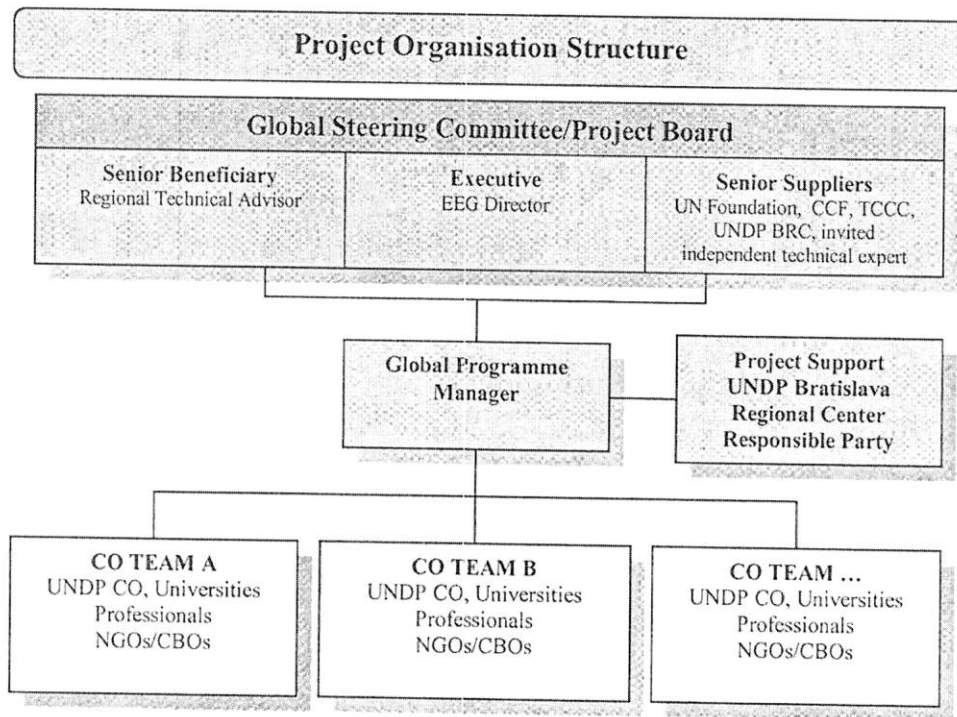


The project management structure is summarized in the organigram below.



## **VI. Monitoring Framework and Evaluation**

### **Annual Project Report -Project Implementation Review (APR-PIR)**

The APR-PIR is a UNDP requirement and part of UNDP's central oversight, monitoring and project management. It is a self -assessment report by project management and provides input to the reporting process. An APR-PIR will be prepared on annual basis to reflect progress achieved in meeting the project's Annual Work Plan and assess performance of the project in contributing to intended outcomes through outputs and partnership work.

The format of the APR-PIR is flexible but should include the following:

- An analysis of project performance over the reporting period, including outputs produced and, where possible, information on the status of the outcome
- The constraints experienced in the progress towards results and the reasons for these
- AWP, CAE and other expenditure reports (ERP generated)
- Lessons learned and best practices
- Clear recommendations for future orientation in addressing key problems in lack of progress

Annual APR-PIRs, as well as annual work plans and analytical reports on the results obtained, will be submitted to Global Steering Committee for review and discussion at subsequent GSC meetings.

## **VII. Legal Context to be replaced with final new DEX content**

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the "Project Document" instrument referred to in: (i) the respective signed SBAA's for the specific countries; or (ii) in the Supplemental Provisions attached to the Project Document in cases where the recipient country has not signed an SBAA with UNDP, attached hereto and forming an integral part hereof. This project will be implemented by UNDP in accordance with its financial regulations, rules, practices and procedures. To ensure its responsibility for the safety and security of UNDP personnel and property, UNDP shall: (a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried; (b) assume all risks and liabilities related to UNDP's security, and the full implementation of the security plan. The UNDP shall undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

### Annex I: Indicative Criteria for the call for proposals

The following table is a schematic presentation of the kinds of projects that may be eligible for support. It is intended to be illustrative, not exclusive; many projects will combine several of the focal areas and activities listed. The table outlines the scope of intervention in each focal area as they relate to the EDM. The “potentially eligible activities” are merely examples of project possibilities; final content for project criteria will be developed and formally adopted by the Global Steering Committee. Identification, development and implementation of individual projects will depend greatly on local and national conditions and priorities.

