                          | Low                                                    | Low/medium                                                 |
| Stakeholders             | Complexity of catchment area that can be handled       | Low/medium                                                | Medium                                         | Low/medium                                                 | Medium/high                                      | Medium/high                                          | Medium                                                 | Medium/high                                                |
|                          | Range of challenges/goals/issues handled               | Limited range                                             | Limited range                                  | Reasonable range                                           | Broad range                                      | Broad range                                          | Limited range                                          | Limited range                                              |
|                          | Categories of water users                              | Limited                                                   | Strategic only                                 | Mostly socially driven                                     | Multiple                                         | Multiple                                             | Multiple                                               | Economically driven                                        |
|                          | Categories of water supply                             | Any                                                       | Mostly strategic                               | Any                                                        | Complex combinations                             | Complex combinations                                 | Source driven                                          | Source driven                                              |
| Legal framework          | Implementing legal framework                           | Easy to enforce                                           | Easy to enforce                                | Difficult to enforce                                       | Work into objectives and constraints             | Work into criteria, weighting and constraints        | Complex to enforce                                     | Difficult to enforce                                       |
|                          | Level of water management and decision-making          | Centralized decision-making; decentralized implementation | Decision-making and implementation centralized | Centralized policies/rules<br>Decentralized implementation | Centralized or decentralized                     | Centralized or decentralized                         | Centralized guidelines; decentralized implementation   | Centralized guidelines; decentralized implementation       |
| Uncertainties/change     | Overarching allocation vs. seasonal/annual variability | Priorities determine all allocations                      | Strategic allocation will determine allocation | Allocation system will be used to handle both              | Can handle both, two sets of objective functions | Can handle both, two sets of criteria and weightings | Seasonal and annual fluctuations through price premium | Market forces will determine allocation during variability |
|                          | Handling of uncertainties                              | Limited                                                   | Strategic users only                           | Work out solutions to limit overall impact                 | Work into objectives                             | Alternative scenarios as fall-back                   | Limited                                                | Market forces                                              |

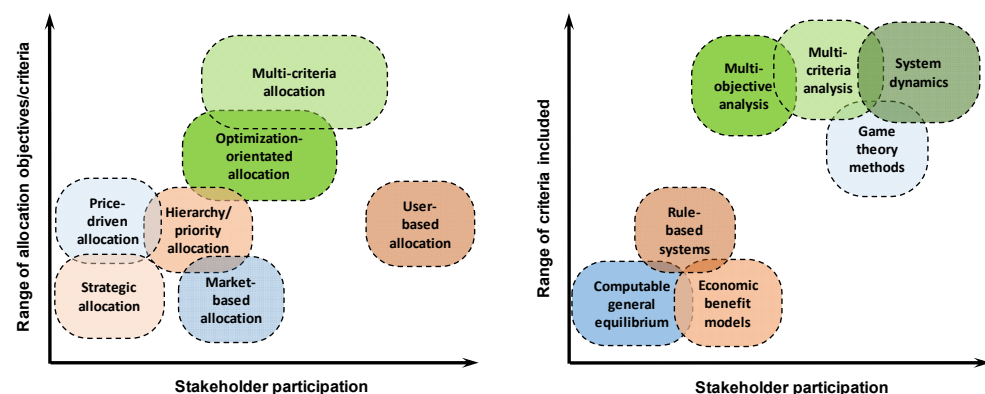
**Table 2.** (Simplified—refer to Appendix A Table A2 for details). Analysis of decision support systems and their application in different water allocation schemes.

| Evaluation Areas                                              | Rule-Based and Hierarchy Type                            | Economic Benefit Models                                                              | Computable General Equilibrium (CGE) Method                                          | Game Theory                                                              | Multi-Criteria Analysis                                               | Multi-Objective Analysis                                    | System Dynamics                                                      |
|---------------------------------------------------------------|----------------------------------------------------------|--------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------|--------------------------------------------------------------------------|-----------------------------------------------------------------------|-------------------------------------------------------------|----------------------------------------------------------------------|
| <b>Water allocation schemes to which it can be applied</b>    | Hierarchy allocation system; partly strategic allocation | Market-based schemes; partly multi-criteria/objective, price- and user-based schemes | Market-based schemes; partly multi-criteria/objective, price- and user-based schemes | User-based schemes; Partly multi-criteria and multiple objective schemes | Multi-criteria allocation; partly user-based and optimization schemes | Multi-objective/criteria schemes; partly user-based schemes | For complex systems and situations, multi-criteria/objective schemes |
| <b>Handling social/economic/environmental balance</b>         | Through rules                                            | Economic oriented; social and environmental through benefits and costs               | Economic oriented; can evaluate environmental impact of on wider economy             | Stakeholders from all areas must be presented                            | Incorporate balanced criteria                                         | Incorporate balanced objectives                             | Through comprehensive modelling                                      |
| <b>Water conservation, improved water productivity</b>        | Through rule development                                 | Linked to economic value of water                                                    | Linked to economic value of water                                                    | Introduce by facilitator or manager                                      | Incorporate in selected criteria and weighting                        | Incorporate in objective and constraint sets                | Incorporate in model setup                                           |
| <b>Stakeholder participation</b>                              | Limited                                                  | Limited                                                                              | Limited                                                                              | Medium to high                                                           | Medium to high                                                        | Medium to high                                              | High                                                                 |
| <b>Range of criteria incorporated</b>                         | Limited range                                            | Limited range                                                                        | Limited range                                                                        | Broad range                                                              | Broad range                                                           | Broad range                                                 | Broad, complex range                                                 |
| <b>Reliance on expert knowledge</b>                           | High to compile rules                                    | Medium to high (economic)                                                            | Low to medium (economic expertise to set up model)                                   | Low with expert facilitator                                              | Expert knowledge to set up                                            | Expert knowledge to set up                                  | Expert knowledge to understand system                                |
| <b>Reliance on computerized calculations</b>                  | Low                                                      | Low to medium                                                                        | High                                                                                 | Low                                                                      | Medium                                                                | Medium to high                                              | High                                                                 |
| <b>Type of computer use</b>                                   | Recording                                                | Some calculations and recording                                                      | Comprehensive economic modelling                                                     | Recording                                                                | Recording and some calculations                                       | Solving set of multiple objective functions                 | Solving the system dynamic setup                                     |
| <b>Overarching allocation vs. seasonal/annual variability</b> | Rules for both                                           | Mainly for overarching (long-term) allocation, other partly                          | Mainly for overarching (long-term) allocation, other partly                          | Aimed more at optimization of allocation                                 | Through separate criteria/weighting sets                              | Through separate objective/constraint sets                  | Set up to cover all                                                  |
| <b>Applicable for sensitivity analysis</b>                    | Not suitable                                             | To evaluate scenarios                                                                | Impacts on broader economy                                                           | Limited, scenarios can be inputs                                         | Sensitivity analysis on weighting and performance                     | Good for sensitivity analysis                               | Limited use for sensitivity analysis                                 |

