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# 2020 Work Plan and Budget Global Water and Ocean Governance Support Programme

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[Original *Global Water Governance Support Programme* project document signed 16 January 2019. Amended project document signed 13 September 2019, adding a new output and expanding overall focus. Project consequently renamed *Global Water and Ocean Governance Support Programme*.]  
End Date: 31 December 2023  
[Activities to transition into *Sida-UNDP Strategic Collaboration Framework on Environment and Climate Change* during end 2020 and early 2021.]

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## Introduction

The cross-cutting endeavours of UNDP's Water and Ocean Governance Programme ([WOGP](#)) has been greatly aided by the support of the Swedish Government. During 2019, the utilization of this support was restructured; from being invested in several self-standing global and national projects into one **Global Water and Ocean Governance Support Programme**. The Programme has four mutually supportive components:

- 1) Water/ocean governance thought leadership, thematic expertise, technical support and policy advocacy promoted and strengthened globally.**
- 2) Freshwater and coastal resources management frameworks strengthened at local and national level.**
- 3) Enhanced individual and institutional knowledge and capacities for sustainable water management.**
- 4) Innovative and scalable solutions to ocean challenges identified and supported.**

The present document outlines the direction of work during 2020 and the requisite resources use. The 2020 plans have been updated to take account of the global covid-19 pandemic. The adaptations imply several delays in the starting and implementation of activities. Some qualitative changes have been considered but the present plan does not foresee any major changes to the direction of the work. The present work plan, aligning with UNDP's broader Climate Promise, is a continuation of the 2020 directions presented to financial partner Sida in October-2019.

## Water/Ocean Governance 2020 Budget and Work Plan

This section summarises the envisaged resource use of the Global Water and Ocean Governance Support Programme during 2020. The budget overview is related to the lead responsible parties of the various project components.

The water/ocean thought leadership and thematic expertise (component 1) is led by the UNDP Bureau for Programme and Policy Support (BPPS), with support of the UNDP-SIWI Water Governance Facility (WGF) hosted by the Stockholm International Water Institute (SIWI). This knowledge management work directly supports the second component implemented by UNDP Country Offices: Under the 'GoAL-WaterS' mechanism for the *Sustainable Use and Protection of Freshwater and Coastal Resources through Strengthened National and Local Governance*, gap-filling and complementary environmental governance is supported.

The individual and institutional capacity development (component 3) is implemented through UNDP Cap-Net, since 2019 in partnership with the Global Water Partnership (GWP). With the revitalised Virtual Campus Cap-Net leverages trainings and webinars across the various thematic pursuits of the Programme.

The newest component (4), the Ocean Innovation Challenge (OIC), was launched in late 2019 and had its first challenge call in early 2020. The pre-proposals are still under evaluation as the timeline of the endeavour has been greatly affected by the Covid-19 pandemic. An Ocean Advisor position to contribute to the OIC management as well as thought leadership/knowledge management (component 1) has been advertised and recruitment is in process.

Table 1 estimates the quarterly resource needs during 2020, by component / lead actor and funding source. The project’s major funding sources are:

- Sida’s “WOGP” support to the implementation of UNDP’s strategic plan (Sida Ref. 61050034, UNDP Award 50169/00115482 Atlas Output 00113069) whose final activity period has been extended to 1 May 2021.
- Sida’s “Ocean Innovation Facility” support to the Ocean Innovation Challenge (Sida Ref. 61050352, UNDP Atlas Output 00117778) whose activities need to be implemented by 31 December 2020.
- Sida-UNDP Strategic Collaboration Programme on Environment and Climate Change (Atlas Project Number: 00124739, Atlas Output Number: 00120004 - Water & Oceans)

**Table 1: Proposed Utilization of Project Funds, by component, lead party & funding source**

| Time period:   | Q1-2020        | Q2-2020        | Q3-2020        | Q4-2020)       | Jan-Dec 2020     |
|--|----------------|----------------|----------------|----------------|------------------|
| Project Component - by Implementer / Mechanism and Atlas Activity  | USD            | USD            | USD            | USD            | USD              |
| <b>Component 1 – Water/ocean governance thought leadership, thematic expertise, technical support and policy advocacy promoted and strengthened globally</b> |                |                |                |                |                  |
| Atlas Output 113069 (‘WOGP’) BPPS (UNDP HQ) - Atlas Activity 1   | 80,151         | 84,887         | 114,047        | 92,447         | 371,532          |
| Atlas Output 113069 (‘WOGP’) SIWI (WGF) incl S2S, SWP, AfS, GoAL-WaterS management - Atlas Activity 2  | 137,955        | 385,531        | 299,551        |                | 823,037          |
| Atlas Output 00120004 (Framework) SIWI (WGF) incl S2S, SWP, AfS, GoAL-WaterS management  |                |                |                | 157,514        | 157,514          |
| <b>Total 2020 - Component 1</b>  | <b>218,106</b> | <b>470,418</b> | <b>413,598</b> | <b>249,961</b> | <b>1,352,083</b> |
| <b>Component 2 – Freshwater and coastal resources management frameworks strengthened at local and national level</b>   |                |                |                |                |                  |
| Atlas Output 113069 (‘WOGP’) COs (GoAL-WaterS): Atlas Activities 11, 12, 13, etc –thru country offices   | 5,549          | 200,000        | 225,000        | 225,000        | 655,549          |
| Atlas Output 00120004 (Framework) Pilot Country Work (thru COs)  |                |                | 50,000         | 50,000         | 100,000          |
| <b>Total 2020 - Component 2</b>  | <b>5,549</b>   | <b>200,000</b> | <b>275,000</b> | <b>275,000</b> | <b>755,549</b>   |
| <b>Component 3 – Enhanced individual and institutional knowledge and capacities for sustainable water management</b>   |                |                |                |                |                  |
| Atlas Output 113069 (‘WOGP’) – GWPO (Cap-Net) Atlas Activity 3   | 184,111        | 510,219        | 408,835        | -              | 1,103,165        |
| Atlas Output 00120004 (Framework) GWPO (Cap-Net)   |                |                |                | 236,035        | 236,035          |
| <b>Total 2020 - Component 3</b>  | <b>184,111</b> | <b>510,219</b> | <b>408,835</b> | <b>236,035</b> | <b>1,339,200</b> |

Work Plan and Budget for 2020  
Global Water and Ocean Governance Support Programme

| Time period:  | Q1-2020        | Q2-2020          | Q3-2020          | Q4-2020)         | Jan-Dec 2020     |
|---|----------------|------------------|------------------|------------------|------------------|
| Project Component - by Implementer / Mechanism and Atlas Activity   | USD            | USD              | USD              | USD              | USD              |
| <b>Component 4 – Innovative and scalable solutions to ocean challenges identified and supported</b>   |                |                  |                  |                  |                  |
| Atlas Output 111778 (OIF advance) BPPS (UNDP HQ: ocean innovation)  | 77,329         | 77,329           | 1,293,488        | 720,394          | 2,168,540        |
| <b>Total 2020 - Component 4</b>   | <b>77,329</b>  | <b>77,329</b>    | <b>1,293,488</b> | <b>720,394</b>   | <b>2,168,540</b> |
| <b>All Components – Global Water and Ocean Governance Support Programme</b>   |                |                  |                  |                  |                  |
| <b>Total 2020 Project Budget (incl GMS), by quarter</b>   | <b>485,095</b> | <b>1,257,966</b> | <b>2,390,921</b> | <b>1,481,390</b> | <b>5,615,372</b> |
| Subtotal output 113069 ('WOGP')   | 407,766        | 1,180,637        | 1,047,733        | 317,447          | 2,953,583        |
| Subtotal output 0012004 ('FW')  |                |                  | 50,000           | 443,549          | 493,549          |
| Subtotal output 111778 ('OIF' advance)  | 77,329         | 77,329           | 1,293,488        | 720,394          | 2,168,540        |
| Note: Potentially incoming co-funding may supplement award payments in Q3 and Q4 from output 111778 (OIF/OIC Advance). This possibility is yet to be reflected in any of the budget calculations. |                |                  |                  |                  |                  |

Further details about the ongoing and envisaged activities during 2020 are provided in subsequent sections below. The work is grouped under the substantive components of the Global Water and Ocean Governance Support Programme.

