



Empowered lives.
Resilient nations.

PROJECT DOCUMENT

Tajikistan

Project Title: Tajikistan Water Supply and Sanitation (TajWSS) Project, Phase III

Project Number: 00107566

Implementing Partner: Ministry of Energy and Water Resources of Republic of Tajikistan

Start Date: July 01, 2018 **End Date:** June 30, 2021 **LPAC Meeting date:** 05 September 2018

Brief Description

This document outlines UNDP’s water, sanitation and hygiene approach for Phase III of Tajikistan Water Supply and Sanitation (TajWSS) Project, which will be implemented in partnership with the Oxfam Great Britain. It draws heavily on lessons learnt in Phases I and II. UNDP addressed institutional and policy challenges from consumer and service provider perspectives to sustain project results and smoothly transit into Phase III. UNDP’s specific role in this project is to strengthen policy development and reform at the national level in the sphere 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 TajWSS Network of Stakeholders in the development of legislative frameworks and institutional strengthening.

Moreover, at policy level, more efforts will be diverted to national sanitation plan development and cost-effective Water Supply and Sanitation scheme installation in rural settings.

Contributing Outcome (UNDAF/CPD, RPD or GPD, SDG):

UNDAF Outcome 4: The nutritional status of the people in Tajikistan is improved through stable access to sufficient, appropriate and safe food, improved child feeding practices, better water and sanitation and improved access to quality health care

CPD Outcome 2: People in Tajikistan benefit from equitable and sustainable economic growth through decent and productive employment, stable energy supply, improved access to specialized knowledge and innovation and more favourable business environment especially for entrepreneurs and farmers

Indicative Output(s) with gender marker²: GEN 2

SDG: SDG 6 Indicator 6.1 and SDG 3, indicator 3.9

Total resources required:	USD 441,112	
Total resources allocated:	UNDP TRAC:	
	Donor:	\$441,112
	Government:	
	In-Kind:	
Unfunded:		

Agreed by (signatures):

UNDP
Mr. Jan Harfst, UNDP Country Director
Date: 26-09-2018



1

 26.09.2018

I. DEVELOPMENT CHALLENGE

Since the end of its five-year long civil war (1992-1997), Tajikistan has made steady progress in the transition from emergency to post emergency and long-term development. The ongoing reform processes (such as new laws, policies and institutions) have created a more effective working environment in the WASH sector. Nevertheless, significant challenges remain, particularly concerning the slow pace of reform and sustainability of water supply and sanitation infrastructure. Recent estimates provided by the World Bank (2017) for Tajikistan put improved water supply access at 74% with national access to improved sanitation at 95%. However, there is high disparity between urban and rural populations and national averages hide the fact that many WASH systems have subsequently broken down or deteriorated post construction. It is estimated that only 15-20% of the population in Tajikistan have access to sewerage, while the water sector development strategy reports that water supply infrastructure in Tajikistan has declined by 70% (UN, 2016). This has significant implications for poverty alleviation, health and the achievement of the Sustainable Development Goals (SDGs).

Although Tajikistan made steady progress from 2000-2015 to improve access to safe drinking water and sanitation, it failed, (along with Uzbekistan from Central Asian region), to achieve its MDG WASH targets. According to the Joint Monitoring Programme (JMP) Report (JMP, 2017), as of 2015 only 47% of Tajikistan's population is cited as using 'safe and accessible water supplies (including piped borne water). This forms the baseline figure for the achievement of SDG 6 and demonstrates the significant gaps in sustainable service delivery that remain. The JMP (2017) report provides limited data on sanitation progress, but indicates that 31% of the population uses latrines, septic tanks and sewer connections, but without these services being rated as 'safely managed'. Currently, Tajikistan has adopted 5 commitments under SDG by 2030 which are tabulated below:

Rural areas are particularly badly affected and progress in achieving sustainable water supply and sanitation services has been frustratingly slow for these populations. For example, the proportion of rural households who gained access to improved water supply on their premises largely remained unchanged from 2000-2016. Where "improved" water supply services do exist, consumers reported problems with intermittent supply, reduced access and high water scarcity in the summer months (World Bank, 2017). **This implies a stronger focus on sustaining water supply systems post construction is required.**

Access to sanitation and hygiene services, and the wider management of fecal sludge, also gives grounds for concern. In 2017, nearly 5.7 million people in Tajikistan (of which 97% live in rural areas) do not have sewerage, and many are reliant on pit latrines. Even where sewerage is available, grey water is usually discharged into open drains. The rehabilitation of sewerage and treatment facilities has not been conducted over the past 20 years, and this has resulted in minimal wastewater treatment. In small towns and rural areas, wastewater produced by households and industries is discharged into the soil and environment without treatment. About 70% of all infectious diseases in Tajikistan are intestinal and most of them water and hygiene related. **This requires systems to be put in place – both hardware and software – to implement and sustain sanitation and sewage services, and hygiene behaviors.**

