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PROJECT DOCUMENT

Global Project

Project Title: Global Water and Ocean Governance Support Programme
Project Number: Project 00115482 / Output 00113069 / Output 00117778
Implementing Partner: UNDP (DIM)
Start Date: 1 January 2019 **End Date:** 31 December 2023
PAC Meeting date: original PAC: 21 Dec 2018 (*original ProDoc signed 16 Jan 2019*)
 Amendments endorsed 7 August 2019

Brief Description – Substantive Project Amendment

By way of supporting partners to improve water and ocean governance at local, national, regional and global levels, this project addresses matters of increasing stress on freshwater and marine resources and related ecosystems, its repercussions on food systems and the sustainability of water and sanitation services. The problems are rooted in poverty, exclusion, market failures and the lack of governance systems to protect livelihoods and fragile resources. Solutions are found in the support to innovation and the implementation of reforms towards sustainable, inclusive and integrated freshwater and marine resources management. This includes enhancing the application and complementarity of ecosystem-based, gender-transformative and human rights-based approaches.

This project is to contribute meaningfully to Sustainable Development Goals 6 on water management and sanitation; Goal 14 on conservation and sustainable use of marine resources; and related SDG targets of the 2030 Agenda, including 1.4 on equal rights to resources and services, 1.5 on reducing vulnerability, and 2.3 on increased productivity and income of small-scale food producers.

Built on UNDP's Water and Ocean Governance theory of change, the Global Water and Ocean Governance Support Programme assists partners in formulating, coordinating and implementing water/ocean governance reforms by providing necessary policy advice and technical assistance, knowledge and capacity development. To spur local action, seed funding is provided to innovative and scalable solutions [with special emphasis on ocean action].

The purpose of this project substantive amendment is to include an additional Output in support of Ocean Innovation. The global project now includes four mutually supportive output components supporting water and ocean governance through (1) global thought leadership, expertise and policy advocacy; (2) support to improved frameworks at national and local levels [through GoAL-Waters programme]; (3) strengthened capacity for sustainable water management [through Cap-Net], and; (4) seed financing to innovation [through Ocean Innovation Facility].

The results of these endeavours together, enhance the contribution of freshwater and marine resources governance to sustainable development and the achievement of the 2030 Agenda. The project contributes across the UNDP Strategic Plan 2018-2021 to the three development outcomes and all signature solutions; most directly to poverty alleviation through climate-resilient, equitable natural resources governance and nature-based solutions for a sustainable planet.

Contributing SP Outcome: 1: *Advance poverty eradication in all its forms and dimensions.*

Contributing SP Output: *Signature Solution 4: Promote nature-based solutions for a sustainable planet.*

Indicative Project Output(s) with gender marker:

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

¹ Originally envisaged as a larger programme; a full elaboration on the Ocean Innovation Facility strategy and methodology is available in Project Document [Proposal] # 00115195.

Total resources required:		Original	Amended
		17.3 MUSD	31.1 MUSD
Total resources allocated (paid, signed, or being negotiated):	Donor:		
	Gov. of Sweden (2019 support to Ocean Innovation Facility) ²		2.2 MUSD
	Gov. of Sweden (2019 extension Sida Award 50169) ³	3.3 MUSD	3.1 MUSD
	Gov. of Sweden (UNDP-Sida Environment Framework 2019-23) ⁴ <u>under negotiation</u>	11.0 MUSD	7.1 MUSD
	UN Water Trust Fund ⁵	0.04 MUSD	0.04 MUSD
	AEWPP ⁶	0.02 MUSD	
	COSUDE/SDC ⁷		0.005 MUSD
	In-Kind Contribution:		
Gov. of France (Expertise France secondment) ⁸	0.11 MUSD	0.11 MUSD	
Unfunded/ to be mobilized:	To be mobilized (originally unspecified)	2.4 MUSD	
	To be mobilized (Ocean Innovation) ⁹		5.0 MUSD
	To be mobilized (IWRM capacity development) ¹⁰		1.8 MUSD
	To be mobilized (Freshwater/coastal/marine governance) ¹¹		3.8 MUSD
	To be mobilized (WASH governance) ¹²		3.8 MUSD
	In-Kind: (proposed secondment) ¹³	0.44 MUSD	0.44 MUSD

² The Sida [ref. 61050352] support to the Ocean Innovation Facility (Cost-Sharing Agreement, signed 2 January-2019) contained a 2019 contribution of 20 MSEK [2,206,044.56, received in December 2018]. A no-cost extension through 2020 has been discussed and formally requested.

³ The Sida [ref. 61050034] support to the Water and Ocean Governance Programme contribution to realizing the UNDP Strategic Plan (Cost-Sharing Agreement, signed 1-July-2014) was extended through 2019 with an addition of 30 MSEK [USD 3,149,606.30 received 21-May-2019]

⁴ The final draft [early August] of the proposed Sida-UNDP Strategic Collaboration Framework on Environment and Climate Change allocates a total of 7.14 million USD for component B.1 Strengthened Water Resources Governance and USD 3.45 million for B.2 Strengthened Marine Resources Governance. Signature of agreement envisaged early September 2019.

NOTE a) The Sida-UNDP Strategic Collaboration Framework on Environment and Climate Change will have one project document, including all the thematic areas:

- A. Sustainable Management of Ecosystems, Biodiversity, and Natural Capital
- B. Sustainable Water and Ocean Governance
- C. Scaling up Climate Change Action for Sustainable Development, and
- D. Nexus Area: Sustainable Food Systems

Once operational, the present project will transition into area B and become an integral part of that framework and project document. Consequently, the present document will be closed as and when all outputs have transitioned into the new unified project document, and the existing funding sources attached to the present document have been depleted.

Note b) Grand total for B.2 work is USD 5.7 million, out of which USD 2.2 million have been advanced separately as 'proof-of-concept' support to OIF)

Note c) The funding under the Framework on Environment and Climate Change is to be directed towards strategic *environmental* management, including water *resources* management, and will not [like previous contribution to WOGP] include support water supply and sanitation services, for which additional resources need to be mobilised.

⁵ UN-Water Trust Fund support to UN-Water Task Forces (MoU from 2011).

⁶ Contribution to capacity needs assessment of African water management organizations for the Africa-EU Water Partnership Programme (AEWPP), project implemented by the Stockholm International Water Institute (SIWI).

[This assessment/collaboration did not materialise, since parties were not able to find suitable agreement template for contracting.]

⁷ Cost-sharing agreement signed with Gov of Switzerland, Federal Department of Foreign Affairs, through Swiss Agency for Development Cooperation (SDC)/Swiss Embassy in Colombia for micro-action project on water footprint platform and virtual training. USD 5,000 received.

⁸ International Water and Sanitation Expert seconded by France to UNDP from July 2017 through June 2019, valued at USD 220,000 per annum.

⁹ Resource mobilization target for the expansion and continuation of the Ocean Innovation (-> Project Output 4)


¹⁰ Resource mobilization target for the full implementation of the Capacity Development for Sustainable Water Management (-> Project Output 3)

¹¹ Resource mobilization target for achieving full potential/operations of GoAL-Waters support to local/national-level governance of water from a 'Source-to-Sea' perspective (-> Project Output 2)

¹² Resource mobilization target for GoAL-Waters revival of thematic work towards "Safely managed, equitable and resilient water and sanitation services" [constituting the scope of predecessor GoAL WaSH programme (-> Project Output 2)

¹³ New secondments are to be pursued and remain valued at USD 220,000 per annum.

Project document amendment agreed by (signature):¹⁴

UNDP

Adriana Dinu Deputy Assistant Administrator and Deputy Director Bureau for Policy and Programme Support, UNDP
Date: 13 September 2019

¹⁴ “Global Water Governance Support Programme” [Project 00115482/Output 00113069] signed 16-January-2019 is herewith amended to update title [“Global Water and Ocean Governance Support Programme”], expand focus [increasing emphasis on marine resources management], and incorporate new dedicated [output] component 4 on Ocean Innovation.

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List of Acronyms and Abbreviations

AEWPP	Africa-EU Water Partnership Programme	HRBA	The Human Rights-Based Approach
AF	Adaptation Fund	HRWS	The Human Right to Water and Sanitation
BES-NET	Biodiversity and Ecosystem Network	IGO	International Governmental Organization
BPPS	UNDP Bureau for Policy and Programme Support	ILO	International Labour Organization
Cap-Net	International Network for Capacity Building in Sustainable Water Management (UNDP programme)	INGO	International Non-Governmental Organization
CO	Country Offices	I	Impact (in Risk Log)
CoP	Communities of Practice	IW:LEARN	GEF International Waters Learning Exchange and Resource Network
DFI	Development Finance Institutions	kUSD	Thousand US Dollars
DIM	Direct Implementation Modality	LDC	Least Developed Country
DPC	Direct Project Costs	LME	Large Marine Ecosystem
EGP	UNDP Environmental Governance Programme	LMMA	Locally Managed Marine Area
EU	European Union	LNOB	Leave No One Behind (
FAO	Food and Agriculture Organization of the United Nations	M&E	Monitoring and Evaluation
FPIC	Free, prior and informed consent	MDTF	Multi-Donor Trust Fund
FTE	Full-Time Equivalent	MELP	Cap-Net's Monitoring, Evaluation and Learning Plan
GC	Grand Challenge	MoU	Memorandum of Understanding
GEF	Global Environment Facility	MPA	Marine Protected Area
GEF:IW	Global Environment Facility: International Waters	MSEK	Million Swedish Crowns
GEN	Gender (marker/indicator)	MSP	Marine Spatial Planning
GESAMP	Joint Group of Experts on the Scientific Aspects of Marine Environmental Protection	MUSD	Million United States Dollars
GCF	Green Climate Fund	NBSAP	National Biodiversity Strategy Action Plan
GWP	Global Water Partnership	NEX	National Execution
GWPO	Global Water Partnership Organization	NGO	Non-Governmental Organization
GoAL WaSH	Governance, Advocacy and Leadership in Water, Sanitation and Hygiene (UNDP programme)	OAI	Office of Audit and Investigations
GoAL-Waters	Governance, Accountability and Leadership/Learning in Water for Equity, Resilience and Sustainability (UNDP programme)	OAH	Ocean Action Hub (www.oceanactionhub.org/)
GPN	UNDP Global Policy Network	OIF	Ocean Innovation Facility
		P	Probability (in Risk Log)
		PAEGC	Powering Agriculture - An Energy Grand Challenge for Development
		POPP	UNDP Programme and Operations Policies and Procedures
		RRF	Results and Resources Framework

RP	Responsible Party	UNDAF	United Nations Development Assistance Framework (being replaced by UNSDCF)
RTA	Regional Technical Advisor	UNDESA	United Nations Department for Economic and Social Affairs
SAP	Strategic Action Programme	UNDP	United Nations Development Programme
SBAA	Standard Basic Assistance Agreement	UNDS	United Nations Development System
SD	Sustainable Development	UNICEF	United Nations Children’s Fund
SDG	Sustainable Development Goal	UNOPS	United Nations Office for Project Services
SEEA	System of Environmental-Economic Accounting	UNSDCF	United Nations Sustainable Development Cooperation Framework (replacing UNDAF)
SGP	(UNDP-GEF) Small Grants Programme	UNSMS	United Nations Security Management System
Sida	Swedish International Development Cooperation Agency	UN-Water	Inter-agency mechanism that coordinates the efforts of UN entities and international organizations working on water and sanitation issues
SIDS	Small Island Developing States	WASH	Water, Sanitation and Hygiene
SIWI	Stockholm International Water Institute	WWDR	UN-Water World Water Development Report
SP	(UNDP) Strategic Plan	WGF	UNDP-SIWI Water Governance Facility (UNDP programme)
SSC/TrC	South-South and Triangular Cooperation	WOGP	UNDP Water and Ocean Governance Programme
TAG	Technical Advisory Group		
tbd	To be determined		
TDA	Transboundary Diagnostic Analysis		
ToC	Theory of Change		
ToR	Terms of Reference		
UN	United Nations		
UN DCO	United Nations Development Coordination Office		

I. DEVELOPMENT CHALLENGE

Water is life. Progress in nutrition, health, education, work, equality, environmental protection and international cooperation are all related to the availability and sustainable management of water and universal access to effective systems for disposing of our waste.¹⁵

[Further,] our ocean covers three quarters of our planet, connects our populations and markets, and forms an important part of our natural and cultural heritage..., plays a vital role in the water cycle and the climate system, and is an important source of our planet's biodiversity and of ecosystem services. It contributes to sustainable development and sustainable ocean-based economies, as well as to poverty eradication, food security and nutrition, maritime trade and transportation, decent work and livelihoods.¹⁶

Water in sufficient quantity and quality is essential for sustainable development. Human civilization depends on water and related ecosystems for its sustenance. However, population and settlement growth, intensified agricultural and industrial production, pollution and climate change are beginning to overwhelm and undermine nature's ability to reliably provide key functions and services to society.

Agriculture accounts for two thirds of annual water withdrawals globally. Industry (including power generation) accounts for a fifth of withdrawals, and households for about 12 per cent.¹⁷ All these water uses can pollute freshwater and marine resources. Most wastewater from municipal, industrial and agricultural sources is discharged into water bodies without treatment, thus polluting and degrading ecosystems and reducing the availability of fresh water.¹⁸

Water shortages and scarcity can seriously affect agricultural livelihoods and food production. Food insecurity and hunger in the world, after a prolonged period of decline, is rising. This is most serious in sub-Saharan Africa, where over a fifth of the population is affected by undernourishment.¹⁹ Conflict, fragility and economic slow-down are key reasons for food insecurity, increasingly compounded by adverse climate events. Floods and droughts can devastate harvests and destroy the livelihood basis for the most vulnerable.

¹⁵ António Guterres, UN Secretary General, in Foreword the SDG6 Synthesis Report, United Nations (2018) Sustainable Development Goal 6 Synthesis Report 2018 on Water and Sanitation. New York: UN-Water.

http://www.unwater.org/publication_categories/sdg-6-synthesis-report-2018-on-water-and-sanitation/.

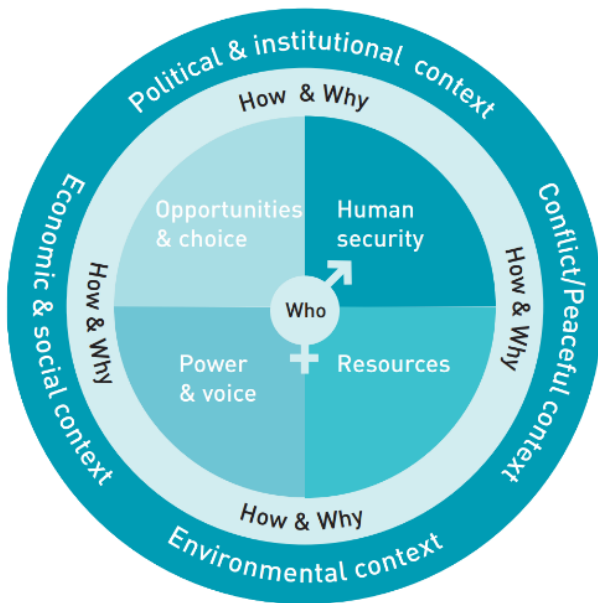
¹⁶ "Our Ocean, Our Future: Call for Action" (Declaration from Ocean Conference, United Nations, June 2017).