<p><b>Water Resources, Water Supply and Sanitation Management at Community Levels:</b> The project will fund activities that</p> <ul style="list-style-type: none"> <li>• Protect natural resources and the environment while promoting the sustainable use and management of water resources in poor rural and peri-urban areas, and</li> <li>• Improve quality of life and livelihoods for poor people through improved water supply and basic sanitation for poor communities and households in rural and peri-urban areas.</li> </ul>	<p><b>Water Management Focal Area:</b> Sub-projects will contribute to more effective management of local water resources to ensure long term availability of good quality water to meet needs for poor people’s survival, health and economic activities. They will primarily involve support to affordable improvements of existing systems, demonstrating innovative solutions, building local capacity; raising public awareness. The projects may also examine ways of reducing the cost of suitable technologies for communities by supporting applied and participatory research and development.</p> <p><b>Water Supply to Communities and Households.</b> The projects will support sustainable community-based water supply activities and promote dissemination of affordable, sustainable, environmentally-friendly technologies and measures throughout a community. They will primarily involve demonstrating and disseminating appropriate technologies and measures, building local capacity; and raising public awareness. The projects may also aim to reduce the cost of appropriate technologies for communities.</p> <p>Potential eligible activities:</p> <ul style="list-style-type: none"> <li>• Improvements in water access based on indigenous / local technologies, skills and resources, sustainable and affordable to households and the local economy.</li> <li>• Demonstration projects involving the introduction of appropriate, non-polluting and water saving technologies for households with an emphasis on ecological sanitation systems.</li> <li>• Capacity building of community members and local craftsmen for planning, implementation, operation, maintenance and monitoring</li> <li>• Community-led (participatory research) inventories of traditional/indigenous sustainable knowledge and use of those resources</li> <li>• Capacity building of household members in operation and maintenance of the systems.</li> <li>• Collaborative community/academic research and development in order to produce low-cost, sustainable water supply options</li> <li>• Establishment of robust community management systems to operate and maintain the systems.</li> <li>• Demonstration projects involving the introduction of appropriate technologies at the community level for domestic use including small-scale irrigation, such as rainwater harvesting, protected springs / wells</li> <li>• Capacity building of community members for planning, implementation, operation, maintenance and monitoring</li> <li>• Enhancing the role of the local private sector (job creation) in construction, operation and maintenance.</li> <li>• Establishment of water supply projects that meet the needs of both men and women and suffice the criteria of the right to water</li> <li>• Advocacy, outreach and awareness raising on project results and the benefits (health, socioeconomic, educational, etc.) of increased access to water supply and sanitation and of climate resilient water resources management.</li> </ul>
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<p><b>Improved Household Sanitation.</b> The projects will support sustainable community and household-based sanitation activities and promote dissemination of affordable, sustainable, environmentally-friendly technologies and measures throughout a community. They will primarily involve building local capacity; raising public awareness and demonstrating and disseminating appropriate technologies and measures. The projects may also aim to reduce the cost of suitable technologies for communities by supporting applied and participatory research and development.</p>	<p>Potential eligible activities:</p> <ul style="list-style-type: none"> <li>• Improvements in sanitation access based on indigenous / local technologies, skills and resources, sustainable and affordable to households and the local economy.</li> <li>• Application of low-cost, sustainable sanitation options</li> <li>• Improvements based on indigenous / local technologies, skills and resources, sustainable and affordable to households and the local economy.</li> <li>• Demonstration of innovative hygiene promotion programmes, including hand washing with soap.</li> <li>• Demonstration of alternative productive use of composted excreta as fertilizer and soil conditioner.</li> <li>• Provision of alternative productive use of water including involvement of private sector.</li> <li>• Enhancing the role of the local private sector in construction, operation and maintenance.</li> <li>• Provision of sanitation schemes that are gender sensitive, such as separate latrines, and suffices the criteria of the right to sanitation</li> <li>• Capacity building in the area of household sanitation that is gender relevant</li> <li>• Advocacy, outreach and awareness raising on project results and the benefits (health, socioeconomic, educational, etc.) of increased access to water supply and sanitation and of climate resilient water resources management.</li> </ul>
<p><b>Adaptation to Climate Change and Improved Water Resources Management.</b> Projects will focus on adaptation and improving resilience to climate change impacts on water resources in order to improve livelihoods and combat poverty. Projects helping to reach Millennium Development Goals (MDGs), in particular MDG 1 (Eradicate extreme poverty and hunger), MDG 3 (Promote gender equality and empower women) and MDG 7 (Ensure environmental sustainability) will be emphasized.</p>	<p>Potential eligible activities:</p> <ul style="list-style-type: none"> <li>• Together with governments, NGO's and local authorities, communities develop and apply climate resilient water management approaches.</li> <li>• Introduction of irrigation efficiency improvement technologies and measures</li> <li>• Substitution of lower water-demanding crops in agriculture</li> <li>• Rainwater harvesting</li> <li>• Improved water storage capacities (small dams, sand dams, etc.)</li> <li>• Diversion of wastewater for irrigated agriculture</li> <li>• Water demand management measures in tourist facilities</li> <li>• Introduction of irrigated water full cost recovery, elimination of subsidies</li> <li>• Catchment reforestation/afforestation to improve water storage</li> <li>• Enhanced use of groundwater (at sustainable levels) to reduce demand on surface waters</li> <li>• Advocacy, outreach and awareness raising on project results and the benefits (health, socioeconomic, educational, etc.) of climate resilient water resources management.</li> </ul>
<p><b>Advocacy, outreach and awareness raising to promote responsible water resource management and sanitation/hygiene practices.</b> The projects will primarily involve outreach and awareness activities, as well as knowledge management initiatives and possible joint publications. Activities will cover the entire project period.</p>	<p>Potential eligible activities:</p> <ul style="list-style-type: none"> <li>• Development of communication materials such as brochures, media events, internet information, printed materials, booklets, CD/DVDs, films</li> <li>• Organization of awareness raising activities for various target groups through workshops, training sessions, promotional materials and sharing of lessons learned.</li> </ul>