In Phases I and II, progress in achieving policy advocacy goals has worked well in some areas and less so in others. In Phase III Project aim is to engage in policy dialogues and showcase good practices. This will be achieved by collecting, validating and analysing monitoring data that will show the impacts of the project work. Policy advocacy work will link integrally with the service delivery work implemented by project partner. This means advocacy work in Phase III will have increased focus on research and learning. By documenting what does and does not work in Phase I and II; publishing and disseminating knowledge, advocacy approach will have even greater credibility and impact. Project will also place emphasis on equity, ensuring that people are not excluded from WASH services on the grounds of race, religion, gender or disability.

II. STRATEGY

UNDP plays a crucial role in supporting the country's reforms efforts and the development of a national strategy for poverty alleviation. Moreover, under Phase II UNDP is strengthening drinking water sub-sector reform through the establishment and support of the Inter-Ministerial Coordination Council (IMCC) on drinking water and water supply and is providing technical assistance for its Secretariat. The IMCC (now renamed as IMWG) was formed to assist in design and implementation of the state policy on development of drinking WS&S sector in Tajikistan, as well as carry out results monitoring for implementation of laws, programs and strategies endorsed by the GoT. The project's key priority is to strengthen the policy and institutional reform for drinking WSS sub-sector.

UNDP remains a reliable partner to the Government of Tajikistan at highest level and as an important UN agency is also highly regarded by the relevant state agencies due its multi-sector development support, rendering expertise in policy reform and governance. With UNDP support, TAJWSS project was able to create umbrella platforms (IMWG and Network of Stakeholders) for the subsector bringing state and non-state service providers, line-ministries and agencies, international and national NGOs, financial institutions, and private sector in advocating development solutions for sustainable drinking water supply and sanitation. UNDP will strengthen the given platform later to be taken over by the MEWR.

In Phase III, UNDP will continue to facilitate the policy dialogue at the National level through the National Policy Dialogue for IWRM, which was created during Project Phase I, and IMWG. UNDP will also promote complementary support between collaborating project implementing agencies/organizations towards cost-effective project implementation with policy/governance support for other projects implemented on the ground. This will help share the costs and provide added value beyond TajWSS project targets.

On the issue of Policy Advocacy, in Phases I and II UNDP has worked with national stakeholders to advocate and influence national WASH policy. This has adopted an "insider" approach with UNDP sitting down with decision-makers in central Government Ministries, Departments and Agencies. The rationale behind this approach is that improved policy decisions could significantly advance improvements in WASH service delivery. This approach worked well in Phase I, but there are signs that getting policies and laws passed and implemented is increasingly difficult. In Phase III UNDP will focus on outstanding policy issues that have a higher probability of gaining traction.

In Phases I and II, progress in achieving policy advocacy goals has worked well in some areas and less so in others. In Phase III project aim is to engage in policy dialogues and showcase good practices. This will be achieved by collecting, validating and analysing monitoring data that will show the impacts of project work. Project's policy advocacy works will link integrally with service delivery work implemented by project partner Oxfam. This means advocacy work in Phase III will have increased focus on research and learning. By documenting what does and does not work in Phase I and II; publishing and disseminating knowledge, Project's advocacy approach will have even greater credibility and impact. Project will also place emphasis on equity, ensuring that people are not excluded from WASH services on the grounds of race, religion, gender or disability.

The project will also include an increased focus on Sanitation, including addressing issues related to the overall policy environment and institutional framework; safe waste water disposal; toilets in rural schools, clinics and other public facilities, with an emphasis on girl and women friendly environments; improved latrines at the household level; public health promotion; establish realistic and appropriate minimum standards, guidelines, norms for sanitation & water quality.

III. RESULTS AND PARTNERSHIPS

Expected Results

The overall project's expected result is stated as "Improved access to water and sanitation for rural women and men is enabled through approval of key water policies in Tajikistan by 2021". Project intends to allow conducive policy environment at national level for effective management of drinking water and sanitation systems in rural areas.