¹⁷ SDG6 Synthesis Report: United Nations (2018)

¹⁸ World Water Assessment Programme. 2014. World Water Development Report 2014 - Water and Energy. United Nations Educational, Scientific and Cultural Organization (UNESCO), United Nations World Water Assessment Programme. <http://unesdoc.unesco.org/images/0022/002257/225741E.pdf>.

World Water Assessment Programme. 2017. The United Nations World Water Development Report 2017. Wastewater: The Untapped Resource. Paris: UNESCO. <http://www.unesco.org/new/en/natural-sciences/environment/water/wwap/wwdr/2017-wastewater-the-untapped-resource/>.

¹⁹ FAO; IFAD; UNICEF; WFP and WHO. 2018. The State of Food Security and Nutrition in the World 2018. Building climate resilience for food security and nutrition. Rome: Food and Agriculture Organization of the United Nations. <http://www.fao.org/3/I9553EN/i9553en.pdf>



Poverty has many dimensions.²⁰ It is present in most parts of the world but is particularly significant in sub-Saharan Africa and South Asia, where 83 percent of all multi-dimensionally poor people live.²¹ Agriculture and direct access to natural resources are critical for the livelihood of the poorest, and especially women in rural areas. Climate change and the unsustainable use of environmental resources have negative impacts on poor people, who are the most vulnerable.²²

In rural areas, landless people are among the most marginalized. Insecure land tenure can be a driver of conflict, environmental degradation, and weak economic and social development. Women are under-represented among land title holders and the lack of secure tenure has far-reaching effects on women's agricultural productivity and the overall adoption of innovations and improved land management.²³

Separation from land and water resources also threatens cultural survival and vital knowledge systems of e.g. indigenous peoples, which stands to contribute to ecological integrity, biodiversity protection and environmental health. It is estimated that indigenous peoples safeguard four fifth of the world's remaining biodiversity. Yet, these culturally distinct communities, whose identities are inextricably linked to their lands, are highly over-represented amongst the extremely poor.²⁴

Some 60 million people around the world find a source of income and livelihood in the fisheries and aquaculture sectors; one third in aquaculture and two thirds in capture fisheries. Fish and fish products are some of the most traded food items in the world. Yet, especially inland catches provide a key food source for many local communities, mostly in China and other Asian countries, but inland catches are also an important food source in several countries in Africa, accounting for 25 percent of global inland catches. At the same time, over-fishing is a growing global threat: The fraction of marine fish stocks fished within biologically sustainable levels has decreased from 90 percent in the mid-1970s to only two thirds in 2015. Rebuilding overfished stocks, however, can produce higher yields as well as substantial social, economic and ecological benefits.²⁵

Small-scale fisheries provide about half of the world's seafood product and employ 90% of those employed in the sector. Small-scale fisheries are disadvantaged by much greater subsidies to large scale, lack of co-management arrangements, lack of access to markets even domestically, and lack of pricing power.²⁶

²⁰ Figure – reflecting the who, how & why, along with the development context and structural causes in the outer circle – from Sida (2017) Dimensions of Poverty. Sida's Conceptual Framework. Swedish International Development Cooperation Agency. <https://www.sida.se/English/publications/149106/dimensions-of-poverty-sidas-conceptual-framework/> (page 17)

²¹ UNDP (2018) Beyond income: A broader picture of poverty. <https://feature.undp.org/multidimensional-poverty/>

²² <http://www.unpei.org/chapter-2-importance-of-mainstreaming-poverty-environment-concerns>

²³ Niasse, M. 2017. *Coordinating land and water governance for food security and gender equality*. Stockholm: Global Water Partnership (GWP). http://www.gwp.org/globalassets/global/toolbox/publications/background-papers/gwp-tec-no-24_web.pdf

²⁴ IFAD. 2018. Indigenous peoples' collective rights to lands, territories and natural resources. Lessons from IFAD-supported projects. IFAD (<https://www.ifad.org/en/web/knowledge/publication/asset/40272596>) and <http://www.worldbank.org/en/topic/indigenouspeoples>.

²⁵ FAO. 2018. *The State of World Fisheries and Aquaculture 2018 - Meeting the sustainable development goals*. Rome: Food and Agriculture Organization of the United Nations. <http://www.fao.org/documents/card/en/c/19540EN/>

²⁶ Ocean Action Hub - <https://www.oceanactionhub.org/>

Safe drinking water, and adequate sanitation and hygiene, are fundamental to protecting human health and well-being. Water-related diseases are closely linked to poverty, and disproportionately affect young children and communities that do not have access even to basic services. Lacking access to services, for the lacking the means to pay the bills, or living in an unplanned or un-serviced area, or facing discrimination that obstruct convenient access to available services, form part of a set of intersecting variables of multidimensional poverty.²⁷

Water and sanitation services, together with food security, can reduce infections²⁸ that exacerbate undernutrition. Undernutrition is endemic among the poor in sub-Saharan Africa and Asia, where many people that live in insanitary conditions also do not get enough food. It has been estimated that every dollar invested in water, sanitation and hygiene yields a five-dollar return to society.²⁹

Improving water, sanitation and hygiene in schools is pivotal as it benefits educational outcomes for all and is particularly beneficial for girls and young women with regard to menstrual hygiene management. Safe and convenient access to sanitation also help reduce risks of exposure to gender-based violence.³⁰

Gendered division of household labour can be particularly pronounced in low-income households where the lack of access to services render household tasks more arduous. Women are the predominant caretakers of domestic water, which may be collected from distant sources. Women need much greater influence over decision-making about infrastructure and services; and the broader allocation of water and means of production in society. National and local governments need to integrate gender issues into policymaking and enable more effective voice and meaningful participation for the marginalised.

The role of poverty and governance failures, and the political nature of water management, are well established.³¹

The global crisis in water consigns large segments of humanity to lives of poverty, vulnerability and insecurity... ..The scarcity at the heart of the global water crisis is rooted in power, poverty and inequality, not in physical availability.³²

The Human Right to Water and Sanitation (HRWS) – a condition for the enjoyment of the right to an adequate standard of living – was recognized by the UN in 2010.³³ The HRWS obliges governments to progressively ensure that people can enjoy clean, available, acceptable, accessible, and affordable water and sanitation.³⁴

²⁷ UNDP. 2018. Beyond income: A broader picture of poverty. <https://feature.undp.org/multidimensional-poverty/>

²⁸ Reducing the incidence of infection is also critical for combatting the global threat of Anti-Microbial Resistance.

²⁹ SDG6 Synthesis Report, United Nations (2018).

³⁰ UNICEF. 2017. Gender-Responsive Water, Sanitation and Hygiene: Key elements for effective WASH programming. New York: United Nations Children's Fund (UNICEF). https://www.unicef.org/gender/files/Gender_Responsive_WASH.pdf.

³¹ See e.g. UNDP. 2006. Human Development Report 2006. Beyond Scarcity: Power, Poverty and the Global Water Crisis. New York: United Nations Development Programme (UNDP). <http://hdr.undp.org/en/content/human-development-report-2006> and World Water Assessment Programme. 2006. Water: a shared responsibility. The United Nations World Water Development Report 2. United Nations Educational, Scientific and Cultural Organization (UNESCO) and Berghahn Books. <http://www.unesco.org/water/wwap/wwdr2/>.

³² UNDP (2006) Human Development Report 2006 (pages 1-2)

³³ "Resolution 64/292: The human right to water and sanitation". United Nations. August 2010, and UN Committee on Economic, Social and Cultural Rights (CESCR), General Comment No. 15: The Right to Water (Arts. 11 and 12 of the Covenant), 20 January 2003, E/C.12/2002/11

³⁴ de Albuquerque, Catarina (2014). Realising the human rights to water and sanitation: A Handbook by the UN Special Rapporteur

The 2030 Agenda recognizes that people are at the centre of sustainable development. For Sustainable Development Goal (SDG) 6 to ensure availability and sustainable management of water, this is translated into targets of universal and equitable access to safe and affordable water and sanitation. Further, in SDG 6 it is also recognized that water scarcity, flooding and lack of proper wastewater management also hinder social and economic development. Increasing water efficiency and improving water management are critical for balancing the competing and growing water demands from various sectors and users.³⁵

There is a growing consensus that the challenges can be met by adopting a more integrated approach to managing and allocating water resources, including the protection of ecosystems upon which societies and economies depend. The concept of integrated water resources management was highlighted in Agenda 21 and is now well embedded in the 2030 Agenda (target 6.5).

Integrated Water Resources Management (IWRM) is a process which promotes the co-ordinated development and management of water, land and related resources, in order to maximize the resultant economic and social welfare in an equitable manner without compromising the sustainability of vital ecosystems.³⁶

IWRM requires governments to consider how water resources link different parts of society and how decisions in one sector may affect water users in other sectors. Integrated management must involve all who use and potentially pollute water, and it needs to ensure that the resource be managed equitably and sustainably. In practical terms, the collaborative efforts may form around specific nexi, flows or issues relating to specific contexts and locations, taking the broader system linkages fully into account.

A human rights-based approach (HRBA) to IWRM adds critical elements of equality and non-discrimination, equitable distribution of resources and benefits, and strengthened accountability and remedies. A HRBA seeks to identify groups and individuals who are left behind from development progress, whose rights are being violated and whose voices are not heard, and to understand the reasons why certain people are not able to enjoy their rights. A HRBA identifies those who have responsibility to act, and their obligations as duty-bearers under international law and works to strengthen the capacity of both duty-bearers to fulfil their obligations and rights-holders to claim and exercise their rights.³⁷

The ‘ocean SDG’ 14 on ‘Life below water – aims to ‘conserve and sustainably use the oceans, seas and marine resources for sustainable development.’ The world’s oceans – their temperature, chemistry, currents and life – drive global systems that make the Earth habitable



³⁵ <https://sustainabledevelopment.un.org/sdg6>

³⁶ The Global Water Partnership’s definition of IWRM is widely accepted. (<https://www.gwp.org/en/gwp-SAS/ABOUT-GWP-SAS/WHY/About-IWRM/>)

³⁷ World Water Assessment Programme (forthcoming) The United Nations World Water Development Report 2019. Leaving No One Behind. Paris: UNESCO. http://www.unwater.org/publication_categories/world-water-development-report/.

**14 LIFE
BELOW WATER**

**CONSERVE AND SUSTAINABLY
USE THE OCEANS, SEAS AND
MARINE RESOURCES FOR
SUSTAINABLE DEVELOPMENT**

**SDG14
TARGETS**

14.1
REDUCE MARINE POLLUTION

14.2
PROTECT AND RESTORE
ECOSYSTEMS

14.3
REDUCE OCEAN ACIDIFICATION

14.4
SUSTAINABLE FISHING

14.5
CONSERVE COASTAL
AND MARINE AREAS

14.6
END SUBSIDIES CONTRIBUTING
TO OVERFISHING

14.7
INCREASE BENEFITS
TO SMALL ISLANDS

**SDG14 MEANS OF
IMPLEMENTATION**

14.A
KNOWLEDGE

14.B
ACCESS FOR SMALL-SCALE
ARTISANAL FISHERS

14.C
IMPLEMENTING
INTERNATIONAL LAW

for humankind. Oceans absorb carbon dioxide producing a dramatic rise in ocean acidification since the beginning of the industrial revolution. The increasing ocean acidity has negative impacts on organisms that fix calcium carbonate in their shells/skeletons and on the metabolic and reproductive functions of many economically important marine species. Globally, some 20% of coral reefs, 19% of mangroves and 29% of seagrass habitat have been lost over about the last century. Marine Protected Areas (MPAs) help to preserve biodiversity, maintain fish stocks, and sustain coastal economies and livelihoods that depend on healthy marine ecosystems.³⁸

Marine pollution, an overwhelming majority of which comes from land-based sources, is reaching alarming levels, with an average of 13,000 pieces of plastic litter to be found on every square kilometre of ocean. Nutrient pollution loads to the oceans have tripled since pre-industrial times leading to exponential growth in eutrophication and the occurrence of hypoxic (low oxygen) areas, now numbering over 500 and causing huge economic damage. .³⁹

Fisheries and tourism represent 7% and 50%, respectively, of SIDS exports so are vital to their economies, livelihoods and government budgets. About 60% of SIDS fisheries are considered overfished leading to realization of less than half of the potential economic benefits. SIDS and LDCs, require improved knowledge, research capacity and technology to enhance the contribution of marine biodiversity to their development. SDG14.a calls for increased support in each of these areas. SDG target 14.7 calls on the international community to support efforts to increase the economic benefits to SIDS and LDCs from their marine resources. Illegal, unreported and unregulated fishing affects about 20% of global fish catch, estimated at \$23 billion/year. SDG target 14.4 calls on fishing all stocks at biologically sustainable levels by 2020 and eliminating illegal, unreported and unregulated fishing.⁴⁰

Good water and ocean governance is essential for implementing SDGs 6 and 14. Governments have responsibility for many governance functions like formulating policy, developing legal frameworks, regulation, planning and coordination. The concept of governance highlights that these processes go beyond governments and involve cooperation with other stakeholders, including the private sector and civil society. Good governance comprises many elements, like effective, responsive and accountable State institutions that respond to change in an open and transparent manner. Good water governance provides stakeholders with information and gives citizens a role and influence in decision-making. Participation and multi-stakeholder engagement are critical parts of inclusive policy processes. Human capacity, accountability and integrity are important for policy creation and especially for its implementation.⁴¹

³⁸ Ocean Action Hub - <https://www.oceanactionhub.org/>

³⁹ Ocean Action Hub - <https://www.oceanactionhub.org/>

⁴⁰ Ocean Action Hub - <https://www.oceanactionhub.org/>

⁴¹ SDG 6 Synthesis Report 2018 http://www.unwater.org/publication_categories/sdg-6-synthesis-report-2018-on-water-and-sanitation/.

The project directly contributes to SDGs 6 and 14, and several targets relating to good governance (under SDG 16) and for reducing inequalities (SDG 10). This is to some extent achieved by way of increasing productivity and income of small-scale food producers (SDG target 2.3). Poverty and vulnerability stand to be reduced; aiming for SDG targets 1.4 on equal rights to resources and services and 1.5 on reducing vulnerability. More broadly, the project aims to “Strengthen resilience and adaptive capacity to climate-related hazards and natural disasters in all countries” (target 13.1).

In sum, the overall development challenge to be addressed is the viciously reinforcing complex of poverty, inequality and exclusion as it relates to increasing stress on freshwater and marine ecosystems and biodiversity and people’s access to freshwater and marine resources and the benefits derived from them. Natural resources and services governance need to be reformed and to become more inclusive, equitable and integrated; empowering women and girls from socio-culturally marginalized groups. This project contributes by way of thought leadership and policy advocacy, direct support to improved governance frameworks, enhanced individual and institutional capacities, and the identification and support to scalable and innovative solutions to ocean challenges.

II. STRATEGY

This section outlines the Theory of Change (ToC) and explains how the Global Water and Ocean Governance Support Programme invests in knowledge, people and institutions in order to improve water/ocean governance. It also outlines how the ToC has evolved to emphasise what is deemed to work optimally at this point.⁴²

Operationally, the ongoing support to water governance under several separate projects and one new ocean innovation initiative – all under the umbrella of the Water and Ocean Governance Programme (WOGP) – are now merged into one consolidated Global Water and Ocean Governance Support Programme.⁴³

Theory of Change

This section explains how UNDP’s interventions assist countries and partners to move from (more) unsustainable and exclusionary resources and services management to an improved state with inclusive and sustainable resources use and services governance. Figure 1 below illustrates this transformative water/ocean governance process (from initial to improved state) and indicates the type of interventions that support the insight and determination required to drive this change.