**Annex II: Initial Risk Log**

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
1	Call for Proposals or Applications from COs may not be successful in some countries	Feb 1-2, 2011	Organizational	Funding will not be allocated and no initiatives will be supported. Thus, the UNDP will not meet the commitments vs. the project donor. P = 2 I = 2	Global Project Manager; Regional Technical Advisors and WGP team will have to step in and work more closely with a particular CO. In case of no further progress, the resources will be re-located to other countries.	GPM	GPM		
2	Reputational risks to the UNDP working with a large multinational private sector company that the public — rightly or wrongly — considers to be the culprit.	Feb 1-2, 2011	Political	UNDP could be criticized and misperceived as a supporter of large capital and may depend on the opinion about the project donor. Experience of the EDM phase 1 showed that the probability of this risk is low. P = 1 I = 4	The UNDP decides on projects and particular activities. In addition, UNDP will take care to include transparency about programme activities and good communication about its real participation and accountability measures etc. (such as documentation on stakeholder identification, participatory decision-making on project activities/management, etc.)	GSC	GPM		
3	While the initial duration of the project is one year, it is expected that the project donor will extend the funding and provide additional resources. However, this should not be taken for granted and will depend on various factors, including the financial situation, progress made in the project, etc.	Feb 1-2, 2011	Financial	The project will have to be closed and there will be no further activities.  I = 5 P = 2	UNDP will maintain a continuous dialogue with the donor; keeping the donor well informed about the project and results and also being informed from the donor on the prospects for future funding.	GSC	GPM		
4	As the project involves 20 countries and BS Basin, there may be delays and operational problems related to the coordination and operational matters	Feb 1-2, 2011	Operational	Delays and problems with the project implementation I = 3 P = 1	Close contact with the COs. BRC will be maintained to provide operational support to the project and ensure smooth functioning of activities and funding flows. Project ADM assistant (part-time) will be supporting the project. Regular monitoring of the progress by the GPM.	GPM	GPM		