Of particular importance for countries implementing a modernized water framework through new water legislation, are the aspects presented in Figure 3. Market-orientated water allocation schemes will need more freedom through decentralized management, and, in this scenario, the implementation of legislation would be a challenge. Hierarchical allocation schemes are typically associated with centralized management, strict control and therefore easy legislative implementation. In general, market-orientated systems will be able to handle more complex catchment situations than hierarchical allocation systems. An economic orientation will also lead to better water efficiency than that achieved through legislative-based systems. Multi-criteria and optimization-orientated water allocation and decision systems are able to support reasonably well-balanced solutions. Depending on the specific situation, stakeholder participation might be critical to ensure that stakeholders accept the changes associated with the newly implemented water legislation. In modern times, stakeholder participation is also becoming increasingly important to ensure success in terms of water allocation, especially when a wide range of priorities and issues need to be addressed. Figure 4 shows the level of stakeholder participation relative to the range of objectives and criteria that can be covered by different allocation and decision support systems. The figure demonstrates that allocation decision systems that accommodate high levels of stakeholder participation can also accommodate a broad range of decision criteria.



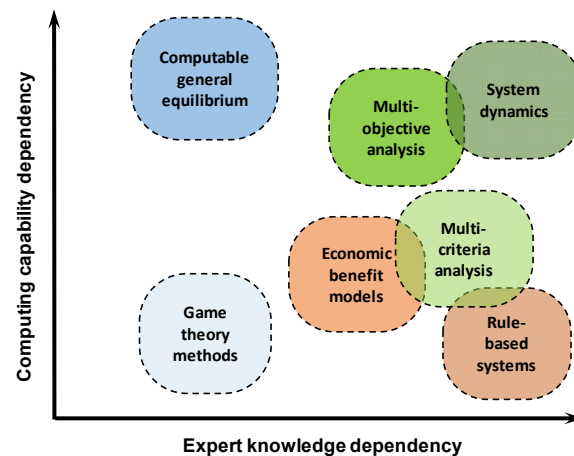
**Figure 3.** Implementing a country's legal framework and water conservation priorities in the case of different water allocation and decision-making schemes. (Note: Position and size of allocation scheme forms is purely schematic).



**Figure 4.** Level of stakeholder participation in water allocation and decision-making plotted against the range of allocation objectives and criteria that can be handled. (Note: Position and size of allocation scheme forms is purely schematic).

Figure 5 shows the reliance of the allocation decision systems on expert knowledge relative to computing capabilities. It shows that rule-based systems and system dynamics

are highly dependent on expert knowledge, whereas the computable general equilibrium method is highly dependent on the available computing power and algorithms. Although game theory can be used without much need for either of these two factors, the other three water allocation decision systems are moderately dependent on both expert knowledge and computing power.



**Figure 5.** Decision support system dependence on expert knowledge and computing capabilities (Note: Position and size of decision support system forms is purely schematic).