***Project Component 1: Water/Ocean Governance thought leadership, thematic expertise, technical support and policy advocacy promoted and strengthened globally***

In support of the UN working together and delivering 'as one,' knowledge management and thought leadership efforts align with UN-Water endeavours and increasingly also with Oceans platforms. In the area of marine governance, UNDP will be greatly engaged at the Ocean Conference (now postponed with new date to be determined). Instead, in June, UNDP contributes e.g. to Virtual Dialogues, as facilitated by the Source-to-Sea Action Platform and the University of Rhode Island's Coastal Resource Center (Global Ocean webinar series). Expertise will also be contributed to the Blue Justice conference planned for September 2020.

The UN World Water Development Report and World Water Day campaign in 2020 focuses on [Water and Climate Change](#). This work outlines how climate change affects quantity and quality of water, the risks to the enjoyment of the right to basic services and calls for States to make concrete commitments to mitigate and adapt to climate change. The presentation of the report has been greatly affected by the Covid-19 pandemic, but conclusions are still presented and reported upon at various fora throughout the year.

Water & climate change is the main work topic of 2020, in support of UNDP's Climate Promise and the work by countries to update and revise their Nationally Determined Contributions (NDCs) to the Paris Agreement. The present project is elaborating a water module to

accompany the UNDP/WRI [Enhancing NDCs: A Guide to Strengthening National Climate Plans by 2020](#) together with the World Resources Institute ([WRI](#)) and the Alliance for Global Water Adaptation ([AGWA](#)), including co-authors from across UNDP and the UNDP-SIWI Water Governance Facility ([WGF](#)).

A very concrete set of checklists of Water Interactions for Consideration in NDC enhancement has been developed with WGF and AGWA. This is used to help countries identify both mitigation- and adaptation-related links between climate change and water for the enhancement of NDCs. The set of checklists supports a webinar series on water and climate change (run with SIWI-WGF, GWP-Cap-Net and AGWA through the Virtual Campus) to aid countries' NDC revisions in line with Climate Promise plans.

In order to develop a deeper understanding of the links between water and climate change mitigation, a research report on Water and Mitigation has been initiated with SIWI, the Stockholm Resilience Centre ([SRC](#)) and the Potsdam Institute.

The 2021 UN World Water Development Report (written during 2020) focuses on *Valuing Water*. UNDP's contribution, with GWP and SIWI/WGF/Swedish Water House focuses on how a varied set of perspectives and ways of valuing water can be brought to bear in governance processes, most concretely as this relates to indigenous peoples or marginalised groups. Preparations are also under way for the 2022 theme of *groundwater*.

Further on UN coordination and delivering as one; UNDP co-leads a Task Force (with UNICEF) on UN-Water Country-Level Engagement, to ensure conducive support from the UN system to UN Country Teams and Resident Coordinators also in the new context of UN Reform. An 'offer' to the country level has been developed, and a pilot phase during the first half of 2020 develops a set of responses to interested countries and evaluates the necessary time and resources necessary to respond.

Through SIWI-WGF, an analysis on the linkages between water resources management and water supply and sanitation, to assist country-/local-level actors to ensure water resilience, has been incorporated into the UNDP- UNICEF-SIWI collaboration on Accountability-for-Sustainability. Comments have also been afforded to the process of devising the post-2020 global biodiversity framework. This process will be followed in anticipation of additional opportunities to comment on freshwater biodiversity issues.

Building also on a survey coordinated by SIWI - *Collecting Inputs on Water Governance Arrangements and the Multiple Values of Water* – the project contributes to global policy work, including support to processes related to the [Local Communities and Indigenous People's Platform](#).

An analysis on hydro-security drawing on human development water basin indicators in collaboration with the UNDP Human Development Report Office and the Research Foundation of the City University of New York. The analysis will be global, including a country-level analysis with location to be decided, most likely India or Brazil.

The thought leadership, thematic expertise, technical support and policy advocacy component includes both internal and external knowledge management and involves informing about UNDP's ongoing water and ocean governance work. An important part relates to supporting the Country Offices with water/coastal/ocean related issues.

WGF provides technical assistance to Country Offices and partners in relation to GoAL-WaterS (component 2) activities, assisting countries with water resources planning, including a source-to-sea perspective, climate proofing, and the integration of other cross-cutting concerns (gender, human rights, integrity) into water and coastal resources management.

**As shown in the budget, Table 1, above, the UNDP-BPPS Global Policy Network (GPN) efforts going into Component 1 are envisaged to be charged from the WOGP budget (Atlas Output 00113069) throughout 2020. The services delivered by contracted responsible party the Stockholm International Water Institute (SIWI), implementing the WGF partnership, are to be charged to the WOGP budget during the first three quarters of 2020 after which this work shifts into the 'Sida-UNDP Strategic Collaboration Framework on Environment and Climate Change' budget (area B1) and project document.**

### ***Project Component 2: Freshwater and coastal resources management frameworks strengthened at local and national level***

This component helps national/local partners to implement improved frameworks for water and coastal resources management. It is delivered through UNDP Country Offices with technical assistance and strategic management support from WGF. The new delivery mechanism – **GoAL-WaterS** – was launched in 2019. It applies the 'source-to-sea' perspective through the governance support approach (of the WOGP Theory of Change) as it supports the *Sustainable Use and Protection of Freshwater and Coastal Resources through Strengthened National and Local Governance*.

The following GoAL-WaterS initiatives, broadly applying IWRM principles and climate resilience risk assessment methodologies, are under-way during 2020:

- Climate-resilient IWRM, Comoros. The project has helped with consultations and to develop a revised draft of the country's Water Code and to develop bylaws drawing on principles for the integrated water resources management (IWRM). Follow-on activities involve an analysis of public-private partnerships and supporting implementation of the Green Climate Fund (GCF) financed project on [Ensuring Climate Resilient Water Supplies in the Comoros Islands](#).
- Drought Management, Jordan: Applying nature-based solutions rooted in managed aquifer recharge approach to mitigate the drought impacts on the natural water resources of Azraq Basin; Jordan. Local communities in the Azraq basin rely on livestock herding, subsistence agriculture and production of salts. Previous assessments found the area highly vulnerable to drought and groundwater over-abstraction. The initiative of managed aquifer recharge-(MAR) captures runoff from the highlands before it evaporates in the low lying the flooded wadis and aims to control the saline water intrusion from the mudflat.
- Localizing SDG6, Armenia: This intervention supports the GWP- and UNEP-led SDG6 Support Programme, using IWRM monitoring as an entry point to accelerate the achievement of water-related SDGs. This line of work was initiated by the Armenian Inter-Ministerial Council and SDG Innovation Lab and furthered by Inter-Sectorial Monitoring Team (IMT) for SDG6, established by the Water Committee in 2017, in active cooperation with the Armenian Country Water Partnership. The intervention aims to build of

commitment for achieving SDG6, and especially SDG6.5.1, at national, local and basin levels. It will contribute to stakeholder engagement; the identification of governance gaps and weaknesses; the development of a National Strategy; and the development of action plans that help incorporating IWRM at all levels. Particular attention is paid to working with Lake Sevan to restore its ecological balance.