### Annex III. Fast Facts: Water Supply and Sanitation

UNDP works to bring about the necessary improvements in water governance to scale up water and sanitation services for the poor. Through its MDG GoAL WaSH initiative, the Water Governance Programme (WGP) focuses on coordinated country assistance by UN and other development partners and inclusion of water and sanitation in national development planning. Special attention is given to fragile states where water and sanitation challenges are greatest. At local level, WGP supports decentralized policy implementation and community action through programmes such as the Community Water Initiative and Every Drop Matters.

*“Overcoming the crisis in water and sanitation is one of the great human development challenges of the early 21<sup>st</sup> century. Success in addressing that challenge through a concerted national and international response would act as a catalyst for progress in public health, education and poverty reduction and as a source of economic dynamism. It would give a decisive impetus to the Millennium Development Goals – the targets adopted by governments as part of a global partnership for poverty reduction.”*

—UNDP Human Development Report 2006 pp. 1-2

UNDP’s presently active water supply and sanitation portfolio totals about \$170 m. in 55 countries including fragile and post-conflict states such as Yemen, Haiti, Liberia, Bosnia & Herzegovina, Nepal, Sri Lanka, and Tajikistan. Of this, about \$122 m. is dedicated to provision of local access to water supply and/or sanitation services and improvement of wastewater collection and treatment, and \$48 m. to ‘mainstreaming’ water supply and sanitation into national governance and poverty reduction frameworks. Largest current water and sanitation recipient countries include Palestinian Authority \$38 m. (services to 68,000 people), Panama \$11 m., China \$6.09 m., Serbia \$4.12 m., Mongolia \$4.06m., Nicaragua \$3.92. (90,000 people), Philippines \$3.8 m. (60,000 people), Bosnia & Herzegovina \$3.03 m., Honduras \$2.99 m., Haiti \$2.7 m., Angola \$2.45 m. (120,000 people), Tajikistan \$2.22 m., Yemen \$1.0 m.

#### Flagship Programs:

##### Water Supply and Sanitation Service Provision:

**Every Drop Matters** is a public/private partnership between UNDP and The Coca Cola Company supporting innovative community-based projects to improve access to water and sanitation and build adaptive capacity for climate change impacts on water resources. Initiated in the ECIS region with a \$6 m. grant, a second 5-year phase (\$10 m.) has been approved that extends geographic coverage to nearly 30 countries including South Asia and the Arab Peninsula and targets provision of access to about 300,000 people. [www.everydropmatters.org](http://www.everydropmatters.org)

**Community Water Initiative (CWI)** supports access to water supply and sanitation in poor rural communities. Implemented by the [GEF Small Grants Programme](#), CWI brings about synergies with GEF-SGP activities, combining an environmental approach with development practices. For less than \$8 per person, CWI has catalyzed access to water supply and sanitation services to more than 300,000 people. CWI integrates local action to mitigate and adapt to climate change and has accumulated tremendous climate mitigation and adaptation experience at the community level. Lessons learnt are disseminated in the SGP network and the development community at large,

to scale up best practices.

[www.undp.org/water/initiatives/initiative.html](http://www.undp.org/water/initiatives/initiative.html)

**Spanish MDG Achievement Fund Economic Governance Window** - Each of the 11 projects approved in this \$60 m. multi-UN program is aimed at improving water and sanitation access and governance and 10 of these involve UNDP. The approved proposals center on enhancing access to water and sanitation services by the poor and excluded, focusing on sectoral reform including regulatory reform and institutional development, measures to enhance participation and accountability by end users, mobilizing investment finance, and promoting human rights based approaches. Once completed, the projects will increase access to safe water and/or basic sanitation to over 800,000 people in 10 countries.

