



United Nations Development Programme

Country: TAJIKISTAN

Project Document

Project Title	Support to effective regulatory framework and private sector involvement for drinking water supply and sanitation sector in Tajikistan
UNDAF Outcome(s):	Water, Sustainable Environment and Energy
Expected CP Outcome(s): <i>(Those linked to the project and extracted from the CPAP)</i>	Improved environmental protection, sustainable natural resource management, and increased access to alternative renewable energy.
Expected Output(s): <i>(Those that will result from the project and extracted from the CPAP)</i>	Government is provided with capacity building support to negotiate, ratify and implement major international conventions, transnational policy and legal frameworks on sustainable natural resource management (including climate change, water management and biodiversity)
Implementing Partner:	UNDP
Responsible Parties:	UNDP Energy and Environment Programme

Brief Description

The project "Support to effective regulatory framework and private sector involvement for drinking water supply and sanitation sector in Tajikistan" seeks to improve access to safe drinking water and sanitation by improving the sustainability of the water and sanitation sector. Given the sustainability problems within the sector, focusing on the delivery of physical infrastructure alone will not improve access to water and sanitation in the long-term. Instead the project uses a 'Service Delivery' approach that addresses the needs for institutional strengthening and enabling policy environment. In doing so, the project will especially support the consumer groups at the grass-roots level to influence bottom-up approach in policy reform. Thus, UNDP will continue strengthening policy development and reform at the national level in the area of drinking water supply and sanitation management and governance in Tajikistan. UNDP will enable this through providing support to the government, through the Inter-Ministerial Coordination Council (IMCC) on drinking water supply and alongside the Network of Stakeholders in the development of legislative frameworks and institutional strengthening. Further to support the policy and governance initiatives at the national level, UNDP will extend to pilot model approach interventions at the district level bridging the policy and governance interventions at the rural setting.

Programme Period:	2010 – 2015
Key Result Area (Strategic Plan):	Environment and Sustainable Development
Atlas Award ID:	00070081
Project ID:	00089553
Start date:	01/01/2014
End Date:	31/12/2015
PAC Meeting Date:	_____
Management Arrangements:	DIM

Total allocated resources	
for 2014 - 2015:	USD 250,000
2014 AWP budget:	USD 100,000
▪ SIDA/SIWI	USD 250,000



Agreed by Ministry of Energy and Water Resources of the Republic of Tajikistan
 HE Mr. Usmonali Usmonov, Minister of Energy and Water Resources of the Republic of Tajikistan

Agreed by UNDP:
 Mr. Norimasa Shimomura, UNDP Country Director



I. SITUATION ANALYSIS

Access to safe drinking water in rural areas is one of the key development challenges facing Tajikistan. Currently only 57% of the rural population are estimated to have access to safe drinking water, with even fewer having access to improved sanitation. Consequently water borne diseases such as diarrhoea and dysentery are rife and negatively affect the economic productivity of households. Women and girls, as providers and managers of water, guardians of hygiene and family health caretakers, are heavily affected by poor access to these services. Poor access impacts on their time distribution, mobility, health and work burden. A labour force suffering from poor health is not as productive as a healthy labour force, which in turn has negative implications for the economic development of a society as a whole. Indeed, according to the World Bank “no country has achieved sustained development without investing substantially in the education and health of its people”¹.

To date, Tajikistan has failed to invest substantially in the drinking water sector, key to achieving good health outcomes for the rural population. Moreover, the current legislative framework for the rural drinking water and sanitation sectors are sub-optimal. The way policies are formulated, interpreted and applied actively restricts investment in the sector and directly leads to the lack of sustainability of newly constructed or rehabilitated systems. Where existing policies have been reformed these new policies are often not implemented due to a lack of knowledge, skills and necessary resources at the level of the district implementing agency. At the same time, as the result of heavy subsidization of water supply services during the Soviet Era, water conservation and willingness to pay full-cost recovery tariffs have not been institutionalized.

The project “Support to promotion of effective regulatory framework and private sector involvement for drinking water supply and sanitation sector in Tajikistan” seeks to improve access to safe drinking water and sanitation in rural areas by improving the sustainability of the water and sanitation sector. Given the sustainability problems within the sector, focusing on the delivery of physical infrastructure alone will not improve access to water and sanitation in the long-term. Instead the project uses a ‘Service Delivery’ approach that addresses the needs for institutional strengthening and enabling policy environment. In doing so, the project will especially support the consumer groups at the grass-roots level to influence bottom-up approach in policy reform.

Thus, UNDP will continue strengthening policy development and reform at the national level in the area of drinking water supply and sanitation management and governance in Tajikistan. UNDP will enable this through providing support to the government, through the Inter-Ministerial Coordination Council (IMCC) on drinking water supply and alongside the Network of Stakeholders in the development of legislative frameworks and institutional strengthening. Further to support the policy and governance initiatives at the national level, UNDP will extend to pilot model approach interventions at the district level bridging the policy and governance interventions at the rural setting.

Project interventions in 2012 and 2013 – “Applying Human Rights Based Approach to Water Governance in Tajikistan” – demonstrated that it is possible to contribute to institutional and policy reform in Tajikistan and that traction on the sustainability agenda is possible. In the new phase, the project will scale-up its intervention at the district level while continuing to advocate for change and develop recommendations for further reforms at the policy level. At the policy level, the project will especially advocate for clarification of the regulatory role at the national level; promote the implementation of a unified, full-cost recovery tariff methodology in parallel with implementation of a good governance mechanism agreed in the previous phase. It will reach out to consumers and rural communities, building their capacity to operate and manage small-scale water systems, empowering them to demand their right to water from operators and regulators while emphasizing their responsibilities to pay water tariffs. The policy level work will be closely linked to the work at the district level the strong involvement of water users in the policy process and with both strands of work informing each other.