- Hydro-energy protection zones, Tajikistan: GoAL-WaterS in Tajikistan is to support the Government of Tajikistan and its Ministry of Energy and Water to develop regulation hydro-energy protection zones. Improving the regulatory framework for the safety of hydro-energy facilities and other water-related infrastructure of Tajikistan supports the implementation of IWRM-based water sector reform in the country. This regulatory framework for the safety of hydro-energy facilities aims to reduce risks and enhance the safe functioning of the facilities. Previously initiated sanitation policy work is being reviewed in light of the COVID-19 crisis. This may include an analysis of sanitation related legislation in terms of gaps and needs, vis-à-vis international best practices. Potentially including greater concerns about wastewater use and disposal.
- Water quality management and collaboration on Chu Talas, Kazakhstan: In Kazakhstan, cooperation around rivers draining into the Aral Sea (Chu-Talas and Amu-Darya Basins shared with Kyrgyzstan and Uzbekistan) is supported with a focus on the protection of water ecosystems and water quality management. The [Cap-Net affiliated] Water Information Network CAR@WAN assists with capacity development to enhance water monitoring skills and the understanding of environmental issues among basin committees and farmers. Additional activities are embarked upon to support the political process toward a full endorsement of an adapted Strategic Action Program by both Kazakh and Kyrgyz governments, through stakeholder consultation and meetings of the interstate water commissions.
- Sustainability and social inclusion, India: The GoAL-WaterS intervention in India supports the setting-up an online platform for the Dialogue on "Water Matters - Agenda 2030" – a multi-stakeholder platform to bring together likeminded organisations to discuss/debate/produce position papers on water to inform policy and decision making; as well as to devise strategies towards water security and universal access. A background research paper was initiated, on select topics like Innovations in Water, Women leaders in Water and Nature Base Solutions for water bodies. This supports the development of a 'Women in Water Governance' portfolio that allows for women leaders/champions in water management to be recognised and further trained. Post-lockdown there will be a workshop Artificial Intelligence in Agriculture for the increased water use efficiency.
- Vulnerability Assessment Methodology Development, Laos: Laos has increasingly been affected by natural hazards that damage to infrastructure and livelihoods. UN-Habitat has developed a set of Community-based Vulnerability Assessments under the Adaptation Fund project. The Ministry of Natural Resources and Environment has requested that the methodology be institutionalized, replicate and scaled-up to the entire country. With GoAL-WaterS support a comprehensive understanding of water resource challenges, including floods and droughts, and settlements needs will be developed to guide climate change resilience strategies to improve water resources management.
- Delta governance, Vietnam: The *Mekong Delta Local Water Governance* work synthesizes knowledge on local water governance practices, relationships and aspirations and the current status of IWRM in the Mekong Delta. It will also determine the level of citizen involvement. A second component assesses how current governance structures might

perform under a range of possible futures (including water-use changes and climate change) and test how anticipatory these local governance structures are in practice. Options to enhance the roles of local communities in water governance are to be developed.

- Climate resilient water systems, Paraguay: In Paraguay GoAL-WaterS supports the implementation of climate resilient water supply system in two communities in the Chaco region that suffer from recurring droughts and floods. This involves setting up local management arrangement in collaboration with local authorities, paying particular attention to gender issues and the roles of community and religious leaders. Lessons and insights have been captured in the '*systematization of participatory processes for the implementation of resilient water systems*' and '*the guide for organization and operation of resilient water systems*' under elaboration. Further support is also being leveraged to a third community.
- Wastewater tariff development, Bosnia & Herzegovina: In Bosnia & Herzegovina, several wastewater treatment plants are not fully functioning as they cannot cover their operational costs. Through the Municipal Environmental and Economic Governance (MEG) project, many local authorities have signed Public Service Agreement with their water utilities, defining a methodology for viable tariff setting. Upon request by the Federal Ministry of Agriculture, Water Management and Forestry, a Decree on Tariff Methodology is being developed as a step towards improved regulation of water supply and wastewater treatment.

The activities in some of these countries (Jordan, Tajikistan, Paraguay, Laos, Bosnia & Herzegovina) have evolved from previous local water governance work through the previous GoAL WaSH delivery mechanisms. The extension to new countries has been guided by the priorities of the SDG6 Support Programme and endeavors of GWP's Country Water Partnerships (notably Armenia and Vietnam). Interventions in Kazakhstan (and indirectly Kyrgyzstan) and India are guided by UNDP country offices' ambitions to support water governance in their countries and regions.

Climate resilience is an overarching theme for the water resources and coastal management interventions of GoAL-WaterS in 2020. As appropriate, work is aligned with the Climate Promise country-level support to enhancing NDCs, most concretely in Nigeria:

- NDC enhancement, Nigeria: As coordinated by the NDC Partnership, UNDP is supporting the NDC enhancement in Nigeria. WGF helps ensure that water interlinkages are appropriately addressed: This involves consultations with key stakeholders and the fielding of a national consultant to do a situation analysis and identify water sector components to integrate into the country's NDC.

The coming GoAL-WaterS support will also be explored especially in relation to the priority/pilot countries<sup>1</sup> of the Sida-UNDP Strategic Collaboration Framework on Environment and Climate change. Discussions are maintained with the UNDP Country Offices in Cambodia and Bangladesh and are envisaged for Ethiopia and Liberia. All discussions are to take a broad look at water issues to include climate and biodiversity considerations, including food systems and inland fisheries concerns.

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<sup>1</sup> These are DR Congo, Uganda, Ethiopia, Liberia, Cambodia, Vanuatu, Bangladesh, Myanmar, Nepal, Colombia and Haiti.



Discussions in Cambodia have looked into past work and present proposal from UN-Habitat relating to wastewater and solid waste management. In Bangladesh, there have been several discussions that include wide areas of industrial water and delta management. Existing work of 2030 Water Resources Group and also the Country Water Partnership in Bangladesh has been looked into, along with gender, equity and transboundary concerns in the Sundarban. All pilot country discussions are coordinated with related themes of the broader Framework and will be adapted to potentially changing priorities or requests among existing pilot countries.

**The delivery of local activities – commonly consultation meetings – is the area that has been mostly affected by the Covid-19 pandemic. Delays in this area is what motivated the time extension of Sida ‘WOGP’ support until 1 May 2021. GoAL-WaterS initiatives will have activities continuing into the first four months of 2021.**

**Table 1 above estimates a bit over 650kUSD to be delivered through GoAL-WaterS during 2020, along with an additional 100kUSD through the ‘Framework’ budget (area B1) to be spent during the second half of 2020.**

### ***Project Component 3: Enhanced individual and institutional knowledge and capacities for sustainable water management***

The capacity development for sustainable water management is delivered through [Cap-Net](#), which is composed of affiliated regional- and country-level networks delivering training to water professionals in their regions. As of April 2019, Cap-Net is implemented through the Global Water Partnership Organization (GWPO), the secretariat of the [Global Water Partnership](#).

Cap-Net trainings are face-to-face or virtual – conducted over the Cap-Net Virtual Campus – or blended/complementary versions of the two. Increasingly, longer-term institutional companionships for capacity development and greater on-the- ground synergies with GWP’s Country Water Partnerships are being sought, within Cap-Net’s three-fold strategy:

- a. **Capacity Development:** To develop capacity of institutions and individuals to manage, and use water, coastal zone and ocean resources sustainably, and to adapt to increasing climate variability within a context that addresses, human rights, gender equity, integrity, leadership, diplomacy and sustainable livelihoods.
- b. **Strengthening partnerships.** To improve water management practices by:
  - using effective networks of capacity developers to impact on the ground, and
  - developing partnerships with international agencies and private sector organisations to improve their outreach and collaboration on capacity developing.
- c. **Knowledge management.** To develop and implement knowledge management systems in response (innovative capacity development), that ensure access to the best of international and local knowledge for all, measuring the effectiveness of capacity development services, and reviewing indicators and monitoring systems.