The aim of project's policy advocacy work in Phase III will be to document and publish field experiences so it can contribute to improved practices on a larger scale. The outcome of this work is more difficult to quantify because some aspects of policy advocacy work out of project direct control. However, UNDP will focus primarily on gaining policy approval for documents published in Phases I and II, and sanitation plan:

1. Development of revised version of the Law on Drinking Water with sanitation section included;
2. Development of cost-effective (a) water supply and (b) sanitation construction standards and norms for rural setting (revised SNiP);
3. Improved taxation policy for rural WS&S;
4. Endorse improved tariff policy development and its implementation for rural WS&S;
5. Development and approval of State Sanitation Plan
6. Development of policy briefs for each component of the project;
7. Deliver public awareness campaigns using local media.

These are documented in the Logframe. While the progress achieved to date is considered substantial, more work is yet to be done to follow-up on 'partially achieved' policy actions and continue dealing with important policies that were launched in last years of Phase II being carried over Phase III. In specific, the project will focus on achievement of the following outputs/results

Output 1: Key water policies enacted (taxation, tariff, water quality, construction norms and standards).

- *Revised technical norms and standards for construction of water supply and sanitation systems endorsed by the government;*
- *Fully recoverable tariff calculation methodology approved by the government;*
- *Policy recommendations approved on taxation policy;*
- *Law on Drinking water approved with new edition*

Output 2: Key sanitation regulations developed: wastewater management and disposal.

- *State Sanitation Plan approved with specific action plans;*
- *Technical guideline on wastewater developed for sanitation sector operators;*

Output 3: Policy briefs and analyses on water and sanitation sector reforms.

- *4 key water and sanitation policy briefs documented and published;*
- *Research paper on financial contribution of GoT and development partners in water and sanitation sector developed.*

In particular, the project will continue to advocate for a **clearer separation of roles** between line ministries and agencies on the roles of policy, regulation and service delivery. This matter is currently under consideration whilst implementation of the national IWRM-based reform is ongoing. Institutional restructuring of SUE KMK to 6 regional hubs with the aim of strengthening their service delivery role (apart from regulatory functions) is part of such ongoing reforms being supported by the EBRD funding. This work is part of integrating Human Rights Based Approach (HRBA) concept in the governance system of drinking WS&S sector. More importantly, **tariff**

policy improvement and implementation remains one of the highest priorities for Phase III as there is greater need to advocate for change. Some important achievements in that area have identified there are favourable conditions to push for fully-recoverable cost recovery tariffs at larger scale. The newly developed regional hubs of KMK have meaningful plans to achieve such goals. The new policy actions that are to be dealt with include **sanitation, construction norms and standards** (revision), and **taxation policy** improvement. The latter two policy actions are aimed at improving cost-effectiveness of drinking WS&S systems, including better construction and management in rural areas. UNDP's approach will be to work with the IMWG and the Thematic Working Groups (TWGs) to discuss and leverage change on important issues. These platforms provide an opportunity to discuss important issues, challenges and propose realistic solutions. These proposed solutions can then be discussed with relevant decision-makers.

In Phase III, TajWSS will continue to provide advice and guidance to the TWGs. This will be achieved by commissioning important studies, undertaking high quality research and advocating for change either with individual decision-makers or the IMWG. In Phase III advocacy efforts will target national key stakeholders in the drinking water and sanitation sectors, with whom UNDP will engage. Examples include: MoEWR who drives major policy reforms in the water sector, SUE, KMK who are a major service provider, Ministry of Health and Social protection who is in charge for sanitation safety on national level, Committee of Architecture and Construction who is responsible for technical policy, Ministry of Finance who considered as key stakeholder in the area of financial sustainability of sectors and etc. Project's policy and advocacy work will be linked to activities at the grass root level where partnering organization Oxfam working. The policy advocacy works which will be facilitated during the project lifespan by UNDP will include establishing thematic working groups with participation of respective stakeholders and delivering advocacy works under the respective ministry/agency. UNDP will work as mediator to ensure that for policy advocacy all stakeholders have equal position to voice their concerns and by creation of enabling environment ensures for policy changes.

In this vein, TAjWSS supports and engages with actors and stakeholders at all levels in order that positive gains at the national level are implemented at the local level and that local level considerations and experiences inform decision-making at the national level. Central to TAjWSS will be an effort to continue to engage stakeholders and actors to work towards a common vision and view of success. At the national level, through the Network and the IMWG, changes to the WS&S institutional structure will be advocated through targeted influencing of the policy reform process. UNDP will ensure that the concerns occurred at grass-root level delivered to UNDP by project partners Oxfam and Consumers Union of Tajikistan reflected to policy changes and all policy changes are results oriented and pave the road to sustainable development of the drinking water and sanitation sectors in Tajikistan.