¹ World Bank (2000:18) *The Quality of Growth*. Oxford: Oxford University Press

II. STRATEGY

The proposed intervention is built on achieved results from earlier intervention of (1) 2009-2011 – “GoAL WaSH/HRBA: Water Rights and Responsibilities Awareness Campaign” and (2) 2012-2013 “Applying Human Rights Based Approach to Water Governance in Tajikistan”. The former intervention is recalled to be focused on local level awareness campaign to introduce HRBA concept and advocate for rights and responsibilities amongst rights holder and duty bearers. Based on documented results and lessons learned it was recommended to scale up the intervention at the policy (national) level in the framework of the latter intervention during 2012 and 2013. The main results of the project during that period are summarized below:

Achieved results by GoAL WaSH/HRBA “Applying Human Rights Based Approach to Water Governance in Tajikistan”

- Lessons learned report produced on awareness raising and advocacy campaign conducted under project “GoAL WaSH/HRBA: Water Rights and Responsibilities Awareness Campaign”;
- The draft guidelines on realization of the right to drinking water and sanitation (*Raport of the Special Rapporteur, El Hadji Guisse*) had been translated into local languages (Russian and Tajik) that is intended to assist government policymakers, international agencies and member of visil society active in the sector to implement the right to drinking WS&S;
- Review of the tariff policy and regulatory framework conducted. That includes – review of legislation, responsibilities of regulatory institutions, methodologies and implementation of tariff schemes amongst key water supply organizations;
- Draft *Methodology for tariff setting for drinking WS&S sector* developed and agreed with duty-bearers to be piloted before endorsement;
- Draft *Guidelines for improving good governance: transparency, accountability and participation* developed and agreed with duty-bearers to be piloted before endorsement;
- Training of trainers on Water Integrity conducted for more than 30 representatives of duty-bearers, rights-holders, and international organizations implementing drinking WS&S projects in Tajikistan. The trainings - consisting of three modules (a) water governance, (b) transparency and access to information, and (c) accountability - were conducted using available training manuals developed by the UNDP Water Governance Facility at SIWI (WGF) in partnership with Cap-Net, WaterNet and Water Integrity Network (WIN). The training manuals were than translated in to local languages (Russian and English) for further use by potential trainers.
- A *Handbook on consumer rights protection mechanisms for the drinking water sector in Tajikistan* developed with some inputs based on Water Integrity trainings earlier conducted;
- Two training modules on (a) consumer rights protection mechanisms and (b) strengthening relationships between suppliers and consumers (based on SIWI’s water integrity manual) developed and trainings conducted in three target districts of Rudaki, Muminobod, and Kanibadam.

Lessons learned and rationale for further action

The GoAL WaSH Programme activities together with activities of other projects in the area of drinking WS&S during the past 5 years have revealed the need for more substantial support towards (1) improved regulatory framework and clarified roles amongst key government entities, (2) balanced approach to good governance linked with tariff policy implementation, and (3) promoting demonopolization of water management functions with possible transfer of operational and management rights to non-state organizations. Those three major issues will be central to future GoAL WaSH programming in the next few years.

1. Support to improved regulatory framework for drinking WS&S sector

The recent decision of the Government of Tajikistan in 2011 concerning the focal role in supervision and control for water supply and sanitation has caused conflicting interpretations by the Ministry of Energy

and Water Resources (formerly Ministry of Land Reclamation and Water Resources) and other ministries and agencies with regulatory roles. The State Unitary Enterprise "Khojagii Manziliyu Kommunalni" (SUE KMK), with which rests the new role of focal organization for *supervision and control* for drinking WS&S, interprets its role as the sole regulatory agency. This is despite the views of line ministries and agencies that also have regulatory roles, such as – Antimonopoly agency regulating tariff issues; Agency for Construction and Architecture regulating construction norms and standards; Ministry of Health regulating water quality and sanitation standards. Therefore, it is unclear what regulatory role SUE KMK could perform. SUE KMK assumes focal coordination role which is not adequately perceived by the line ministries and agencies. Such function is being performed by the Ministry of Energy and Water Resources – focal ministry responsible for a unified policy development and guidance for the water sector, including the drinking water supply and sanitation.

In addition, under a new role SUE KMK is now responsible for both urban and rural drinking water supply, and the responsibility for operation and management of most water and sanitation systems in rural areas rest with SUE KMK through its central body in capital city with some delegation at regional level (3 offices in different oblasts). Although, the Government policies support the decentralization of such responsibilities at local level, in practice there is little to be seen. The key responsible ministries and agencies continue to practice centralized management approaches, while regulation and management based on subsidiarity principles are suggested to be more effective in Tajikistan's context (Ref. project policy briefs).

Therefore, the rationale for the project is to provide advisory support to key ministries and agencies on the effective regulatory framework for the context of Tajikistan. In particular, the Ministry of Energy and Water Resources will be supported to continue performing overall policy development and coordination of regulatory organizations; while SUE KMK will be supported to perform the role of coordinating drinking water supply organizations as the focal operator (supplier organization).

In addition, given the project's focus on tariff policy improvement, the Antimonopoly Agency under the GoRT will especially be supported through the two related Departments for (1) consumer rights protection and (2) protection & development of competition. The Agency will be supported to effectively regulate tariff setting processes for drinking water supply and sanitation service providers in which the project will provide mediation support towards approval and implementation of tariff policies. To balance this support, the project will also pilot feedback mechanisms between the consumer groups and the Agency from 'consumer rights' perspective, and provide technical guidance to Agency on regulating such mechanisms.

At the same time, in support of decentralization policies, the responsible government organizations will be advocated to delegate some roles at the local level to ensure more effective water supply and sanitation services. The project will advise the legal framework to eliminate conflicting interpretations concerning policy development, regulation, operation and management in drinking WS&S sector.

2. *Balanced approach to good governance and tariff policy implementation*

The outcome of policy analysis (*legislative, regulatory, and institutional reviews, methodological reviews, economic and financial reviews*) on the issue of tariff setting revealed that suppliers are free to choose any level of tariff, differentiated or block tariffs, different for any category of users, and any level of consumption. However, the tariffs remain critically low and for most systems by at least 4-5 times lower than the full-cost recovery level. The project revealed conflicting views amongst suppliers, regulators, local and central government and consumers, often with mutual objections to other sides. In summary the situation was as follows:

- **Suppliers** face political pressure from local and central authorities towards any increases in tariffs for basic services such as water supply, as well as face procedural obstacles from regulating agencies "reluctant" to endorse a full-cost recovery tariffs. At the same time, suppliers claim services for water supply are not fully paid by consumers which result in poor or no water supply.