As a result of previous management decisions, Cap-Net is well adapted to the present Covid-19 crisis situation: First, working online from diverse locations: At the end of 2017, Cap-Net shifted from having its secretariat in a fixed-location office (in Rio de Janeiro, Brazil), to a global secretariat working from different locations over electronic means. Second, strengthening the on-line training modality: In March 2020 Cap-Net launched its new [website](#)

and [Virtual Campus](#). These previous moves enable Cap-Net to pursue work in a largely unaltered manner in times of Covid-19.

Training activities of the affiliated networks and the Virtual Campus include the topics of water integrity, flood risk management, water and earth observation, human rights-based approaches, water and gender, river basin organizations, coastal zone management, source-to-sea engagements, and more. Moreover, with the African Development Bank, Cap-Net is supporting OneWorld Sustainable Investments in developing training materials and conducting 'training of the trainers' workshops for African institutions (in English, French and Portuguese). The objective is to develop a regional pool of experts to support the development of Green Climate Fund (GCF) project proposals.

During 2020, Cap-Net is also coordinating the set of webinars to be conducted in support of NDC enhancement. This webinar series, directed principally to NDC coordinators around the world, would address 1) water and climate interaction in different sectors, 2) practical implementation of NDC enhancement, and 3) climate finance for water management. This webinar series is a collaboration between UNDP, SIWI and GWP, in line with the pursuits of UNDP's Climate Promise.

Further capacity development activities, in-country to the extent possible, are also being discussed with UN Environment, as linked with the SDG6 Support Programme and the wider monitoring of SDG indicators for which UN Environment is custodian. Such further webinar and workshop trainings would constitute a continuation of previous webinars under the auspices of UN-Water.

UNDP and Cap-Net has also partnered with GWP in the [Water ChangeMaker Awards](#) initiative to give credit and recognition to those who *improve* upon water governance processes. This way of documenting change and fostering learning and exchange is critical to develop individual and institutional capacities.

**The Budget Table (1) above, Component 3, shows the projected delivery of capacity development of approximately 1.1MUSD drawing on WOGP funding during the first three quarters of 2020, and a delivery of a bit over 0.2MUSD drawing on the Framework (area B1) budget in the last quarter of the year.**

**The actual operations of Cap-Net are significantly larger as partners provide a significant part of the funding of training activities. During 2020, apart from the affiliated networks, such funding is provided through ANSI, Oneworld and UNICEF.**

#### ***Project Component 4: Innovative and scalable solutions to ocean challenges identified and supported***

The newest but largest component of the Global Water and Ocean Governance Support Programme is constituted by the [Ocean Innovation Challenge](#) (OIC).

The OIC was officially launched in December 2019, with the aim to spur action by identifying and financing a suite of pilot initiatives that demonstrate innovative approaches to ocean sustainability, cutting across SDG14 targets and associated sustainability challenges. By providing seed financing, advice and guidance, technical, knowledge and networking support,

the Challenge will help remove barriers and demonstrate approaches that can deliver transformational changes in ocean-relevant resource management.

The first Challenge focuses on reducing marine pollution, i.e. SDG target 14.1: “By 2025, prevent and significantly reduce marine pollution of all kinds, in particular from land-based activities, including marine debris and nutrient pollution.” The 609 proposals (concept notes) received have been internally reviewed and the most promising proposals/concepts are being invited to submit a more detailed proposal for review and evaluation by a team of selected experts. The awarding, contracting and payments of the proposed innovation work will ensue by the end of Q3 and early Q4.

The second Challenge is to focus on sustainable and equitable fisheries - SDG 14.4 and 14.B, which will also contribute significantly to increasing benefits to Small Island Developing States. This second Challenge was envisaged to be launched in June 2020 but has been postponed along with the Ocean Conference and the awarding of the first Challenge. The second Challenge is now envisaged to be announced towards the end of October, putting the review and awarding of the sustainable fisheries innovations towards the first half of 2021.

Concerted efforts are under way to attract complementary funding. The ambition is to mobilize the necessary resources for the OIC to award more of the present applicants with larger funds, and to be able to continue with two challenge calls per year. Most prominently, discussions are underway with the Government of Norway for the potential support of Ocean Innovation awards in the area of plastics management.

Further attention will also be given to develop visibility and communications guidelines to ensure efficiency and consistency in external outreach in order to continue to attract high-quality applications from a diverse range of sectors. The OIC coordinates and shares information with related initiatives such as the World Bank's ProBlue, Sustainable Ocean Fund, Sustainable Ocean Alliance, and others.

**The Ocean Innovation Challenge has been provided with a ‘proof of concept’ grant amounting to over 2MUSD. As indicated in Table 1, the first challenge award on pollution (14.1), amounting to nearly 1.6MUSD is planned to be paid in Q3/Q4. (Potentially, this Challenge may receive complementary funding to support innovations relating to the issue of plastics.)**

**The second award, on fisheries, has been deferred to 2021 and uses resources provided through the Sida ‘Framework’ budget (area B2).**

As mentioned above, project output/component 4 – Ocean Innovation Facility (OIF), has separate funding during 2019-2020 and will migrate to the Framework on 1 January 2021. It also has additional/separate requirements for reporting to progress Sida.

## Project Management

This global project is implemented by UNDP-BPPS through the Direct Implementation Modality. The overall management is guided by the project document (as amended, signed

in September 2019). The Project Board meets annually; virtually [or in New York in February/March]. There has been one virtual Board Meeting to-date, in August 2019, to endorse the amendment/expansion of the project.

Later during 2020 and in 2021, the various components and activities of the present project are to transition into the broader Sida-UNDP Strategic Collaboration Framework on Environment and Climate Change. As and when activities have been shifted to the Framework and existing resources of the present project document depleted, this project will be closed.

The Global Water and Ocean Governance Support Programme also enjoys the guidance and thematic coordination of a Technical Advisory Group (TAG). The TAG meets annually in conjunction with the World Water Week (WWW) in August/September. In 2020, since the WWW has been cancelled as a consequence of the Covid-19 crisis, the TAG meeting will be fully on-line. A brief progress update is to be provided ahead of the TAG meeting.

### **Staffing**

The Global Water and Ocean Governance Support Programme has a lean staffing and draws prominently on contracted Responsible Parties for several components of the project.

At UNDP-BPPS, the Policy Advisor on Water Governance acts as Project Manager for the Global Water and Ocean Governance Support Programme. A Policy Advisor on Ocean Governance is under recruitment and envisaged to take office during the third quarter of the year. The incumbent will lead the Ocean Innovation Challenge, Component (4), and support the 'ocean' part of the thought leadership / thematic expertise work related to Component 1.

BPPS also avails consultancy expertise to the Ocean Innovation Challenge and knowledge management relating to UNDP's water portfolio. Further, administrative support in terms of an operations specialist (10%) and administrative associates (50% and 30%) also work for the project.

Through Responsible Parties SIWI and GWPO, the project draws on staff of these organizations to implement the work of the WGF and Cap-Net UNDP. WGF draws upon the necessary expertise at SIWI with an aggregate of hours equivalent to nearly four full-time positions. The Cap-Net Global Secretariat – these days GWPO employees – encompasses seven positions, several of which are shared between Cap-Net and GWP. (E.g. the positions for 'communications' and 'IT' are shared on a 50-50 basis.)