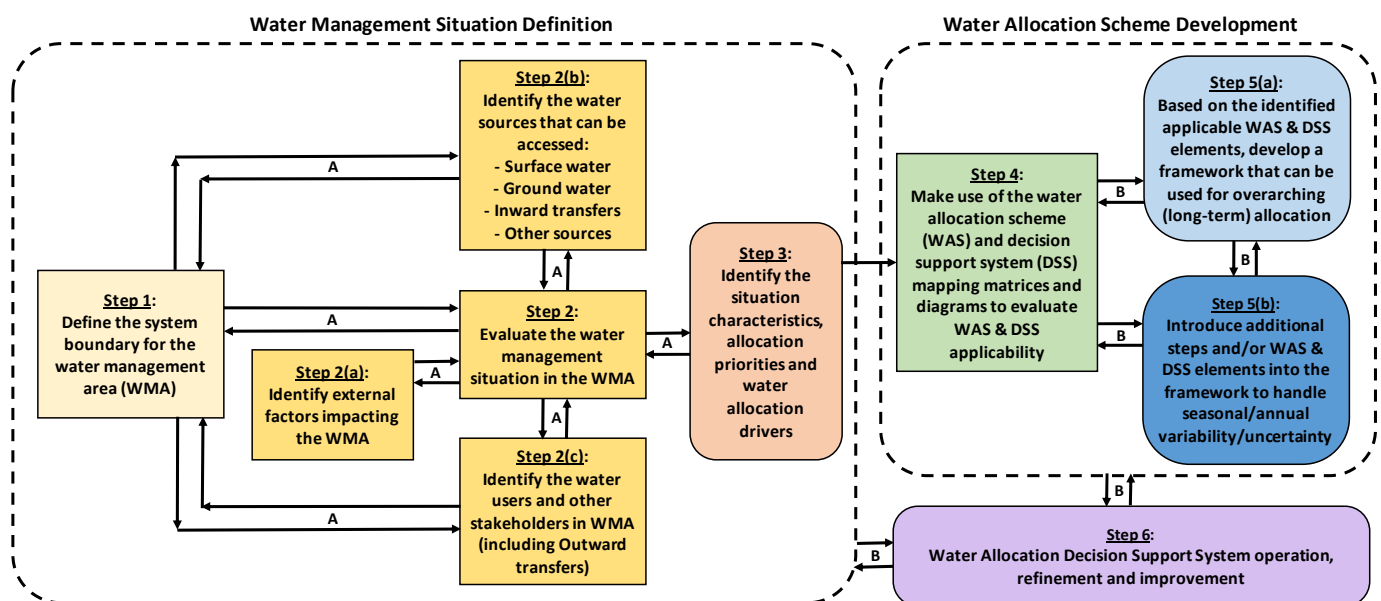
Another very important aspect for many countries and associated watersheds is whether water allocation decision systems can deal with annual and seasonal variability [104]. This is one of the biggest challenges for water allocation management. Some allocation schemes that focus only on longer-term overarching allocation will have to be used in combination with other tools to address seasonal and annual variability [1]. A combination of decision support systems has in fact frequently been proposed by researchers, especially when applying multi-criteria, multi-objective analysis and system dynamics [23,55,70,71,73,105,106].

#### *Framework Development Process*

The results from the synthesis of the literature, taken together with the mapping matrices and diagrams, were used to identify those elements of the water allocation schemes and decision support systems that align best with the characteristics, drivers and priorities of a given water management situation. These elements can be used as the basis for developing a water allocation decision support system for the water management area under consideration. In this analysis, we took inspiration from the life cycle assessment methodology [90,107], and defined a framework for selecting and developing an appropriate water allocation decision system, which is diagrammatically presented in Figure 6. The framework steps in Figure 6 can be summarized as follows:

1. System boundaries: Define the boundaries of the allocation problem, covering the temporal and spatial dimensions of the water management area.
2. Evaluate the water management situation: Identify the external factors impacting the water management area, the water users and other stakeholders included within the system, as well as the cross-boundary water transfers required. Identify the available water sources within the system boundary, including possible inward transfers.
3. Develop and refine an inventory of priorities, drivers and assessment criteria: Evaluate the water management situation in the region or water management area, in order to identify the situation characteristics and water allocation priorities. Based on these, identify and decide on the water allocation drivers for this water management situation. Ensure that these priorities cover economic, social, environmental, legal, technological and change factors.

4. Evaluate alternative water allocation schemes based on refined priorities: Use the water allocation and decision support system matrices and figures developed earlier to identify those allocation schemes and decision support systems that are the most applicable or have elements that would be applicable to the situation. Also identify those schemes and support systems that are definitely not applicable to ensure that they are avoided. A combination of different water allocation schemes (i.e., hybrid schemes) also needs to be considered.
5. Interpret the allocation systems and align with priorities: The next step entails the development of the alpha version water allocation decision support system, by basing it on the elements identified. This step has to address both overarching (long-term) water allocation as well as annual and seasonal variations and uncertainties. It is important to note that most water management situations would require an approach that integrates elements from more than one water allocation scheme and/or decision support system (a hybrid system) in order to cover all the relevant priorities and allocation drivers.
6. Refinement and improvement: Finally, during operation, the water allocation results must be continuously evaluated according to the objectives, as this can inform and promote the future improvement of the allocation system.
7. Feedback loops: Although the flow of the framework developing process is mainly progressive in following the steps, as indicated in Figure 6, the feedback arrows indicate that information that becomes available in a certain step may have an influence on a previous step. The arrows labelled “A” indicate the refinement and improvement introduced during the definition of the water management situation, while the arrows labelled “B” indicate the flow of refinement and improvement data during the development of the water allocation scheme.



**Figure 6.** Framework for selecting and developing a water allocation planning scheme with an associated decision support system for a water management area. Note. The arrows labelled “A” indicate the refinement and improvement introduced during the definition of the water management situation, while the arrows labelled “B” indicate the flow of refinement and improvement data during the development of the water allocation scheme.

## 5. Implications for Framework Application in South African Water Management Areas

SA is regarded as the 30th most water-scarce country in the world [34]. However, for many years SA's water allocation system has been at the forefront of what has been available internationally [17,34,108]. The SA yield and planning models that were developed several decades ago for surface water [109] are still in use and are producing good results for determining the available water for allocation [34].

With regard to the allocation aspect of the water allocation process, the National Water Act [110], promulgated after SA's democratization, introduced new priorities with an increased focus on equity for all water users and ecological protection [111]. Some authors criticized SA water management for not implementing the principles laid out in the SA water Acts [112–114]. This, together with a significant evolution in decision support systems as a result of developments in computer technology [18,21], warrants a review of— and possible adjustments that could be made to the water allocation framework currently applied in SA. Upgrades to— and the improvement of existing decision systems have a better chance of success than implementing completely new decision support systems [26,27].

