

**United Nations Development Programme**  
**Country: Tajikistan**  
**Project Document**

<b>Project Title</b>	<b>Applying Human Rights Based Approach (HRBA) to Water Governance in Tajikistan</b>
<b>UNDAF Outcome(s):</b>	Pillar 3: Clean water, sustainable environment and energy.
<b>Expected CP Outcome(s):</b> <i>(Those linked to the project and extracted from the CP)</i>	Outcome 6: Improved environmental protection, sustainable natural resources management, and increased access to alternative renewable energy.
<b>Expected Output(s):</b> <i>(Those that will result from the project)</i>	Output 6.1: Government is provided with capacity building support to negotiate, ratify and implement major international conventions, transnational policy and legal frameworks on sustainable natural resources management (including climate change, water management and biodiversity).
<b>Executing Entity:</b>	UNDP Tajikistan
<b>Implementing Agencies:</b>	UNDP Energy & Environment Programme

**Brief Description**

The amendment to the project document is developed and signed in order to reflect the allocation of additional funding in the amount of USD 75,000. This amount will be utilized to support concrete measures to realization of human right to water through improved water governance in Tajikistan, and is intended to scale up upon the on-going intervention "Applying Human Rights Based Approach to Water Governance in Tajikistan".

"Applying Human Rights Based Approach to Water Governance in Tajikistan" project aims improve the overall coverage of rural and urban communities that have access to safe drinking water supply and sanitation through creating an enabling policy environment for effective implementation of human right to water and sanitation in Tajikistan. The project is built upon the locally implemented *GoAL WaSH/HRBA Pilot Campaign Project*, which seeks to raise the awareness of rural populations about their rights to water and the responsibilities of local administration to provide water. The project was completed before 30 June 2012, the results and findings of which provide a strong impetus for an immediate intervention at national level to create an enabling policy environment for effective implementation of human right to water and sanitation in Tajikistan. The key lessons learned from the on-going pilot campaign indicate that local population's awareness about water rights is very low due lack of enforcement mechanisms. UNDP will address those issues through an established network for policy development – TajWSS, IMCC, IWRM, E&WC, and WGF that provide opportunities for GoAL WaSH to introduce HRBA concept to national policy, and apply the approach at national and local levels.

Programme Period:	Jan 2010 – Dec 2015
Key Result Area (Strategic Plan)	Energy and Environment
Atlas Award ID:	70081
Project ID:	84269
Project Start date:	01 July 2012
Project End Date	31 December 2013
PAC Meeting Date	24 August 2012
Management Arrangements	DIM

Total allocated resources	
for 2012-2013:	\$ 92,028
2013 AWP budget:	\$ 75,000
2013 SIDA-GW:	\$ 75,000

Agreed by UNDP in Tajikistan:

Mr. Norimasa Shimomura, Country Director



*April 2013*

*10.04.13*  
*[Signature]*

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## I. SITUATION ANALYSIS

Tajikistan is the 5<sup>th</sup> most water-rich country in the world, but only 59% of its population has access to safe drinking water (44% in the rural areas). In spite of its rich water resources, the country has the worst access to safe drinking water in Central Asia. More than 20% of the population relies on irrigation canals as their main source of drinking water. It is clear that this is not a problem of absolute water scarcity but a problem of water management and governance. There are major weaknesses in the legal and institutional framework governing the water sector. There is now general acknowledgment that the water sector and its management have weaknesses which need to be addressed.

The entry of private businesses into the water supply market is being hampered by insufficient public-private partnership mechanisms, existing administrative barriers, low cost recovery and insufficient state support. The poor quality of strategic plans, shortage of qualified personnel and unavailability of agency responsible for implementing a unified policy in the sector should be addressed.

Tajikistan has recognized a right to water in its constitution and despite the right to clean and sufficient water, 41% of the population does not have access to water. Primarily, no discussion has focused on the practical implications of recognizing a right to water from the perspective of the State, which is responsible for implementing the right. Despite the adoption of the national Law "On drinking water and water supply" in December 2010, the Human Rights based Approach to water is not practiced in Tajikistan and the process of water governance institutional and policy reform remains very low.

On this ground UNDP Tajikistan through its Energy and Environment Programme has implemented GoAL WaSH/HRBA Campaign project at the local level, which sought to raise the awareness of rural populations about their rights to water and the responsibilities of local administration to provide water. Following the project's completion before end of June 2012, and based on lessons learned from the intervention SIWI approved a new project "*Applying Human Rights Based Approach to water governance in Tajikistan*" to follow-up on carried interventions at the national level. The objective of the national level project is to create an enabling policy environment for effective implementation of human right to water and sanitation in Tajikistan.

### a) Achieved results by GoAL WaSH/HRBA Campaign Project

The project generated the following key results:

- Understanding of "right holders" and "duty bearers" of 4 Jamoats of Ayni and Isfara districts on WSS rights and responsibilities has been assessed.
- Members of 720 households acquired knowledge and improved awareness on rights to water and sanitation through series of trainings;
- A well-known and national recognized theatre studio has delivered 36 plays on raising awareness on water rights and responsibilities and reached large chunks of the population of 4 target Jamoats;
- The publications, including posters, leaflets, and wall and desk calendars have been developed, printed and disseminated among all categories of beneficiaries;
- "Duty bearers", including regulators, operators and service providers improved their awareness on questions of roles and responsibilities and key water governance issues through participation in a 1 day workshop;
- The project messages have been spread out through publishing article on "rights to water and sanitation". 700 newspaper copies have been distributed to the rural population;
- More than 1,500 residents got improved access to safe drinking water, and more than 2,000 residents got improved sanitation as result of implemented community demo-projects on construction of water supply systems and sanitary wells for collection of domestic waste water.

- 1560 upper grade school children of Rarz and Ayni Jamoats of Ayni district and Chorkuh and Vorukh Jamoats of Isfara district gained knowledge on right to water and sanitation through participation in short term seminars
- Drawing and essay writing school contest on “Access to water” has been conducted, which covered all schools of target Jamoats.

## **b) Challenges in water supply and sanitation sector based on project findings**

However, despite the given results and progress at the local level, in the result of the project assessments the following challenges were identified as obstacles to effective implementation of human right to water and sanitation, and which could be differentiated between duty bearers and right holders:

### Duty bearers:

- Poor condition of existing infrastructure;
- Water production and consumption is not metered and water is supplied to consumers mainly through public stand-pipes;
- Lack of transparency in billing of consumed water;
- Lack of data coordination between operator and local authorities;
- No adequate water disinfection and water quality is not controlled in proper way;
- Infrastructure ownership problem in Jamoats.