First of all, in order to support lasting change, interventions are meant to address root causes. Rather than applying technological fixes or short-lived ‘end-of-pipe’ solutions to address resource scarcity, over-abundance or degraded quality, UNDP focuses on supporting lasting change by addressing governance problems: building knowledge, institutions and mechanisms for addressing the problems of exploitative or unequitable ways of managing freshwater and marine resources, and services.

A principal goal of governance interventions is to help coordinate action so that people work together for a common goal or in line with the broader public interest. For example, in order to protect aquatic biodiversity, priority may be given to support water quality and quantity management (in relation to e.g. environmental flows, wastewater and run-off) and ecosystem connectivity. Whereas e.g. fish ladders and frog tunnels can be important remedies to a problem – and may be totally necessary – they address the symptom rather than the underlying threat to the resource.

⁴² As explained further below, this refinement has been greatly aided by the review of water and ocean governance projects captured in the recent “What Works in Water and Ocean Governance. Impact Stories from the UNDP Water and Ocean Governance Programme” (2018).

⁴³ Merger, or alignment of business planning, responds directly to key recommendations of External Review of Sida’s support to the UNDP Water and Ocean Governance Programme, conducted by PemConsult in 2016.

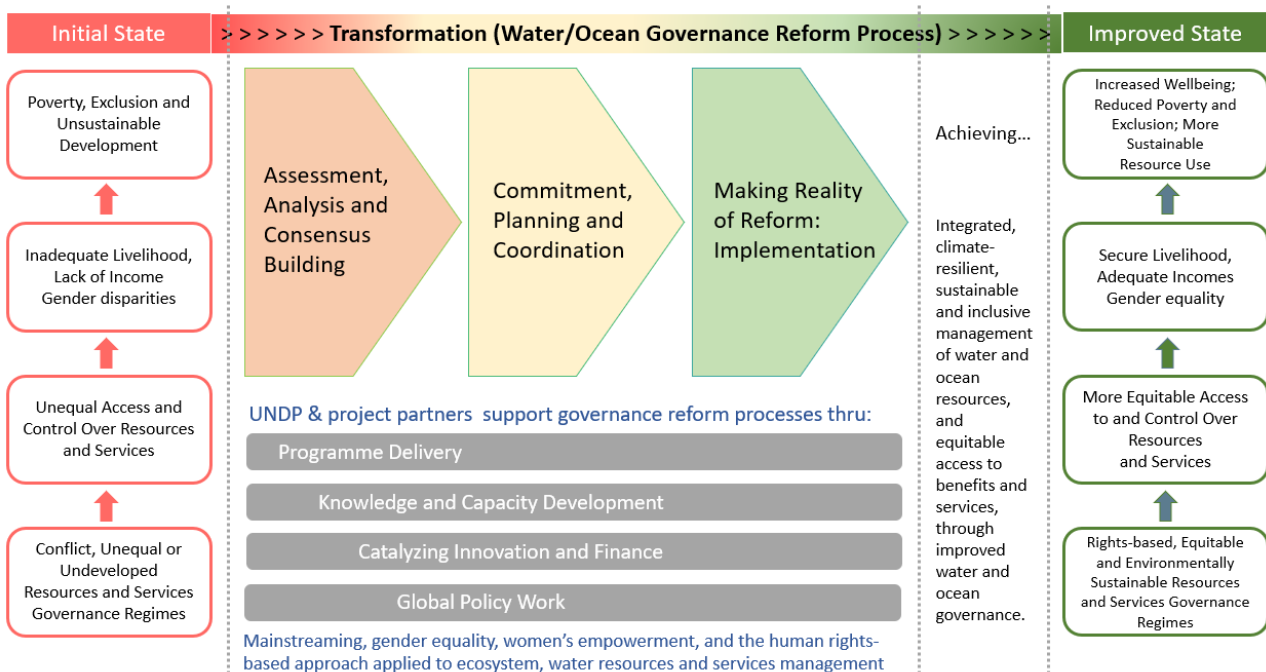
To counteract exclusionary and exploitative processes of resource use or appropriation, good governance needs to be inclusive. This involves identifying and addressing intersectional gender and socio-cultural inequalities and discrimination. Transparency and participatory methods are ways of bringing otherwise marginalised groups on board into processes of resource allocation and distribution of benefits and services.

Requisite funding or finance is necessary for any initiative to move. New and targeted investment is needed for governance, management and organization, as well as for research, development and physical infrastructure. This is critical for the actual implementation of policy intentions. E.g. improved water quality requires investments into (waste)water treatment, cleaner production methods, or improved land management practices. And water services extension requires investing in physical distribution networks and water development as well as the organizational capacities for maintaining, operating – including billing and fee collection – to maintain a continuous flow of services.

Notwithstanding, it is the governance processes and mechanisms that determine the direction and the quality of development whereas the funding and financing, somewhat simplified, enable the speed of implementation. UNDP’s water and ocean work focuses on developing the consensus, institutional reforms and collective action required to steer the direction of development towards protecting the commons like upper watersheds or downstream estuaries, ensuring access to services, and to the natural resources underpinning the livelihoods for all people.

At the broader level, UNDP works with all aspects of society-building to eradicate poverty in all its forms and dimensions; accelerating structural transformations for sustainable development; and building resilience to crises and shocks. The water-specific part of this quest involves enhancing the contribution of water/ocean governance – with appropriate direction and speed – towards reducing poverty and exclusion while protecting fragile ecosystems and the integrity of the water cycle.

Figure 1 – Theory of Change: How Water/Ocean Governance Reform/Transformation helps countries move from poverty and exclusion towards increased wellbeing and inclusion



The ToC, formulated as WOGP’s contribution to the realization of UNDP’s Strategic Plan (SP), assembles key elements of the structure of many projects in partnership with the Global Environment Facility (GEF) and the national-level implementation of WOGP support through

Governance, Awareness and Learning in Water for Equity, Resilience and Sustainability (GoAL-Waters, previously GoAL WaSH). This makes it into a well-tested ToC.⁴⁴

The ToC illustration (Figure 1 above) demonstrates how the Global Water and Ocean Governance Support Programme assists governments and partners to transform their water/ocean governance regimes. This helps countries move from the initial state [less desirable, illustrated in red on the left-hand side], by way of formulating [orange], preparing for [yellow], and implementing [light green] reforms, achieving *integrated, climate-resilient, sustainable and inclusive management of water and ocean resources, and equitable access to benefits and services, through improved water and ocean governance*.⁴⁵ This moves society towards an improved state of enhanced wellbeing, reduced poverty and exclusion, and more sustainable resources use [illustrated in green on the right-hand side]. The transformative reform process is supported by way of programme delivery and technical assistance; knowledge and capacity development; helping to create the enabling environments for attracting finance and fostering innovation; and by way of international policy advocacy [grey fields in bottom/middle of illustration].

Clearly, the reality is more complex than a ToC illustration can convey: the various states can coexist in the same country and setting and in relation to different resources, and the governance transformation is a process which can take many directions. Governance reform is not a linear process but a whole-of-society transition that negotiates among varied interests and challenges towards changing often entrenched practices. As it is about instituting and practicing new ways of operation and interaction, it requires ample consultation and above all, takes time.

The various delivery mechanisms of the Global Water and Ocean Governance Support Programme assist governments and stakeholders to assess the situation and agree on priorities; prepare the requisite elements of water and ocean governance reforms; and to implement changes on the ground. Recognizing that projects can intervene at different stages as there is never just 'one reform,' but the main steps of the transformative governance reform process can be simplified as:⁴⁶

- Assessment, analysis and consensus-building – the identification of weaknesses and bottlenecks of existing governance structures and processes – to formulate the needed changes.
- Commitment, coordination and planning – putting the agreed policies, plans, institutional frames and coordination mechanisms into place: Preparing for change.
- Implementation – to make change happen there must be sufficient human (individual and organizational) capacity, and requisite public and private investments are needed to fund the implementation of policies, institutional frameworks, and participatory processes.

The steps of a governance reform process described above involves local, national, regional and global actors, as appropriate. It is supported by the project in several ways:

Global Policy Work: The water/ocean governance programme through leadership and policy advocacy interlinks closely with other UN agencies and partners working on freshwater and marine resources. It involves analysing trends and issues, drawing insights from research and evaluations, for the formulation and advocacy of relevant approaches to improving water/ocean governance. The results of this work are captured mainly under output 1 of the present project, but iteratively supports the contents of the whole project.

⁴⁴ The recent review of "What Works in Water and Ocean Governance. Impact Stories from the UNDP Water and Ocean Governance Programme" (2018) has looked into a number of projects of the WOGP umbrella from the lens of the steps of the ToC. Recognizing that governance is far from a linear process, the review confirmed that the identified steps help partners develop and implement reform. It clarified the importance of catalysing finance and the ToC has been updated accordingly.

⁴⁵ Updated WOGP vision.

⁴⁶ These steps correspond closely to the TDA/SAP approach, involving Transboundary Diagnostic Analysis (TDA) followed by the development, high level adoption, financing and implementation of an agreed Strategic Action Programme (SAP), as practiced by GEF.

Programme Delivery: Most directly, national projects managed through UNDP country offices⁴⁷ directly support governments and stakeholders in taking the steps to embark on or implement a water/ocean governance and policy reform. The support to improved water/ocean governance, in this project mostly at national and sub-national level (principally Output 2), involves direct engagement with stakeholders, to support their capacity to formulate, coordinate, finance and implement reform and collective action in an accountable, transparent and participatory manner.

Knowledge and Capacity Development: The contents of programme delivery to a large extent consists of knowledge and capacity development. Long-term engagement with stakeholders is required to help build the institutional strengthening and organizational learning for key actors to drive and implement reforms with integrity and professionalism. This is a concern for the whole project, supported by the work under Output 3 which has long-term engagement with educational institutions and networks for training and capacity building for sustainable water management.

Catalysing Innovation and Finance: Through building of knowledge, capacities and coordination mechanisms, the project helps create an enabling environment for attracting finance to implement agreed reforms. Moreover, direct assistance is also afforded to governments and partners to identify, facilitate and sequence financing in ways to enable them to reach their objectives, most practically by assisting in the development of funding proposals. It is also important to help partners use environmental and economic regulation to influence existing funding streams, e.g. by way of guiding urban infrastructure investments to blend with nature-based solutions, thus fostering green development and urban resilience.

Output 4 targets scalable and innovative solutions to ocean challenges. By providing seed financing, advice and guidance, technical, knowledge and networking support, the Ocean Innovation Facility will help to remove key barriers by demonstrating approaches that can deliver transformational changes in ocean and ocean-relevant land-based resource management.

The sustainability of results is to be ensured by a conducive enabling environment; consisting of transparent governance structures with participatory processes built to withstand risks imposed by corruption and hidden agendas. (see discussion of 'water integrity' in the section on Sustainability and Scaling Up below).

Governance reform is a long-term process which spans years and often decades. It is therefore important that the support to governments and stakeholders be institutionalised through a long-term and trusted partner in development like UNDP.

Building on Experience

The present Global Water and Ocean Governance Support Programme builds on a set of interlinked water/ocean governance support projects under the Water and Ocean Governance Programme (WOGP) umbrella.⁴⁸ The largest share of WOGP projects are funded by vertical funds, the GEF International Waters in particular. These endeavours are complemented by critical components for technical assistance, global policy advice, knowledge and capacity development, and direct support to national and local water governance processes, many of them financed by the Swedish International Development Cooperation Agency (Sida).⁴⁹

The international capacity building network for sustainable water management – Cap-Net – started as a UNDP project in 2002. It consists of a South-South collaborative network of networks for water

⁴⁷ COs have support from WGF and Senior Water Advisor with strategic management and quality assurance as part of the GoAL-Waters signature programme.

⁴⁸ Specifically, these projects are: Adaptive Water Governance (project number 00072388); UNDP Water Governance Facility (project number 00061827); Capacity Development Network (00075442); and a set of 12 country projects under the umbrella of GoAL WaSH.

⁴⁹ Sida has supported water governance activities at UNDP since the late 1990s, which has enabled UNDP to play a water governance advocacy role internationally, and to contribute extensively to joint work on water with other UN agencies, mainly through UN-Water.

management capacity development. The important fit of Cap-Net into the broader water governance endeavours has been provided by the networks' great collection of manuals helping water engineers and managers to increasingly embrace the cross-cutting issues and working with stakeholders in inclusive IWRM processes.

The UNDP Water Governance Facility (WGF) was initiated in 2005 in collaboration with the Stockholm International Water Institute (SIWI). It is a nucleus for water knowledge and supports UNDP offices with technical assistance to implement and develop water-related projects. Most of these projects have been under the umbrella of GoAL WaSH, initiated in 2009 for the Governance, Advocacy and Leadership in Water, Sanitation and Hygiene. The programme has targeted post-conflict countries and those facing particular water governance challenges.

The set-up has proven to be an important demand-responsive gap-filler and resource for government partners to take command and play a more effective role in the coordination and regulation of their respective water sectors. (The model is now being expanded to work with water resources management embracing a source-to-sea perspective.)

There have been several external reviews of UNDP's work on water/ocean governance. Findings include the respect gained for the work on cross-cutting issues like the HRBA and gender. Concerns were also raised on the lack of outreach and dissemination.⁵⁰ This led to the establishment of a WGF publication series, which was much appreciated by subsequent reviewers.⁵¹ A Joint Donor Review of Cap-Net in 2014 found most output targets to have been achieved or exceeded and that Cap-Net's trainings generally are of high quality. Some networks have also excelled and established their own Masters Programmes (e.g. WaterNet, Arg Cap-Net and MyCDNet). Yet, many networks would not be able to sustain themselves without Cap-Net support, especially as the commonly larger proportion of co-funding critically relies on core support from Cap-Net coming forth.⁵²

Reviews have also suggested increased emphasis on the recording of results and tracking of outcomes. Cap-Net established a Monitoring, Evaluation and Learning Plan (MELP) which has greatly improved the follow-up of how training is received and followed up in home institutions. Also, GoAL WaSH has systematised the tracking of outcomes and collects illustrative quotes and impact stories.⁵³

The most recent External Review⁵⁴ suggested further coordination and a joint business plan of the Sida-supported initiatives of the WOGP. It further emphasized the need to diversify the funding base and to improve result and progress monitoring and reporting, and strategically to align closer with the structure of the SDGs. In response, the SDG linkages have been clarified in the WOGP brochure [Water & Ocean Governance: Delivering on the Sustainable Development Goals](#).

Along with the broadening of the international water focus, from the Millennium Development Goals targets focus on access to services to the broader environmental concerns captured in SDG 6; the GoAL WaSH mechanisms has been broadened into GoAL-Waters (see further in the description of Output 2 below). Hence, the mechanism for supporting principally national and sub-national water governance reform now focuses primarily on freshwater and marine resources management and adaptation to climate change.⁵⁵

Another reason for targeting freshwater and marine resources management (increasingly through the GoAL-Waters component but also across the whole Global Water and Ocean Governance Support Programme) is the finding of a UN System-Wide review, which suggested there to be a gap in the work of UN in the area of water, and particularly relating to water resources management and

⁵⁰ Holmberg (2011), Regallet (2012)

⁵¹ Soussan (2013)

⁵² PEMConsult (2014)

⁵³ As displayed under each of the countries of intervention on www.watergovernance.org/programmes/goal-wash/

⁵⁴ PEMconsult (2016)

⁵⁵ At present, there is insufficient financing for continuing the previously successful work of GoAL WaSH – focusing on the governance of water supply and sanitation services. When/if resources are mobilized, GoAL WaSH will be retained as a 'WASH'-focused work stream under the GoAL-Waters modality.