### **Resource Mobilization and Leverage**

Conversations with bilateral agencies, foundations and banks are maintained at various levels to gather additional support to the project endeavours. Several co-funded initiatives are implemented by 'responsible parties' (GWPO and SIWI) through the Cap-Net and WGF delivery mechanisms. The pursuit of co-funded initiatives and additional support needs reinvigorated efforts by project staff and partners.

For the Ocean Innovation Challenge a request has been formulated to the Government of Norway, suggesting co-funding of some 10-12 most promising innovation proposals at the level of some 1MUSD in total (principally focusing on reducing plastics pollution). This would greatly enhance the reach of the existing (Sida-OIF) support to ocean innovation initiatives.

Cap-Net has secured contracts with ANSI, Oneworld and UNICEF to implement trainings in Africa. The anticipated project budget and co-funding are summarised in Table 2.

**Table 2: Cap-Net Activity Budget and Co-Funding in 2020**

| Global Water and Ocean Governance Support Programme – component 3                   | Revised project budget | Contribution from partners | Grand Total 2020 | Budget Note |
|---|------------------------|----------------------------|------------------|-------------|
| Sub-Activity areas of Cap-Net UNDP, as implemented through GWPO                     | USD                    | USD                        | USD              |             |
| <b>3.1 and 3.2. Delivery of capacity development/Activity 1.1, 1.2, 1.3 and 1.4</b> | 125,000                | 153,000                    | 278,000          | 1           |
| <b>3.3. Strengthening partnership/Activity 2.1, 2.2,2.3</b>                         | 280,700                | -                          | 280,700          |             |
| Capacity developers trained   | 30,000                 |                            | 30,000           | 2           |
| Network management  | 220,700                |                            | 220,700          | 3           |
| Partnership development   | 30,000                 |                            | 30,000           | 4           |
| <b>3.4 Knowledge management/Activity 3.1, 3.2 and 3.3</b>                           | 231,300                | 73,000                     | 304,300          |             |
| Training material developed   | 36,300                 | 73,000                     | 109,300          | 5           |
| Information management and communication  | 110,000                |                            | 110,000          | 6           |
| Monitoring and learning plan implementation   | 85,000                 |                            | 85,000           |             |
| <b>Project implementation (Activity 3.5)/Activity 4</b>                             | 500,000                | 100,000                    | 600,000          |             |
| Personnel costs   | 475,000                | 100,000                    | 575,000          | 7           |
| Office and operational costs  | 25,000                 |                            | 25,000           |             |
| Technical Advisory Group (catered under partnership development)                    | -                      |                            | -                |             |
| <b>Subtotal</b>   | <b>1,137,000</b>       | <b>326,000</b>             | <b>1,463,000</b> |             |
| GWPO Indirect services to the project (8%)  | 90,960                 | 26,080                     | 117,040          |             |
| <b>Total Cap-Net 2020 budget</b>  | <b>1,227,960</b>       | <b>352,080</b>             | <b>1,580,040</b> |             |

Sources: Proposed revisions to the Cap-Net workplan and budget 2020 + email Gumbo 25 May 2020.

Notes:

- 45 capacity development activities planned; revised to 25 activities where the majority planned to be network-led courses to be adapted virtually; reallocating USD 100 000 under UNDP; Additional contributions from American National Standard Institute (ANSI) USD 153 000 allocated to training for ISO24521 and ISO30500 on water supply, sanitation and non-sewered sanitation.
- Increase by USD 5000 to allow for training of trainers' courses to be conducted on new or updated courses.
- Core support increased by USD 4 500 per network (20 networks) to equip them better to address the needs of beneficiaries on the ground (enhanced communication/IT support), resulting in an increase of USD 90 000 from the UNDP funding.  
Travel support reduced (correspondence 25-May-2020) as annual network managers meeting not taking place physically in 2020.
- Partnership development reduced due to decrease in travel, leading to savings of USD 45 000.
- Support for material adaptation and revision increased by USD 30 000 under UNDP; ANSI funds USD 73 000 for material adaptation for ISO24521 and ISO30500.
- Increase number of users for virtual campus USD 10 000; additional case studies USD 10 000 under UNDP.
- ANSI (USD 51 000); Oneworld (USD 39 000); UNICEF (USD 10 000) allocated to staff costs in terms of time; total contributed funds estimated at a total of USD 350 000 of which USD 326 000 is programmable. The plan to is to pass on the additional contribution related to staff costs (non-UNDP contribution) to the 2021 or beyond budget.

WGF utilizes co-funding through SIWI and partners. In 2020, this includes studies on climate change and mitigation, and climate change and indigenous peoples, co-financed with SIWI and GIZ. The long-standing joint pursuits around the Action Platform for Source-to-Sea Management generates joint activities, and UNDP has been supporting the Secretariat's work (intermittently in-between the support from the Swedish Ministry of Environment) for many years. UNDP also contributes to discrete activities of the multi-donor Shared Waters

Partnerships. Another long-standing joint project is the UNICEF-UNDP-SIWI *Accountability-for-Sustainability*, implemented by SIWI. UNICEF provides for the brunt of the work, with UNDP contributing in-kind work through the WGF. These diverse partnerships are summarised in Table 3.

**Table 3: WGF Activity Budget and Co-Funding in 2020**

| Global Water and Ocean Governance Support Programme – Component 1, Activity 2          |   |                            |             |
|--|---|----------------------------|-------------|
| Sub-Activity areas of UNDP-SIWI Water Governance Facility, as implemented through SIWI | Project budget (as proposed April-2020) (1) | Contribution from partners | Budget Note |
|  | SEK   | SEK                        |             |
| 1.1 WG Knowledge Development Shared  | 2 291 445                                   | 722 200                    | 2           |
| 1.2 Climate Change, Emerging Water Governance principles                               | 1 086 099                                   | 174 000                    | 3           |
| 1.3 Source to Sea  | 337 130                                     | 2 500 000                  | 4           |
| 1.4 partnership arrangements   | 193 810                                     |                            |             |
| 2.1 respond to demand  | 776 435                                     |                            |             |
| 2.2 Shared Waters Partnership  | 617 288                                     | 5 710 000                  | 5           |
| 2.3 UNICEF Global  | 503 840                                     | 4 340 050                  | 6           |
| 2.4 UNICEF MENA Water Scarcity   | 188 600                                     | 1 054 198                  | 7           |
| 3 Track UNDP work on water   |   |                            |             |
| 4.1 World Water Week   | 218 600                                     | Not applicable             | 8           |
| 4.2 International processes and platforms  | 1 525 615                                   | 2 000 000                  | 9           |
| 5.1 WGF Administration   | 502 050                                     |                            |             |
| 5.2 GoAL-WaterS Management   | 1 193 382                                   | To be determined           | 10          |
| VAT  | 432 931                                     |                            |             |
| <b>Grand Total</b>   | <b>9 867 225</b>                            | Not quantified             |             |

Source: Water Governance Facility Work Plan for 2020 (April 2020 revision), Pers. Comm./Email Jaraiseh 22-June-2020.