### Right Holders:

- Water is brought in buckets by women and children;
- Water bills are paid by men;
- Population is willing to have individual metered connections, however the affordability is very low;
- Low willingness to pay;
- A very low culture of water use.

## **c) Lessons learned and justification for national level intervention**

Based on the given intervention, many lessons have been learned from the pilot GoAL WaSH/HRBA campaign project, and that provide grounds for further intervention and collaboration with various other projects. In summary, the lessons learned indicate that the immediate follow-up intervention should be carried out to address the issues of:

- Trust and partnership building between and responsible interaction between duty bearers and right holders,
- National level intervention to impact policy environment, legal and institutional settings,
- Continuing local level pilot intervention as a pre-requisite for a successful formulation of policy recommendations. In addition, for successful piloting of any policy recommendations to implement HRBA the interventions should contribute to more stable service delivery of drinking WS&S systems. This is a requirement that is most difficult to achieve for operators due to chronic lack of funds in rehabilitating systems thereby stabilizing water delivery.
- Strengthening collaboration and interaction with the national and local authorities to build ownership over the practice;
- The capacity building, training and awareness raising programme that needs to be scaled-up and extended to a wider audience, both at national and local levels, among duty bearers and right holders.

Hence, scaling up the current grass-roots experience from the present GoAL WaSH/ HRBA Campaign pilot demonstration project to the national level is highly relevant. The lessons learned from this project indicate that local population’s awareness about water rights is very low due lack of enforcement mechanisms, which should begin with policy reform accompanied by legislative and institutional development support. Through this approach, the project will contribute in

strengthening state accountability for the delivery of water and sanitation services and consumers' discipline to pay for delivered water.

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## II. STRATEGY

In September 2012, the Ministry of Land Reclamation and Water Resources of the RT presented the final draft of the Water Sector Reform Plan, which was developed through technical assistance of the UNDP and FAO and in partnership with the donor community in Tajikistan. The given strategy provides an overall framework for the policy (legal) and institutional reform guided by the principles of Integrated Water Resources Management (IWRM), transfer from administrative to basin management, and decentralization of management and operational roles (strengthening local government). Currently, the Government of Tajikistan has committed to make formal decisions concerning concrete actions of the reform and approached the donor community to support implementation of elaborated Reform Implementation Road Map beginning from 2013. There is therefore an opportunity to introduce the principle of HRBA to water governance in this strategy, as its full scale implementation is expected to begin since 2013 with most donors already expressing their commitments to finance collectively and collaboratively the interventions endorsed in the Road Map.

UNDP's support in the reform strategy is provided through an EU funded project "*Promoting Integrated Water Resource Management and Transboundary Dialogue in Central Asia*" (IWRM), which is being implemented since 2010 through 2013. The IWRM project also includes drinking water supply and sanitation component for which pilot activities are envisaged in the sub-river basin of Isfara. Those activities are aimed to demonstrate solutions towards improved access to WS&S services in rural areas with special focus to marginalized and disadvantaged groups, contributing to fulfilment of the right to water. In addition, IWRM Project through UNECE support is contributing to the National Policy Dialogue for the water sector in general and facilitating the work of recently established Secretariat for Inter-Ministerial Water and Energy Council (E&WC) of the Republic of Tajikistan chaired by the Prime Minister of the RT.

In addition, under the SDC funded "*Tajikistan Water Supply and Sanitation*" Project (TajWSS), UNDP supported the establishment of the Inter-ministerial Coordination Council (IMCC) on drinking water supply and is providing technical assistance for its working groups. The IMCC is formed to assist in design and implementation of the state policy on development of drinking WS&S sector, as well as carry out results monitoring for implementation of laws, programs and strategies endorsed by the GoT. The TajWSS project implementation began in 2009 and is to continue till August 2013. The project's key priority is to strengthen the policy and institutional reform for drinking WS&S sub-sector, which has also chosen to implement pilot activities in Isfara district (jointly with IWRM). Through the given interventions, the UNDP anticipates to contribute in facilitating the adoption of water reform strategy to improve access to WS&S services.

UNDP is currently consolidating the water related projects under the Energy and Environment Programme with the purpose to synchronize the policy interventions with the on-going water sector reform. There had already been noted a few good examples of collaboration between UNDP water related projects. First of all, the IWRM and TajWSS teams actively provided feedback to the Report of the "*Sector Integrity Vulnerability Risk Assessment in the Water Sector of the Republic of Tajikistan*" which was developed in partnership with the Ministry of Land Reclamation and Water Resources through technical and financial support of the Water Governance Facility and the Global Programme on Governance Assessment. The given report was later validated at a national workshop that took place in Dushanbe 14-15 February 2012. Due this partnership, the on-going UNDP programming in water sector reflects the key recommendations and outcomes of this workshop. As a follow-up, according to preliminary consultations, the SDC has shown interest to support future phases of the IWRM (from 2013) and TajWSS (from 2014), for which the WGF's Anti-corruption work is an important component of both potential projects.

Therefore, as the proposed intervention is aimed at creating an enabling environment for effective implementation of human right to water and sanitation in Tajikistan, the already established

network for policy development (IMCC, IWRM, E&WC, and TajWSS) provides vital opportunities for GoAL WaSH to implement the HRBA concept at both national and local levels of governance.

The new intervention will also provide a unique opportunity to assess the immediate change, as it strives to enhance approaches in the same district of Isfara building up on past experience. Specifically, the project suggests that the relevant policy recommendations are tested at the local level in targeted Jamoats of Isfara districts in cooperation with IWRM and TajWSS projects. Such exercise will be aimed at strengthening accountability, transparency and water sector integrity among the duty-bearers and right-holders. For maximum efficacy of such exercise, the project suggests that a target drinking water supply system serving few communities is repaired (system requiring only minor repairs), and water metering devices are implemented for served residents within respective communities. Implementation of those specific activities is a pre-requisite for successful implementation of the HRBA approach to water. Since this will also raise needed enthusiasm among duty bearers to stabilize water service delivery and that of right-holders who get served adequately but also raise their feeling of responsibility to pay for amount of water delivered to respective households.

The project anticipates scaling up the previous interventions to focus more on governance at the national level, where the interventions from other projects (TajWSS, IWRM) will provide basis for such scale-up. The immediate result should contribute to elaboration of a comprehensive strategy and proposal for a larger intervention leveraging more funds from Donor organizations involved in strengthening policy and reform in the drinking water supply and sanitation sector.