- **Regulating agency** – Antimonopoly Agency – is prepared to endorse full-cost recovery tariffs as long as supplier is able to economically justify cost items within reasonable boundaries; and that tariffs are discussed openly with consumers with accountability measurers put in place. It is the regulator's view that the suppliers are not able to meet the mentioned criteria.
- **Consumer's** claim suppliers are not providing adequate or any services for which there is not will to pay although consumers are able to pay a full-cost recovery tariff. Consumers have express strong requirement for suppliers to increase interaction with their clients on issues of water supply and sanitation (accountability and participation is key).
- **Government** – central bodies and local authorities – demand that supplying organizations are more transparent and accountable to their clients so as to avoid increasing complaints for lack of access to water supply and/or increased costs for services. Tariff setting procedures need to be transparent and only moderately increased to avoid local shocks to price changes.

To avoid any exacerbation of such conflicting situation around a tariff issue that is central to sustainability of interventions in the sector, the project adopted a balanced approach to support every conflicting side in addressing the concerns in a cooperative and informed manner. Such support had been agreed to provide in the following sequence (main steps):

- Elaboration of tariff setting methodology (tariff setting mechanism);
- Conducting trainings for supply organizations on the use of methodology and tariff setting exercise;
- Facilitation of meetings between suppliers and consumers with participation of authorities and relevant regulatory agency
- Conducting trainings for relevant departments of the regulatory agency and local authorities on understanding structure of tariffs for water supply and sanitation services
- Providing mediation support to supply organizations for tariff endorsement with regulatory agency;
- Supporting elaboration and consequent implementation of good governance mechanism: transparency, accountability and participation (tariff collection support)
- Development and implementation of consumer rights protection mechanisms and promotion of adequate consumer behavior in relation to their responsibility to pay for water supply and sanitation services

The above sequence had been partially implemented during 2013, but most of them need to be addressed during 2014 and 2015 to achieve intended results. Specific activities are listed below under output 1.

3. *Demonopolization of water management functions and private sector involvement*

The Government has adopted a new law on Public Private Partnership, which is an opportunity to support demonopolization of management functions in the drinking water supply and sanitation sector. Given the fact that most systems in Tajikistan are managed by SUE KMK (both urban and rural) and that such function is hardly possible to perform by a centralized organization without adequate budget support, other opportunities must be invited. Through this project's support, necessary assessments both legal and institutional will be conducted, gaps will be identified and some policy changes will be recommended to promote private sector involvement in management of drinking water supply and sanitation systems (*eg. improved conditions for competitive business environment, different forms of ownership and operational management rights, etc.*).

a) **PROJECT AIM, OBJECTIVES AND ACTIVITIES – GoAL WaSH 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: Support to development and promotion of effective regulatory framework for the drinking water supply and sanitation sector: separation of roles (policy, regulation and management), *tariff policy improvement, de-monopolization and private sector involvement*

The main objective of this output is to provide advisory support to key ministries and agencies on the effective regulatory framework for the context of Tajikistan. In particular, the Ministry of Energy and Water Resources will be supported to continue development of a unified state policy for drinking WS&S and coordination of regulatory organizations to implement the state policy; while SUE KMK will be supported to perform the role of coordinating drinking water supply organizations as the focal operator (supplier organization).

To further advocate for effective regulatory framework for drinking water supply and sanitation, two study tours will be organized in two different countries with distinct and exemplary institutional and regulatory set-up. Participants will include key ministries and agencies with specific role for drinking WS&S, Parliament and President's Office (related policy Department). During the study tour, the participants will examine institutional arrangements for policy, regulation and operational roles for drinking WS&S sector. This is linked with key reform principle in Tajikistan that advocates for separation of roles for policy, regulation and operation. In the result of the intended study tours, the participants will be required to provide their action plans, views and recommendations to improve policy and regulatory frameworks for the sector in Tajikistan.

In addition, given the project's focus on tariff policy improvement, the Antimonopoly Agency under the GoRT will especially be supported through the two related Departments for (1) consumer rights protection and (2) protection & development of competition. The Agency will be supported to effectively regulate tariff setting processes for drinking water supply and sanitation service providers in which the project will provide mediation support towards approval and implementation of tariff policies. To balance this support, the project will also pilot feedback mechanisms between the consumer groups and the Agency from 'consumer rights' perspective, and provide technical guidance to Agency on regulating such mechanisms.

At the same time, in support of decentralization policies, the responsible government organizations will be advocated to delegate some roles at the local level to ensure more effective water supply and sanitation services based on subsidiarity principles. The project will advise the legal framework to eliminate conflicting interpretations concerning policy development, regulation, operation and management in drinking water supply and sanitation sector.

Moreover, the project will continue to address conflicting situation around a tariff issue that is central to sustainability of interventions in the sector, the project adopted a balanced approach to support every side in addressing the concerns in a cooperative and informed manner. The initiative will follow-up on the following specific activities that have already been launched in 2013:

- Conducting trainings for supply organizations on the use of methodology and tariff setting exercise;
- Conducting trainings for the regulatory agency and local authorities on understanding structure of tariffs for water supply and sanitation services
- Facilitation of meetings between suppliers and consumers with participation of authorities and relevant regulatory agency
- Providing mediation support to supply organizations for tariff endorsement with regulatory agency;
- Endorsement of tariff setting methodology (tariff setting mechanism);
- Supporting implementation of agreed *good governance mechanism: transparency, accountability and participation* in target areas (tariff collection support)
- Implementation of consumer rights protection mechanisms and promotion of adequate consumer behavior in relation to their responsibility to pay for water supply and sanitation services

In addition, necessary assessments both legal and institutional will be conducted, gaps will be identified and some policy changes will be recommended to promote de-monopolization and private sector involvement in management of drinking water supply and sanitation systems (eg. *improved conditions for competitive business environment, different forms of ownership and operational management rights, etc.*).

To translate some of the recommendations in practice a drinking water supply and sanitation system will be built/ rehabilitated in one target district with additional contribution from the SDC funded "Tajikistan Water Supply and Sanitation" project, in the framework of which three more water supply and sanitation systems are to be rehabilitation/constructed. The one target district where infrastructure related activities to be implemented will be determined later during the feasibility phase between March thru May 2014 in cooperation with project partners (SDC, Oxfam GB, Network of stakeholders for drinking WS&S sector).