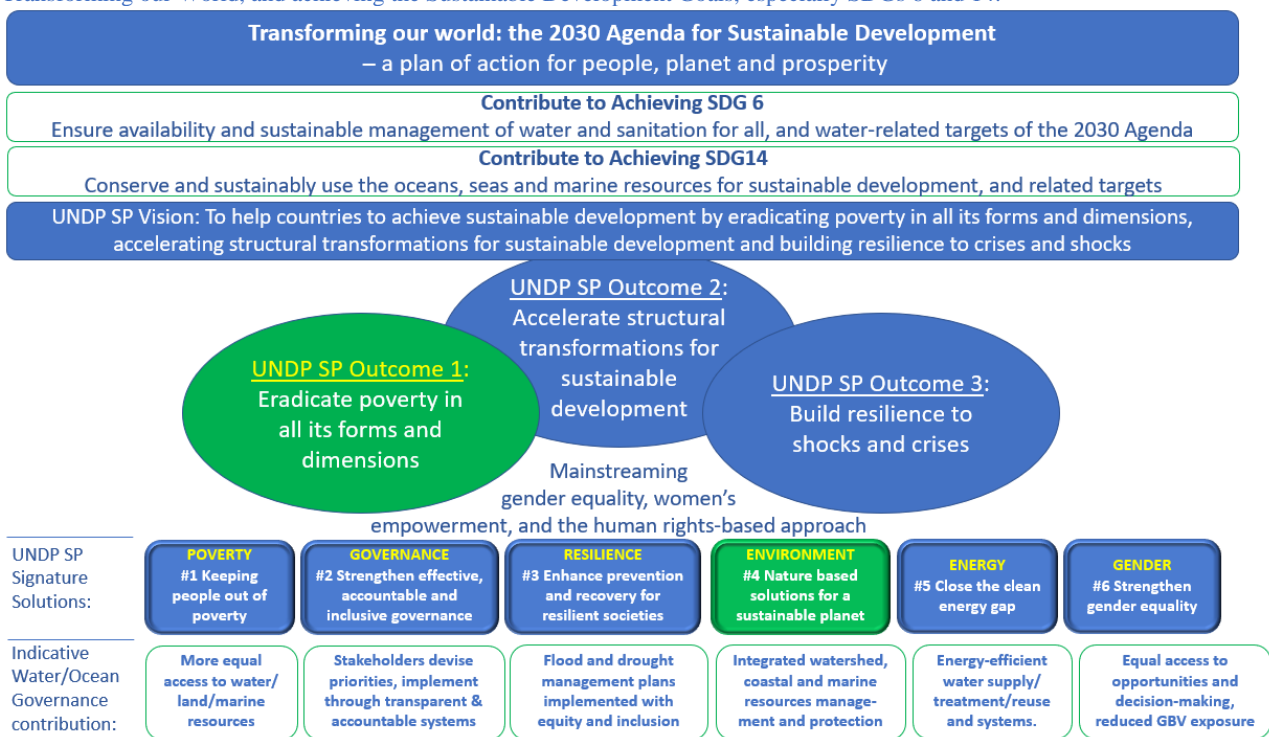
water use efficiency.⁵⁶ The need for ‘Source-to-Sea’ approaches have also been highlighted at a range of international conferences, e.g. the Ocean Conference in 2017, and at the 8th World Water Forum in 2018. UNDP aspires to contribute to the UN responding to the needs of *how* freshwater and marine resources are managed, used and protected for the benefit of poor people’s livelihood and long-term well-being in the context of a changing climate.

The most recent addition to the WOGP portfolio is the Ocean Innovation Facility (OIF), included as dedicated project output 4 below. The framing of this endeavour is also building on insights and lessons learned from other similar initiatives, see Annexes 6 and 7 for a framing of Lessons Learned with Challenge Funds, and relation with other Ocean Funds.

III. RESULTS AND PARTNERSHIPS

This section describes the contribution and expected results of UNDP’s response on the ground to the need to improve the way that water/ocean resources are governed, managed, and used as a means of addressing multidimensional poverty and protecting people and the planet. This is a joint pursuit and UNDP is increasingly joining hands with other UN agencies and organizations furthering the quest for water/ocean governance reforms.

Figure 2 - How water and ocean governance contribute – through UNDP’s Signature Solutions, Outcomes and Vision – towards Transforming our World, and achieving the Sustainable Development Goals, especially SDGs 6 and 14.



The 2030 Agenda is integrated and universal, and the progress in one area depends greatly on achievements in other areas. UNDP, with the Global Water and Ocean Governance Support Programme, aspires to help countries achieve their goals, and by enhanced water and ocean governance contribute to the achievement of SDG 14 on the sustainable use of ocean and marine

⁵⁶ Dalberg. 2017. [System-Wide Outline of The Functions and Capacities of the UN Development System. Consultant's Report.](#) (page 23)

resources, SDG 6 on water management and sanitation, and all water related targets across the 2030 Agenda.

For example, working with stakeholders to improve water quality and reduce pollution (principally SDG targets 6.3 and 14.1), by way of developing improved processes for production, land use and waste management, great strides are made towards achieving SDG targets 6.6 and 14.2 on the protection of freshwater, marine and coastal ecosystems. Further, sustainable water and waste management has a role to play in each of the signature solutions of the UNDP SP. Likewise, the actions to enhance the contribution of water governance to sustainable development operates through the development settings and Outcomes of the SP.

Figure 2 above highlights UNDP SP Outcome 1 and Signature Solution #4 in green, as these are the areas through which the bulk of the achievements of the Global Water and Ocean Governance Support Programme will be reported, and it represents the fundamental two-way connection of poverty reduction and the protection of the planet.

The project has four mutually supportive project outputs/components:

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

The outputs/components contribute in different ways (by way of programme delivery, knowledge and capacity development, catalysing finance, and global policy work) to help stakeholders achieve *integrated climate-resilient, sustainable and equitable management of water and ocean resources and equitable access to benefits and services, through improved water and ocean governance* (see Figure 1 on page 13 - Section II, above). This way the project as a whole is to enhance the contribution of water governance to sustainable development through the set of signature solutions and development settings of the UNDP SP (Figure 2 above)

The way that the outputs are to be produced, along with further detail on expected results, resources required, indicative activities, and partnerships are elaborated in the remainder of this section. The subsequent Section IV (page 44) contains the Result Framework with indicators, results targets and relevant UNDP SP outcomes and outputs.

The project is implemented by UNDP, with overall management by UNDP-BPPS. Country level work (project outputs 2 and 4) are implemented through UNDP Country Offices / Platforms. Programme delivery and knowledge and capacity development are supported by the responsible parties; the Stockholm International Water Institute (SIWI)⁵⁷ through the UNDP-SIWI Water Governance Facility (WGF), and; the Global Water Partnership Organization (GWPO)⁵⁸ implementing the work of Cap-Net UNDP (the international capacity building network for sustainable water management.)

⁵⁷ SIWI is a Swedish institute, based in Stockholm, Sweden, that leverages knowledge and convenes stakeholders to strengthen water governance for a just, prosperous, and sustainable future (www.siwi.org).

⁵⁸ GWPO is an intergovernmental organization, based in Stockholm, Sweden. It serves as the global secretariat for the Global Water Partnership (GWP) network (www.gwp.org).

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

The responsibility for producing water governance thought leadership, thematic expertise, technical support and policy advocacy globally will rest primarily with the UNDP BPPS Global Policy Network (GPN) under the UNDP Water and Ocean Governance Programme (WOGP) umbrella.⁵⁹ Policy advocacy and technical support to Country Offices is backstopped by the knowledge hub housed by the UNDP-SIWI Water Governance Facility.

The Global Policy Network (GPN)

The vision of UNDP's Global Policy Network (GPN) is to become the cutting-edge provider of timely development advice; providing support to Country Offices and programme countries in an integrated and coherent manner— to instantly connect countries to the world of knowledge, resources and networks of best practice they need to achieve development breakthroughs. The GPN draws on expertise globally to provide more effective responses to the complex development challenges countries face in achieving the SDGs and responding to crisis in an integrated and coherent manner. It will leverage knowledge and expertise within UNDP in a joined-up manner and with integrated ways of working. It will operate through interconnected nodes that represent staff and teams connected through the GPN.

UNDP's Communities of Practice (CoP) is a distributed network of thematic experts and practitioners who collaborate to define, recognize, and solve specific development challenges. The new CoPs are structured along UNDP's six Signature Solutions. The water/ocean work is situated within the CoP on Nature Based Solutions and Climate Action for Sustainable Development, most closely associated with signature solution # 4 "Environment: nature-based solutions for development."

<http://www.undp.org/content/undp/en/home/global-policy-network/>

<http://www.undp.org/content/undp/en/home/2030-agenda-for-sustainable-development/planet/environment-and-natural-capital/> / www.undp.org/water

UNDP-SIWI Water Governance Facility (WGF)

The UNDP-SIWI Water Governance Facility (WGF) supports low and middle-income countries in their water reform by providing policy and technical support, developing water governance knowledge and helping to develop institutional capacity, while also contributing to the international water governance reform agenda.

This knowledge hub is partnership between UNDP and the Stockholm International Water Institute (SIWI), initiated in 2005. The WGF adds to UNDP's capacity to provide relevant policy support and advice to countries, and to build the knowledge and capacities for improved water governance within governments and civil society as well as among UN agencies.

www.watgovernance.org/ / www.siwi.org

Expected Results

UNDP is expected to increasingly be the point of reference regarding the *governance* of freshwater and marine resources and related services. Internationally, through the interagency collaboration mechanism UN-Water and UN-Oceans, UNDP contributes to UN-coordinated knowledge development, joint messaging and international policy development. This way, UNDP will be a

⁵⁹ The Water and Ocean Governance Programme (WOGP) is led by the Principal Technical Advisor/Head Water & Ocean Governance based in New York. It embraces Regional Technical Advisor (RTAs) at each of UNDP's regional hubs, one Technical Advisor (Water Resources) - Senior Water Advisor in Stockholm, and one Ocean Advisor (new position in process of recruitment) in New York. The WOGP embraces a portfolio of more than 70 projects jointly valued at some 352 MUSD (The Water & Ocean Governance Programme 2018 Annual Progress Report to Sida, submitted 7 May 2019).

reliable partner in the global pursuit towards achieving sustainable development, SDG 14, SDG 6 and other water-related targets.

Internally, the water/ocean advisors, drawing seamlessly upon the expertise available, e.g. through the WGF, will ensure that country offices, regional hubs and headquarter functions receive accurate and timely advice on water/ocean governance related matters. The advice will be provided, as appropriate, in preparation for meetings (briefs and talking points) and for the development of projects that relate to freshwater, coastal and marine resources management and/or water/ocean governance issues.

Collecting information about UNDP's ongoing endeavours in related areas, the node aspires to become a hub for knowledge exchange and the sharing of lessons learned within the organization. For this purpose, the water/ocean advisors will strive to maintain up-to-date information about UNDP's endeavours related to water and ocean governance, and assist in the management of the WOGP by supporting the coordination, resource mobilization, information sharing and knowledge exchange between related projects.

Indicative activities under Project Output 1 include:

- 1.1 Develop water/ocean governance knowledge and expertise towards transparent, rights-based and inclusive water resources and services management
- 1.2 Provide water/ocean-related technical advice and support to country offices, regional hubs and headquarter departments, including for project development, and assist with communications, messaging and meeting preparations related to water and SDG 6.
- 1.3 Track water/ocean governance-related work of UNDP, in support of reporting, messaging and cross-programme learning
- 1.4 Facilitate appropriate UNDP representation at water/ocean-related meetings and conferences, including UN-Water/UN-Oceans interagency collaboration mechanisms, and contribute to cross-UN reports and task forces in the context of UN Reform
- 1.5 Strategic oversight, quality assurance and support to project management and implementation at national and local levels, including GoAL-Waters [project output 2] and OIF [project output 4] endeavours⁶⁰

Resources Required

To spearhead the knowledge creation and thought leadership provision is made for two technical / policy advisors; a Senior Water Advisor / Technical Advisor (Water Resources); an Ocean Advisor; and one seconded Technical Expert (presently vacant, as secondment from France is ending).

The (fresh-)water governance thematic experts are based in Stockholm, Sweden, drawing seamlessly on the expertise provided by project Responsible Parties located there (i.e. SIWI and the GWP/GWPO). The Senior Water Advisor – also serving as project manager – will be assisted by a Global Programme Associate (50%) based in New York. Further provision is made for headquarter finance administration assistance (10%), communications (5%) and gender back-stopping (5%).

The Ocean Advisor is based in New York, managing also the OIF [project output 4]⁶¹ with support and supervision of the WOGP Head.

To ensure the technical water governance support function to UNDP and partners, provision is made for up to four full-time equivalents of the water expertise available within SIWI where WGF is housed. The WGF partnership between UNDP and SIWI enables UNDP to draw upon the available water governance expertise throughout SIWI. Specific focal points at WGF are assigned to ensure suitable

⁶⁰ WGF leads the provision of strategic oversight, quality assurance and support to country offices in the implementation of GoAL-Waters projects.

⁶¹ Ocean Advisor funding included under Output 4 on Ocean Innovation.

methods and requisite attention in the work and monitoring in relation to gender, climate and biodiversity, respectively.

This provision allows UNDP hubs and offices to draw upon WGF expertise, indicatively up to a week's work per project/country, depending on total demand. In addition, up to two missions with longer-term engagements (up to three weeks) should be afforded to UNDP offices.⁶²

Stakeholder Engagement

The thematic expertise on water/ocean governance is to a great extent made available to UNDP in-house. This requires engagement with country offices, regional hubs and headquarter functions (including the facilitation of technical assistance and capacity development through outcomes/components 2 and 3). The functions and relations of a thematic expertise node is expected to be further elaborated in the ongoing work to institute the UNDP Global Policy Network (GPN).

Externally, thematic expertise on water governance is mostly provided through the existing working mechanisms of UN-Water. This involves active engagement in the UN-Water Senior Programme Managers' Meetings and selected Task Forces along with solid contributions to UN-Water flagship reports.⁶³ The level of activity and interaction of UN-Oceans occurs at a lower level of intensity.⁶⁴ Through ongoing projects and joint concerns, UNDP works closely with UN entities like UN Environment, FAO, WMO, UN-Habitat, UNICEF and WHO.

As explained above, UNDP draws on project partners like GWP and SIWI/WGF for thought leadership, thematic expertise and policy advocacy. UNDP already participates (as permanent observer) on the GWP Steering Committee and draws importantly on the high-level expertise developed e.g. by the GWP Technical Committee. As WGF also engages with and draws on a broad range of partners and stakeholders, UNDP gets involved or represented in the Action Platform for Source-to-Sea Management, the OECD Water Governance Initiative, and the Water Integrity Network.

Moreover, WGF has a special role in the management and coordination of the GoAL-Waters programme delivered through Country Offices (project output 2); the tripartite partnership with UNDP and UNICEF on *Accountability for Sustainability*, which is implemented by WGF; and facilitation of the participation of UNDP and partners at the annual Stockholm World Water Week.

Project Output 1 – “Gender Marker: 2”⁶⁵

This whole project and the work towards achieving output 1 has gender equality as a “significant objective.” This means that the water/ocean governance knowledge developed and disseminated will not only take due account of gender issues, but also contribute to analyses and approaches that positively strengthen the role of women and contribute more broadly to greater equality.