#### **a) PROJECT AIM, OBJECTIVES AND ACTIVITIES – GoAL WaSH/HRBA Programme**

**Outcome:** Rural and urban communities in Tajikistan have sustainable and equitable access to safe drinking water and improved sanitation.

##### **Outputs and Activities:**

##### **Output 1: Concrete measures to improve HRBA practices in water governance designed and implemented**

Building on the practical experiences and lessons learned in the framework of the GoAL WaSH/HRBA Campaign pilot project a scaling-up effort to impact national strategy and policy level will be undertaken. Through this effort the project aims to create an enabling policy environment for effective implementation of human right to water and sanitation in Tajikistan. For this purpose, the following activities will be carried out:

##### **Activities:**

- 1.1. Identifying and addressing the structural obstacles found in policies and strategies, legislations, institutional and social practices that prevent people from accessing basic water and sanitation services; namely:
  - Conducting policy research and analysis on national laws, concepts, strategies, programs on water and sanitation and their degree of compliance to international human rights instruments and standards;
  - On the basis of the findings and conclusions of the research and analysis, elaborate policy recommendations (briefs) for improving policy, legislative and institutional frameworks that is compliant with the international human rights instruments and standards;
  - Develop implementation mechanisms for proposed policy recommendations for improving policy, legislative and institutional frameworks.

- 1.2. Piloting the implementation of relevant policy recommendations at the local level in Isfara district in cooperation with IWRM and TajWSS projects ensuring accountability, transparency and strengthening water sector integrity.
- 1.3. Provision of overall support to introduce HRBA concept to the draft Water Sector Reform Strategy currently under consideration by the Government of Tajikistan;

Under this activity, UNDP will in particular promote policy dialogue on Human Rights Based Approach (HRBA) to water governance among the relevant key stakeholders involved in water sector policy making through joint preparation of policy briefs: Inter-ministerial Coordination Council (IMCC), human rights based NGOs, policy research institutions, electronic and print media;

UNDP will strengthen liaison with Tajikistan Water Supply and Sanitation Project (TajWSS) Network and Inter-ministerial Coordination Council (IMCC) on drinking water and water supply at National level to conduct stakeholder consultations and voice grass-roots interests when developing policy briefs from a human rights perspective on best practices in WS&S sub-sector;

### **Output 2: Consumer rights protection practices implemented in drinking water and sanitation sector**

This component is at the core of the intervention proposing to implement concrete measures to apply HRBA practice and strengthening the governance mechanisms. Improving and supporting the procedures for consumer rights protection with guidance on required practices will contribute to disciplined water service delivery among water supply organizations and improved consumer participation in economic sustainability of WS&S systems. UNDP will facilitate the process in which the regulatory institutions will support the implementation of proposed mechanisms.

#### **Activities:**

- 3.1. Elaboration and endorsement of methodic recommendations on good governance (*including transparency, accountability and citizen participation*) in water sector;
- 3.2. Practical implementation of proposed measures guided by the methodology on good governance in water sector at the local level;
- 3.3. Elaboration and publishing of a manual "Consumers Rights in Drinking Water Supply in the Republic of Tajikistan" (which includes guidelines on practice of law, legal overview, analysis of contractual arrangements, practical and methodic recommendations on protection of rights);
- 3.4. Elaboration of modules and delivery of trainings on (a) consumer rights in drinking water sector, (b) legislation of the drinking water supply and sanitation sector;
- 3.5. Establishment of a network of volunteers from amongst the training participants, heads of communities and households' committees with the purpose of monitoring of the Law of RT "On protection of consumer rights" in the sphere of drinking water supply and sanitation.

The trainings are designed for local community based organizations (CBOs), active members of communities (village leaders, volunteers, etc), and duty bearers (WS&S operators, local government authorities, etc).

### **Output 3: Comprehensive capacity building programme on water integrity and governance developed and implemented**

The objective of this component is to contribute to the empowerment of related water institutions in promotion and realization of good governance guided by the principles of HBRA to water and sanitation. The experience from previous interventions indicate that capacity building activities

must focus explicitly on good governance with *transparency, accountability and citizen participation* as its main components.

The training programme will be extensively based on available "*Training manual on water integrity*" which was developed by the UNDP Water Governance Facility at SIWI (WGF) in partnership with Cap-Net, WaterNet and Water Integrity Network (WIN). The given manual consists of 7 modules on (a) water governance, (b) corruption in the water sector and measures against it, (c) transparency and access to information, (d) accountability and (e) integrity in integrated water resources management (IWRM). Through this project, the manual will be adapted to Tajikistan's context and translated in local languages (Russian and Tajik). The project will invite both national and (pilot) district level representation in the training courses.

- 5.1. Elaboration of training programme and modules on water integrity and governance;
- 5.2. Conduction of Training of Trainers (ToT) courses for focal specialists of key stakeholder representatives and organization of subsequent trainings by trainers within their respective organizations and localities;
- 5.3. Capacity of water actors (both duty bearers and right holders) enhanced to apply effectively the principles of *good governance, transparency, accountability and citizen participation* in organizing water supply services;
- 5.4. Publications and dissemination of knowledge products amongst stakeholders.

Upon completion of the project, UNDP will hold local and national workshops outlining the project's results, lessons learned and best (good) practices, and ways forward.

## **b) Beneficiaries**

The project target groups include duty-bearers (state authorities regulating WS&S sub-sector both at local and national levels, state and non-state operators of the water supply and sanitation facilities) and right-holders (consumers of the WS&S services including general public, poor and marginalized groups, as well as formal and informal consumer groups and associations). The project is implemented at a national level and piloted in three pilot districts addressing policy improvements which may potentially affect entire population of Tajikistan. The three pilot districts are proposed to be Isfara (IWRM project's pilot district), Muminobod and Rudaki (TajWSS pilot districts). The trainings are designed to complement and scale-up the already on-going interventions from other projects. This approach ensures that expected impact of GoAL WaSH interventions is maximized with the current level of funding.