With regard to the first step in Figure 6, the National Water Act [110] promotes water management through catchment management agencies, defining the system boundaries for water allocation decision-making on a catchment area level. Moving to steps 2 and 3, the Act is prescriptive in terms of the priorities in water allocation, with the highest priority being water for the reserve, defined to include water for basic human and ecological needs. One of the most important principles within the current Act, is the principle of the equitable allocation of water to the members of the SA population. The Water Allocation Reform programme [115] sets out the priorities to achieve such equality. Given the criticism around implementation of the Act, one can reason that the most critical elements to be addressed by a water allocation scheme must be the enforcement of the legal framework, the implementation of the equity principles and achievement of the ecological objectives.

Although water for economic use has a relative low priority rating within the legal framework, several governmental strategic and planning documents highlight the importance of water as an economic enabler. The water allocation system for SA therefore has to balance social, environmental and economic priorities, and it is important to keep sufficient focus on economic development. In order to achieve the objectives of the Water Allocation Reform programme, the reallocation of water between users is unavoidable in most SA water management areas. To facilitate support for difficult reallocation decisions, the active participation of all stakeholders is a very important driver to consider. Given the level of water scarcity in South Africa, water conservation, water efficiency and water demand management is critical and therefore an important element when evaluating water allocation schemes [116–118]. Another important consideration is the allocation scheme's ability to address a broad range of challenges, goals and objectives.

Referring back to Table 1 and Figures 2–4, one can apply a simple scoring system to evaluate the different water allocation schemes with regard to the critical and important elements identified in a South African context. Table 3 presents the results and clearly indicates that the hierarchy/priority-based allocation scheme is ideal to address critical elements stemming mainly from the legislative aspects of the SA context and the priorities set out in the National Water Act and the Water Allocation Reform programme [115]. Furthermore, Table 3 highlights the fact that the other important driver elements that were identified are best addressed by the multiple criteria and optimization schemes. In a similar fashion, Table 2, together with Figures 2–5, can be used to score the available decision support systems in terms of supporting the hierarchy/priority-based and multiple criteria and optimization type schemes. In scoring these decision support tools, it is important to take into account the financial and human resource limitations of a developing country such as SA, as well as the ease of integrating new aspects introduced by the selected scheme into the existing practices within the water management area [26,27]. Table 4 present the scores and confirms that rule-based (hierarchy type) support system, applied together with a multi-criteria or multi-objective system would be the best combination to implement in

the SA environment, with the further use of game theory being a possibility in selected water management areas.

**Table 3.** Scoring water allocation schemes (WAS) applied in SA water management areas.

|                                  | Evaluation Elements           | Priority/<br>Hierarchy | Strategically<br>Focussed | User-<br>Based | Optimized<br>Objectives | Multi-<br>Criteria | Price-<br>Based | Market-<br>Based |
|----------------------------------|-------------------------------|------------------------|---------------------------|----------------|-------------------------|--------------------|-----------------|------------------|
| Critical<br>implementation       | Legal framework               | 4                      | 2                         | 1              | 2                       | 2                  | 1               | 1                |
|                                  | Equity                        | 3                      | 2                         | 4              | 2                       | 2                  | 1               | 1                |
|                                  | Ecological objectives         | 4                      | 2                         | 2              | 3                       | 3                  | 2               | 1                |
|                                  | <b>Total</b>                  | <b>11</b>              | <b>6</b>                  | <b>7</b>       | <b>7</b>                | <b>7</b>           | <b>4</b>        | <b>3</b>         |
| Important elements<br>to address | Economic development          | 2                      | 3                         | 2              | 3                       | 3                  | 3               | 4                |
|                                  | Stakeholder participation     | 2                      | 1                         | 4              | 3                       | 3                  | 1               | 2                |
|                                  | Multiple objectives           | 1                      | 1                         | 2              | 3                       | 4                  | 2               | 1                |
|                                  | Conservation/efficiency focus | 2                      | 2                         | 2              | 4                       | 4                  | 2               | 2                |
|                                  | <b>Total</b>                  | <b>7</b>               | <b>7</b>                  | <b>10</b>      | <b>13</b>               | <b>14</b>          | <b>8</b>        | <b>9</b>         |

Scoring system: Levels of alignment ranked as 1—weak; 2—fair; 3—good; 4—very good. The bold are Totals (sum of figures above it in table).

**Table 4.** Scoring decision support systems associated with water allocation schemes identified in Table 3.

|                                          | Evaluation Elements           | Rule-<br>Based | Economic<br>Benefit | CGE<br>Method | Game<br>Theory | Multi-<br>Criteria | Multi-<br>Objective | System<br>Dynamics |
|------------------------------------------|-------------------------------|----------------|---------------------|---------------|----------------|--------------------|---------------------|--------------------|
| Support priority/<br>hierarchy WA        | Applicability level           | 4              | 1                   | 1             | 2              | 2                  | 2                   | 2                  |
|                                          | Supporting balance            | 2              | 1                   | 1             | 2              | 3                  | 3                   | 3                  |
|                                          | Ease of integration           | 4              | 1                   | 1             | 2              | 2                  | 1                   | 1                  |
|                                          | <b>Total</b>                  | <b>10</b>      | <b>3</b>            | <b>3</b>      | <b>6</b>       | <b>7</b>           | <b>6</b>            | <b>6</b>           |
| Support multi-criteria/<br>objectives WA | Applicability level           | 1              | 2                   | 2             | 2              | 4                  | 4                   | 4                  |
|                                          | Supporting balance            | 2              | 2                   | 2             | 3              | 4                  | 4                   | 3                  |
|                                          | Computer dependence           | 3              | 3                   | 1             | 4              | 3                  | 2                   | 1                  |
|                                          | Expert dependence             | 1              | 2                   | 3             | 3              | 2                  | 2                   | 1                  |
|                                          | Conservation/efficiency focus | 2              | 2                   | 2             | 2              | 4                  | 4                   | 3                  |
|                                          | Ease of integration           | 3              | 3                   | 2             | 3              | 3                  | 3                   | 2                  |
|                                          | <b>Total</b>                  | <b>12</b>      | <b>14</b>           | <b>12</b>     | <b>17</b>      | <b>20</b>          | <b>19</b>           | <b>14</b>          |

Scoring system: Levels of alignment ranked as 1—weak; 2—fair; 3—good; 4—very good. The bold are Totals (sum of figures above it in table).