The project positively fosters a human rights-based approach (HRBA) and the way it can and should be applied to land, freshwater, marine and coastal resources management and the governance of water and ocean matters more broadly. This way, the project is to take cognizance and find ways to advocate for and directly contribute to the greater inclusion of marginalized groups. Intersectionality is used as an analytical tool to identify needs, methods and policies to empower e.g. indigenous women.⁶⁶ ‘Leaving No One Behind’ (LNOB) is to be consistently pushed throughout reports, articles,

⁶² Additional resources will need to be mobilised to the Global Water and Ocean Governance Support Programme in order to maintain the level of expertise being provide in areas of water, sanitation and hygiene, and governance imperatives for sustainable services delivery.

⁶³ The Senior Water Advisor represents UNDP at UN-Water.

⁶⁴ The Ocean Advisor will support UNDP representation on UN-Oceans.

⁶⁵ The Gender Marker measures how much a project invests in gender equality and women’s empowerment. Select one for each output: GEN3 (Gender equality as a principle objective); GEN2 (Gender equality as a significant objective); GEN1 (Limited contribution to gender equality); GEN0 (No contribution to gender quality)

⁶⁶ Previous work in this area relates to analysing the gender dimensions of corruption in the area of water (See: Water

documents and policy advice produced. (Written products are monitored content-wise as to their relevance in terms of gender (GEN) and LNOB, see Section with Results Framework starting page 44.)

Knowledge Products

Specific knowledge products relating to Project Output 1 include

- Scientific research articles emanating from water/ocean governance interventions, UN collaborative work, or outcomes of water/ocean-related meetings conferences
- Annual contributions to (UN-Water coordinated) World Water Development Report
- WGF Report Series (including GoAL-Waters “Lessons from the field”) providing accessible insights on water governance to water professionals in the field (aim: 1 publication per year)
- Policy briefs and issue sheets, distilling content of WGF Reports and insights from UNDP projects, to reach wider audiences or specifically targeted groups
- Updated information about ‘water/ocean@UNDP’ in appropriate format (report/website/etc)

Information / communications channels, e.g. for disseminating reports, include websites:

- www.undp.org/water (the UNDP site for Sustainable Development - Water and Ocean Governance)
- www.watergovernance.org (the site for UNDP-SIWI Water Governance Facility)
- www.oceanactionhub.org (the site originally created by UNDP for the Ocean Conference in June 2017)
- www.unwater.org/ (the UN-Water site which displays joint UN work and echoes members’ products)
- www.unoceans.org (website of UN-Oceans, the UN’s interagency coordination mechanism on oceans)

This is complemented by twitter account @WatGovFacility pushing for water governance related news and relevant events.

Project Output 2: Freshwater and coastal resources management frameworks strengthened at local and national level

Project Output 2 supports improved frameworks for water and coastal resources management principally at local and national levels. It is delivered through UNDP Country Offices or partners, e.g. other UN agencies, as appropriate, under the concept / signature programme titled GoAL-Waters.⁶⁷ Technical assistance and strategic management support is provided by the WGF.

GoAL-Waters (Governance, Advocacy and Learning in Water Sustainability) constitutes the main delivery mechanism to support countries in their efforts to strengthen national and local governance frameworks to manage fresh-water, marine and coastal resources. GoAL-Waters will assist countries and partners to manage water basins from a source-to-sea perspective on the interconnectedness of resources flows; address water scarcity, allocation and use efficiency, and protect water-related and coastal ecosystems.

Governance Facility. 2017. [Women and corruption in the water sector. Theories and experiences from Johannesburg and Bogotá](#). Stockholm: SIWI), the application of an intercultural approach (See: Jiménez, A.; Cortobius, M. and Kjellén, M. 2014. [Working with Indigenous Peoples in Rural Water and Sanitation. Recommendations for an Intercultural Approach](#). Stockholm: SIWI), and more generally about gender mainstreaming (See: Water Governance Facility. 2014. [Mainstreaming Gender in Water Governance Programmes. From Design to Results](#). Stockholm: SIWI)

⁶⁷ The approach of GoAL-Waters builds on the previous signature [UNDP MDG] [GoAL WaSH](#) programme, which is now being thematically broadened into the [UNDP SDG] GoAL-Waters, but also refocused to support to water resources management with a source-to-sea perspective, and sustainable food systems (including fisheries) rather than previous focus on water and sanitation service delivery. The refocusing is a result of a shift in the funds available for the programme. If ongoing resource mobilization efforts are successful, the focus area of services delivery will be maintained or reopened.

GoAL-Waters (Governance, Advocacy and Learning in Water Sustainability)

The UNDP GoAL-Waters (Governance, Accountability and Learning for Water Sustainability) programme supports equitable, efficient and environmentally sustainable use and protection of freshwater and coastal resources through strengthened national and local governance. It helps to identify priorities and opportunities and address gaps and constraints in water and ocean governance; by developing policy reform plans and action at national and local levels.

GoAL-Waters provides flexible support to national and local authorities and partners, supporting the 2030 Agenda with emphasis on Sustainable Development Goals 6 to “Ensure availability and sustainable management of water and sanitation for all” and 14 to “Conserve and sustainably use the oceans, seas and marine resources for sustainable development.

GoAL-Waters support typically lasts four years with a total budget of USD 200,000 – 400,000, but support may be initiated or tested through smaller interventions to support critical functions of a policy reform, local or national-level consultation, analysis and action planning in relation to water/ocean-related SDG targets monitoring, or the inclusion of water or marine resources management in climate action plans.

Websites (building on previous GoAL WaSH programme - to be updated):

<http://www.watergovernance.org/programmes/goal-wash/> / www.undp.org/content/undp/en/home/ourwork/sustainable-development/natural-capital-and-the-environment/water-and-oceans/goal-wash

The major routes to achieve these goals – to be developed iteratively with local and national authorities – involve enhancing working relations and accountability in the management of resources, along with multi-stakeholder involvement in rights-based approaches.

Countries to be selected for support are those where national (or local) government and UNDP Country Office interests in strengthening freshwater and coastal management align, and where there are resources challenges, e.g. aridity or small islands, or political hurdles, e.g. conflict, to overcome. (Several of previous GoAL WaSH support have been channelled to post-conflict countries.⁶⁸)

As a small, flexible and ‘gap-filling’ endeavour, the greatest chances of success of a GoAL-Waters initiative is where it complements other programmes, e.g. larger investment programmes, to synergistically allow national authorities to devise coordination mechanisms or breakthroughs of anticipated or ongoing water/ocean governance reforms.

Many existing fruitful collaborations will be continued (and into the next phase, especially where there is a need for support in relation to water resources management or particular needs to address climate change and disaster risk reduction. These are areas that fit with the thematic broadening with the change from GoAL WaSH to GoAL-Waters. In addition, focus on biodiversity and fisheries – as part of sustainable food systems – will be given particular attention in terms of the governance and regulatory needs to support sustainable livelihoods and income of small-scale food producers while protecting the long-term relation and sustainability with the resource/stock/fish population.

GoAL-Waters will be a priority for the broader programme’s resource mobilization efforts, in order to maintain a broader thematic focus and hopefully expand the number of countries supported. The present aim is to support freshwater and coastal management frameworks in at least 15 countries.⁶⁹

⁶⁸ The GoAL WaSH programme has supported governance reform in Bosnia & Hercegovina, Cambodia, El Salvador, Jordan, Kyrgyzstan, Laos, Liberia, Mongolia, Madagascar, Niger, Paraguay, Philippines, Tajikistan, Togo and Vietnam. Some of these countries, e.g. Jordan, already works with e.g. water scarcity or resources management issues. Some are reorienting their focus to participate in the GoAL-Waters programme. Some are closing down activities as a consequence of lacking resources for the thematic area of water supply and sanitation services.

⁶⁹ While some previous GoAL WaSH countries receive continuous support, several new collaboration countries will need to be developed. Countries to add will be drawn from the focus countries of the UNDP-Sida Framework Agreement on Environment and Climate. Moreover, priority countries for IWRM support in relation to action-oriented SDG indicator monitoring may also be prioritised. Above all, promising initiatives put forward by country offices will be supported to the greatest extent possible.

Expected Results

GoAL-Waters sets out to enhance the performance of the water community in partner countries for effective, equitable and sustainable water resource management and service delivery. This will be achieved by national water stakeholders, as enabled through GoAL-Waters support and interventions. (The results to be recorded in the results matrix relate to assessments undertaken, countries supported, and countries committing and undertaking reform.)

Indicative activities of Output 2 – as implemented by national water stakeholders – are as follows:

- 2.1 Set priorities for a common vision, by identifying the gaps, needs, constraints and opportunities in national water/coastal management plans, strategies and capacities,
- 2.2 Develop and reform laws, policies and action plans, along with regulatory frameworks and coordinating mechanisms for greater gender equality, environmental sustainability and climate resilience.
- 2.3 Implement policies and plans with enhanced integrity, resilience, (gender and intersectional) equality and ability to take on and manage risks, including those posed by climate change.
- 2.4 Empowerment and capacity building, by way of training and facilitating the exchange of experience and knowledge management, at local, sub-national and national level)⁷⁰
- 2.5 Management and implementation of national and local-level water/coastal governance interventions, including GoAL-Waters projects⁷¹

GoAL-Waters is a flexible support mechanism that responds to demands. Aiming to fill gaps and complement existing projects, plans and structures, GoAL-Waters maximizes the result and impacts of existing resources.

Resources Required

In its quest to explore synergies, GoAL-Waters country activities will not be large self-standing or agenda-setting entities, but complementary in ways to make ongoing efforts more effective. This way, GoAL-Waters projects are to complement the existing portfolio and capacities at UNDP Country Offices and other UN partners active in-country. Additional funding earmarked for gender equality/women’s empowerment, indigenous peoples/marginalized groups, integrity/anticorruption, or climate change and disaster risk reduction, allows for more comprehensive sets of activities, targeting those specific areas.

Basic annual budgets of country-level activities are envisaged in the realm of 50-100 kUSD per year. The aim is to reach a level of at least 20 active projects under GoAL-Waters, but this depends on additional successful resources mobilization. With existing confirmed resources, some 5-15 engagements can be entertained, with the larger number of countries assuming also some smaller one-off engagements.

Project activities are overseen by a national manager at the UNDP Country Office, with the support of the GoAL-Waters management team at the UNDP-SIWI Water Governance Facility (WGF) which strategically manages GoAL-Waters endeavours, providing strategic oversight, quality assurance, knowledge management and technical assistance to UNDP Country Offices.

Stakeholder Engagement

To ensure local ownership of the development process GoAL-Waters works closely with local and national authorities and ensures to be responsive to the demands and needs of country partners. Each activity plan is agreed and signed with the UNDP Country Offices. Local partners and other entities form part of the country program as appropriate.

⁷⁰ Including through Cap-Net and GWP networks, see Output 3.

⁷¹ WGF, with support from Water and Ocean Advisors, provide strategic oversight, quality assurance and support to the management and administration of the activities undertaken through Country Offices.

In the vein of exploring synergies, GoAL-Waters activities will endeavour to complement existing UNDP endeavours relating broadly to water. This includes work on climate change, disaster risk reduction, sustainable food systems, protection of biodiversity and enhancing the situation of indigenous peoples. Further, support to local authorities through decentralised cooperation can also be synergised with and supported.

As local and national actors and authorities are to be supported in formulating priorities, instituting and implementing reform, this may also entail support to additional fundraising and development of larger project proposals. It would be of key interest of GoAL-Waters to help strengthening the role of water governance in water development proposals.

The relevant links with national GWP partnerships and the Cap-Net networks (output 3) will be important in supporting the capacity development and training activities, and in support to multi-stakeholder activities, as appropriate.

Project Output 2 – “Gender Marker: 2”

This whole project and the work towards achieving project output 2 has gender equality as a “significant objective.” By way of local and national support to improved water governance, the project seeks to increase the number of countries with gender-responsive measures in place for conservation, sustainable use, and equitable access to and benefit sharing of natural resources, biodiversity and ecosystems (linking to related UNDP SP output). The way that project-supported assessments, commitments and implementation measures are done is also monitored from the perspective of inclusion and addressing the needs of marginalized groups. This includes gender responsiveness and the extent to which women’s empowerment is being addressed, and work with indigenous peoples, and the intersection of these, see Section with Results Framework starting page 44.

Knowledge Products

In each set of activities, GoAL-Waters identifies key critical outputs and processes that will be monitored, quality assured, and that can be subject to specific data collection to develop a knowledge product that can be of use to other countries. These will become the contents of specific knowledge products, including:

- leaflets, blogs, videos, and news items when specific milestones have been reached to be developed for UNDP and WGF websites
- more in-depth “Lessons from the field” provide accessible water governance insight with sufficient detail and depth to be useful to other water professionals in the field (published as part of WGF Report Series).

Sex-disaggregated data is to be explored, developed and used to the extent possible, as a means of understanding and recording the situation of women and men, girls and boys in relation to freshwater and coastal resources management.⁷²

If additional resources were to be secured by the Global Water and Ocean Governance Support Programme, there would be a GoAL-Waters knowledge summit to exchange experience between the different projects and countries. Such a summit could also be carried out in relation to particular topics, by region, or with the OIF [project output 4] as appropriate.

⁷² WGF has contributed to UN-Water’s endeavours to identify and develop sex-disaggregated data for water, as spearheaded by the World Water Assessment Programme – see <http://www.unesco.org/new/en/natural-sciences/environment/water/wwap/water-and-gender/water-and-gender-toolkit/> This is increasingly applied in relation to GEF-IW projects.

Project Output 3: Enhanced individual and institutional knowledge and capacities for sustainable water management

Project output/component 3 contains the endeavours of the international network for capacity development in sustainable water management, Cap-Net UNDP. These endeavours are implemented through the Global Water Partnership Organization (GWPO),⁷³ constituting the Global Water and Ocean Governance Support Programme's primary mechanism to deliver training at local, national and regional levels, along with South-South collaboration and networks/partnership management.

Cap-Net UNDP (International Network for Capacity Development in Sustainable Water Management)

[Cap-Net](#) is an international network with a mission to strengthen individual and institutional knowledge and capacities for sustainable water management at local level. Composed of 23 affiliated regional and country level capacity development networks with over a thousand member organisations in 120 countries, Cap-Net delivers training and education to water professionals in Asia, Africa, Latin America and the Caribbean.

www.cap-net.org (increasingly linking to www.gwp.org)

At the core of improved water governance and attainment of the SDGs, and especially the means of implementation, lies the need for capacity development at individual and institutional levels. Capacity development – the process through which individuals, organizations and societies obtain, strengthen and maintain the capabilities to set and achieve their own development objectives over time – is an effective way to improve water resources management. The concept of transformation is central to Cap-Net with its dictum *Water Knowledge for All: Empowering Individuals, Enabling Environments*.

Cap-Net is through its structure of affiliated networks in a unique position to address capacity needs for implementation of the SDGs and develop capacities for monitoring and reporting on progress.

Expected Results

Strengthening national, regional and inter-regional alliances is required not only for the realization of SDG 6: Cap-Net capacity development approach aligns particularly closely to the means of implementation, SDG 17 and target 17.9 on capacity development, including South-South and triangular cooperation.

The expected results of Output 3 are strengthened individual and institutional human capacity, and knowledge base to formulate and implement relevant policies, laws and strategies at country, regional and river or water basin and coastal zone levels.