## **c) Project implementing partners**

At the policy level, UNDP intends to closely interact with government counterparts, with the pivotal roles of the Ministry of Land Reclamation and Water Resources (MoLRWR). Other partners and target groups to be engaged in the work to be carried out include:

### Duty-bearers:

- State Unitary Enterprise 'Housing and Communal Services' (*as the focal entity responsible for coordination, regulation, operation and maintenance of drinking WS&S systems*);
- Ministries of Finance; Economic Development and Trade; and Health (Sanitary and Epidemiological Services);
- Agencies for Antimonopoly; Construction and Architecture; Standardization, Metrology and Certification; and Geology;
- Committees for Environment Protection; Emergency Situation and Civil Defense;
- Private sector representatives;
- Parliament;

- Concerned Oblast and district level Hukumats, and Jamoats.

By engaging the MoLRWR, UNDP will cooperate across relevant government departments and state agencies. The policy dialogue will be facilitated between planners and practitioners who are experts or experienced in water supply and sanitation issues.

Right-holders:

- Consumers' Union of Tajikistan, and other national and local level CBOs, NGOs, etc;
- Households serviced by a target WSS systems in a pilot Jamoat, where enforcement mechanisms are to be piloted;
- Population of pilot Jamoats of Isfara district for which training programme, awareness and advocacy campaigns are to be delivered.

The three categories of right-holders will be targeted differently throughout the project. The Consumers' Union of Tajikistan is to be involved at policy level as contributors to policy development, and also at local level as facilitators when the enforcement mechanisms are to be implemented. The households are to be involved when a specific water supply system is being targeted to enhance its operations and service delivery (where improved tariff system will be introduced and regulated). And, the population of the pilot Jamoats in general will be targeted as part of the overall training programme, awareness and advocacy campaign.



### III. RESULTS AND RESOURCES FRAMEWORK

<b>Intended Outcome as stated in the Country Programme Results and Resource Framework:</b>				
<i>Outcome 6: Improved environmental protection, sustainable natural resources management, and increased access to alternative renewable energy.</i>				
<b>Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:</b>				
<i>Number of pilot projects on sustainable land management, biodiversity conservation, community-based eco-tourism, and IWRM</i>				
<b>Applicable Key Result Area (from 2008-11 Strategic Plan):</b> <i>Sustainable Environment and Energy</i>				
<b>Partnership Strategy:</b> <i>The project will ensure partnerships between national level government agencies, oblast and district level Hukumats, Jamoats, Members of Parliament, community-based organizations (CBOs), non-governmental organizations (NGO's), vulnerable groups and private sector.</i>				
<b>Project title and ID (ATLAS Award ID):</b> <i>Applying Human Rights Based Approach to Water Governance in Tajikistan</i>				
INTENDED OUTPUTS	OUTPUT TARGETS	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
<p><b>Output 1</b> <b>Concrete measures to improve HRBA practices in water governance designed and implemented.</b></p> <p><i>(Activities within this output are to be linked with the following E&amp;EP Projects: - TajWSS Activities 1 and 2: Inter-Ministerial Coordination Council and Legal Framework for Water &amp; San supply) - IWRM project: Activities 2.0, 2.3, 2.4, 2.8)</i></p> <p><b>Baseline:</b> Current national policy, legislative and institutional frameworks lack compliance with international human rights instruments and standards;</p> <p><b>Indicators:</b> 1. # of policy papers and analyses conducted on legislation, concepts, strategies and programs in water and sanitation, which includes an assessment of their compliance to international human rights instruments and standards.</p>	<p>Targets (2013)</p> <p>1. At least 2 policy briefs developed to improve policy, legislative and institutional frameworks that is compliant with the international human rights instruments and standards;</p> <p>2. Implementation mechanisms piloted in target Jamoats of Isfara district for proposed policy briefs (recommendations) to improve policy, legislative and institutional frameworks;</p> <p>3. Policy briefs and recommendations are consulted and endorsed by the IMCC and TajWSS Network.</p>	<p>1. Identifying and addressing the structural obstacles found in policies and strategies, legislations, institutional and social practices that prevent people from accessing basic water and sanitation services;</p> <p>2. Piloting the implementation of relevant policy recommendations at the local level in Isfara district in cooperation with IWRM and TajWSS projects ensuring accountability, transparency and strengthening water sector integrity.</p> <p>3. Provision of overall support to introduce HRBA concept to the draft Water Sector Reform Strategy currently under consideration by the Government of Tajikistan;</p>	<p><i>UNDP Energy &amp; Environment Programme;</i></p> <p><i>GoRT IMCC on water supply and sanitation</i></p> <p><i>TajWSS Network Members</i></p> <p><i>UNDP Area Office Staff</i></p> <p><i>National Project Coordinator</i></p>	<p><b>Activity 1 – (USD 27,018)</b></p> <p>72100: Local Contractor (USD 22,000)</p> <p>71300: Local Experts (USD 3,000)</p> <p>74500: Bank Charges (1 %) USD 250</p> <p>75100: GMS USD 1,768</p>

<p>2. # of policy briefs developed to improve policy, legislative and institutional frameworks compliant with HRBA principles in water and sanitation;</p> <p>3. # of policy briefs piloted in target Jamoats of Isfara district;</p> <p>4. (a) number of IMCC meeting sessions dedicated to consultations on presented policy briefs; (b) number of TajWSS Network meeting sessions dedicated to consultations on presented policy briefs; (c) % of recommendations accepted for policy change.</p>				
<p><b>Output 2</b> <b>Consumer rights protection practices implemented in drinking water and sanitation sector</b></p> <p><b>Baseline:</b> Current national policy framework lack practical mechanisms to implement HRBA to water.</p> <p><b>Indicators:</b></p> <p>5. # policy documents (guidance, manuals, recommendations, etc) elaborated to establish mechanisms for implementation of HRBA to water governance;</p> <p>6. # of training modules developed to promote HRBA practices in water governance;</p> <p>7. # of target districts where designed policies and guidance are piloted;</p> <p>8. # of volunteers and trainers mobilized to promote HRBA practices in pilot districts;</p> <p>9. (a) number of IMCC meeting sessions dedicated to consultations on presented policy briefs; (b) number of TajWSS Network meeting sessions dedicated to consultations on presented policy briefs; (c) % of recommendations accepted for policy change.</p>	<p>Targets (2013)</p> <p>1. Guidance on good governance, transparency, accountability and citizen participation designed and endorsed;</p> <p>2. Designed policies are piloted in project target districts and lessons documented for further action;</p> <p>3. Manual on consumer rights protection practices developed and discussed among stakeholders;</p> <p>4. Training modules to promote HRBA practices to water designed and published;</p> <p>5. Policy briefs and recommendations are consulted and endorsed in related meetings of the Inter-ministerial Coordination Council (IMCC) on drinking WSS, and TajWSS Network (of WSS stakeholders) meetings.</p>	<p>1. Elaboration and endorsement of methodic recommendations on good governance in water sector;</p> <p>2. Practical implementation of proposed measures guided by the methodology on good governance in water sector at the local level;</p> <p>3. Elaboration and publishing of a manual "Consumers Rights in Drinking Water Supply in the RT";</p> <p>4. Elaboration of modules and delivery of trainings on (a) consumer rights in drinking water sector, (b) legislation of the drinking water supply and sanitation sector;</p> <p>5. Establishment of a network of volunteers from amongst the training participants, heads of communities and households' committees with the purpose of monitoring of the Law of RT "On protection of consumer rights" in the sphere of drinking water supply and sanitation.</p>	<p><i>UNDP Energy &amp; Environment Programme;</i></p> <p><i>GoRT IMCC on water supply and sanitation</i></p> <p><i>TajWSS Network Members</i></p> <p><i>UNDP Area Office Staff</i></p> <p><i>National Project Coordinator</i></p>	<p><b>Activity 2 – USD27,018</b></p> <p>72100: Local Contractor USD 25,000</p> <p>74500: Bank Charges (1%) USD 250</p> <p>75100: GMS (7%) USD 1,768</p>
<p><b>Output 3</b> <b>Comprehensive capacity building</b></p>	<p>Targets (2013)</p>	<p>1. Elaboration of training programme and modules on water integrity and</p>	<p><i>UNDP Energy &amp; Environment</i></p>	<p><b>Activity 3 – USD 8,969</b></p>