In addition to above mentioned outputs, UNDP will advocate for integration of gender considerations at the national level. The project will ensure women benefit from improved policies of the drinking water and sanitation sectors and that respective adopted policies also cover women needs. These initial recommendations focus on influencing the process UNDP is engaged on with the Government of Tajikistan, to ensure gender is considered in drinking water and sanitation policies at all levels of the government. UNDP will advocate for minimum performance standards to include gender considerations including different gender needs, consistent consultation with women on drinking water and sanitation needs, and equal participation of women in decision-making processes related to drinking water and sanitation policies. The expected outcome of the gender mainstreaming within the project is that women have equal access to drinking water and sanitation services at national level and benefit from the improved policies.

Project interventions designed to make inputs to globally and nationally adopted goals and strategies. More specifically, project supports to achieve Sustainable Development Goals (SDG) 6 and SDG 3. Along the SDGs project provides enabling environment to achieve the National Development Strategy of Tajikistan 2030 and UNDAF outcomes. In addition to this project directly contributes to implementation of the water sector reform program in Tajikistan.

Resources Required to Achieve the Expected Results

Total project budget is USD 441,112 USD. In addition to the available resources UNDP will mobilize dedicated team to achieve the project's expected results.

UNDP is the implementing agency and responsible for the overall management and coordination of the project. UNDP will maintain the existing management structure of the project: Project Manager, Water Cluster Coordinator and Program Admin and Finance Associate. To ensure the content of the policy briefs and policy recommendations of drinking water and sanitation sectors for approval are addressing the needs, UNDP will also seek to engage individual national experts.

Partnerships

At national level, project will continue to advocate for government institutions to step up and take greater responsibility for the sustainable provision of WASH services. However, Project will approach this in a positive manner and use field experiences of project partners and documented learning to show what is possible if some simple measures are introduced. Project will also continue to work with development partners and advocate for multi-year funding and the space to trial innovative and flexible programme approaches that reflect the complexities of WASH work in Tajikistan at policy level. In particular project will coordinate its activities with local stakeholders, such as: Ministry of Energy and Water Resources (MoEWR); Anti-Monopoly Agency (AMA); Ministry of Finance (MoF), Ministry of Health and Social Protection (MoH); SUE KMK; State Committee of Architecture and Construction and etc.

Risks and Assumptions

	Main identified risks related to the intervention	Probability of incidence (low, medium, high)	Impact (low, medium, high)	Planned measures (for mitigation or others)
General	Tajikistan experiences economic problems or natural disasters that weakens Government effectiveness.	Medium	High	Continue to work with Government institutions to build capability and strengthen resilience.
	General unwillingness of institutions to reform or become more accountable.	Medium	Medium	Work with institutions and senior managers to demonstrate the benefits to both individuals and institutions.
	Government reshuffle leads to changes in key personnel and loss in programme momentum.	Medium	Medium	Advocate for ongoing reforms and use media campaigns to highlight their importance and progress being made.
Specific	Advocacy campaigns lose traction and progress stagnates.	Medium	Medium	Align advocacy work to practical field activities. Focus on a smaller number of advocacy initiatives that are a priority for the WASH sector.

Limited funding and resources set aside to implement new policies and laws.	Medium	Medium	Provide detailed costing and help Government understand the cost benefit of pursuing new WASH policies and laws. Also identify other donors interested in funding and raise funds for implementation of new policies and laws.
Policy actions can be affected by major policy reforms such as health reform, formation of new state institutions on health, environment and water resources	Medium	High	Close review of government actions in policy reforms and hold consultation to mitigate the risk on the project. Detailed policy risk analysis and action plan update on this regard.

Stakeholder Engagement

Project interventions will engage with many institutions at multiple levels (local, regional and national). At macro level, project will continue policy advocacy work with the central Government. By working at multiple levels, there is an opportunity that can adopt the principle of modularity. This refers to the potential for local level systems to function (albeit not perfectly) even in the absence of adequate external support from central government. This is an important consideration as project enter Phase III and develop exit strategies.

Macro level (National Government): The Project will continue its focus on advocating changes in policy legal framework and networking with all stakeholders. UNDP, as one of the most active donor agencies in policy dialogue, will continue to contribute to the water sector reform in close coordination with the MEWR and other donors. UNDP will continue to facilitate the policy dialogue at the national level through the National Policy Dialogue for IWRM and in particular through the IMWG, which was created during Project Phase I. Project will use the IMWG platform to ensure linkages and synergies with relevant stakeholders exists and coordinated efforts towards addressing the issues of drinking water and sanitation is in place. Key policies issues that will be addressed by UNDP are the following: (i) changes in the legislative and institutional framework, (ii) Implementation of the tariff methodology at the national, regional and local level, (iii) advocate for and support the process of decentralization, (iv) identify roles and responsibilities of state and non-state actors in rural water and sanitation provision and (v) development of cost-effective water and sanitation construction standards for rural setting.