Notes:

- 1) The budgeted amounts by activity in this table (in SEK) do not reflect a subsequent deferment of activities to 2021 with an overall reduction in the 2020 project budget allocation.
- 2) A report on *Water and [Climate Change] Mitigation* is being produced in cooperation with the Stockholm Resilience Centre (SRC) and Potsdam Institute, with co-financing from SIWI and GIZ
- 3) Work on Indigenous peoples and water governance in relation to the Climate Change COP process – co-financed by SIWI and GIZ
- 4) Support from Swedish Ministry of Environment, along with SIWI and GIZ funding: “Foundations for S2S Management”
- 5) Funding from Sida, MFA Norway, MFA Netherlands, and US State Dept for Shared Waters Partnership
- 6) The total contribution from UNICEF 2018- 2021 amounts to 1.7MUSD. UNDP provides an in-kind contribution – through WGF – amounting to 20% of the total budget of the *Accountability-for-Sustainability* project. In 2020 WGF will contribute about 9 %, SIWI about 17 %, and UNICEF will cover the remaining 74 %.
- 7) The WGF in-kind contribution to global and MENA *Accountability-for-Sustainability* endeavors is constituted by a study on how water resources management links to water services, looking at governance fragmentation in relation to overall resources management. In 2020 WGF will contribute 15 % of the budget, SIWI 8 % and UNICEF the remaining 77 %.
- 8) WWW activities and events are always co-funded between co-convening partners. In 2020, as the WWW is cancelled, the limited set of on-line events that will still take place are free of meeting charges.
- 9) SIWI/Sida co-funding for the Source-to-Sea Platform
- 10) The leverage effects of the ‘new’ GoAL-WaterS delivery mechanism are yet to be assessed. The WGF sub-activity budget covers the management with backstopping and proposal preparation and assessment work conducted by WGF. (The locally disbursed funding is captured under the Global Water and Ocean Governance Support Programme Component 2 budget.)

Given the importance of good hygiene, which in turn relies on robust, extensive and equitable systems for sanitation and water supply; there will be renewed efforts towards reviving WASH governance support. This is a critical part of SDG6 for which global UNDP funding is currently lacking. Further, SDG targets 6.1 and 6.2 are particularly crucial for reducing multi-dimensional poverty.

## **Result Reporting**

The results of the activities outlined in this plan contribute to the results contained in the UNDP Strategic Plan, captured in its Integrated Results and Resources Framework (IRRF), and more broadly to the achievement of the 2030 Agenda. Result reporting and communications are also important to underpin successful resource mobilization.

Result indicators from IRRF and a set of more detailed indicators of delivery are contained in the Global Water and Ocean Governance Support Programme's Results Framework, starting on page 44 of the Project Document. The most updated results matrix for the Global Water and Ocean Governance Support Programme is the one contained in the 2019 Progress Update (report from April 2020, finalised/submitted in June). The matrix, which contains targets for 2020, is referred to for the purpose of this project's 2020 reporting framework.

Further qualitative and quantitative reporting will follow as part of the imminent 2019 progress report to Sida on Water and Ocean Governance Programme Contribution to Realizing the UNDP Strategic Plan (due date deferred to 31 July). There is also a specific schedule for reporting of OIC (component 4) achievement to Sida, with the next specific report scheduled for November 2020, as a continuation of the 'extra reporting' contained in financing agreement.

Further reporting is provided as part of the Sida-UNDP Strategic Collaboration Framework, and to the project's TAG, which receives an annual progress update ahead of its annual meeting in August/September.

## **Risk Management**

Overall, the Social and Environmental Risks level of the present endeavour has been characterized as low (see Annex 2: Social and Environmental Screening, Project Document, starting page 90).

The deeper assumptions underpinning the project's Theory of Change (Project Document starting page 38) are constituted by structural and development issues that are generally not controlled by the project. Rather, they pose the very challenges that the project sets out to address. The assumptions about the project's pursuits still hold, and the importance of environmental management and protection as well as equity and poverty alleviation has only been additionally put in relief by the 2020 Covid-19 crisis.

The promise of improved participation, capacity and integrity in water/ocean governance and related resource management remain the overarching opportunity and challenge for the Global Water and Ocean Governance Support Programme. Yet, the way that consultation, participation and capacity development is carried out needs to seek new ways and additionally make use of electronic means of communications.

The refurbished Virtual Campus has been very timely for these changes, so the project is well equipped to deliver trainings and capacity development also in the new work environment. Many activities, like local consultations and meetings, however, have also been delayed.

Such activity delays have been dealt with by extending the time period of the project's activities. (Sida agreed to extend the final activity period of the 'WOGP' funding from 1 November 2020 until 1 May 2021.) Some reporting requirements have also had to be deferred. (The annual donor reporting of WOGP to Sida has been deferred from 30 June until

31 July.) The present project's reporting has suffered from the project manager's contracting of a Covid-19 infection implicating several weeks of sick leave.

Regarding implementation partners; the risks relating to the operational/financial capacity of responsible parties to the project was also assessed as low through HACT Micro-Assessments. These operational risks are monitored through HACT Spot Checks and remain assessed as low risk.

The risks faced by the project are continuously followed, managed and dealt with as they arise. The most numerate (though minor) risks relate to the difficulties of reporting. These are outlined in the right-most column of the project's results matrix (see Project Document's Result Framework, starting page 44; or 2019 Progress Update, Annex 1). Linked to this is the significant reporting burden related to development project endeavours. There is a deeper risk relating to the time constraints in the implementation of actual development pursuits. There is a continuous need to balance implementation of activities with optimal documentation, analysis and learning both for follow-up and future/additional pursuits.

The programmatic/substantive and operational/generic risks are summarised in the Project Document's Risk Analysis / Log (Annex 3, starting page 97). These risks are revisited with responsible (implementing) parties on a quarterly bases, and notes about issue or actions are made in most quarterly reports. An update of the summary Risk Analysis framework is contained in the ensuing Annex 1.

In sum, the major calamity and change of circumstances posed by the Covid-19 during early 2020 has implicated on project operations and plans. These have necessitated both substantive changes and delays of activities planned for 2020. As the presence of the pandemic is well-known, however, the necessary changes and postponements have not been problematic in themselves. Yet, the landscape for future planning remains additionally uncertain. This poses additional risk and challenges for this project's operations, the super year for nature and biodiversity, the 2020 NDC enhancements, as it does for the world economy and development pursuits across the globe.



## Annex 1: Risk Analysis – Update

| #   | Description   | Date Identified                              | Type of Risk          | Impact & Probability   | Countermeasures / Management response   | Owner                             | Submitted, updated by  | Last Update    | Status   |
|-----|---|--|-----------------------|--|---|-----------------------------------|------------------------|----------------|--|
| 1.1 | Limited buy-in and commitment among partners for water governance as a means to address unsustainable water management and lack of access to resources and services | 15 Nov 2018<br>(Project formulation/ design) | Strategic             | This could negatively influence the demand for UNDP water governance support and advice and its ability to contribute to and influence global processes to advance policy and knowledge generation in the field of water<br><br>(P = 1, I = 4) | Provide high-quality inputs to key processes, to showcase and communicate the contribution of water governance for sustainable water management and service delivery  | UNDP (project manager)            | UNDP (project manager) | 2020 work plan | Challenge very much addressed by project.<br><br>Water management critical e.g. for success in NDC enhancement measures, constituting major present pursuit and challenge for project in 2020. |
| 1.2 | Reform does not take place, or derails, in spite of accessible information and capacitated knowledgeable people in the right places                                 | 15 Nov 2018<br>(Project formulation/ design) | Strategic (political) | Important elements might be missing, e.g. political will or funding to enable action to take place. Alternatively, there may be hidden-agendas that work derail efforts.<br><br>(P = 2, I = 4)   | Constant evaluation of the context to understand blockages or missing elements.<br><br>Continued active promotion of 'water integrity' to make governance structures less vulnerable to corruption or malpractice.<br><br>Concerted capacity development needed | UNDP Country Offices / WGF (SIWI) | UNDP (project manager) | 2020 work plan | Remains important to review.<br><br>E.g. monitor different pace of progress in local / national water governance support.  |