[www.mdgfund.org/content/democratieconomicgovernance](http://www.mdgfund.org/content/democratieconomicgovernance)

##### Water Governance Reform to Advance Water and Sanitation MDGs:

**MDG GoAL-WaSH – Governance, Advocacy and Leadership for Water, Sanitation and Hygiene** - MDG GoAL-WaSH catalyzes achievement of the water supply and sanitation MDGs through governance-focused interventions in targeted ‘MDG-deficient’ countries, often fragile states, and supports UN Country Teams and

partners to scale up delivery towards achieving MDG 7. GoAL-WaSH applies a two-step process of rapid sector assessments to identify key bottlenecks, needs and opportunities, and definition of strategic interventions aimed to remove agreed bottlenecks. By end-2009, detailed sector assessments had been completed in 11 countries and project documents developed for 10 countries. Implementation is expected to begin in 2010 for at least 8 countries. [www.undp.org/water/priorityareas/goal-wash.html](http://www.undp.org/water/priorityareas/goal-wash.html)

**Human Rights Based Approach (HRBA)** - Several WGP initiatives are working to provide practical guidance and tools to implement an HRBA to improvements in water governance, access to water supply and sanitation, and water resources management. HRBA intrinsically promotes participation and empowerment, non-discrimination and accountability vis a vis civil society. Initiatives include the [HRBA and Water Governance Programme](#) in ECIS and a Water Governance Facility [pilot project](#) in Bondo district, Kenya, to establish a redress mechanism to address inadequate services provision and sector corruption.

**CapNet** - Cap-Net is an international network for capacity building in Integrated Water Resources Management (IWRM). It is made up of a partnership of autonomous international, regional and national institutions and networks committed to capacity building in the water sector. Networks have proven to be effective at promoting the understanding of integrated water resources management and play a key role in supporting the development of IWRM and the achievement of the MDGs. Cap-Net's STREAMS of Knowledge, LA-WETnet, Cap-Net Brasil, REDICA, Cap-Net Bangladesh and Cap-Net SA networks have been leading the way with studies and actions on water supply and sanitation. In Africa, a focus on water utilities exploring the linkage to water resources management and capacity building actions has been developed in partnership with UN-HABITAT and the Global Water Operators Partnership as well as the Africa WOP. Strengthening the collaboration between utility training institutions and peer to peer learning are strategies being adopted to assist utilities improve services delivery and reduce negative impacts on water resources. [www.cap-net.org](http://www.cap-net.org)

**Train-Sea-Coast GPA** is an inter-agency collaboration between UNDP, the UNESCO-IHE Institute for Water Education, the European Union ACP Water Facility, UN Division for Ocean Affairs and the Law of the Seas (DOALOS), the Global Environment Facility (GEF) and the United Nations Environment Programme - Global Programme of Action (UNEP/GPA). The program aims at improving sanitary services through training of municipal wastewater managers. Through August 2009, the programme has trained over 1,800 managers from 67 countries in Africa, Latin America & Caribbean, and Asia & the Pacific. The course material is now available in Arabic, English, Chinese, French, Russian, Spanish, Portuguese and Turkish. [www.training.gpa.unep.org](http://www.training.gpa.unep.org)

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## **Annex IV. Fast Facts: Human Rights Based Approach and Water Governance**

Globally, 884 million people do not have safe drinking water, and 2.6 billion people do not have safe sanitation. The deprivation in access to water and sanitation overwhelmingly impacts poor people and marginalized communities who often are systematically excluded as a result of inequality, unequal power relations and failures of governance. Among the poor, women and girls are especially affected. The toilet may seem an unlikely catalyst for human development, but the evidence is clear – investment in sanitation yields an average economic return of \$9.1 to \$1. Access to sanitation and water is a human right and its realization brings multiple human development benefits, including better health, reduced vulnerability, greater productivity, and expanded choices.

Beyond domestic needs, water is essential to sustain ecosystems on which humankind depends for myriad services and it is an input to virtually all economic sectors and the production systems that maintain livelihoods. Driven by population growth, urbanization, economic development and accompanying consumption, competition over water resources is increasing with increasing demands from all sectors. Outcomes for poor people depend on how effectively they can participate in the decision-making on water allocation and the extent to which equity concerns shape national policies and water governance.