This will be achieved by way of facilitating institutional strengthening and individual capacity development. (Result indicators, see below, relate to the number of partnerships maintained, the number of institutions supported, the number of individuals participating in trainings, how many applying knowledge, and, most importantly, the number of countries having national and subnational capacities to plan and manage their resources.)

⁷³ Previously, the Cap-Net UNDP project was implemented by the United Nations Office for Project Services (UNOPS). With the present project, however, Cap-Net endeavours are incorporated into this dedicated component, and administered through the more substance-based partnership with GWPO, sharing the mission for enhanced water governance globally.

Indicative activities of Output 3 are to:

3.1 Develop training courses, including technologies for online, blended and digitalized learning, and deliver training on specific topics like water integrity, water and earth observation, human right based approaches, water and gender, river basin organizations, coastal zone management, source-to-sea engagements

3.2 Engage with organizations for capacity development of institutions, and individuals, to manage, and use water and coastal zone resources sustainably, and to adapt to increasing climate variability

3.3 Strengthening partnerships by using effective networks of capacity developers to impact on the ground, and developing partnerships with international agencies and private sector organizations to improve their outreach and collaboration on capacity developing

3.4 Knowledge management to develop and implement knowledge management systems in response that ensure access to the best of international and local knowledge for all, measuring the effectiveness of capacity development services, and reviewing indicators and monitoring systems.

Resources Required

Project output 3 addresses the demand for affordable and accessible options for capacity development in sustainable water management and aims to maintain a global Cap-Net secretariat of up to six full-time personnel employed through, and shared with, GWPO as the responsible party.

The results are ultimately produced by and through the (23) affiliated Cap-Net networks for capacity development in sustainable water management, in collaboration, as appropriate, with the full set of country and regional partnerships of the Global Water Partnership (GWP). This structure ensures relevance through convergence of demands on the ground. Cap-Net networks receive limited financial support through Cap-Net UNDP funding.

The implementation of local capacity development activities is based on a cost-shared-basis with estimates indicating a leverage ratio of 1 USD invested in training yielding a 3 USD contribution from other sources (cash and in-kind, local and international).

The growth of online education via the Cap-Net Virtual Campus, provides a financially and environmentally efficient complement to face-to-face trainings.

The sustenance and maintenance of the affiliated partner networks is key to the achievement of Output 3, and its broader contribution to enhancing human capacities for managing water resources and related services.

Quality assurance of training materials and course design will draw on the broader expertise available through the broader networks of GWP and its Technical Committee, as well as WGF and other international partners that regularly contribute to Cap-Net trainings and course materials.

Specific resources on gender backstopping will be engaged in the reviewing and updating of training manuals and packages.

Stakeholder Engagement

In addition to the 23 affiliated regional and country level capacity development networks, Cap-Net partners with more than 40 international organisations and global thematic networks including GWP/GWPO (responsible party implementing this project) and IHE-Delft Institute for Water Education which ensures that the best available knowledge and state of the art capacity development delivery is joined in comprehensive packages consisting of training programmes and accessible training manuals.

The international partners are of particular importance for the collaborative development of new training materials.

Within the UN there have been particularly close collaboration with UN Environment under the auspices of UN-Water / GEMI Global Expanded Monitoring Initiative, consisting of a Cap-Net- and

GWP-facilitated series of webinars and support to national focal points for data collection and reporting on SDG indicators.⁷⁴ Further collaboration under the umbrella of UN-Water is also envisaged e.g. by the envisaged development of training materials linked to the annual World Water Development Reports (WWDRs).

Further important stakeholder engagement relates to 'intra-project' collaboration, to ensure that relevant synergies between GoAL-Waters and other projects delivered through UNDP Country Offices or regional hubs, are adequately cognizant or linked to the Cap-Net networks and the GWP regional and country-level partnerships, as appropriate.

South-South and Triangular Cooperation (SSC/TrC)

The partnership structure of 23 affiliated regional and country level capacity development networks with over 1000-member organisations in 120 countries enables South-South and triangular cooperation for sharing water knowledge and capacity development skills. The collective of networks deliver training and education to water professionals and schools in Asia, Africa, Latin America and the Caribbean. The outreach and training interventions aim for the highest levels of social inclusion (indigenous peoples, women and men, youth) with very positive impacts, and particular contribution to SDG target 17.9.

Project Output 3 – “Gender Marker: 2”

This whole project and the specific work towards achieving project output 3 has gender equality as a “significant objective.” On women’s participation and engagement, it is not just focusing on the number of representation (although this is also monitored) but also looking into the conditions for how to get the relevant representation of women across different groups such as women representatives and leaders from vulnerable community or indigenous communities, or alternatively focusing on the strengthening of women at (various) levels of decision-making. Output 3, working directly with capacity development and training, has the greatest potential of supporting women as active decision-makers in the otherwise principally male-dominated arena of water decision-making.

In addition, training modules have specific gender components and/or streamline gender throughout. Cap-Net has (together with project partners) also developed specific manuals on gender, the human rights-based approach, and 'integrity' as applied to the management of water.

Knowledge Products

Cap-Net has developed some 20 special training programmes with partner organisations and networks. These cover various aspects of sustainable water management, including the basics of integrated water resources management in relation to a range of aspects, including gender, the human rights-based approach, wastewater management and climate change adaptation. Many more are planned in relation to explicit SDG water related targets and the UN-Water World Water Development Reports.

Cap-Net publishes material in English, Spanish, French, and Portuguese, and some specific materials have been translated by partners and network members into Arabic, Russian, Chinese, Bahasa, Farsi, Urdu, Hindi, Khmer and Sinhala. The Cap-Net website (www.cap-net.org) is available in English and Spanish.

Cap-Net Virtual Campus (campus.cap-net.org), launched in 2014, provides a platform for on-line facilitated trainings. Manuals are also available through the App: Cap-Net in your pocket.

⁷⁴ Action-oriented monitoring workshops in collaboration with SDG indicator custodian agencies can be supported through country-level support, part of project output/component 2 [GoAL-Waters].

Project Output 4: Innovative and scalable solutions to ocean challenges identified and supported

Project Output 4 – the Ocean Innovation Facility – ultimately aims to support countries to achieve sustainable development, in particular a healthy ocean, by eradicating poverty in all its forms and dimensions, and accelerate structural transformations for sustainable development and building resilience to crises and shocks.⁷⁵

The Ocean Innovation Facility (OIF)

Building on the successful 2017 Ocean Conference including its 1,400 voluntary commitments, UNDP seeks to establish a new SDG14 Ocean Innovation Facility dedicated to spur action by identifying and financing a suite of pilot initiatives that demonstrate highly innovative approaches to ocean sustainability, cutting across most of the SDG14 targets and associated sustainability challenges.

By providing seed financing, advice and guidance, technical, knowledge and networking support, the Facility will help to remove key barriers by demonstrating approaches that can deliver transformational changes in ocean and ocean-relevant land-based resource management. The OIF's resources and support are targeted to the private sector, NGOs, local communities, national and sub-national government agencies, UN system organizations and development banks, intergovernmental organizations, and others positioned to pilot replicable and scalable innovations for ocean transformation.

Interventions – particularly technological and social innovation from the private sector and social entrepreneurship – which deliver positive 'returns on investment' will be encouraged, but other types of interventions, including those related to policy and regulatory reform and economic and financial incentives that transform ocean use will also be considered.

The OIF will consist of the following elements and associated deliverables:

1. Identify scalable and innovative solutions to common ocean challenges – from the technological, social, economic, political and regulatory aspects – that can potentially deliver impactful results to support ocean conservation and sustainable use;
2. Provide catalytic seed financing to identified innovative investment-ready ideas/solutions; and
3. Conduct outreach, capacity building activities, and facilitate knowledge management and information sharing.

Related websites:

<https://www.oceanactionhub.org> (and [oceaninnovationfacility.org](https://www.oceaninnovationfacility.org), to be created)

Meaningful action and progress on several of the SDG14 targets will require transformational or 'disruptive' changes in a number of ocean-related sectors, from fisheries to agriculture to solid waste management. These realities underscore the urgent need to facilitate and catalyze piloting and scaling up of highly innovative approaches – technological but also financial, economic and policy - to the management of ocean (and land-based) resources in order to accelerate and sustain progress on the SDG14 agenda.

⁷⁵ For the originally envisaged larger programme, a full elaboration on the Ocean Innovation Facility strategy and methodology is available in Project Document/Proposal # 00115195.

Planned Activities

Indicative activities of Project Output 4 are:

4.1 Launch the Ocean Innovation Facility (OIF):⁷⁶ The Facility would seek expressions of interest for innovative and forward-looking solutions to address ocean challenges. These would look to leverage entrepreneurial, innovative and creative ideas. These would be pilot activities that would reward managed risk-taking seeking to bring in new actors, innovation, cutting edge technology and ideas to cut through problems by generating innovative solutions from the public and private sectors, including start-ups.

The OIF will work to develop a common approach, shared vision and global partnership on ocean innovation among participant countries, the wider ocean community and international leading private and public organizations and experts in the field. Identified scalable and innovative projects are expected to generate concrete results towards impacting one or more of the SDG14 related targets.

A two-step process would be in place. Interested organizations/entities during the application would: (1) submit a 'preliminary' proposal (based on a pre-defined template of 1-2 pages) that would allow a review to determine if a proposal meets the grant criteria of supporting initiatives which are truly innovative and scalable; and (2) the OIF will invite selected 'preliminary' proposals to submit 'full fledge proposals' based on a clear criteria for the final selection.

The OIF will be announced in different means of communications, including social media, to ensure the broadest spectrum of relevant proposals across geographical regions can be identified. The OIF will have its own dedicated website and all materials developed will also be displayed in the Ocean Action Hub, a knowledge platform that aims to promote learning, sharing and action on ocean-related issues.

4.2 Develop a database of scalable innovative projects: The OIF will assess the viability of projects submitted by local and international partners. The OIF will provide guidance to project developers to improve the quality and take the selected projects through the various stages to maturity. The OIF may also play a more proactive role, identifying scalable innovative projects on its own and approaching business and other partners.

Core criteria for all submissions and projects ultimately approved would relate to sustainability, replication, and a viable upscaling plan.

Screened proposals will become part of a pool of investment-ready projects. Project proposals should benefit solutions to be implemented in developing countries but may derive from developing or developed country proponents. Proposals should also provide a special focus on ensuring gender equity, livelihoods of the poor and poverty eradication.

4.3 Establish a functional OIF Secretariat: Establishment of a Secretariat for the OIF, which will handle the day to day activities, manage the OIF, including monitoring implementation of resources and reporting results. It is expected that the Secretariat will be staffed with the Ocean Advisor (50% - see project output 1 and Annex 5 with ToR for key positions), a full-time Programme Assistant, along with additional leadership and management support (especially during the first 'proof-of-concept' year).

4.4 Facilitate access to catalytic funding: All participating entities will be eligible to apply to a competitive mechanism under the OIF. The selection of proposed projects will be based on clear criteria encompassing completeness and quality of the proposals, implementation and impact potential, potential for scaling up, and government or private company engagement (including co-financing),

⁷⁶ With secured additional/future funding, the OIF would establish a series of ocean challenges, linked to accelerating progress, each on different SDG14 targets.

including the criteria below:

- a. **Impact** – for the implementation of prioritised solutions with the greatest potential for ocean impact (with clear metrics) and strong prospects for feasibility, replication and scalability, while also weighing further socio-economic (poverty, jobs and livelihoods, gender dimensions) and environmental factors. This will include the bulk of the OIF resources with a focus on ensuring the capacity to deliver results.
- b. **Innovation** – for the implementation of solutions that address the ocean sustainability challenge in innovative ways. Criteria will require that the solution be feasible, new (or a new adaptation) to the country or region, utilise a new approach or technology, apply a clear economic rationale, and/or utilise a funding source or vehicle that had previously not been utilised. This window is essential as new solutions, technologies and financing avenues should be encouraged to complement better known solutions.
- c. **Private Sector** – to specifically encourage collaboration with the private sector, seeking private entity investments to match the allocation and assure strong private sector involvement with the design and implementation of the solution. Replicability and scalability will be essential criteria. Close collaboration will be foreseen with established partners and financing facilities to identify the most promising private sector investment opportunities.

Financing will be provided via grant allocations ranging from USD 100,000-500,000 as per scope and scale of proposals. The number of grants will depend as per the overall OIF resources mobilized. The implementation period of each grant can range from 1 to 2 years.

Moreover, the OIF Secretariat will collaborate with the GEF/UNDP Small Grants Programme (SGP) for possible financing of local level solutions that can more effectively address gender and opportunities with local and indigenous communities while still providing opportunities for replication and upscaling (the OIF will provide technical assistance and guidance, supporting the identification and selection of priority proposals, as applicable). Further, complementarities with the ongoing GoAL-Waters mechanism (Output 2 of existing project) will also be explored, harboring the potential of facilitating longer-term support and continuity to governance-related innovation.

4.5 Follow-up and monitoring of the initiatives financed by the OIF: A mechanism to facilitate oversight of grant implementation, results monitoring, and online reporting will be established. The broader UNDP Water & Ocean Governance programme, including GEF global and regional expert teams, will be directly engaged in this task, as well as UNDP Country Offices and Regional Hubs as required.

Monitoring – A monitoring mechanism will be available to track disbursement of grants to selected project proposals, including clear milestones of achievements.

4.6 Knowledge management and information sharing: These services will be facilitated through the OIF home page (oceaninnovationfacility.org) and the Ocean Action Hub (OceanActionHub.org) that was launched to support the preparatory process towards the Ocean Conference. The Hub is an interactive multi-stakeholder knowledge platform that brings together governments, civil society organizations, academia and the scientific community, the private sector, philanthropic organizations, intergovernmental organizations, and the UN system to learn, engage and act for the future of our Ocean. It provides a large repository of ocean resources, which can be contributed directly by registered members. It engages large networks interested on ocean-related issues by providing a space for connecting and sharing ideas and experience.

Available opportunities for boosting the capacities of public and private investors/SMEs will be publicized in preparing OIF proposals (e.g. collaboration with UNDP Private Sector Global Policy Center in Istanbul). Opportunities may be offered by UNDP or relevant partners.

4.7 Development of website and a communications strategy for the Ocean Innovation Facility The implementation of the OIF will be supported by a comprehensive communication strategy, reaching potential stakeholders through various media and other channels. The full range of work will be underpinned by a suite of strategic, state-of-the-art communication products (branding, publications, news articles, videos) and a constant flow of information through social media (Twitter, Facebook, YouTube) highlighting OIF project experiences, explaining the OIF approach and advocating for further ocean investments and uptake of OIF’s mandate by other stakeholders. Publications, case studies and knowledge generated will be gender-sensitive and inclusive of diverse groups among contributors and audiences.

The OIF will have a cutting-edge website, which will advertise the series of challenges/calls (which should be more than one, pending successful resource mobilization) and serve as the platform for submission of pre- and full proposals.

The Ocean Action Hub Website will provide support for the OIF communications, sharing ocean news and products, calls for action, while functioning as a gateway to further knowledge management resources from partner organizations.

A preliminary list of typologies of interventions the Facility might support include:⁷⁷

14.1 Prevent and reduce marine pollution

Marine debris:

- Design, manufacturing, supply chain and other innovations that serve to reduce plastics utilization and/or enhance plastics recovery, recycling and re-use
- Introduction of plastics waste collection, recycling and re-use programs in developing country municipalities including mechanisms for full cost recovery (such as container deposit laws)

Nutrients:

- Innovations in fertilizer design and manufacture that minimize fertilizer nitrogen loss from fields
- Introduction of market-based instruments that promote more efficient fertilizer use in watersheds facing nutrient pollution (tradeable emission permits, etc.)
- Testing policy, regulatory and/or economic incentives that promote collection, recovery and re-use of nutrients from municipal and/or agricultural wastewater.
- Piloting of scalable ‘non-traditional’ wastewater collection and/or treatment approaches such as constructed wetlands, local wastewater source separation for safe collection and re-use of nutrients, etc.