In summary, the hierarchy/priority-based allocation scheme is ideal for addressing the legislative aspects in a SA context, while SA's broad range of challenges, goals and objectives, together with the requirement to balance social, environmental and economic priorities with regard to water allocation, align well with the multiple criteria and optimization schemes and their associated decision support systems. In order to combine the strengths of the different allocation schemes, the application of a hybrid scheme made up of elements from the most appropriate schemes would be best in SA. Figure 7 presents a generic water allocation decision support framework for application in SA water management areas.

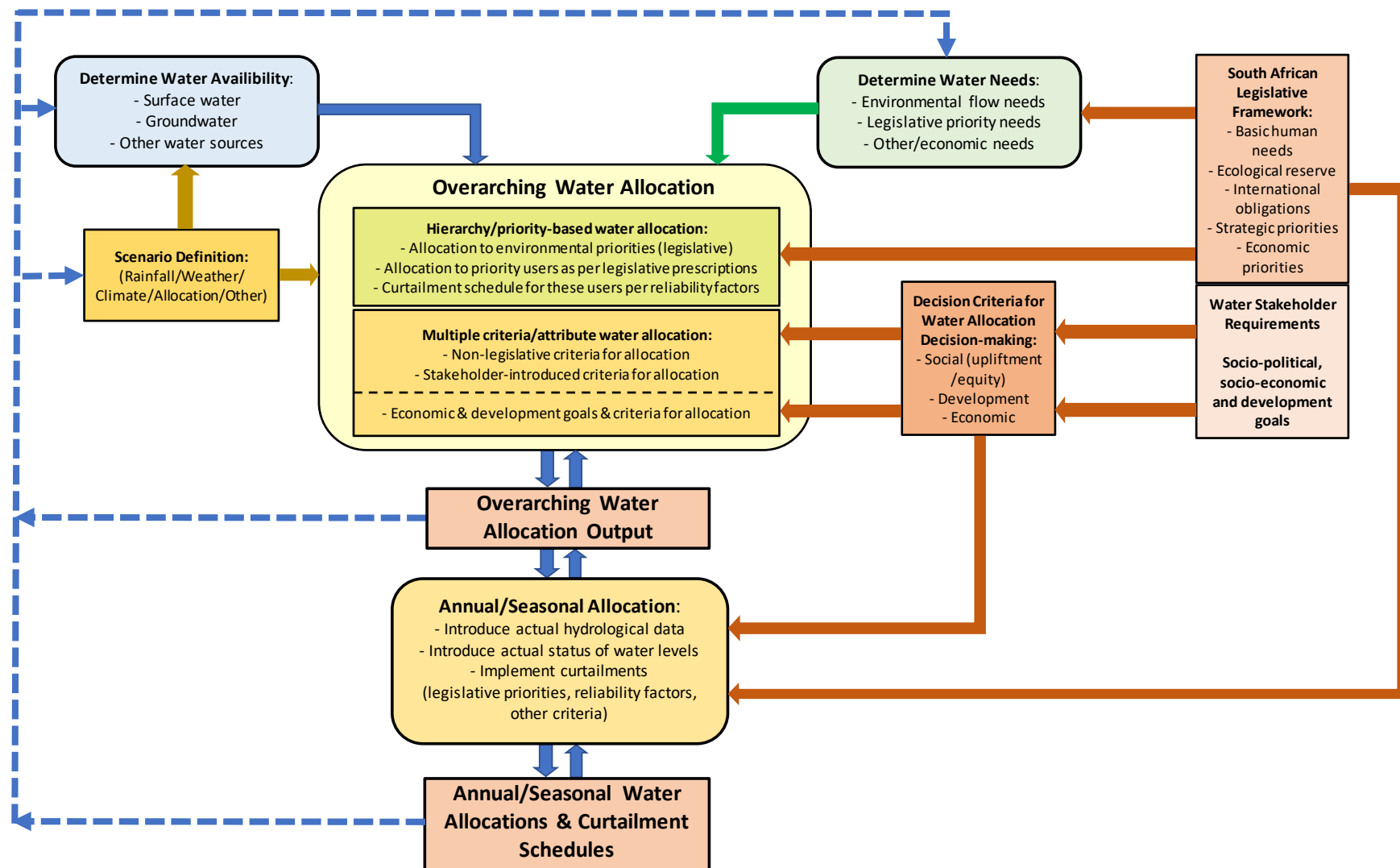


Figure 7. Generic water allocation and decision support framework for application in water management areas in SA.

Following the framework as presented in Figure 7, the process begins with the confirming of the system boundaries and the determining of the availability of water from surface water, groundwater and other sources, as well as the determining of the water needs for environmental, human, economic and other applications. The process of determining the groundwater and surface water available for allocation is based on historical weather and climate data, which, together with infrastructure information, serves as input to the relevant (existing) hydrological models that are used to predict the available water from each of these sources. Additional water can also be made available through inward transfers from other catchments and/or from other water sources such as reclaimed mine water, recycled water and desalination. When determining the water needs of users in the catchment, legal obligations as well as social and economic factors need to be considered. In line with legislation, the first requirement that must be quantified is environmental. The other priorities, for instance, the basic human right to water and international obligations, must also be quantified. Any other water users, e.g., industrial users, power industry users and other strategic and economically orientated users, must be identified, categorized and quantified.