Activities:

- 1.1. Conducting policy research and analysis, development of policy recommendations and plan of actions to support (a) development of effective regulatory framework and (b) demonopolization and private sector involvement for the drinking WS&S sector;
- 1.2. Organization of two study tours for key policy makers to study effective institutional arrangements for policy, regulation and operational roles for drinking WS&S sector;
- 1.3. Support to realization of tariff policy guided by a balanced and participatory approach in drinking WS&S;
- 1.4. Support to implementation of developed mechanisms on good governance (*transparency, accountability and participation*) and tariff policy implementation in target districts;
- 1.5. Rehabilitation of one drinking water supply and sanitation system in target district where related policy recommendations are to be piloted;
- 1.6. Advocacy campaign and awareness raising amongst national and local level duty-bearers on effective regulatory framework based on subsidiarity principles.

Output 2: Support to consumer rights protection mechanism for drinking water supply and sanitation sector

The objective of this component is to contribute to the empowerment of consumers in realization of the principles of human rights based approach to water and sanitation. Such support is built on the initiative launched in 2013 under previous project to strengthen consumer rights protection practices and mechanisms for drinking WS&S. In 2013, the UNDP in close cooperation with the consumer groups (through Consumers' Union of Tajikistan) developed a handbook on consumer rights protection mechanism for drinking WS&S which is an awareness tool for consumers to learn and practice their rights. Moreover, two training modules on (a) consumer rights protection mechanisms and (b) strengthening relationships between suppliers and consumers (based on SIWI's water integrity manual) developed and conducted trainings in three target districts of Rudaki, Muminobod, and Kanibadam.

In this new phase of GoAL WaSH Programme twill build on these initial achievements and implement more activities to support implementation of consumer rights protection mechanism advocated for in 2013. The new activities include (a) support implementation of dispute resolution mechanisms for drinking water supply and sanitation services; (b) render legal services for the consumers and (c) support establishment of consumer voice and feedback mechanisms in pilot areas to improve information and accountability of water supply organizations and increase responsible consumer behavior and participation.

Specifically, UNDP will support creating of local advisory councils as suggested by the *Guidelines for improving good governance: transparency, accountability and participation (further "Guidelines")*. The members of councils are representatives of local community elected by them. Among other duties, this body will also be responsible for the pre-trial alternative dispute resolution between consumer and

suppliers. This role of the councils will be the special focus in implementation and promotion of the proposed *Guidelines*. Through Consumers' Union of Tajikistan joint outreach workshops will be organized to support alternative dispute resolution for the consumers and suppliers in at least three selected districts. On the policy level, with inputs from field work, under the first component ("promotion of effective regulatory framework) the project will guide the regulating agencies on improved dispute resolution processes.

Concerning "*rendering legal services for the consumers*", the project will train local community members providing with primary skills to exercise their consumer rights. Then from amongst them a local network of volunteers will be organized to further work closely with professional consumer advocates such as non-governmental consumers' protection groups (Consumer's Union of Tajikistan), Antimonopoly Agency (consumer protection department) and state bodies responsible for the water safety and standards – Tajikstandard and Sanitation control. Series of publications with legal information for consumers about their rights and responsibilities will be developed and disseminated (booklets, handbooks, fingertip pocket books, posters and etc). Along these lines, the local advisory councils will also be invited for these trainings. In the result of these activities, it is anticipated that the network of volunteers will gain necessary skills and practical knowledge and in return will volunteer to provide legal service with further support from the Consumers' Union of Tajikistan.

With regards to *establishment of consumer voice and feedback mechanisms* in pilot areas, this includes targeted support to concerned water supply organizations in target districts. Suppliers will be guided and advocated to organize within their organizations basic customer services to record transparently consumer concerns and feedback on service provision, and at the same time ensure communication channel is systematized. The suppliers will be trained and instructed on this process, and for the beginning some mediation support by the project will be provided to implement reported concerns by the water users.

In addition, more suppliers and consumers will be provided with trainings on Water Integrity with special focus on corruption in the water sector and countering measures. The training 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 project will invite both national and (pilot) district level representation in the training courses. The project expects to conduct at least 10 trainings for more than 300 individuals. However, these figures will be updated after an inception phase during which target districts will be identified.

This component will be implemented in at least three target districts which will be determined later during the feasibility phase between March thru May 2014 in cooperation with project partners (SDC, Oxfam GB, and Network of stakeholders for drinking WS&S sector).

Activities:

- 2.1. Enhancing and supporting implementation of disputes resolution mechanism for drinking water supply and sanitation service delivery;
- 2.2. Rendering legal services for the drinking water consumers (*including pre-trial and court protection with special focus on gender, vulnerable and marginalized groups*);
- 2.3. Consumer voice and feedback mechanism supported in pilot district to improve information and accountability of water supply organizations;
- 2.4. Conducting trainings on water integrity, consumer rights protection and dispute resolution mechanisms for duty-bearers and rights holders in water supply and sanitation;

b) Beneficiaries

The project target groups include duty-bearers (state authorities regulating WS&S 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).

c) Project implementing partners

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

Duty-bearers:

- Parliament of the Republic of Tajikistan;
- 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 Energy and Water Resources; 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;
- Concerned Oblast and district level Hukumats, and Jamoats.

By engaging the Ministry of Energy and Water Resources, 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 district, where enforcement mechanisms are to be piloted;
- Population of pilot 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 district in general will be targeted as part of the overall training programme, awareness and advocacy campaign.