### **Human Rights Based Approach and Water Governance**

UNDP promotes a human rights based approach (HRBA) in its work to improve water resources management and access to water and sanitation. An HRBA emphasizes both development outcomes and the process by which rights are realized. It focuses on the relationships of obligations and rights, and on improving the capacity of those with responsibilities to respect, protect and fulfill rights (duty bearers) to meet their obligations, and on improving the capacity of those that have rights (rights holders) to claim them. An HRBA intersects with water governance which is defined by the political, social, economic and administrative systems that affect the use, allocation and management of water resources and delivery of water and sanitation services. Water governance is concerned with principles such as equity and efficiency in water resource and services allocation, the power dynamics in decision making, and the clarification of the roles and responsibilities of government, civil society and the private sector. The HRBA focus on process and accountability offers one concrete way to work with improving water governance.

The UN Common Understanding on a Human Rights-Based Approach identifies human rights principles to guide development programming in the UN, including the core principles of equality and non-discrimination, participation, and accountability. Implementing these principles in water and sanitation policies and programmes requires deliberate efforts to identify most marginal and vulnerable individuals and groups, and ensuring that they are given special attention in interventions. Meaningful inclusion and participatory approaches are required to make sure that the needs and interests of weaker groups in society are represented and that they are not further marginalized by more powerful groups in water decision making. By focusing on the relationships and capacities of right holders and duty-bearers, a human rights based approach emphasizes the clear designation of roles and responsibilities, transparency in decision making, and accessibility and responsiveness of institutions, so that those who have responsibilities can be held to account.

### **The Right to Water and Sanitation**

The UN Human Rights Council, in September 2010, affirmed the right to water and sanitation as derived from the right to an adequate standard of living which is contained in several international human rights treaties, such as the International Covenant on Economic, Social and Cultural Rights and the UN Convention on the Rights of the Child. The human right to water and sanitation provides the procedural principles – notably equality and non-discrimination, participation and accountability, and substantive standards - availability, safety, acceptability, accessibility and affordability, to guide the realization of access to water and sanitation for all. Applying a human rights based approach in supporting the implementation of the right to water and sanitation advances the process (“how”) and the substantive standards (“what”) of the right. It also furthers other substantive rights, such as the right to education and health, and procedural rights per se such as the right to non-discrimination and participation.

### **Practical Application of a Human Rights Based Approach**

UNDP supports the practical implementation of an HRBA to improve water supply and sanitation services, water resources management and water governance.

Developing experience, lessons learned and guidance aims to improve the capacity of water professionals and development practitioners to integrate an HRBA in policies and programmes. UNDP also supports the work on



identifying good practices of the Independent Expert on the issue of human rights obligations related to access to safe drinking water and sanitation.

In Kenya, UNDP's Water Governance Facility supports capacity building to enable right holders and duty bearers to participate effectively in water sector reform. The initiative builds on the Ministry of Water and Irrigation commitment to integrate a human right to water perspective in the sector reform process. The programme's efforts to improve water services include disseminating information and raising awareness of communities and service providers about the national water reforms, establishing feedback and complaint redress mechanisms between right holders and duty bearers, especially at the local level, and developing tools to strengthen anti-corruption activities.

UNDP's MDG GoAL WaSH programmes in Tajikistan and Bosnia & Herzegovina apply a human rights based approach to sector assessments and water rights and responsibilities awareness campaigns. The assessments include reviews of the relevant legislative and regulatory environments affecting service delivery by local governments, analysis of management structures and constraints faced by public and private drinking water service providers, and attitude surveys on the public understanding of both rights holders and duty bearers regarding water as a component of the natural resource base and as a consumer good. In Bosnia & Herzegovina, a survey also specifically focuses on opportunities and constraints regarding access to water services faced by internally displaced persons.

In the area of water resources management, UNDP is analyzing the synergies between an HRBA to development and Integrated Water Resources Management which strives to balance economic efficiency, social equity and environmental sustainability, and is exploring how applying a human rights based approach can contribute to improving the equity of water resources allocation.

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