The next step in the process is long-term (overarching) water allocation, which is achieved by taking pre-defined rainfall, weather and climate scenarios as well as guidelines from the SA legislative framework, water stakeholder requirements and socio-political, socio-economic and developmental goals into account. The legislative priorities are met by using the hierarchy/priority-based allocation scheme supported by a rule-based decision support system. The available water remaining after addressing the legislative priorities can then be allocated by implementing multiple criteria decision-making. The resulting overarching water allocation schedule/plan forms the input to an annual and seasonal allocation process. This annual and seasonal process uses actual hydrological data, the status of water levels in reservoirs and curtailment plans that were agreed with different users during the overarching water allocation process. Any planned curtailments have to take the legislative requirements into account. The output of this process will be an annual/seasonal water allocation and curtailment schedule. The complete process and system must be reviewed and improved periodically, taking end users' satisfaction and feedback loops into account. This can typically be achieved through periodic critical implementation review workshops and stakeholder satisfaction determination during stakeholder forums.

## 6. Discussion

In general, the water management areas in South Africa are well defined, but the formalization of the institutional structures is still ongoing, with a limited number of Catchment Management Agencies (CMAs) being institutionalized [119,120]. Water management in most, if not all, of the water management areas has been successful for many years, and the decision support tools, especially hydrological models, are well established and still produce acceptable results [34]. The current concerns with regard to water allocation are mainly linked to the reallocation of water to address legislative, socio-economic and equity factors [112–114] as well as balancing increasing demands associated with population growth and urbanization, and a limited supply of water [116,117]. The proposed framework is specifically aimed at addressing these concerns through the integration of additional water allocation principles into the existing South African water management systems, thereby improving the chance of successful implementation [26,27].

A study on the application of the developed framework to upgrade the water allocation system used in the Integrated Vaal River System (IVRS) is still ongoing and will be reported separately. The implications for the framework have been explored in this paper. This research was undertaken during the pandemic and social distancing limited our flexibility in terms of stakeholder engagement. Examples of elements that need urgent attention and which must be integrated into existing water allocation practices include a focus on water conservation, improving the efficiency of water use, curbing water loss and

eradicating unlawful water use. Many of these aspects have also been identified by other authors [116–118], but are not effectively being worked into water allocation decision-making at the present moment. Furthermore, the available water within the case study area (IVRS system) is currently fully allocated, making it difficult to address inequalities that have resulted from historic allocation principles. The successful implementation of demand management, water loss prevention and unlawful use eradication principles will help to make water available to address water reformation objectives.

The IVRS system is very established and has been thoroughly analysed over the past three decades, with a rich body of information available to researchers and water practitioners. Many lessons have been learned [118,121], and the proposed framework aims to effectively address some of the critical elements that are still outstanding through the integration of these elements into the water allocation process. The application of the framework indicates that the principles of a rule-based system, together with multi-criteria decision support, align well with the water management practises applied in the IVRS, and the main focus will have to be on the formal integration of critical elements that warrant attention.

## 7. Conclusions

Water scarcity is a problem for many countries, especially developing countries, and numerous research studies on water allocation and decision-making have been published over the past two decades. In this study, a large number of these documents were reviewed, and it was found that many countries are moving away from traditional water management practices that are focused on infrastructure development. Modern water planning and allocation focus on a much wider range of environmental, social and economic issues and challenges, require the participation of a wide range of decision-makers in the allocation process, and must conform to legal frameworks.

An integrative literature review was used to develop a generic framework which water management practitioners can use to make first-order selections of appropriate water allocation schemes and associated decision support systems for their specific water management requirements. These inputs can then be used as a basis to develop a relevant conceptualized water allocation decision system for a water management area. The developed framework was applied to the SA water arena, and a generic water allocation decision scheme for application in SA water management areas was developed. This SA scheme implements hierarchy/priority and multiple criteria water allocation schemes and their associated decision-making techniques.

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## Appendix A. Detailed Tables Presenting the Characteristics of Water Allocation Schemes and Associated Decision Support Systems