<p><b>programme on water integrity and governance developed and implemented</b></p> <p><b>Baseline:</b> Duty bearers and right holders at national and local levels lack awareness about- and capacity to implement HRBA to water and good governance principles</p> <p><b>Indicators:</b></p> <ol style="list-style-type: none"> <li>1. # of training modules on water integrity developed and published;</li> <li>2. # of people trained in water integrity, good governance, and subsequent trainings conducted by ToTs;</li> <li>3. # of knowledge products published and disseminated.</li> </ol>	<ol style="list-style-type: none"> <li>1. At least 3 training modules on water integrity and governance developed and published;</li> <li>2. At least 10 representatives of duty-bearers, volunteers and active CBOs in the sphere of drinking WSS undergone ToT courses on water integrity, and at least 20 more water specialists have subsequently trained by trainers;</li> <li>3. Knowledge products published and disseminated among stakeholders.</li> </ol>	<p>governance;</p> <ol style="list-style-type: none"> <li>2. Conduction of Training of Trainers (ToT) courses for focal specialists of key stakeholder representatives and organization of subsequent trainings by trainers within their respective organizations and localities;</li> <li>3. Capacity of water actors enhanced to apply effectively the principles of <i>good governance, transparency, accountability and citizen participation</i> in organizing water supply services;</li> <li>4. Publications and dissemination of knowledge products amongst stakeholders.</li> </ol>	<p><i>Programme;</i></p> <p><i>GoRT IMCC on water supply and sanitation</i></p> <p><i>TajWSS Network Members</i></p> <p><i>UNDP Area Office Staff</i></p> <p><i>National Project Coordinator</i></p>	<p>72100: Local Contractor USD 2,000</p> <p>71300: Local Experts USD 3,000</p> <p>74200: Publications and translations USD 3,300</p> <p>74500: Bank Charges (1%) USD 83</p> <p>75100: GMS (7%) USD 587</p>
			<p><b>Management:</b></p>	<p><b>Activity 4: USD 11,996</b></p> <p>71400: Human Resources USD11,100</p> <p>74500: Bank Charges (1%) USD111</p> <p>75100: GMS (7%) USD785</p>
			<p><b>OVERALL</b></p>	<p><b>USD 75,000</b></p>

## IV. ANNUAL WORK PLAN

Year 2013

EXPECTED OUTPUTS <i>And baseline, indicators including annual targets</i>	PLANNED ACTIVITIES <i>List activity results and associated actions</i>	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Q1	Q2	Q3	Q4		Funding Source	Budget Description	Amount
<b>Output 1</b> <b>Concrete measures to improve HRBA practices in water governance designed and implemented.</b>  <i>(Activities within this output are to be linked with the following E&amp;EP Projects:</i> - TajWSS Activities 1 and 2: Inter-Ministerial Coordination Council and Legal Framework for Water & San supply) - IWRM project: Activities 2.0, 2.3, 2.4, 2.8)	Targets (2013)  1. At least 2 policy briefs developed to improve policy, legislative and institutional frameworks that is compliant with the international human rights instruments and standards;  2. Implementation mechanisms piloted in target Jamoats of Isfara district for proposed policy briefs (recommendations) to improve policy, legislative and institutional frameworks;  3. Policy briefs and recommendations are consulted and endorsed by the IMCC and TajWSS Network.		X	X	X	UNDP Energy & Environment Programme;  GoRT IMCC on water supply and sanitation  TajWSS Network Members  UNDP Area Office Staff  National Project Coordinator	SIWI	<b>Activity 1 (Total)</b>  72100: Local Contractor  71300: Local Experts  74500: Bank Charges (1%)  75100:: GMS (7%)	<b>USD 27,018</b>  USD 22,000  USD 3,000  USD 250  USD 1,768
<b>Baseline:</b> Current national policy, legislative and institutional frameworks lack compliance with international human rights instruments and standards;  <b>Indicators:</b> 1. # of policy papers and analyses conducted on legislation, concepts, strategies and programs in water and sanitation, which includes an assessment of their compliance to international human rights instruments and standards. 2. # of policy briefs developed to improve policy, legislative and institutional frameworks compliant with HRBA principles in water and sanitation 3. # of policy briefs piloted in target Jamoats of Isfara district 4. (a) number of IMCC meeting sessions dedicated to consultations on presented policy briefs; (b) number of TajWSS Network meeting sessions dedicated to consultations on presented policy briefs; (c) % of recommendations accepted for policy change.									