14.2 Sustainably manage and protect marine and coastal resources

- Promoting social innovation in the application of ecosystem-based approaches
- Piloting introduction of ‘big data’ approaches that enable and strengthen planning and decision-making in integrated coastal management, marine spatial planning and other area-based approaches.

14.3 Minimize ocean acidification

- Science-based investments in coastal fisheries and aquaculture that incorporate actual and predicted local impacts of ocean acidification (OA) on wild and cultured species towards more OA-resilient fisheries and aquaculture.

⁷⁷ The Ocean Conference Voluntary commitments. Whereas these are generally/in principle already funded, they are an important list of initiatives that may have potential to be replicated, scaled or tested elsewhere.

- Investments in ‘blue carbon’ initiatives that seek to ‘monetize’ important ocean carbon sinks into carbon finance markets, including via development and application of accurate and replicable blue carbon inventory methodologies.

14.4 Regulate harvesting and End overfishing

- Introduction and integration of ‘big data’, satellite, drone and other innovative technologies to fisheries monitoring, compliance and enforcement schemes.
- Piloting of scalable fisheries ‘traceability’ initiatives through fisheries product supply chains.
- Piloting and scaling up of fisheries and/or aquaculture certification schemes in fisheries presently under-served by such mechanisms

14.5 Conserve 10 percent coastal and marine areas

- Introduction of innovative financial and/or economic measures and instruments that serve to sustain MPAs and ensure their effective management.
- Promote / pilot approaches to protected areas that achieve conservation goals while enhancing livelihoods

14.7 Increase economic benefits from oceans to SIDS & LDCs

- Technical, economic, financial and other support to SIDS/LDCs and Large Ocean States/Nations in developing their ‘blue economy’ strategies which optimize and sustain ocean use while increasing economic output and ocean-related employment (particularly fisheries, aquaculture, ocean energy and tourism).

14.a Increase scientific knowledge, develop research capacity and transfer marine technology

- Harness innovation building on Traditional Ecological Knowledge. Remove barriers to transfer of sustainable marine technology to developing nations
- Mechanisms to enhance the availability, transfer and utilization of ocean data (derived from satellites, ROVs, floats, etc.) to marine resource managers and users in developing countries

14.b Improve small scale fishers (SSF) access to resources and markets

- Support national policy and regulatory reform that ‘levels the playing field’ for SSF including equitable access to marine resources and to domestic and international markets.
- Enhance SSF and local fisheries managers access to improved, sustainable fisheries technology and data including science-based estimates of local carrying capacity to promote sustainable fishing.

14.c Implement international law as reflected in UNCLOS

- Legal advice to countries to enable their ratification of regional and global ocean instruments;
- Training (negotiation skills, etc.) to developing countries to strengthen their positioning in negotiation of international ocean instruments.

Of the areas mentioned above, the SDG14 targets that have shown some recent important progress are 14.4 overfishing⁷⁸, 14.2 ecosystem-based approaches⁷⁹ and 14.5⁸⁰ on marine protected areas. With respect to SDG14.1, there is arguably some good initial progress on ocean plastics in terms of assessments (e.g. the Pacific Garbage Patch Study, Sea Education Association long-term data on plastics in the N. Atlantic, etc.), and a range of local and national actions (e.g. including policies and legislation reducing or banning the use of single use plastics).

At the same time, the sheer scale and complexity of the ocean plastics issue makes these at best piecemeal and neglecting opportunities further up the plastics supply chain. There is almost

⁷⁸ Due to innovations such as Global Fishing Watch, increasing emphasis on managing the entire fisheries supply chain, growth in level of certified fisheries, etc.

⁷⁹ Given the progress on introducing MSP, ICM, LME, and LMMA in many locations.

⁸⁰ Due to several major MPA declarations bringing approximate global coverage around 6-7% towards target of 10% by 2020.

negligible progress on reducing ocean nutrient pollution (14.1) with continued high nutrient burdens and associated occurrences of hundreds of coastal hypoxic areas, so this remains a high priority as one of the least addressed SDG14 target areas with significant scope for policy, economic, technological and other innovations.

Regarding the other targets, the 'blue economy' concept (embedded in 14.7, 14.b) remains very new and approaches to its realization at country level remain at conceptual stage, so much work remains to be done in this area including via 'blue economy' innovations. Similarly, on ocean acidification (14.3), since the main cause is related to CO₂ emissions, the OIF, not focused on climate change mitigation, can't directly address it, but can provide support to helping marine resource managers and users (e.g. fisheries, aquaculture, etc.) adapt to the inevitable consequences of acidification on ecosystems and livelihoods in the near and medium-term.

In addition, action to address several ocean challenges cut across two or more SDG14 targets creating the opportunity for synergies and multiple benefits across such targets (as well as across other SDGs, such as SDG 6).

Resources Required

The initially envisaged total budget for the Ocean Innovation Challenge amounts to USD 20,000,000. To-date, Sida has contributed resources for a first 'proof-of-concept' year amounting to USD 2,206,000 (SEK 20,000,000). Continued operations of the Facility are to be funded through the Sida-UNDP Strategic Collaboration Framework on Environment and Climate Change (area B2-ocean governance). Yet, in order to maintain the initiated level of activity and granting, additional resources are required.

Resource mobilization activities are under way to acquire continued and additional funding from other financial partners. The upcoming Ocean Conference in June 2020 will be an important event for showing progress and initiative and engaging closely with partners.

The Facility will be led by the OIF Secretariat, located in New York, as part of and with support from the full WOGP Team. The Secretariat will draw be led by the Ocean Advisor [under recruitment] with backstopping of the Principal Technical Advisor (Ocean) & Head, Water & Ocean, and a part-time Project Associate for administration and communications work.⁸¹

UNDP Country Offices will be drawn upon to oversee national implementation but monitoring and reporting responsibilities remain with the OIF Secretariat. Alignment and complementarities with the ongoing GoAL-Waters mechanism will also be explored to the fullest.

Grant financing will be provided via allocations ranging from USD 50,000-500,000 (depending on the scope and scale) for selected proposals identified through the OIF challenges/calls. The execution period of each grant can range from 1 to 2 years.

UNDP expects many of the projects to be implemented by both existing and new partners, from NGOs to local/provincial/national govts, IGOs and the private sector. Funds disbursement and management to any entity being awarded an OIF grant will be done according to UNDP standard procedures and policies.

Stakeholder Engagement

Stakeholder engagement will be facilitated through the OIF communication and dissemination strategy at the global and national level. At the global level, the OIF aims to facilitate partnerships for South-South and North-South Cooperation on ocean action. At the national level, the main objectives are strengthening partnerships between public and private sectors and enhancing the engagement of the private sector on ocean related issues.

⁸¹ Especially during the first year, the OIF Secretariat will receive part-time support and guidance from an experienced UNDP Policy Advisor of the GPN. In order to guarantee a swift and conducive start-up of activities, the GPN Policy Advisor will act as manager of the OIF output/component and the OIF Secretariat until the Ocean Conference, whence the Ocean Advisor will take over the management role of the OIF.

Stakeholders	Proposed engagement strategy
Global level	
Public sector entities	Increase awareness about the potential and concrete opportunities for investments in ocean conservation and sustainable use through dedicated competition for OIF grants
Private sector entities	Increase awareness about the potential and concrete opportunities for investments in ocean conservation and sustainable use through dedicated competition for OIF grants
Lead practitioners	Build a global community of practise on the application of a comprehensive approach to ocean innovation and guidance on ocean solutions, global webinar series and the Ocean Action Hub knowledge management platform.
National level	
Other decision makers	Involve in the design and implementation of ocean solutions, increase awareness and provide sound statistical evidence
Private sector entities	Identify national entry points, develop policies and coordination platforms for increased engagement and investments in ocean and coastal management.
National experts	Strengthen the capacity of national level experts by close engagement in all activities, dedicated workshops and working to support national academic and civil service curricula.
Civil Society	National and local NGOs and Community Based Organizations will engage in cooperative work to develop specific ocean solutions that aim to positively impact women groups, vulnerable groups, indigenous groups, youth and local communities.

Project Output 4 – “Gender Marker: 2”

The OIF fully recognizes the importance of gender considerations to the achievement of the SDG14 targets and will give due consideration to the integration of gender equity into its work. The Facility will promote gender equality and develop capacities contributing to the national gender equality agenda and SDG 5.

The OIF will encourage and create enabling environments for women and men to actively engage in all decision-making processes from design to evaluation of activities and capacity development events. Set targets for female participation in activities, capacity development, representation and decision making.

Using champions and publications to promote gender equality and women empowerment as part of major events linked to the Facility at global and country level. Special focus on local communities, indigenous peoples, and youth will also be made in the request for proposals.

Advocacy, capacity building, and knowledge exchange to enable gender - responsive strategies/policies and develop capacities among women and men leaders to address gender and ocean related issues, including support to women’s groups. The screening process for ocean solutions will include gender related criteria, as appropriate.

Documentation, case studies and knowledge generated by the Facility will be gender-sensitive and inclusive of diverse groups among contributors and audiences, including the collection and synthesis of gender analyses in relation to the innovations supported by the OIF.

Advocacy and capacity building to enable gender-responsive strategies/policies and develop capacities among women and men leaders to address gender and ocean related issues.

Knowledge Products

Knowledge Management will be a core function of the OIF Secretariat, enhancing several global knowledge platforms and products. Both the OIF dedicated website and Ocean Action Hub (OAH) will capture all main products, data and news stories emerging from participating public and private entities. Other platforms will also be utilized for dissemination of Ocean Innovation and project results, including UNDP's Sustainable Development Finance Platform, the Biodiversity and Ecosystem Network (BES-NET), the National Biodiversity Strategy Action Plan (NBSAP) forum and the UNDP-managed GEF IW:LEARN and LME:LEARN, all of which host a selection of resources related to coastal and marine resources.

Partnerships

The Global Water and Ocean Governance Support Programme forms part of UNDP's broader water and ocean governance engagements and falls under the WOGP umbrella of programs. This way it aligns closely with the range of project under the Global Environment Facility: International Waters (GEF:IW) and the many UNDP programs concerned with freshwater and marine resources. UNDP is a vital implementation and policy partner to several vertical funds, including the GEF, the Green Climate Fund (GCF), Adaptation Fund (AF), and others. An important part of the cross-programme collaboration and learning exchange is facilitated through IW:LEARN.

UNDP has accelerated its engagement with the GCF and other potential sources of climate, development and/or blended finance to help develop investments aligned with the 2030 Agenda, in line with the Addis Ababa Action Agenda. The Global Water and Ocean Governance Support Programme supports these endeavours and provides technical assistance on water governance to several such projects.

Critical partners include the following related programmes:

- The **UNDP Water & Ocean Governance Programme (WOGP)**, of which the present project forms a part, supports partners in developing governance and cooperation for collective action in the management of common pool resources and services provision. Supports the enabling framework in which some OIF-supported initiatives might operate. WOGP projects, particularly those financed by the GEF (LMEs, shipping, ICM, MPAs, Fisheries, etc.), and stakeholders involved in those projects, will be important constituencies in the OIF project solicitation process.
- **GEF IW:LEARN** and **LME:LEARN**. The IW:LEARN project strengthens transboundary water management around the globe by collecting and sharing best practices, lessons learned, and innovative solutions to common problems across the GEF International Waters portfolio. It promotes learning among project managers, country official, implementing agencies, and other partners. LME:LEARN hosts a Marine portal as a sub site of the iwlearn.net. It functions as a platform for knowledge sharing among the GEF's LME/ICM/MPA project portfolio and allows showcasing the work conducted by the projects on the field
- The **UNDP-GEF Small Grants Programme (SGP)** – cooperation in the implementation of small finance grants/solutions with a strong impact on gender equality and women empowerment, vulnerable groups, youth and indigenous communities' empowerment to generate and manage coastal marine resources, learning webinars and distilling of positive practices. This will provide an important model for the OIF giving of small grants
- **World Bank PROBLUE** is a new Multi-Donor Trust Fund (MDTF), housed at the World Bank, that supports healthy and productive oceans. PROBLUE supports implementation of SDG14. OIF will liaise and coordinate with PROBLUE to identify opportunities for synergy and cooperation given parallels between the mandates of the two initiatives.

- **BIOFIN** – The Biodiversity Finance Initiative can facilitate relevant information and knowledge on financing options that are of relevance to the conservation and sustainable use of Ocean resources.
- **Conservation Finance Alliance (CFA)**– could facilitate the exchange of information on identifying and supporting ocean finance solutions under the CFA framework, working with member organisations such as WCS, WWF, TNC and CI in countries on specific finance solutions. Other relevant partners include WAVES, and TEEB.
- **Environmental Governance Programme (EGP)** looking at gender and human rights in relation to environmental resources, including water and extractive industries like mining (in collaboration with Office of the High Commissioner for Human Rights (OHCHR) and the Swedish Environmental Protection Agency (SEPA).
- In relation to biodiversity and indigenous peoples the whole initiative/campaign on **Nature-for-Development** and the **Equator Initiative**, honouring local, innovative nature-based climate solutions are critical for cooperation and enhancement of synergies.

In addition, all projects and programmes included under the Sida-UNDP Framework Agreement on Environment and Climate (under development) will have joint ways of approaching challenges and join hands in furthering environment and climate agendas in a set of focus countries. There will also be joint reporting, communications and knowledge management within and among these related endeavours.

In the context of UN collaboration, the WOGP represents UNDP in the interagency coordination mechanisms of [UN-Water](#) and [UN-Oceans](#). This is one of the means to ensure alignment and cooperation across the United Nations in the implementation of projects and activities. During 2018 and 2019, a task force relating to country level engagement in the context of UN Reform is co-lead by UNDP and UNICEF. UN-Water is a critical vehicle for coherent global policy advocacy on water management and sanitation, to which UNDP, together with sister agencies, contribute vigorously.

UN-Water also provides a vehicle for UNDP to engage on water-related matters with the large set of [Members](#) and [Partners at the global level](#). Capacity development and programme cooperation have been engaged with together with UN Environment, UNICEF, the International Labour Organization (ILO), Food and Agricultural Organization of the UN (FAO), the United Nations Industrial Development Organization (UNIDO), and several others. Operational links have been developed with UN-Habitat as an implementing agency of several GoAL WaSH projects in South East Asia.

Further within the UN family, it is important to ensure the appropriate linkages and support to or coordination with UN-DESA, UN Development Coordination Office (UN-DCO) and the UN Sustainable Development Group in relation to UN reform. This links very closely to coordination with other UN entities.

In addition, for the OIF, DESA manages the Ocean Voluntary Commitments database which emerged as a result of the 2017 Ocean Conference. The OIF Secretariat will liaise and partner with DESA to identify and liaise with initiatives from within the VCs that meet the criteria of proposals for grant funding from the OIF.