III. ANNUAL WORK PLAN

Year: 2014

EXPECTED OUTPUTS <i>And baseline, associated indicators and 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	
<p>Output 1. Support to development and promotion of effective regulatory framework for the drinking water supply and sanitation sector: separation of roles (policy, regulation and management), tariff policy improvement, de-monopolization and private sector involvement</p> <p>Baseline: Lack of clear roles amongst duty bearers in policy, regulation and management of drinking water supply and sanitation sector</p> <p>Indicators:</p> <ul style="list-style-type: none"> ▪ At least two policy papers and analyses conducted in water and sanitation. ▪ At least two policy briefs developed to improve policy, legislative and institutional frameworks compliant with HRBA principles in water and sanitation ▪ At least three policy recommendations piloted in target districts; ▪ At least two policy recommendations accepted for policy change; ▪ One Study Tour organized, in 	1.1	Conducting policy research and analysis, developing policy recommendations and plan of actions to support development of effective regulatory framework for the drinking WS&S sector (at least two policy research and analysis, three policy recommendations and plan of actions);	X	X	X	X	UNDP Energy & Environment Programme; GoRT IMCC on water supply and sanitation Network Members UNDP Area Office Staff National Project Manager	SIDA/SIWI	Sub-total:	USD 60,847
	1.2	Organization of one study tour for key policy makers to study effective institutional arrangements for policy, regulation and operational roles for drinking WS&S sector;			X				72100: Contractual Services-Co.	USD 20,000
	1.3	Conducting trainings for supply organizations on the use of methodology and tariff setting exercise (At least one training and one consultative workshop for suppliers of at least ten water supply and sanitation systems);		X	X	X			71300: Local Consultants	USD 10,000
	1.4	Conducting trainings for the regulatory agency and local authorities on understanding structure of tariffs for water supply and sanitation services (At least one training and two consultative workshops for five regulatory agencies);			X	X			71600: Travel International	USD 20,000
	1.5	Facilitation of meetings between suppliers and consumers with participation of authorities and relevant regulatory agency (for at least 5 supplier organizations and their constituents);		X	X	X			73400: Vehicle running costs	USD 2,000
	1.6	Providing mediation support to supply organizations for tariff endorsement with regulatory agency (for at least 10 WS&S systems providing services to 4,500 people);		X	X				74200: Publication and translations	USD 2,000
	1.7	Endorsement of tariff setting methodology (tariff setting mechanism);				X			72100: Stationary and meetings	USD 1,690
						74500: Miscellaneous Expenses	USD 650			
						75100: Facilities & Administration (GMS 8%)	USD 4,507			

			Administration (GMS 8%)	
TOTAL for 2014				USD 100,000

Year: 2015

EXPECTED OUTPUTS <i>And baseline, associated indicators and 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
<p>Output 1. Support to development and promotion of effective regulatory framework for the drinking water supply and sanitation sector: separation of roles (policy, regulation and management), tariff policy improvement, de-monopolization and private sector involvement</p> <p>Baseline: Lack of clear roles amongst duty bearers in policy, regulation and management of drinking water supply and sanitation sector</p> <p>Indicators:</p> <ul style="list-style-type: none"> ▪ Increase in willingness to pay and increased tariff collection rates up to at least 85%; ▪ At least one policy paper and analyses conducted in water and sanitation. ▪ At least one policy brief developed to improve policy, legislative and institutional frameworks compliant 	1.1 Conducting policy research and analysis, developing policy recommendations and plan of actions to support development of effective regulatory framework for the drinking WS&S sector (at least one policy research and analysis, two policy recommendations and plan of actions);	X	X	X	X	<p><i>UNDP Energy & Environment Programme;</i></p> <p><i>GoRT IMCC on water supply and sanitation</i></p> <p><i>Network Members</i></p> <p><i>UNDP Area Office Staff</i></p> <p><i>National Project Manager</i></p>	SIDA/SIWI	Sub-total:	USD 85,041
	1.2 Organization of one study tour for key policy makers to study effective institutional arrangements for policy, regulation and operational roles for drinking WS&S sector;			X				<ul style="list-style-type: none"> ▪ 72100: Contractual Services-Co. USD 40,000 ▪ 71300: Local Consultants USD 10,882 ▪ 71600: Travel International USD 20,000 ▪ 73400: Vehicle running costs USD 3,000 ▪ 74200: Publication and translations USD 2,000 ▪ 72100: Stationary and meetings USD 1,910 ▪ 74500: Miscellaneous Expenses USD 950 ▪ 75100: Facilities & Administration (GMS 8%) USD 6,299 	
	1.3 Supporting implementation of agreed <i>good governance mechanism: transparency, accountability and participation</i> in target areas (tariff collection support) (At least one training and one consultative workshop for suppliers of at least ten water supply and sanitation systems);	X	X	X	X				
	1.4 Implementation of consumer rights protection mechanisms and promotion of adequate consumer behavior in relation to their responsibility to pay for water supply and sanitation services;	X	X	X	X				
	1.5 Rehabilitation of one drinking water supply and sanitation system in target district where related policy recommendations are to be piloted;	X	X	X					

<p>with HRBA principles in water and sanitation</p> <ul style="list-style-type: none"> ▪ At least two policy recommendations piloted in target districts; ▪ At least one policy recommendations accepted for policy change; ▪ One Study Tour organized, in which at least 8 policy makers participated, increased knowledge on effective institutional and regulatory frameworks for drinking WS&S sector. 	<p>1.6 Advocacy campaign and awareness raising amongst national and local level duty-bearers on effective regulatory framework based on subsidiarity principles.</p>	x	x	x	x																		
---	--	---	---	---	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

<p>Output 2. Support to consumer rights protection mechanism for drinking water supply and sanitation sector</p> <p>Baseline: Water service providers have poor contact with consumers at the ground, lack knowledge and practice on good governance mechanisms; and consumers lack knowledge and practice to demand transparent and accountable service delivery.</p> <p>Indicators:</p> <ul style="list-style-type: none"> ▪ At least 20 disputes handled by the supply organizations; ▪ At least 20 legal, pre-trial and court protection cases handled by consumer groups; ▪ At least 200 individuals increase in confidence and capacity to advocate for their rights 	<p>1.1. Enhancing and supporting implementation of disputes resolution mechanism for drinking water supply and sanitation service delivery (mechanism developed and implemented for suppliers of at least 10 water supply and sanitation systems);</p> <p>1.2. Rendering legal services for the drinking water consumers (<i>including pre-trial and court protection with special focus on gender, vulnerable and marginalized groups</i>) – through a network of volunteers in three districts consisting from at least 10 local community members in each district;</p> <p>1.3. Consumer voice and feedback mechanism supported in pilot district to improve information and accountability of water supply organizations – targeted support to suppliers of at least 5 water supply and sanitation systems;</p> <p>1.4. Conducting trainings on water integrity, consumer rights protection and dispute resolution mechanisms for duty-bearers and rights holders in water supply and sanitation (three training sessions for at least 90 individuals, i.e. 30 individuals per district).</p>		x	x	x	<p><i>UNDP Energy & Environment Programme;</i></p> <p><i>GoRT IMCC on water supply and sanitation</i></p> <p><i>Network Members</i></p> <p><i>UNDP Area Office Staff</i></p> <p><i>National Project Manager</i></p>	SIDA/SIWI	<p>Sub-total:</p> <ul style="list-style-type: none"> ▪ 72100: Contractual Services-Co. ▪ 71300: Local Consultants ▪ 74500: Miscellaneous Expenses ▪ 75100: Facilities & Administration (GMS 8%) 	<p>USD 48,222</p> <p>USD 34,356</p> <p>USD 10,000</p> <p>USD 294</p> <p>USD 3,572</p>
<p>Management</p> <p>(Human Resources)</p>							SIDA/SIWI	<p>Sub-total:</p> <p>71400: Service Contracts - Individuals</p> <p>74500: Miscellaneous Expenses</p> <p>75100: Facilities & Administration (GMS 8%)</p>	<p>USD 16,737</p> <p>USD 15,250</p> <p>USD 247</p> <p>USD 1,240</p>
<p>TOTAL for 2015</p>									<p>USD 150,000</p>