<p><b>Output 2</b> <i>Consumer rights protection practices implemented in drinking water and sanitation sector</i></p> <p><b>Baseline:</b> Current national policy framework lack practical mechanisms to implement HRBA to water.</p> <p><b>Indicators:</b></p> <ol style="list-style-type: none"> <li>1. # policy documents (guidance, manuals, recommendations, etc) elaborated to establish mechanisms for implementation of HRBA to water governance;</li> <li>2. # of training modules developed to promote HRBA practices in water governance;</li> <li>3. # of target districts where designed policies and guidance are piloted;</li> <li>4. # of volunteers and trainers mobilized to promote HRBA practices in pilot districts;</li> <li>5. (a) number of IMCC meeting sessions dedicated to consultations on presented policy briefs; (b) number of TajWSS Network meeting sessions dedicated to consultations on presented policy briefs; (c) % of recommendations accepted for policy change.</li> </ol>	<p>Targets (2013)</p> <ol style="list-style-type: none"> <li>1. Guidance on good governance, transparency, accountability and citizen participation designed and endorsed;</li> <li>2. Designed policies are piloted in project target districts and lessons documented for further action;</li> <li>3. Manual on consumer rights protection practices developed and discussed among stakeholders;</li> <li>4. Training modules to promote HRBA practices to water designed and published;</li> <li>5. Policy briefs and recommendations are consulted and endorsed in related meetings of the Inter-ministerial Coordination Council (IMCC) on drinking WSS, and TajWSS Network (of WSS stakeholders) meetings.</li> </ol>		<p>X</p> <p>X</p> <p>X</p> <p>X</p> <p>X</p>	<p>X</p> <p>X</p> <p>X</p> <p>X</p> <p>X</p>		<p><i>UNDP Energy &amp; Environment Programme;</i></p> <p><i>GoRT IMCC on water supply and sanitation</i></p> <p><i>TajWSS Network Members</i></p> <p><i>UNDP Area Office Staff</i></p> <p><i>National Project Coordinator</i></p>	<p>SIWI</p>	<p><b>Activity 2 (Total)</b></p> <p>72100: Local Contractor</p> <p>74500: Bank Charges (1%)</p> <p>75100:: GMS (7%)</p>	<p><b>USD 27,018</b></p> <p>USD 25,000</p> <p>USD 250</p> <p>USD 1,768</p>
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<p><b>Output 3</b> <i>Comprehensive capacity building programme on water integrity and governance developed and implemented</i></p> <p><b>Baseline:</b> Duty bearers and right holders at national and local levels lack awareness about and capacity to implement HRBA to water and good governance principles</p> <p><b>Indicators:</b></p> <p>4. # of training modules on water integrity developed and published; 5. # of people trained in water integrity, good governance, and subsequent trainings conducted by ToTs; 6. # of knowledge products published and disseminated.</p>	<p>Targets (2013)</p> <p>1. At least 3 training modules on water integrity and governance developed and published; 2. At least 10 representatives of duty-bearers, volunteers and active CBOs in the sphere of drinking WSS undergone ToT courses on water integrity, and at least 20 more water specialists have subsequently trained by trainers; 3. Knowledge products published and disseminated among stakeholders.</p>			X	X	<p><i>UNDP Energy &amp; Environment Programme;</i></p> <p><i>GoRT IMCC on water supply and sanitation</i></p> <p><i>TajWSS Network Members</i></p> <p><i>UNDP Area Office Staff</i></p> <p><i>National Project Coordinator</i></p>	SIWI	<p><b>Activity 3 (Total)</b></p> <p>72100: Local Contractor 71300: Local Experts 74200: Publications and translations 74500: Bank Charges (1 %) 75100:: GMS (7%)</p>	<p><b>USD 8,969</b></p> <p>USD 2,000 USD 3,000 USD 3,300 USD 83 USD 587</p>
							<b>Management:</b>	<p><b>Activity 4 (Total)</b></p> <p>71400: Human Resources 74500: Bank Charges (1 %) 75100:: GMS (7%)</p>	<p><b>USD 11,996</b></p> <p>USD 11.100 USD 111 USD 785</p>
<b>TOTAL</b>								<b>Total for 2013</b>	<b>USD 75,000</b>

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## V. MANAGEMENT ARRANGEMENTS

This project will be implemented within the context of the UN programming frameworks owned by the Government, particularly the UN Development Assistance Framework 2010-2015 (UNDAF) and the UNDP Country Programme Action Plan 2010-2015 (CPAP). In turn, these frameworks are congruent with the Government priorities outlined in the Poverty Reduction Strategy (PRS) (2009-2011) and the National Development Strategy (NDS).

Within the context of the above priorities mandated to UNDP, the proposed project will be directly executed in accordance with DIM guidelines within the framework of Energy & Environment Programme, UNDP's instrument for longstanding engagement with local development since 1996. The Energy & Environment has a broad mandate that includes water sector management and governance reform, energy efficiency and environmental sustainability.

The project will receive extended support from the CO on all procurement and human resources issues. A project financial management system will be established to provide for accountability, and annual audits will be performed.

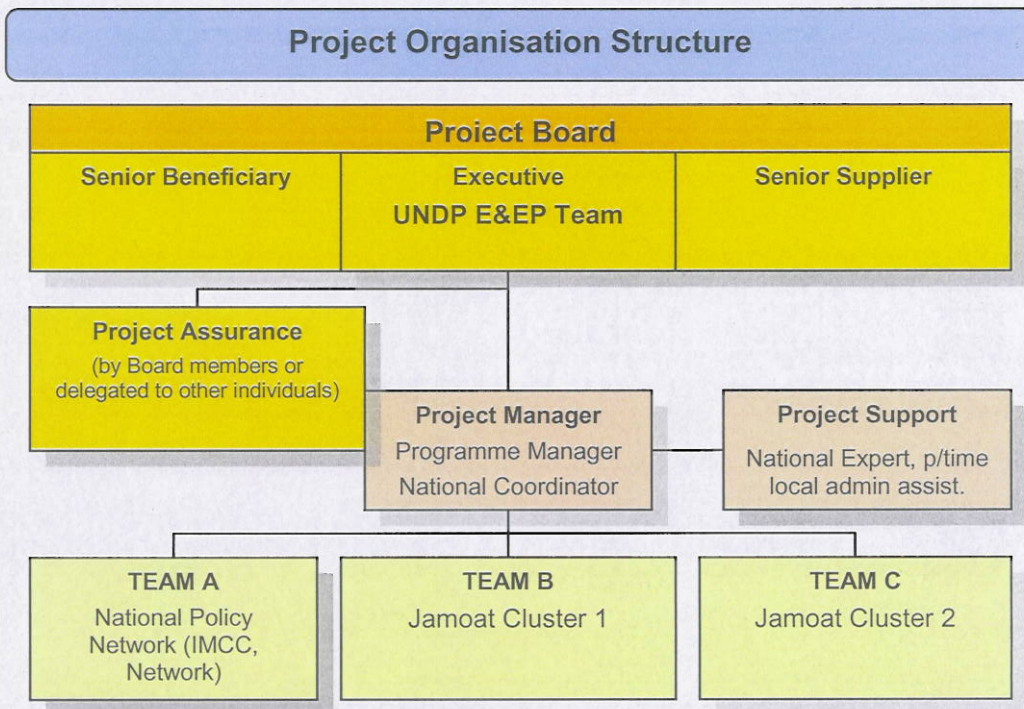
A Project National Coordinator will be hired following competitive bidding process to ensure efficient project management and implementation. The National Coordinator is the national project manager and is also a capacity building expert who will be responsible for providing technical inputs to national project implementation. S/He will be responsible to the ARR/Programme of the UNDP Office in Tajikistan. On a technical level, s/he will coordinate with the National Coordinators of TajWSS and IWRM Projects, as required, as well as with other financing and project partners in order to develop and oversee the execution of the work plans for the project.