Meso level (oblast and district): the project will continue to build capacity of state and non-state actors at the district level, train WUAs and Mahalla Committees, and focus mostly on exploring the alternative of building cost-effective sanitation facilities at household level. The project will strengthen the ability of community-based groups to advocate on behalf of consumers and effectively engage with local authorities and decision-makers, including design and implementation of a mechanism to include water supply and sanitation into the District Development Plan (DDP).

Micro level (Jamoat and village): the project intends to work with communities and users, through CBOs, specifically targeting women as the main users of the systems to increase and safeguard their access to WSS services. It will also encourage Jamoats (sub-district self-government bodies), villages and interest groups to propose own strategies to improve WSS in their villages and Jamoats.

UNDP will work more on macro level while partner organization Oxfam will work on Meso and Micro levels. UNDP will set up clear coordination mechanism with Oxfam to ensure that the grass-

root experience in the sphere of drinking water and sanitation are integrated and reflected in the policy works carried out by UNDP. Project team will work close with Oxfam WASH team to identify and analyze needs and concerns in the drinking water sector and sanitation which needs to be reflected in policy papers.

The Phase III of the Project will give further attention to engaging civil society with the Government for more inclusive policies. In the first stage the direct project beneficiaries would be the respective governmental ministries and agencies.

The activities under respective project components such as sanitation, technical, financial and regulatory policies will be consulted and coordinated with stakeholders. Specifically, for:

- New edition of law on drinking water, water supply and sanitation UNDP will work with MoEWR;
- For construction norms and standards of water and sanitation facilities with Committee of Architecture and Construction;
- For Sanitation Development Plan with MoH;
- For taxation policy with MoF;
- For tariff methodology with AMA.

Indirect project beneficiaries are drinking water supply and sanitation service providers who will benefit from the changed policies and regulations and communities in the rural areas who will have ability to manage drinking water supply and sanitation systems in sustainable manner.

South-South and Triangular Cooperation (SSC/TrC)

In Phase III project will place renewed effort on documenting partner's field experiences and learning in order to influence policy work, particularly ensuring official recognition of ownership and management rights over water supply and/or sanitation systems by CBOs at local level and testing cost-recovery tariff systems, which were put forward for consideration. Close partnership will be established with SDC funded project on rural water supply and sanitation implemented in Fergana valley by International Secretariat for Water (ISW). In cooperation with ISW, Project outcomes will be shared with neighbouring country Uzbekistan. In addition to this, close partnership will be established with Stockholm International Water Institute GoAL WaSH project who promotes better water governance in the region of Central Asia and other countries. There are already tight linkages exists with SIWI and using this linkages project will share its achievements for wider range of stakeholders. For improving the legislative basis of the drinking water sector project has already practices of experience exchange with Fin Waterway project support by government of Finland and with Finnish Environmental Institute. In the framework of this project these linkages will be used for enriching the content policy documents by sharing the documents with Finnish Environmental Institute. Project will also engage at multiple levels in the knowledge that local level service delivery work and transfer the knowledge for higher level decision-making. UNDP will accelerate the work of Inter-Ministerial Working Group by creating enabling environment and establishing equal partnerships and free from conditionality. This platform will be used to embrace a multi-stakeholder approach to address the challenges of the drinking water supply and sanitation sectors.

Knowledge

In Phase III, UNDP will continue to facilitate the policy dialogue at the National level through engagement of relevant key stakeholders in development of policy and legislation frameworks using various platforms, such as National Policy Dialogue for IWRM, which was created during Project Phase I, and IMWG. UNDP will also promote complementary support between collaborating project implementing agencies/organizations towards cost-effective project

implementation with policy/governance support for other projects implemented on the ground. To do so, UNDP will produce analytical policy briefs and researches for each policy components to advocate policy changes in the technical, political, financial and other aspects of drinking water and sanitation sectors. Each project component will be documented, and policy briefs will be developed and shared. The media advocacy in the framework of the project will be used as an important tool to share the project's lessons learnt and share the project experience. In close collaboration with UNDP communication team project will develop a detailed communication strategy/plan for the project to ensure an adequate visibility of the project interventions in media and beyond and create synergies with other UNDP related projects. This modality of the knowledge sharing will provide opportunity for development partners to better plan and increase the effectiveness of their interventions in drinking water supply and sanitation policy improvements.