RRF includes targets for both years (2014 – 2015), Annual Work Plan is developed on annual basis.

RESULTS AND RESOURCES FRAMEWORK

Intended Outcome as stated in the Country Programme Results and Resource Framework:				
<i>Outcome 6: Improved environmental protection, sustainable natural resources management, and increased access to alternative renewable energy.</i>				
Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:				
<i>Number of pilot projects on sustainable land management, biodiversity conservation, community-based eco-tourism, and IWRM</i>				
Applicable Key Result Area (from 2012-15 Strategic Plan): Sustainable Environment and Energy				
Partnership Strategy: <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>				
Project title and ID (ATLAS Award ID): <i>Support to effective regulatory framework and private sector involvement for drinking WS&S sector in Tajikistan</i>				
INTENDED OUTPUTS	OUTPUT TARGETS	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
<p>Output 1. Support to development and promotion of effective regulatory framework for the drinking water supply and sanitation sector: <i>separation of roles (policy, regulation and management), tariff policy improvement, de-monopolization and private sector involvement</i></p> <p>Baseline: Lack of clear roles amongst duty bearers in policy, regulation and management of drinking water supply and sanitation sector; Ineffective mechanisms for investment, operation and regulation of DWS&S systems in target district.</p> <p>Indicators:</p> <ul style="list-style-type: none"> ▪ Increase in willingness to pay and increased tariff collection rates up to at least 85%; ▪ At least three policy papers and analyses conducted in water and sanitation. 	<p>Targets in 2014:</p> <p>1.1 Conducting policy research and analysis, developing policy recommendations and plan of actions to support development of effective regulatory framework for the drinking WS&S sector (at least two policy research and analysis and three policy recommendations and plan of actions, and one study tour where regulatory frameworks are exemplary to Tajikistan's context);</p> <p>1.2 Organization of one study tour for key policy makers to study effective institutional arrangements for policy, regulation and operational roles for drinking WS&S sector;</p> <p>1.3 Conducting trainings for supply organizations on the use of</p>	<p>1. Conducting policy research and analysis, development of policy recommendations and plan of actions to support (a) development of effective regulatory framework, (b) consumer rights protection, and (c) de-monopolization and private sector involvement for the drinking WS&S sector;</p> <p>2. Organization of two study tours for key policy makers to study effective institutional arrangements for policy regulation and operational roles for drinking WS&S sector;</p> <p>3. Support to realization of tariff policy guided by a balanced and participatory approach in drinking WS&S</p> <p>4. Support to implementation of developed mechanisms on good governance (<i>transparency, accountability and participation</i>) and</p>	<p><i>UNDP Energy & Environment Programme;</i></p> <p><i>GoRT IMCC on water supply and sanitation</i></p> <p><i>Network Members</i></p> <p><i>UNDP Area Office Staff</i></p> <p><i>National Project Manager</i></p>	<p>Sub-total: USD 145,888</p> <ul style="list-style-type: none"> ▪ 72100: Contractual Services-Co. (USD 60,000) ▪ 71300: Local Consultants (USD 20,882) ▪ 71600: Travel International (USD 40,000) ▪ 73400: Vehicle running costs (USD 5,000) ▪ 74200: Publication and translations (USD 4,000) ▪ 72100: Stationary and meetings (USD 3,600) ▪ 74500: Miscellaneous Expenses (USD 1,600) 75100: Facilities & Administration (GMS 8%) (USD 10,807)

<ul style="list-style-type: none"> ▪ At least three policy briefs developed to improve policy, legislative and institutional frameworks compliant with HRBA principles in water and sanitation ▪ At least five policy recommendations piloted in target districts; ▪ At least three policy recommendations accepted for policy change. ▪ Two Study Tours organized, in which at least 15 policy makers participated, increased knowledge on effective institutional and regulatory frameworks for drinking WS&S sector. 	<p>methodology and tariff setting exercise (At least one training and one consultative workshop for suppliers of at least ten water supply and sanitation systems);</p> <p>1.4 Conducting trainings for the regulatory agency and local authorities on understanding structure of tariffs for water supply and sanitation services (At least one training and two consultative workshops for five regulatory agencies);</p> <p>1.5 Facilitation of meetings between suppliers and consumers with participation of authorities and relevant regulatory agency (for at least 5 supplier organizations and their constituents);</p> <p>1.6 Providing mediation support to supply organizations for tariff endorsement with regulatory agency (for at least 10 WS&S systems providing services to 4,500 people);</p> <p>1.7 Endorsement of tariff setting methodology (tariff setting mechanism);</p> <p>Targets in 2015:</p> <p>1.8 Conducting policy research and analysis, development of policy recommendations and plan of actions to support private sector involvement for the drinking WS&S sector (at least one policy research and analysis and two policy recommendations and plan</p>	<p>tariff policy implementation in target districts;</p> <p>5. Rehabilitation of one drinking water supply and sanitation system in target district where related policy recommendations are to be piloted;</p> <p>6. Advocacy campaign and awareness raising amongst national and local level duty-bearers on effective regulatory framework based on subsidiarity principles.</p>		
---	--	---	--	--