The UNDP Energy & Environment team will play a crucial role in integrating the different project dimensions, coordinating with other projects' interventions and building partnerships with national and local stakeholders. The existing network of community-based organizations, civic organizations, national and local authorities will be the foundation for building sustainability into the project intervention. UNDP's mandate, its relationship with government and its longstanding engagement in the area gives it a comparative advantage in facilitating government partnerships.

UNDP E&EP Support Staff will facilitate functions such as administration and financial control. UNDP E&EP will also receive support from UNDP CO through the Administrative and Finance Units as necessary. A project financial management system will be established to provide for accountability, and annual audits will be performed. A part-time technical advisor at the local level may assist with the specific GW/HRBA functions.

The overall coordination and management structure is outlined in the organizational chart below.

Figure 1: Coordination and Management Structure





## VI. MONITORING FRAMEWORK AND EVALUATION

The project will follow the standard UNDP procedures for reporting, monitoring and evaluation. It includes following up on management actions, keeping track of progress benchmarks, visiting project sites to contact beneficiaries and contractors, interpreting progress and technical reports, and processing budget revisions.

A project performance management system will be agreed upon at the project start to track the performance of the implementation and impact of the project interventions. Through the implementation phase, the project performance management system will be administered by UNDP Energy and Environment Programme Staff, who will coordinate data collection.

Type of Indicators	Objective Means of Verification	Responsible Staff	Reporting Format
Outcome	Baseline and post-project surveys Institutional assessments	Reporting officer Programme analyst	Inception report Impact assessment Annual review
Output	Organizational records Field visits	Reporting officer Programme analyst	Annual review Semi-annual report Quarterly scorecard
Input	Financial reports	Administrative and financial assistant	Annual review Semi-annual report

The project outputs will determine whether the project activities were properly implemented and will be estimated by field visits and reports from activities as well as organizational records. Annual work plan based on the Results and Resources framework below will serve as the basis for tracking the timing and quality of project outputs. These annual work plans will be approved by the Project Steering Committee on an annual basis. The Reporting Officer and the Programme Analysts will communicate these findings in the annual review and semi-annual reports. As well, project output indicators will also be communicated in a quarterly balanced scorecard that will be published on the internet for public review.

All project outputs will be communicated to the UNDP Water Governance Facility at SIWI, which will assist in the wider co-ordination of the project with the global UNDP GoAL WaSH initiative, draw out any lessons learned and identify and support appropriate programme expansion in Tajikistan and by UNDP internationally.

Finally, the project inputs will show that the project resources were appropriately managed and spent and will take the form of financial reports, communicated in the annual and semi-annual reports.

## VII. QUALITY MANAGEMENT FOR PROJECT ACTIVITY RESULTS

<b>OUTPUT 1: Concrete measures to improve HRBA practices in water governance designed and implemented</b>		
<b>Activity Result 1 (Atlas Activity ID)</b>	Concrete measures to improve HRBA practices in water governance designed and implemented	Start Date: July 2012 End Date: Dec 2013
<b>Purpose</b>	Building on the practical experiences and lessons learned in the framework of the GoAL WaSH/ HRBA Campaign pilot project a scaling-up effort to impact national strategy and policy level will be undertaken. Through this effort the project aims to create an enabling policy environment for effective implementation of human right to water and sanitation in Tajikistan.	
<b>Description</b>	<ol style="list-style-type: none"> <li>1. Identifying and addressing the structural obstacles found in policies and strategies, legislations, institutional and social practices that prevent people from accessing basic water and sanitation services;</li> <li>2. Piloting the implementation of relevant policy recommendations at the local level in Isfara district in cooperation with IWRM and TajWSS projects ensuring accountability, transparency and strengthening water sector integrity.</li> <li>3. Provision of overall support to introduce HRBA concept to the draft Water Sector Reform Strategy currently under consideration by the Government of Tajikistan;</li> <li>4. Promote policy dialogue on Human Rights Based Approach (HRBA) to water governance among the relevant key stakeholders involved in water sector policy making through joint preparation of policy briefs: Inter-ministerial Coordination Council (IMCC), human rights based NGOs, policy research institutions, electronic and print media;</li> </ol>	
<b>Quality Criteria</b> <i>how/with what indicators the quality of the activity result will be measured?</i>	<b>Quality Method</b> <i>Means of verification. what method will be used to determine if quality criteria has been met?</i>	<b>Date of Assessment</b> <i>When will the assessment of quality be performed?</i>
<p># of policy papers and analyses conducted on legislation, concepts, strategies and programs in water and sanitation, which includes an assessment of their compliance to international human rights instruments and standards.</p> <p># of policy briefs developed to improve policy, legislative and institutional frameworks compliant with HRBA principles in water and sanitation;</p> <p># of policy briefs piloted in target Jamoats of Isfara district;</p> <p>(a) number of IMCC meeting sessions dedicated to consultations on presented policy briefs;</p> <p>(b) number of TajWSS Network meeting sessions dedicated to consultations on presented policy briefs;</p> <p>(c) % of recommendations accepted for policy change.</p>	<p>QPM; Assessment Reports;</p> <p>Monitoring Reports,</p> <p>Meeting minutes and resolutions,</p> <p>Policy briefs</p>	<p>Upon completion of the activities;</p> <p>Quarterly;</p> <p>Annually</p>
Evidence based research	Official research, policy and legal frameworks	January 2013, December 2013