Sustainability and Scaling Up

This section summarizes the measures project will take to ensure project benefits are sustained. Priority will be to plan for sustainability from the beginning of Phase III. This means that the project will develop a planned exit strategy. Over a four-year period, project will also look to strengthen technical, ownership over initiative, joint decision making and building networking among state stakeholders involved in area of drinking water and sanitation. The policy work which will be lead by UNDP in the framework of the project structured with sustainability in mind.

More specifically the technical policy in area of drinking water supply with CoAC will ensure that the cost for the construction of the drinking water supply and sanitation facilities will be reduced significantly and thus enabling more investment in the sector channeled. This will also insure that new technologies of sanitation and drinking water supply in rural areas are introduced that met the requirements of committee of architecture and construction.

As for financial policy UNDP's intervention to improve taxation policy will ensure that rural operators have improved taxation system and tax burdens are not more obstacle for financial stability of these organizations. Endorsing tariff policy also have strong implication to sustainability of drinking water operators when tariff for drinking water is set up by unified tariff policy approved by GoT. This is considered as additional financial mechanism for rural operators to improve their financial stability.

Project activities toward improving sanitation policy on national level is guided with the principle that MoH takes ownership over sanitation policy and developed Sanitation Development Plan will be used as guideline to improve sanitation sector. It is expected that MoH will ensure the participation of all stakeholders and applies integrated approach towards improving sanitation in the country. The lessons learned from the partners from the field and day-to-day policy advocacy on national level leaded by UNDP will ensure that state stakeholders provide their inputs for sustainable sanitation management.

Regarding project's coordination work with TAJWSS, project will continue to provide capacity building support over the life-span of the project. There are four transitions project would like TAJWSS network to make in Phase III so that it is more sustainable. The first transition is the ability to collate and analyse sector data, so the coordination platform can distil the main issues development partners should address. The second transition will be to foster a learning culture, so the network provides a platform for sharing learning experiences that can be replicated elsewhere. The third transition will be to establish closer links between national and local coordination mechanisms, so that these structures have clear development plans going forward and can attract new financial support from other donors.

At national level, project will continue to advocate for government institutions to step up and take greater responsibility for the sustainable provision or WASH services. However, Project will approach this in a positive manner and using the lessons learned from experiences of the project partners in the field and document learning to show what is possible is some simple measures are

introduced. Project will also continue to work with international donors and advocate for multi-year funding and the space to trial innovative and flexible programme approaches that reflect the complexities of WASH work in Tajikistan.

To ensure the policy outcomes of project activities reached out throughout the country, project will organize press conferences for the specific issues of water and sanitation sectors on regular basis. This action will act as public awareness campaign and will assist to share positive practices in the operation and management of the drinking water and sanitation sectors.

IV. PROJECT MANAGEMENT

Project Management

The rationale for implementation of intervention is to increase the utilization of good practices and lessons learned from the previous phases of the TajWSS project. Project core resources economically justified, and project aims to apply principles of increasing the value of outcomes. To ensure the efficiency and effectiveness of the resources project will conduct value for money analysis of each interventions during the implementation.

UNDP is the implementing agency and responsible for the overall management and coordination of the project. UNDP will maintain the existing management structure of the project: Team Leader on Climate Change, DRR and Energy and Environment, Energy and Environment Program Manager, Water Cluster Coordinator and Program Admin and Finance Associate (part-time)

The overall lead for the project will be assured by the UNDP Water Cluster Coordinator, under overall guidance and support from the wider UNDP management and advisory support structure. This includes line management of Energy and Environment Program and Programme Unit of UNDP Country Office. As UNDP is a large and wide-reaching organization, there is also a standing advisory team of experts available in various aspects of water and sanitation engineering, tariff policy, sanitation policy, and policy advocacy etc. The UNDP team will be based in the existing premises in UNDP Dushanbe.

V. RESULTS FRAMEWORK

Intended Outcome as stated in the UNDAF/Country Programme Results and Resource Framework:

UNDAF Outcome 4: The nutritional status of the people in Tajikistan is improved through stable access to sufficient, appropriate and safe food, improved child feeding practices, better water and sanitation and improved access to quality health care

CPD Outcome 2: People in Tajikistan benefit from equitable and sustainable economic growth through decent and productive employment, stable energy supply, improved access to specialized knowledge and innovation and more favourable business environment especially for entrepreneurs and farmers

Outcome indicators as stated in the UNDAF Results and Resources Framework, including baseline and targets:

Indicator 4.9. % of the population with (a) access to an improved source of drinking water and (b) access to improved sanitation facility.