	<p>of actions);</p> <p>1.9 Organization of one study tour for key policy makers to study effective institutional arrangements for policy, regulation and operational roles for drinking WS&S sector;</p> <p>1.10 Supporting implementation of agreed <i>good governance mechanism: transparency, accountability and participation</i> in target areas (tariff collection support) (At least one training and one consultative workshop for suppliers of at least ten water supply and sanitation systems);</p> <p>1.11 Implementation of consumer rights protection mechanisms and promotion of adequate consumer behavior in relation to their responsibility to pay for water supply and sanitation services</p> <p>1.12 Rehabilitation of one drinking water supply and sanitation system in target district where related policy recommendations are to be piloted;</p> <p>1.13 Advocacy campaign and awareness raising amongst national and local level duty-bearers on effective regulatory framework based on subsidiarity principles.</p>			
--	---	--	--	--

<p>Output 2. Support to consumer rights protection mechanism for drinking water supply and sanitation sector</p> <p>Baseline: Water service providers have poor contact with consumers at the ground, lack knowledge and practice on good governance mechanisms; and consumers lack knowledge and practice to demand transparent and accountable service delivery.</p> <p>Indicators:</p> <ul style="list-style-type: none"> ▪ At least 30 disputes handled by the supply organizations; ▪ At least 30 legal, pre-trial and court protection cases handled by consumer groups; ▪ At least 300 individuals increase in confidence and capacity to advocate for their rights 	<p>Targets in 2014 and 2015:</p> <p>2.1 Enhancing and supporting implementation of disputes resolution mechanism for drinking water supply and sanitation service delivery (mechanism developed and implemented for suppliers of at least 10 water supply and sanitation systems);</p> <p>2.2 Rendering legal services for the drinking water consumers (<i>including pre-trial and court protection with special focus on gender, vulnerable and marginalized groups</i>) – through a network of volunteers in three districts consisting from at least 10 local community members in each district;</p> <p>2.3 Consumer voice and feedback mechanism supported in pilot district to improve information and accountability of water supply organizations – targeted support to suppliers of at least 5 water supply and sanitation systems;</p> <p>2.4 Conducting trainings on water integrity, consumer rights protection and dispute resolution mechanisms for duty-bearers and rights holders in water supply and sanitation (three training sessions for at least 90 individuals, i.e. 30 individuals per district).</p>	<ul style="list-style-type: none"> ▪ Enhancing and supporting implementation of disputes resolution mechanism for drinking water supply and sanitation service delivery; ▪ Rendering legal services for the drinking water consumers (<i>including pre-trial and court protection with special focus on gender, vulnerable and marginalized groups</i>); ▪ Consumer voice and feedback mechanism supported in pilot district to improve information and accountability of water supply organizations; ▪ Conducting trainings on water integrity, consumer rights protection and dispute resolution mechanisms for duty-bearers and rights holders in water supply and sanitation; 	<p><i>UNDP Energy & Environment Programme;</i></p> <p><i>GoRT IMCC on water supply and sanitation</i></p> <p><i>Network Members</i></p> <p><i>UNDP Area Office Staff</i></p> <p><i>National Project Manager</i></p>	<p>Sub-total: USD 70,740</p> <p>72100: Contractual Services-Co. (USD 50,000)</p> <p>71300: Local Consultants (USD 15,000)</p> <p>74500: Miscellaneous Expenses (USD 500)</p> <p>75100: Facilities & Administration (GMS 8%) (USD 5,240)</p>
<p>Management (Activity 3)</p>			<p>UNDP</p>	<p>Sub-total: USD 33,372</p> <p>71400: Service Contracts –</p>

				Individuals (USD 30,500) 74500: Miscellaneous Expenses (USD 400) 75100: Facilities & Administration (GMS 8%) (USD 2,472)
			OVERALL BUDGET	USD 250,000

IV. 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 relevant specialists of TajWSS Project, 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.

V. MONITORING FRAMEWORK AND EVALUATION

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following:

Within the annual cycle

- On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table below.
- An Issue Log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.
- Based on the initial risk analysis submitted (see annex 1), a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
- Based on the above information recorded in Atlas, a Quarterly Progress Reports (QPR) shall be submitted by the Project Manager to the UNDP CO through Project Assurance, using the standard report format available in the Executive Snapshot.
- A project Lesson-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the project
- A Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events

Annually

- **Annual Review Report.** An Annual Review Report shall be prepared by the Project Manager and shared with the UNDP CO. As minimum requirement, the Annual Review Report shall consist of the Atlas standard format for the QPR covering the whole year with updated information for each above element of the QPR as well as a summary of results achieved against pre-defined annual targets at the output level.
- **Annual Project Review.** Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the UNDP CO and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.

By the end of project

- **Final Review Report.** A Final Review Report shall be prepared by the Project Manager and shared with the UNDP CO. As minimum requirement, the Final Review Report shall consist of the Atlas standard format for the QPR covering the whole project period with updated information for each above element of the QPR as well as a summary of results achieved against pre-defined project targets at the output level.
- **Final Project Review.** Based on the above report, a final project review shall be conducted during the third quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.

Reports will also be provided to UNDP Goal-WASH Programme based at SIWI on a quarterly basis, and to UNDP HQ on an annual basis. All project outputs will be communicated to the UNDP Water Governance Facility at UNDP Goal-WASH Programme based at SIWI, which will assist in the wider co-ordination of the project with the UNDP Water Governance Facility, draw out any lessons learned and identify and support appropriate programme expansion in Tajikistan and by UNDP internationally. In addition, follow-up and technical support visits from SIWI will be scheduled in coordination with the UNDP CO