**Table A1.** Characteristics of different broad categories of water allocation schemes.

|                          | Evaluation Area                                                                    | Hierarchy/Priority Allocation                                         | Strategic Allocation                                                | User-Based Allocation                                                         | Optimization Approaches                                           | Multi-Criteria Approaches                                                                          | Price-Based Allocation                                                                       | Market-Based Allocation                                                                      |
|--------------------------|------------------------------------------------------------------------------------|-----------------------------------------------------------------------|---------------------------------------------------------------------|-------------------------------------------------------------------------------|-------------------------------------------------------------------|----------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| Environmental dimensions | Social/equity orientation                                                          | Depending on priorities, can be medium to high                        | Depending on priorities, probably medium                            | High—more socially-orientated                                                 | Medium—balanced                                                   | Medium—balanced                                                                                    | Relatively low                                                                               | Low                                                                                          |
|                          | Economic orientation                                                               | Depending on priorities, probably medium-low                          | Depending on priorities, probably medium-high                       | Relatively low                                                                | Medium—balanced                                                   | Medium—balanced                                                                                    | Relatively high                                                                              | High                                                                                         |
|                          | Environmental/ecological orientation                                               | Depending on priorities, can be high                                  | Depending on priorities, probably medium                            | Depending on user understanding, probably medium                              | Medium—balanced                                                   | Medium—balanced                                                                                    | Medium, can be worked into pricing                                                           | Low                                                                                          |
|                          | Promotion of water conservation, demand management and improved water productivity | Low/medium—can be included as not strongly promoting these objectives | Low—can be included as not aimed at promoting these objectives      | Medium—can be included as user group may regard these objectives as important | Medium/high—can be included as part of objective functions        | Medium/high—can be included, as can be included as part of criteria to promote positive behaviour  | Medium—can be included as address through pricing as users would want to save on water costs | Will promote higher water productivity but not necessarily conservation or demand management |
|                          | Stakeholder participation                                                          | Relatively small group and low participation                          | Relatively small group and low participation                        | Good participation of relevant stakeholders                                   | Can be high                                                       | Can be high                                                                                        | Relatively low                                                                               | Relatively small group, high participation                                                   |
| Stakeholders             | Complexity of catchment area that can be handled                                   | Low to medium                                                         | Medium                                                              | Low to medium                                                                 | Medium to high                                                    | Medium to high                                                                                     | Medium                                                                                       | Medium to high                                                                               |
|                          | Range of challenges/goals/issues handled                                           | Allocation in line with priorities, limited other issues/challenges   | Allocation in line with priorities, limited other issues/challenges | Reasonable number of issues/challenges can be resolved                        | Challenges/issues built into objectives; solution becomes complex | Broad range of challenges/issues can be built into criteria and weighting; expert inputs necessary | Only challenges/issues that can be linked to price can be addressed effectively              | Only challenges/issues that can be linked to market forces can be addressed effectively      |
|                          | Categories of water users                                                          | Limited by priority list                                              | Strategic user focus                                                | Mainly social types                                                           | Multiple                                                          | Multiple                                                                                           | Multiple                                                                                     | Mainly economic driven                                                                       |
|                          | Categories of water supply                                                         | Applied to any water supply category                                  | Linked to specific strategic priorities                             | Can include what is locally available                                         | Can handle complex combinations                                   | Can handle complex combinations                                                                    | Pricing will differ from source to source (complex)                                          | Applied to relevant supply source considered                                                 |

Table A1. Cont.

|                      | Evaluation Area                                            | Hierarchy/Priority Allocation                                                                                      | Strategic Allocation                                                                                                                               | User-Based Allocation                                                                                                                              | Optimization Approaches                                                                                    | Multi-Criteria Approaches                                                                      | Price-Based Allocation                                                                                                                | Market-Based Allocation                                                                                                                                |
|----------------------|------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------|
| Legal framework      | Implementing legal framework                               | Implemented through priority levels by public administrators                                                       | Implemented through strategic priorities by public administrators                                                                                  | Users will have to work within legal framework; could be difficult to enforce                                                                      | Legal framework worked into objectives and constraints                                                     | Legal framework worked into criteria, weighting and constraints                                | Implemented through pricing in line with legal framework by public administrators                                                     | Market will have to operate within legal framework; could be difficult to enforce                                                                      |
|                      | Level of water management and decision-making              | In general, decision-making centralized but implementation can be at lower (local) level                           | Decision-making as well as implementation tend to be centralized                                                                                   | Decentralized implementation with some centralized guidance/policies/rules possible                                                                | Can work at centralized as well as decentralized levels of management                                      | Can work at centralized as well as decentralized levels of management                          | Guidelines and setting of prices probably from a centralized level with decentralized implementation                                  | Mainly at a decentralized level where users and user organizations make decisions on water trading                                                     |
| Uncertainties/change | Overarching allocation vs. seasonal and annual variability | Priorities determine all allocations—in times of lower water availability, only higher priorities will be serviced | Strategic allocation will determine overarching allocation; handling of variability will depend on negotiated user ability to cope with variations | Allocation system will be used to handle both long- and short-term allocation; social needs will receive priority during times of low availability | Can handle both, may be necessary to handle with two different sets of objective functions and constraints | Can handle both, may be necessary to handle with two different sets of criteria and weightings | Normally used together with another allocation scheme to ensure cost recovery; seasonal and annual fluctuations through price premium | Limited application in overarching water allocation—rather used for reallocation and market forces will determine allocation levels during variability |
|                      | Handling of uncertainties                                  | Not equipped to deal with much uncertainty                                                                         | Strategic users covered, others not                                                                                                                | Work out solutions to limit overall impact                                                                                                         | Somewhat complex to work into objectives                                                                   | Work out alternative scenarios as fall-back                                                    | Pricing levels based on certainty with limited variation                                                                              | Covered in terms of market forces                                                                                                                      |

Table A2. Analysis of decision support systems and their application in different water allocation schemes.

| Evaluation Areas                                    | Rule-Based and Hierarchy Type                                                            | Economic Benefit Models                                                                                                                                           | Computable General Equilibrium (CGE) Method                                                                                                                  | Game Theory                                                                                                                            | Multi-Criteria Analysis                                                                                              | Multi-Objective Analysis                                                                                                     | System Dynamics                                                                                                                      |
|-----------------------------------------------------|------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------|
| Water allocation schemes to which it can be applied | Applicable mainly to hierarchy allocation system and to a degree to strategic allocation | Can provide inputs to market-based schemes; frequently part of broader multi-criteria and multi-objective schemes; can add value to price- and user-based schemes | Can provide inputs to strategic schemes; can form part of broader multi-criteria and multi-objective schemes; can add value to price- and user-based schemes | Specifically linked to user-based schemes, but can be used in combination with multi-criteria and multiple objectives in other schemes | Specifically linked to multi-criteria allocation; can provide valuable inputs on user-based and optimization schemes | Specifically linked to optimization and multi-criteria allocation schemes; can provide valuable inputs on user-based schemes | Specifically applicable in complex systems and situations, i.e., linked mainly to optimization and multi-criteria allocation schemes |