Baseline: (a) access to improved source of drinking- water: Rural: 64.0%; Urban: 93.0%; (b) access to improved sanitation facility: Rural: 94.6%; Urban: 93.6%;

Target: (a) access to improved source of drinking- water: Rural: 74%; Urban: 97%; National: 71.7%; (b) access to improved sanitation: Rural: 30%; Urban: 50%

Applicable Output(s) from the UNDP Strategic Plan:

SP Output 1.4.1: Solutions scaled up for sustainable management of natural resources, including sustainable commodities and green and inclusive value chains

Project title and Atlas Project Number: Tajikistan Water Supply and Sanitation (TajWSS) Phase III, 00107566

EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)				DATA COLLECTION METHODS & RISKS	
			Value	Year	Year 1	Year 2	Year 3	Year 4		FINAL
Output 1 Key water policies enacted (taxation, tariff, water	<i>1.1</i> Revised technical norms and standards for construction of water supply and sanitation systems endorsed by the government (target: 1, baseline: 0)		0	2018			1		1	Decree of approval issued

quality, construction norms and standards).	I.2 Fully recoverable tariff calculation methodology approved by the government (target: 1 methodology approved, baseline: 1 methodology drafted)	1	2018	1	1	1	1	Decree of approval issued
	I.3 Policy recommendations approved on taxation policy (target: 1 recommendation approved, baseline: 3 recommendation drafted)	1	2018	1			1	Decree of approval issued
	I.4 Law on Drinking water approved with new edition (including sanitation and gender equality) (target: 1 approved, baseline: 1 drafted)	1	2018	1			1	Law on Drinking water approved by the GoT
	2.1 State Sanitation Plan approved with specific action plans including gender sensitivity on access to sanitation facilities (target: 1 action plan, baseline: 0)	0	2018			1		Decree of approval issued
Output 2 Key sanitation regulations developed: wastewater management and disposal, public private partnership	2.2 1 technical guideline on wastewater developed for sanitation sector operators and for rural women (target 1 guideline, baseline: 0)	0	2018			1		<i>Guideline developed and distributed among stakeholders</i>

Output 3 Policy briefs and analyses on water and sanitation sector reforms	3.1 At least 4 key water and sanitation policy briefs documented and published (target: 4 policy documents published, baseline: 0)		0	2018	1	1	1	1	4	4 policy briefs developed and published
	3.2 1 research paper on financial contribution of GoT and development partners in water and sanitation sector (target: 1 research paper, baseline: 0)		0	2018		1			1	1 research conducted

VI. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans:
[Note: monitoring and evaluation plans should be adapted to project context, as needed]

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.		
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.		
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.		
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Bi-annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to		

				make course corrections.		
Project Report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk log with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the project (final report) + project reports will be prepared based on the reporting schedule specified in the Financing Agreement with the donor				
Project Review (Project Board)	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Specify frequency (i.e., at least annually)		Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.		

Evaluation Plan

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
e.g., Mid-Term Evaluation						

VII. MULTI-YEAR WORK PLAN

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year				RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1	Y2	Y3	Y4		Funding Source	Budget Description	Amount
Output 1: Key water policies enacted (taxation, water quality, construction norms and standards).	1.1 Support to improvement of taxation policy and practice for rural drinking WS&S	2,000	6,500	6,500		UNDP, EEP	Oxfam GB	1.1	15,000
	1.2 Development of technical Standards and Norms (SNIPs) for construction of small-scale rural DWS&S systems (including economic comparative valuation of costs);	10,000	10,000			UNDP, EEP	Oxfam GB	2.1	20,000