Quality Management for Project Activity Results

OUTPUT 1: Support to development and promotion of effective regulatory framework for the drinking water supply and sanitation sector: <i>institutional, functional and legal aspects</i>		
Activity Results (Atlas Activity ID)	<ul style="list-style-type: none"> ▪ Conducting policy research and analysis, development of policy recommendations and plan of actions to support (a) development of effective regulatory framework and (b) private sector involvement for the drinking WS&S sector; ▪ Organization of two study tours for key policy makers to study effective institutional arrangements for policy, regulation and operational roles for drinking WS&S sector; ▪ Support to realization of tariff policy guided by a balanced and participatory approach in drinking WS&S ▪ Support to implementation of developed mechanisms on good governance (<i>transparency, accountability and participation</i>) and tariff policy implementation in target districts; ▪ Rehabilitation of one drinking water supply and sanitation system in target district where related policy recommendations are to be piloted; ▪ Advocacy campaign and awareness raising amongst national and local level duty-bearers on effective regulatory framework based on subsidiarity principles. 	Start Date: Jan 2014 End Date: Dec 2015
Purpose	The main objective of this output is to provide advisory support to key ministries and agencies on the effective regulatory framework for the context of Tajikistan.	
Description	<p>Ministry of Energy and Water Resources will be supported to continue development of a unified state policy for drinking WS&S and coordination of regulatory organizations to implement the state policy; while SUE KMK will be supported to perform the role of coordinating drinking water supply organizations as the focal operator (supplier organization).</p> <p>Moreover, the project will continue to address conflicting situation around a tariff issue that is central to sustainability of interventions in the sector, the project adopted a balanced approach to support every side in addressing the concerns in a cooperative and informed manner.</p> <p>In addition, necessary assessments both legal and institutional will be conducted, gaps will be identified and some policy changes will be recommended to promote private sector involvement in management of drinking water supply and sanitation systems (<i>eg. improved conditions for competitive business environment, different forms of ownership and operational management rights, etc</i>).</p> <p>To translate some of the recommendations in practice a drinking water supply and sanitation system will be built/ rehabilitated in a target district with additional contribution from other projects also implemented in the same district.</p>	
Quality Criteria	Quality Method	Date of Assessment
<ul style="list-style-type: none"> ▪ Increase in willingness to pay and increased tariff collection rates; ▪ # of policy papers and analyses conducted in water and sanitation. ▪ # of policy briefs developed to improve policy, legislative and institutional frameworks compliant with HRBA principles in water and sanitation ▪ # of policy recommendations piloted in target districts; ▪ (a) number of IMCC meeting sessions dedicated to consultations on presented policy briefs; (b) % of recommendations accepted for policy change. 	QPMM; Operational Reports; Assessment Reports; Monitoring Reports; Trainings Report Water supply coverage statistics Government decrees Decisions of Parliament IMCC minutes and resolutions Baseline and end-line surveys Research papers	Upon completion of activity Quarterly Bi-annually Annually Final Reports

OUTPUT 2: Support to consumer rights protection mechanism for drinking water supply and sanitation sector		
Activity Results (Atlas Activity ID)	<ul style="list-style-type: none"> ▪ Enhancing and supporting implementation of disputes resolution mechanism for drinking water supply and sanitation service delivery; ▪ Rendering legal services for the drinking water consumers (including pre-trial and court protection with special focus on gender, vulnerable and marginalized groups); ▪ Consumer voice and feedback mechanism supported in pilot district to improve information and accountability of water supply organizations; ▪ Conducting trainings on water integrity, consumer rights protection and dispute resolution mechanisms for duty-bearers and rights holders in water supply and sanitation; 	Start Date: Jan 2014 End Date: Dec 2015
Purpose	The objective of this component is to contribute to the empowerment of consumers in realization of the principles of human rights based approach to water and sanitation.	
Description	<p>The support is built on the initiative launched in 2013 with consumer groups in the result of which a consumer protection mechanism had been designed and planned for implementation in the new phase of GoAL WaSH Programme. The project will follow-up with new activities to support implementation of dispute resolution mechanisms for drinking water supply and sanitation services; render legal services for the consumers and support establishment of consumer voice and feedback mechanisms in pilot areas to improve information and accountability of water supply organizations and increase responsible consumer behavior and participation</p> <p>In this phase, more suppliers and consumers will be provided with trainings on Water Integrity with special focus on corruption in the water sector and countering measures. The training 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 project will invite both national and (pilot) district level representation in the training courses.</p>	
Quality Criteria	Quality Method	Date of Assessment
<ul style="list-style-type: none"> ▪ Number of disputes handled by the supply organizations; ▪ Number of legal, pre-trial and court protection cases handled by consumer groups; ▪ Number of consumer feedbacks received and addressed by target supplier organizations; ▪ Number of people increase in confidence and capacity to advocate for their rights 	QPMM; Operational Reports; Assessment Reports; Monitoring Reports; Training Report Water supply coverage statistics IMCC minutes and resolutions Baseline and end-line surveys Research papers Gender analysis/capacity assessment Operators book keeping Press reviews	Upon completion of activity Quarterly Bi-annually Annually Final Reports

VI. LEGAL CONTEXT

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 the SBAA [or other appropriate governing agreement] 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".

ANNEXES

- I. Risk Analysis:
- II. Budget.

ANNEX I. RISK ANALYSIS

Project Title: Support to promotion of effective regulatory framework and private sector involvement for drinking WS&S sector in Tajikistan					Award ID:		Date:	January 2014	
#	Description	Date Identified	Type	Impact	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
1	Lack of responsiveness amongst regulatory agencies concerning formulated policy changes and recommendations	November 2013	Organizational Political Strategic	The occurrence of the risk would determine the failure of the project for the agency concerned	Conduct close consultations with the regulatory agencies on adopted approaches; advocate more thoroughly the consumer interest and concerns through formalized and open channels.	Project Manager	Project Manager	February 2014	New
2	Slower than expected implementation of good governance and consumer rights protection mechanisms in target districts due possible lack of participation from consumers and suppliers	November 2013	Organizational Strategic	The occurrence of the risk will force the downscaling of the activities	Involvement of active members of communities, advocates, local MPs, and government authorities to inform of the benefit and long-term objectives of the project activities. Follow-up events to inform at the onset, mid and end of the project.	Project Manager	Project Manager	February 2014	New
4	Lack of relevant technical specialists at the national policy level	November 2013	Institutional	The occurrence of the risk will be an obstacle in the project implementation and the sustainability the WSS sector at the local level.	Provide support for capacity building training and development for governmental authorities on a regular basis.	Project Manager	Project Manager	February 2014	New

ANNEX II: BUDGET

(attached separately in MS Excel document)