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| #   | Description   | Date Identified                              | Type of Risk | Impact & Probability  | Countermeasures / Management response   | Owner                                   | Submitted, updated by     | Last Update    | Status   |
|-----|---|--|--------------|---|---|---|---------------------------|----------------|--|
| 1.3 | Assumption that governance, management and implementation of policies is most importantly helped by strengthened individual and institutional capacities, does not hold true.             | 15 Nov 2018<br>(Project formulation/ design) | Strategic    | Resources spent on training could have been more effectively deployed elsewhere.<br><br>(P = 2, I = 3)  | Follow broader research and lessons learned on capacity development more broadly.<br><br>Assure that the project's engagement builds on the best available methods and tools for capacity development.<br><br>Theory of change (ToC) to be continuously questioned.   | Cap-Net<br>UNDP<br>(GWPO)               | UNDP<br>(project manager) | 2020 work plan | Remains important to review.<br><br>ToC reviewed e.g. through GoAL WaSH lessons learned report)  |
| 1.4 | Participatory processes derail; miss important people, e.g. marginalized groups, women, young or elderly; become captured by vested interests, or; take too long time to remain relevant. | 15 Nov 2018<br>(previously identified)       | Strategic    | This risk may be to the detriment to urgent action, and a less effective participatory process may result in the project supporting the wrong cause or reaching less effective outcomes.<br><br>In the worst case, security of some community members may be at risk, if a process goes seriously wrong, or exposes severe mis. | Participation is both a means and an end.<br>'Accountability' in programming important to assure that participation does not become an excuse for slow or poorly managed implementation.<br><br>The HRBA provides guidance for how to structure the nature of participation and influence.<br><br>Scrutiny of gender markers aid identifying potential capture or at least gender imbalance.<br><br>Special measures required to assure 'real' influence of | UNDP<br>Country Offices /<br>WGF (SIWI) | UNDP<br>(project manager) | 2020 work plan | Constantly present risk.<br><br>GoAL-WaterS monitoring & proposal template to additionally emphasise participation, HR & gender. Also pushed in WWDR |

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| #   | Description   | Date Identified                             | Type of Risk              | Impact & Probability   | Countermeasures / Management response   | Owner                             | Submitted, updated by  | Last Update    | Status   |
|-----|---|---|---------------------------|--|---|-----------------------------------|------------------------|----------------|--|
|     |   |   |                           | (P = 3, I = 4)   | groups that are marginalized.   |                                   |                        |                |  |
| 1.5 | Poverty-environment conflicts (livelihood improvements conflict with environmental resource protection) | 5 Dec 2018<br>(through poverty scan/update) | Strategic / environmental | The risk is that poverty eradication is not achieved and/or that important environmental values are impaired. The effects may be immediate or long-term.<br><br>(P = 3, I = 5)           | This risk/impact may be difficult to identify and understand as causal links may not be entirely obvious. Project needs to carefully monitor outcomes of water governance reform, and continuously evaluate results and impacts.<br><br>Findings need to be incorporated into ToC and influence project continued action / related endeavours | UNDP Country Offices / WGF (SIWI) | UNDP (project manager) | 2020 work plan | Constantly present risk<br><br>Continued ToC questioning, with added attention to potential conflict between disease prevention and economic and social development. |
| 2.1 | Political, economic and social instability in countries where water governance support is provided.     | 15 Nov 2018<br>(previously identified)      | Political / operational   | Political, economic and social instability would hamper or delay project implementation and affect the possibilities to deliver on planned activities and outputs.<br><br>(P = 3, I = 3) | The programme is designed to enable technical support to those countries most in need, but awareness of political situation and flexibility to adapt programme outputs to changing contexts need to be factored in as part of project design.   | UNDP Country Offices / WGF (SIWI) | UNDP (project manager) | 2020 work plan | Remains, albeit not materialised.<br><br>All countries of operation have been generally stable.<br><br>Continuous awareness of potential change in status needed.    |
| 2.2 | Conflict/contention around disclosure and   | 5 Dec 2018                                  | Political / operational   | Analysis and disclosure may cause blockages to   | Always working in a constructive and transparent manner.  | UNDP Country                      | UNDP (project manager) | 2020 work plan | Remains.<br><br>(Risk exists among both close  |

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| #   | Description   | Date Identified                           | Type of Risk            | Impact & Probability   | Countermeasures / Management response  | Owner  | Submitted, updated by  | Last Update    | Status  |
|-----|---|---|-------------------------|--|--|--|------------------------|----------------|---|
|     | information about who controls resources.   | (through gender scan/ update)             |                         | project progress or may also threaten security of staff.<br><br>(P = 3, I = 4)                   | (Naming and shaming is not part of the present project's strategy.)<br><br>Continued openness about work and e.g. 'institutional reviews' but weighing risks carefully where (information about) resources control and ownership is contentious.                 | Offices / WGF (SIWI)   |                        |                | and remote partners. May relate to resources mobilization.)   |
| 3.1 | Lack of ownership and prioritization among project partners.  | 15 Nov 2018 (Project formulation/ design) | Operational / strategic | May delay or hamper project implementation.<br><br>(P = 2, I = 3)                                | Work closely with partners to identify, plan and develop activities to ensure strong buy-in and ownership.<br><br>Develop partnership agreements that clearly define roles and responsibilities of each programme partner.<br><br>Careful selection of partners. | All: (UNDP (project manager) / WGF (SIWI) / Cap-Net UNDP (GWPO) / Country Offices) | UNDP (project manager) | 2020 work plan | No issue at present.<br><br>Continued focus on ultimate objectives, aiming to motivate all concerned to see their part in overall pursuit, and understand how project fits into broader pursuits. |
| 3.2 | Project design / 'governance support' too complex, making it difficult to deliver upon the full scope | 15 Nov 2018 (Project formulation/ design) | Operational / strategic | Difficulties in delivering on the full scope of programmatic activities, and delays in achieving | Monitoring and evaluation processes must be carried out on a regular basis, feeding into project implementation to ensure process efficiency.  | UNDP (project manager)   | UNDP (project manager) | 2020 work plan | Remains.<br><br>Potential difficulty for resources mobilization.  |

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| #   | Description   | Date Identified                              | Type of Risk            | Impact & Probability   | Countermeasures / Management response   | Owner                                      | Submitted, updated by  | Last Update    | Status  |
|-----|---|--|-------------------------|--|---|--|------------------------|----------------|---|
|     | of programmatic activities  |  |                         | project outputs and outcomes.<br>(P = 2, I = 3)  | Requires further/ improved explanation and presentation. (optional strategy: give in and simplify activities)   |  |                        |                |   |
| 3.3 | Water governance support insufficient to address unsustainable water management and lack of access to resources and services in a given context | 15 Nov 2018<br>(Project formulation/ design) | Operational / strategic | Resources spent to support water governance reform process could have been more effectively deployed elsewhere<br>(P = 1, I = 5)<br><br>(Difficult to monitor, as results take time. i.e. risk applies to inadequate monitoring as well as to insufficient delivery of result) | Programme applies a demand-driven and gap-filling approach whereby technical support on water governance can be provided as a complement to other project/program activities that address other aspects of water management/service delivery (e.g. infrastructure development)<br><br>Constant scrutiny of the ToC to ensure interventions updated / amended accordingly. | UNDP Country Offices / WGF (SIWI)          | UNDP (project manager) | 2020 work plan | Remains.<br><br>Important to link governance intervention with actual / financial investments in water / coastal / ocean resources development to make the governance more effective and motivated.<br><br>Requires more fruitful linking to partners, broader pursuits and co-financing. |
| 3.4 | People move, which may be detrimental to the capacity of an institution   | 15 Nov 2018<br>(previously identified)       | Operational             | Loss of key personnel may temporary delay or hamper delivery of results.<br>(P = 3, I = 4)   | Work more with institutional companionship rather than depending on individuals.  | Cap-Net UNDP (GWPO) / UNDP Country Offices | UNDP (project manager) | 2020 work plan | Remains. Noting that training of individuals not lost even with mobility.   |