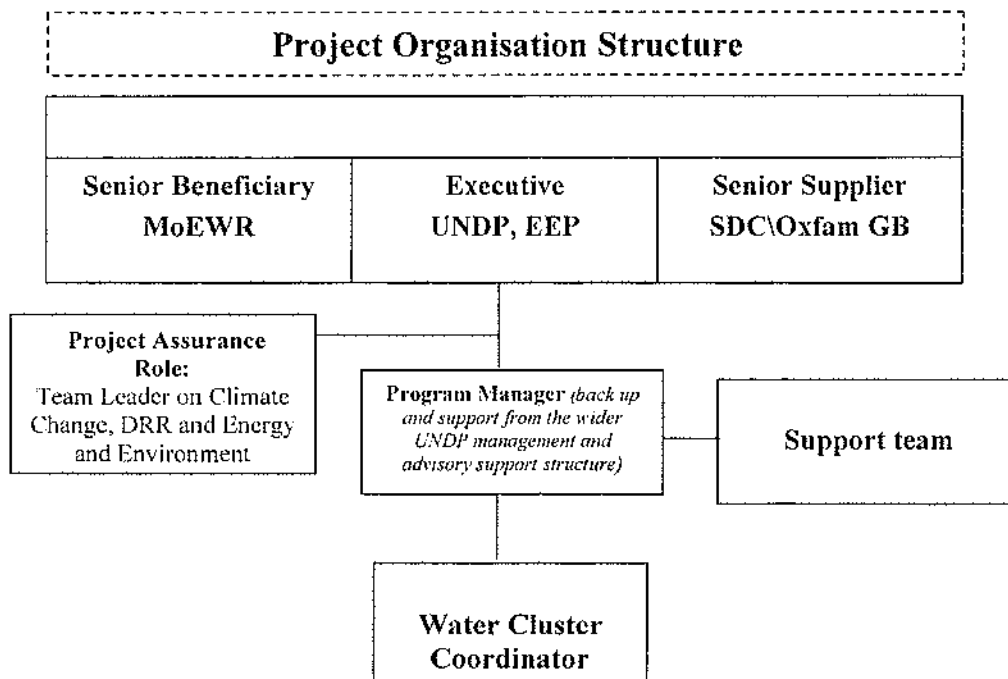
Output 2: Policy briefs and analyses on water and sanitation sector reforms:	1.3 Improvements to sanitation standards and norms applicable to rural sanitation systems and approaches (Actions include development of technical Guidelines for waste water management and disposal, as well as sewage and grey water management)	23,000	23,000	4,000	4,000	23,000	4,000	UNDP, EEP	Oxfam GB	2.2	50,000
	1.4 Development of revised version of Law on drinking water supply and sanitation	4,000	10,000	4,000	4,000			UNDP, EEP	Oxfam GB	3.1	18,000
	MONITORING										
	Sub-Total for Output 1										103,000
	2.1 Inter-ministerial working group on drinking water and Sanitation	2,000	10,500	2,000	10,500	2,000	10,500	UNDP, EEP	Oxfam GB	4.1	25,000
	2.2 Endorse Sanitation Plan on National level	5,000	7,500	3,000	7,500			UNDP, EEP	Oxfam GB	5.1	20,000
	2.3 Media Advocacy	3,000	15,000	2,000	15,000	2,000	15,000	UNDP, EEP	Oxfam GB	6.1	35,000
	2.4 Tariff policy endorsement and policy briefs	3,000	3,000	3,000	3,000	3,000	3,000	UNDP, EEP	Oxfam GB	7	12,000
	MONITORING										

Sub-Total for Output 2											92,000	
Project support cost					5,000	27,500	27,500	7,000	UNDP, EEP	Oxfam GB	8	67,000
Management cost (national)					25,000	53,711	53,712	46,689	UNDP, EEP	Oxfam GB	9	179,112
Subtotal for project support and management cost												246,112
Total per operational year					59,000	166,711	150,712	64,689				441,112
TOTAL												

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Explain the roles and responsibilities of the parties involved in governing and managing the project. While an example diagram is below, it is not required to follow this diagram exactly. A project can be jointly governed with other projects, for example, through a national steering sub-committee linked to Results Groups under the UNDG Standard Operating Procedures for countries adopting the Delivering as One approach.

Minimum requirements for a project's governance arrangements include stakeholder representation (i.e., UNDP, national partners, beneficiary representatives, donors, etc.) with authority to make decisions regarding the project. Describe how target groups will be engaged in decision making for the project, to ensure their voice and participation. The project's management arrangements must include, at minimum, a project manager and project assurance that advises the project governance mechanism. This section should specify the minimum frequency the governance mechanism will convene (i.e., at least annually.)



IX. LEGAL CONTEXT

Option a. Where the country has signed the Standard Basic Assistance Agreement (SBAA)

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of (country) and UNDP, signed on (date). All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by [name of entity] (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value

for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

X. RISK MANAGEMENT

Option b. UNDP (DIM)

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds]¹ [UNDP funds received pursuant to the Project Document]² 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/sc/committees/1267/aq_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
6. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:
 - a. Consistent with the Article III of the SBAA [*or the Supplemental Provisions to the Project Document*], the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
 - i. 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;
 - ii. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.

¹ To be used where UNDP is the Implementing Partner

² To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

- b. 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 the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.
- c. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
- d. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.
- e. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
- f. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

- g. *Choose one of the three following options:*

Option 1: UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any responsible party's, subcontractor's or sub-recipient's obligations under this Project Document.

- h. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no

fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.

- i. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
- j. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.