Table A2. Cont.

| Evaluation Areas                                                             | Rule-Based and Hierarchy Type                                                         | Economic Benefit Models                                                                                                   | Computable General Equilibrium (CGE) Method                                                                                                  | Game Theory                                                                                              | Multi-Criteria Analysis                                                                         | Multi-Objective Analysis                                                                           | System Dynamics                                                                                         |
|------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------|
| <b>Handling social/economic/environmental balance</b>                        | Rules will address the balance; normally more socially and environmentally orientated | Mainly economically oriented but can include social and environmental aspects in terms of benefits and costs specifically | Mainly economically oriented but can be used to evaluate the impact of environmental water allocation on the wider economy                   | To ensure balance, stakeholders from all areas must be present—especially those from environmental areas | A well-balanced solution can be achieved by incorporating balanced criteria                     | A well-balanced solution can be achieved by incorporating balanced objectives                      | A well-balanced solution can be achieved by ensuring that the system is comprehensively modelled        |
| <b>Water conservation, demand management and improved water productivity</b> | Could be included in rule development, but not for specific application               | Can promote these initiatives as they are linked to economic value of water                                               | Can promote these initiatives as they are linked to economic value of water                                                                  | These objectives are not specifically addressed, but can be introduced by facilitator or manager         | Can specifically be incorporated in selected criteria and weighting                             | Can specifically be incorporated in objective and constraint sets                                  | Can specifically be incorporated in model setup                                                         |
| <b>Level of stakeholder participation</b>                                    | Very limited except if forms part of expert knowledge base                            | Relatively low level of stakeholder participation—for determining benefiting groups and levels only                       | Limited stakeholder participation; can be used to help stimulate dialogue between decision-makers from governmental and economic backgrounds | Works best when all stakeholders are actively working together to reach a solution                       | Stakeholder participation can vary—good to involve in criteria identification                   | Stakeholder participation can vary—good to involve them in objective and constraint identification | Stakeholder participation is an important aspect, and it is important to draw from broad knowledge base |
| <b>Range of criteria incorporated</b>                                        | Limited range of criteria to avoid complexity                                         | Only benefits and costs, both economic, broaden by combination with multi-criteria or multi-objectives                    | Orientated towards broader economic aspects only                                                                                             | Covers a broad range of criteria through the priorities of participating stakeholders                    | Aims specifically to cover a broad range of criteria to address complex allocation problems     | Aims specifically to cover a broad range of criteria through multiple objectives and constraints   | Specifically aimed at covering a broad, complex range of criteria, objectives and constraints           |
| <b>Reliance on expert knowledge</b>                                          | Relies heavily on expert knowledge; rules also strategic and legislative based        | Rely to a degree on expert knowledge, specifically from an economic background                                            | Combine economic theory with actual economic data—economic expertise necessary in setting up the model                                       | Aimed at reaching a negotiated compromise—expert facilitator can help                                    | Expert knowledge contributes to criteria selection and weighting as well as performance scoring | Expert knowledge required in identifying specific objective functions and constraints              | Expert knowledge required for accurate and comprehensive understanding of the system                    |
| <b>Reliance on computerized calculations</b>                                 | Limited computer calculations except if simulations are needed                        | Limited computer calculation except if complex economic model is used                                                     | Relies heavily on computer modelling of the economic units and the other interacting sectors and parts of the economy                        | Not much reliance on any computerized work—simulations of scenarios can be valuable inputs               | Computerized calculations not critical, but used in some multi-criteria analysis techniques     | Similar to multi-criteria analysis, but specifically computer-based                                | Substantial computational capacity needed, but running time shorter than some simulation methods        |

Table A2. Cont.

| Evaluation Areas                                           | Rule-Based and Hierarchy Type                                                                                      | Economic Benefit Models                                                                                             | Computable General Equilibrium (CGE) Method                                                                                     | Game Theory                                                                                                                                                    | Multi-Criteria Analysis                                                                                             | Multi-Objective Analysis                                                                                   | System Dynamics                                                            |
|------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------|
| Type of computer use                                       | Recording and possibly simulation                                                                                  | Some calculations and recording                                                                                     | Needed to run the comprehensive economic model                                                                                  | Recording and possibly some simulated inputs                                                                                                                   | Recording and some calculations                                                                                     | Used in solving set of multiple objective functions                                                        | Used in solving the set of relationships, feedback loops and flow diagrams |
| Overarching allocation vs. seasonal and annual variability | Can be applied in both, frequently used together with others to address specifically seasonal variations via rules | In general, applied more in overarching (long-term) allocation, but can add value in seasonal and annual allocation | In general, applied more in overarching (long-term) allocation, but can add value in analysis of seasonal and annual allocation | Aimed more at optimization of allocation, i.e., use another decision support tool such as economic analysis for initial allocation and game theory to optimize | Can be set up to cover both overarching seasonal/annual allocations—best used with separate criteria/weighting sets | Can be set up to cover both overarching seasonal/annual allocations—best used with separate objective sets | Can be set up to cover overarching, seasonal and annual allocations        |
| Applicable for sensitivity analysis                        | Not suitable, adjust rules for scenarios                                                                           | Limited application to evaluate scenarios                                                                           | Good tool to use in evaluating impacts on broader economy                                                                       | Not specifically suited for sensitivity analysis; scenarios can be inputs                                                                                      | Sensitivity analysis on weighting and performance scoring important                                                 | Good for sensitivity analysis                                                                              | Can be used for sensitivity analysis but not a specific strength           |

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