### **OUTPUT 2: Consumer rights protection practices implemented in drinking water and sanitation sector**

<b>Activity Result 2</b>	Consumer rights protection practices implemented in	Start Date: January 2013
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<b>(Atlas Activity ID)</b>	drinking water and sanitation sector	End Date: Dec 2013
<b>Purpose</b>	This component is at the core of the intervention proposing to implement concrete measures to apply HRBA practice and strengthening the governance mechanisms. Improving and supporting the procedures for consumer rights protection with guidance on required practices will contribute to disciplined water service delivery among water supply organizations and improved consumer participation in economic sustainability of WS&S systems. UNDP will facilitate the process in which the regulatory institutions will support the implementation of proposed mechanisms.	
<b>Description</b>	<p>Elaboration and endorsement of methodic recommendations on good governance (<i>including transparency, accountability and citizen participation</i>) in water sector;</p> <p>Practical implementation of proposed measures guided by the methodology on good governance in water sector at the local level;</p> <p>Elaboration and publishing of a manual “Consumers Rights in Drinking Water Supply in the Republic of Tajikistan” (which includes guidelines on practice of law, legal overview, analysis of contractual arrangements, practical and methodic recommendations on protection of rights);</p> <p>Elaboration of modules and delivery of trainings on (a) consumer rights in drinking water sector, (b) legislation of the drinking water supply and sanitation sector;</p> <p>Establishment of a network of volunteers from amongst the training participants, heads of communities and households’ committees with the purpose of monitoring of the Law of RT “On protection of consumer rights” in the sphere of drinking water supply and sanitation.</p>	
<b>Quality Criteria</b> <i>how/with what indicators the quality of the activity result will be measured?</i>	<b>Quality Method</b> <i>Means of verification. what method will be used to determine if quality criteria has been met?</i>	<b>Date of Assessment</b> <i>When will the assessment of quality be performed?</i>
<p># policy documents (guidance, manuals, recommendations, etc) elaborated to establish mechanisms for implementation of HRBA to water governance;</p> <p># of training modules developed to promote HRBA practices in water governance;</p> <p># of target districts where designed policies and guidance are piloted;</p> <p># of volunteers and trainers mobilized to promote HRBA practices in pilot districts;</p> <p>(a) number of IMCC meeting sessions dedicated to consultations on presented policy briefs; (b) number of TajWSS Network meeting sessions dedicated to consultations on presented policy briefs; (c) % of recommendations accepted for policy change.</p>	<p>QPM; Assessment Reports; Monitoring Reports, Meeting minutes and resolutions, Policy briefs</p>	<p>Upon completion of the activities;</p> <p>Quarterly;</p> <p>Annually</p>

<b>OUTPUT 3:</b> Comprehensive capacity building programme on water integrity and governance developed and implemented		
<b>Activity Result 3 (Atlas Activity ID)</b>	Comprehensive capacity building programme on water integrity and governance developed and implemented	Start Date: January 2013 End Date: Dec 2014
<b>Purpose</b>	The objective of this component is to contribute to the empowerment of related water institutions in promotion and realization of good governance guided by the principles of	

	HBRA to water and sanitation. The experience from previous interventions indicate that capacity building activities must focus explicitly on good governance with <i>transparency, accountability and citizen participation</i> as its main components.	
<b>Description</b>	<p>Elaboration of training programme and modules on water integrity and governance;</p> <p>Conduction of Training of Trainers (ToT) courses for focal specialists of key stakeholder representatives and organization of subsequent trainings by trainers within their respective organizations and localities;</p> <p>Capacity of water actors (both duty bearers and right holders) enhanced to apply effectively the principles of <i>good governance, transparency, accountability and citizen participation</i> in organizing water supply services;</p> <p>Publications and dissemination of knowledge products amongst stakeholders.</p>	
<b>Quality Criteria</b> <i>how/with what indicators the quality of the activity result will be measured?</i>	<b>Quality Method</b> <i>Means of verification. what method will be used to determine if quality criteria has been met?</i>	<b>Date of Assessment</b> <i>When will the assessment of quality be performed?</i>
# of training modules on water integrity developed and published; # of people trained in water integrity, good governance, and subsequent trainings conducted by ToTs; # of knowledge products published and disseminated.	QPM; Assessment Reports; Monitoring Reports, Training reports.	Upon completion of the activities; Quarterly; Annually
Assess individual responses to campaign	Comparative analysis with other selected target areas and responses exercise	December 2014

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## VIII. LEGAL CONTEXT

This project document exists in English and Russian languages. In case of conflict, the English version takes precedence.

This document together with the CPAP signed by the Government and UNDP which is incorporated by reference constitute together a Project Document as referred to in Article I of the Standard Basic Assistance Agreement between the Government of the Republic of Tajikistan and the United Nations Development Programme, signed by the parties on 1 October 1993, and all CPAP provisions apply to this document.

Consistent with the Article III of the Standard Basic Assistance Agreement, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP's property in the implementing partner's custody, rests with the implementing partner.

The implementing partner 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 the implementing partner's security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The implementing partner agrees to 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.

## IX. RISK ANALYSIS

Project Title: Applying Human Rights Based Approach to Water Governance in Tajikistan						Award ID:	Date: January 2013		
#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Lack of responsiveness at national and local govt levels to messages on water rights	January 2013	Organizational Political Strategic	The occurrence of the risk would determine the failure of the project for the agency concerned P=2 I=5	Awareness campaigns on the potentials and limitations of irresponsible usage of water and sanitation disposal	Project Manager	Project Manager	January 2013	
2	Slower than expected implementation of the relevant project components of the overall E&EP Project.	January 2013	Organizational Strategic	The occurrence of the risk will force the downscaling of the activities P=3 I=3	Involvement of suitable experts to ensure sound implementation. Improvement of national and local authorities in the Energy & Environment Programme	Project Manager	Project Manager	January 2013	
3	Delayed or lack of decision by the Government on proposed water reform strategy and further support to implementation of the reform action plan.	January 2013	Political Strategic Organizational	The occurrence of the risk will force the downscaling of the activities	Involvement of suitable experts and national level specialists to promote the vision of the project and communicate the intended benefits.	Project Manager	Project Manager	Project Manager	
4	Delays in provision of financing support for the GW/HRBA project component, and/or UNDP Energy and Environment Programme	January 2013	Financial	Downscaling and delay in implementation	Donor coordination to ensure timely agreement on funding inputs	Project Manager	Project Manager	January 2013	