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| #   | Description  | Date Identified                     | Type of Risk                 | Impact & Probability  | Countermeasures / Management response   | Owner  | Submitted, updated by  | Last Update    | Status   |
|-----|--|-------------------------------------|------------------------------|---|---|--|------------------------|----------------|--|
| 4.1 | Limited capacity at UNDP Country Offices to engage in water governance support processes | 15 Nov 2018 (previously identified) | Organizational / operational | If the UNDP Country Office fails to engage with the project activities, it will affect the sustainability of the interventions.<br><br>(P = 2, I = 4)                                       | Strengthen internal outreach and coordination mechanisms within UNDP – GPN, HQ, regional hubs, country offices.<br><br>Increased emphasis on water resources, climate change and nature-based solutions – as strong UNDP areas.<br><br>Also ensure clarity on administration processes for greater management effectiveness | UNDP (project manager) / Country Offices   | UNDP (project manager) | 2020 work plan | Remains. Noting important to clarify administrative procedures.                              |
| 5.1 | Lack of funds mobilized / allocated for implementation                                   | 15 Nov 2018 (previously identified) | Financial                    | Uncertain funding situation limits scope of activities, heightens uncertainty and may induce too much competition throughout project organization and among partners.<br><br>(P = 4, I = 5) | Pro-active resource mobilization.<br><br>Activities to be prioritized and adjusted according to funding allocations.  | UNDP (project manager), with all partners: WGF (SIWI) / Cap-Net UNDP (GWPO) / Country Offices) | UNDP (project manager) | 2020 work plan | Remains as important risk / problem.<br><br>Resource mobilization efforts to be intensified. |
| 5.2 | Administrative delays in disbursement of funds   | 15 Nov 2018 (previously identified) | Financial / operational      | Causes delays and stop-go / erratic implementation<br><br>(P = 4, I = 4)  | Additional admin personnel.<br><br>Pilot different financial modalities.  | UNDP (project manager) & all partners: WGF (SIWI) / Cap-Net                                    | UNDP (project manager) | 2020 work plan | Remains a risk.<br><br>Persistent follow-up routine critical.                                |

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| #   | Description                   | Date Identified                     | Type of Risk | Impact & Probability  | Countermeasures / Management response   | Owner   | Submitted, updated by  | Last Update    | Status  |
|-----|-------------------------------|-------------------------------------|--------------|---|---|---|------------------------|----------------|---|
|     |                               |                                     |              |   | Adding routines for consistent follow-up.   | UNDP (GWPO) / Country Offices)  |                        |                |   |
| 5.3 | Fluctuation in exchange rates | 15 Nov 2018 (previously identified) | Financial    | Either negative or positive affect on the budget.<br>Creates uncertainty.<br>(P = 3, I = 3) | Plan with contingency.<br>Cushion by diversification of funding sources.<br>Plans and budgets adapt to availability of funding. | UNDP (project manager) / WGF / Cap-Net  | UNDP (project manager) | 2020 work plan | Remains a risk, which has reduced anticipated long-term funding.                          |
| 5.4 | Staff falling ill             | 10 June 2020                        | Operational  | May cause delays or hamper delivery or reporting.<br>(P = 2, I = 3)                         | Ensuring flexible arrangements with multiple persons informed and able to pursue different tasks                                | UNDP (project manager) & all partners: WGF (SIWI) / Cap-Net<br>UNDP (GWPO) / Country Offices) | UNDP (project manager) | 2020 work plan | Risk having materialised with Covid-19. (operations maintained albeit reporting delayed.) |

## Acronyms and Abbreviations

|                    |  |                 |   |
|--------------------|--|-----------------|---|
| <b>BPPS</b>        | UNDP Bureau for Policy and Programme Support   | <b>OIC</b>      | Ocean Innovation Challenge  |
| <b>Cap-Net</b>     | International Network for Capacity Building in Sustainable Water Management (UNDP programme)           | <b>OIF</b>      | Ocean Innovation Facility (proposed UNDP project / delivery mechanism, renamed to OIC)  |
| <b>CO</b>          | Country Offices  | <b>RP</b>       | Responsible Party   |
| <b>'Framework'</b> | Sida-UNDP Strategic Collaboration Framework on Climate Change and the Environment                      | <b>RTA</b>      | Regional Technical Advisor  |
| <b>GEF</b>         | Global Environment Facility  | <b>SDG</b>      | Sustainable Development Goal  |
| <b>GEF:IW</b>      | Global Environment Facility: International Waters  | <b>SEK</b>      | Swedish Crowns  |
| <b>GEN</b>         | Gender (marker/indicator)  | <b>SGP</b>      | (UNDP-GEF) Small Grants Programme   |
| <b>GCF</b>         | Green Climate Fund   | <b>Sida</b>     | Swedish International Development Cooperation Agency  |
| <b>GIZ</b>         | Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH                                     | <b>SIDS</b>     | Small Island Developing States  |
| <b>GWP</b>         | Global Water Partnership   | <b>SIWI</b>     | Stockholm International Water Institute   |
| <b>GWPO</b>        | Global Water Partnership Organization  | <b>SP</b>       | (UNDP) Strategic Plan   |
| <b>GoAL WaSH</b>   | Governance, Advocacy and Leadership in Water, Sanitation and Hygiene (UNDP programme, closed)          | <b>SRC</b>      | Stockholm Resilience Centre   |
| <b>GoAL-WaterS</b> | Governance, Accountability and Learning for Water Sustainability (UNDP programme / delivery mechanism) | <b>TAG</b>      | Technical Advisory Group  |
| <b>GPN</b>         | UNDP Global Policy Network   | <b>tbd</b>      | To be determined  |
| <b>HACT</b>        | (UN) Harmonized Approach to Cash Transfers   | <b>TDA</b>      | Transboundary Diagnostic Analysis   |
| <b>HRBA</b>        | The Human Rights-Based Approach  | <b>ToC</b>      | Theory of Change  |
| <b>IW:LEARN</b>    | GEF International Waters Learning Exchange and Resource Network  | <b>UN</b>       | United Nations  |
| <b>kUSD</b>        | Thousand United States Dollars   | <b>UNDP</b>     | United Nations Development Programme  |
| <b>LDC</b>         | Least Developed Country  | <b>UNDS</b>     | United Nations Development System   |
| <b>LME</b>         | Large Marine Ecosystem   | <b>UNICEF</b>   | United Nations Children's Fund  |
| <b>LNOB</b>        | Leave No One Behind (  | <b>UNOPS</b>    | United Nations Office for Project Services  |
| <b>M&amp;E</b>     | Monitoring and Evaluation  | <b>UN-Water</b> | Inter-agency mechanism coordinating the efforts of UN entities and international organizations working on water and sanitation issues |
| <b>MELP</b>        | Cap-Net's Monitoring, Evaluation and Learning Plan   | <b>USD</b>      | United States Dollars   |
| <b>MFA</b>         | Ministry of Foreign Affairs  | <b>VAT</b>      | Value Added Tax   |
| <b>MoU</b>         | Memorandum of Understanding  | <b>WASH</b>     | Water, Sanitation and Hygiene   |
| <b>MSEK</b>        | Million Swedish Crowns   | <b>WWDR</b>     | United Nations World Water Development Report   |
| <b>MSP</b>         | Marine Spatial Planning  | <b>WGF</b>      | UNDP-SIWI Water Governance Facility (UNDP programme)  |
| <b>MUSD</b>        | Million United States Dollars  | <b>WOGP</b>     | UNDP Water and Ocean Governance Programme   |