More generally, further initiatives relating to decentralised cooperation and twinning arrangements for local authorities, river basin organizations or operators' partnerships may be further explored. Especially at the design stage of a cooperation, it is important to invest sufficient time and resources into finding existing organizational structures in order to build upon and strengthen what is already in place. This is of critical importance for finding e.g. women's organizations or representatives of marginalized groups.⁸²

Consolidated and harmonised collaboration with GWP continues, now also as responsible party to the present project. GWP is a global multi-stakeholder partnership that supports communities and

⁸² The sufficient search and involving women's organizations beyond women as individuals is found to be an important way to leverage women's empowerment and influence on project implementation in WGF report no 4 (See: Water Governance Facility. 2014. Mainstreaming Gender in Water Governance Programmes. From Design to Results. Stockholm: SIWI)

countries to improve the way they manage water. It is basically about bringing water users together – “that’s everyone” – to solve water problems.

GWP and the IHE-Delft Institute for Water Education are founding partners of Cap-Net, and collaboration continues, not least on matters of coastal, delta and broader water management. As mentioned above, Cap-Net also gathers a broader range of international partners working for sharing insights on water and how to enhance capacities to manage the resource.⁸³

The long-standing collaboration with SIWI, instituted through the WGF, is further consolidated. SIWI is an institute that leverages knowledge and convenes stakeholders to strengthen water governance “for a just, prosperous, and sustainable future.” UNDP draws on SIWI’s water-specific expertise and engages it to support its offices and partner governments for knowledge development and GoAL-Waters implementation. The [Stockholm World Water Week](#), organized by SIWI, provides an important meeting point for all the partners working towards improved water governance and reform.⁸⁴ The Week has also contributed to putting Stockholm on the map as a centre of water excellence.⁸⁵

The government of Sweden, mainly through Sida, has played a critical role in supporting water and ocean governance endeavours at UNDP. Sida remains a critical financial and substantive partner to the present and many other UNDP project. It is endeavoured to develop similar relations also with other bilateral support agencies and foundations.

Risks and Assumptions

This section discusses some key programmatic risks and assumptions related to the Global Water and Ocean Governance Support Programme design, along with some few pointers as to how they are to be monitored and managed:

- Assumption: the ‘water crisis’ is a crisis of governance. The present project is designed upon the premise that governance is the key for addressing the problems related to unsustainable water management and lack of access to resources and services.
 - o Risk: To uncover who actually controls water, coastal or marine resources can lead to resistance or opening up of otherwise hidden conflicts.
 - Management: The project will work *with* partners and assure a high level of transparency of all assessments. Governance assessments can be targeted to identify risks and build more solid systems with a view to future improvement, rather than focusing on the ills of the past (which is an important analysis, but not the aim of this particular project).
 - o Risk: where governance structures are not the key to resolving water resources/services management problems, there is a risk that resources spent on this endeavour could have been more effectively deployed elsewhere.
 - Management: Ways to manage this risk includes the constant scrutiny of the theory of change, e.g. by way of external and internal reviews of the project.⁸⁶ The

⁸³ In this vein, a joint proposal is under development with GWP, UN Environment and Cap-Net UNDP, for using the process of SDG monitoring – in this case of the state of implementation of IWRM (indicator 6.5.1) – into a local diagnostic and national review exercise to enable stakeholders to analyse and improve existing IWRM processes.

⁸⁴ The present project will draw on this by arranging e.g. Technical Advisory Group meetings in conjunction with the Week.

⁸⁵ Another UNDP water-related project that draws on Stockholm-based expertise is CLEWS (Climate, Land, Energy and Water Systems), involving UNDP, UNDESA and KTH (the Royal Institute of Technology, Stockholm, Sweden).

⁸⁶ The most recent (internal Water & Ocean Governance) review reaffirmed belief in the validity of the ToC and working with

theory of change is continuously refined, and interventions on the ground amended accordingly. (Note: no potential 'damage' relating to potential 'overspending' on governance matters is envisaged.)

- Assumption: investing in people's capacity. The present project assumes that governance, management and implementation of policies is most importantly helped by strengthened individual and institutional capacities.
 - Risk: While individual and institutional capacities are important, there is a risk that the strengthening of these capacities be captured by vested interests or more influential groups.
 - Management: A useful way to make unequal influence over a process of e.g. selection of training participants visible, is by way of gender accounting / sex-disaggregated monitoring. A gender analysis with an intersectional lens can shed light on who influences and provide tools for changing the way the project intervenes in such processes.
 - Risk: If the assumption about the link between individual and institutional capacities and governance effectiveness does not hold, there is a risk that resources spent on training could have been more effectively deployed elsewhere. Related risks involve the important circumstance that people may move and that such 'brain drain' may be detrimental to the capacity of an institution.
 - Management: Ways to manage this risk includes following broader research and lessons learned on capacity development more broadly. This way it is to be assured that the project's engagement builds on the best available methods and tools for capacity development.
 - The fact that people move is a risk that is not to be managed. Whereas the loss of key personnel may temporary delay or hamper delivery of results, mobility is assumed to be for the better for the broader quest for sustainable development including much work beyond water/ocean governance.
 - The ongoing transition towards working more with institutional companionship rather than training of individuals is a way of managing the risk of single people not being effective if not part of a larger group working towards needed reforms.
- Assumption: 'Knowledge is power'. The present project assumes that knowledge is a key driver of reform. Meaningful data, i.e. information, is a critical foundation for policy advocacy and decision-making. Coupled with capacity, information turns into knowledge, i.e. becomes 'actionable' as people know what to do with the information.⁸⁷
 - Risk: If reform does not take place, or derails, in spite of accessible information and capacitated knowledgeable people in the right places, there is something else that is missing.
 - Management: First, governance takes time, and in spite of the 'right ingredients' being in place each process has its own dynamic. Hence, there is great humility as regards the possibilities of actually being able to monitor/manage the role of knowledge in reform processes. By working through local actors and through Country Offices, maximum insight into local processes are strived for.

stakeholders. In addition, it highlighted the important element of also catalysing finance.

⁸⁷ The human rights-based approach builds on citizens acquiring the capacity to claim their rights, and duty bearers to respond responsibly and deliver. This is a key combination of information and capacity; becoming knowledge.

- On the other hand; there may be something missing, e.g. funding to enable action to take place. Alternatively, there may be hidden agendas that work behind the scenes and make efforts futile. This speaks for constant evaluation of the context to try to help actors understand where blockages or missing elements are. Further, the programme works actively with ‘integrity’ (see next section) in order to build governance structures that are less vulnerable to corruption or malpractice.
- Assumption: Participation leads to inclusion. There are many reasons for having participatory approaches, including to live up to democratic values and not least to the right to influence the way that services are provided, as provided e.g. by the Human Rights to Water and Sanitation.
 - Risk: Participatory processes also take time and may be to the detriment to urgent action. There is also a risk of processes being captured by certain interests, or somehow missing the right people. Less effective participatory process may mean that poor people provide free labour to surveillance or construction but get very little real influence.
 - Management: Participation is both a means and an end in itself. In order to assure that participation does not become an excuse for slow or poorly managed implementation, the project engages in critical interventions and support to programming of ‘accountability’⁸⁸
 - Participation should lead to influence and inclusion. Hence, care will be taking to avoid stereotypical situations of poor people providing free labour to projects but not being able to influence their design. The project must take cognizance of existing power structures, and ensure equitable and real influence, and not exploiting (less influential people’s) free labour. The human rights-based approach will be used as guidance for how to structure the nature of participation and influence.
 - Special measures may be required to assure the ‘real’ influence of groups that are marginalized. This may apply to women, youth, elderly, or people in informal settlements or on indigenous lands. Approaches for equity and inclusion are important, but no substitute for close scrutiny of how project endeavours are inserted into the local setting.⁸⁹
- Assumption: For the Ocean Innovation Facility (OIF), it is assumed that 1) High quality innovative ocean-related solutions are successfully sourced globally through broad outreach and awareness raising by the OIF, 2) Public and private interest to demonstrate and showcase concrete success stories and/or learn from examples that have been successfully implemented in other countries, and, 3) The private and public sectors and investors will be interested in collaborating on innovative ocean solutions that may deliver positive return on investment and be replicable and scaled.
 - Risks in this area are: i) Lack of sufficient number and quality proposals in developing countries, in particular from LDCs and SIDS; ii) Lack of capacity of institutions to prepare high-quality proposals; iii) Uneven engagement of institutions across global regions (mostly

⁸⁸ The collaboration with UNICEF on ‘Accountability for Sustainability’ addresses some of these issues in relation to water services.

⁸⁹ As concluded as regarding how to apply an intercultural approach, important elements are dialogue, mutual respect and long-term commitments. These are matters which cannot be ticked off a check-list! (Jiménez, Cortobius and Kjellén (2014) Working with Indigenous Peoples in Rural Water and Sanitation. Recommendations for an Intercultural Approach. Stockholm: Stockholm International Water Institute (SIWI). http://www.watergovernance.org/documents/WGF/MDG-F/TTT/Recommendations_for_an_Intercultural_Approach.pdf.

dominate by one or other region), and; iv) Communications campaign is not reaching the adequate channels

- Management/Mitigation measures that will be put in place include that UNDP will engage its Country Offices to ensure the calls are adequately promoted at country level; A communications plan is being prepared (e.g. including package for UNDP Country Offices; media package; UNDP Press Release; media announcements; social media campaign with the release of short videos); Official launch of the OIF will be scheduled to attract attention and facilitate dissemination of the Global call for proposals; UNDP will reach major networks, academic/research/innovation institutions and organizations playing a key role on ocean conservation; UNDP is partnering with youth business organizations to disseminate the information to start-ups, labs, and incubator initiatives; UNDP is launching a network of innovation Labs – we will make sure to integrate OIF materials to facilitate the sourcing of quality proposals, and; UNDP is coordinating with PROBLUE at the World Bank to ensure synergies and complementarities are enhanced.
- Assumption: Along with the overriding purpose of eradicating poverty, the project generally assumes that environmental protection is compatible with the protection of small-scale livelihoods of vulnerable populations. The assumption is that with conducive governance arrangements, at least the long-term interests of resource protection and livelihoods development converge.
 - Risk: Poverty can drive vulnerable people to overexploit their environments and natural resources, and similarly lack the means to contribute towards sustainable services delivery.
 - Management: Explore innovative ways (e.g. social security) to reduce the vulnerability and exposure of people, in order to allow more sustainable relation with resources environment. Climate-smart and environmentally sustainable solutions must integrate livelihood opportunities. The project will ensure to liaise cross-sectorally to ensure water governance regime to be conducive to livelihood security.
 - Risk: The aggregate use of e.g. small-holder agriculture or small-scale fisheries lead to deforestation or depletion of fish stock.
 - Management: The risk must be acknowledged and addressed through the participatory resources management which the project fosters. One of the main purposes of environmental management is to tackle the underlying environment-development conflict in a constructive manner.

The Global Water and Ocean Governance Support Programme does not *assume* that there is political will or institutional support for water governance reform. Yet, such circumstances are critically helpful for the success or reform endeavours. Albeit monitored essentially as a risk, together with UNDP Country Offices and local partners, political will is to be sought as an opportunity for successful reform steps in otherwise challenging water or political environments.

Finally, the success of any of the endeavours rest upon the assumption that there be sufficient (financial and personnel) resources available to implement the programmed activities with quality at the right time and place. Such operational risks are further discussed in Section X on Risk Management (starting page 72 below), and related Annex 3 containing Risk Analysis and Log (page 97).

Sustainability and Scaling Up

An organization like UNDP is in constant need for knowledge and advice to be made available internally and externally. The long-term effectiveness of the GPN and the water/ocean governance thematic expertise node [mostly captured under project output 1] rests on the existence of qualified personnel and the requisite funding. For this, resource mobilization is a continuously ongoing endeavour. In addition, to effectively deliver knowledge and advice within the presently available financial resources, UNDP draws on partnerships with organizations that specialise on water governance. In this case, the relatively slim organization for providing water/ocean governance thematic expertise internally and externally is made effective with the aid of the responsible parties (GWP and SIWI) which seamlessly cater for the water-related expertise required by UNDP, for internal use or for dissemination. The present model can sustain itself with existing resources. Hence the priority for sustainability is diversification (spreading of risks) and to cover for future needs.

The most urgent need for both scaling up and further sustainability, both from the perspective of funding and with regards to the sustainability of the programmatic results, involve the components / outputs for programme delivery [mainly project outputs 2 and 4] and capacity development [mainly output 3]. All these areas are critically earmarked for additional resource mobilization to increase the delivery of programmes, institution-building and training, as well as to potentially launch additional ocean innovation challenge/calls. At present, the delivery modalities are concentrated to like-minded organizations with a quest to strengthen water/ocean governance globally. It is also felt that such collaboration and harnessing of synergies be a fruitful way forward towards attracting additional and more diversified funding for the various initiatives.

On the programmatic sustainability and further scaling of the initiatives on the ground, the focus on 'governance' is the way to ensure sustainability in the long run. The focus of the programme endeavours is on the enabling environment; emphasising stakeholder involvement – including the involvement of vulnerable groups – through participatory processes, coordinated governance structures, and accountable implementation mechanisms. This stands to affect the *quality* and *direction* of development, so that existing investment streams in developing countries can increasingly be targeted to nature-based solutions, green and blue sustainable systems of consumption and production. The OIF will help catalyse and scale up innovative solutions within those more stable governance frameworks that aim to guide development towards more equitable and sustainable outcomes.

Governance reform is sustainable to the extent that processes and procedures are formulated, and funds are applied to implement the agreed actions. To support water/ocean governance reform processes coming full cycle; the project works with 'good governance' and 'integrity.' Integrity is not only a euphemism for anti-corruption work, but also denotes a focus on preventing corruption by way of identifying corruption risks and building systems that are more robust to withstand malpractice, or sufficiently transparent to keep all agendas in the open. The aim is not only to make better use of existing resources, but also – by showing well-targeted use and efficient utilization – to attract additional, diversified and stable funding in the future.⁹⁰

Gender equality supportively interplays with anti-corruption work to the extent that the diversification of backgrounds and representation of decision-making groups can reduce the risk of corruption.⁹¹ Participation is important, not only in its own right, but also for breaking up groups or contexts where vested interests or hidden agendas may otherwise skew decisions or funding away from sustainable development. By way of fostering greater influence of marginalised groups over decisions on

⁹⁰ The *Accountability for sustainability* collaboration with UNICEF aims to make existing investments more durable by way of assuring proper governance structures and management of assets – to avoid dilapidation and unnecessary re-investment, e.g. for reasons of deferred maintenance – to be built into programming at an early stage.

⁹¹ In addition, as highlighted in several UNDP reports, the way that corruption is experienced by women and men differs in many ways (See: Water Governance Facility. 2017. [Women and corruption in the water sector. Theories and experiences from Johannesburg and Bogotá](#). Stockholm: SIWI, and Purushothaman, S.; Tobin, T.; Vissa, S.; Pillai, P.; Silliman, S. and Pinheiro, C. 2012. [Seeing Beyond the State: Grassroots Women's Perspectives on Corruption and Anti-Corruption](#). New York: United Nations Development Programme and the Huairou Commission):

resource protection, allocation, use and the distribution of related benefits should not only benefit those in vulnerable situations or those being discriminated against; society as a whole stands to benefit greatly.

Finally, scaling up of governance reform processes is important. Principally, this should be driven by a bottom-up demand for good governance, coupled with political will to work for the public good and ensure transparent and participatory governance, with professional and non-discriminatory implementation practices. Whereas approaches and ideas can be transferred between cases through learning exchange, the participatory processes in themselves always need their sufficient time, resources and the requisite interest of all parties to contribute and compromise. Hence, while process design can be learned and effectively scaled, there are few 'economies of scale' related to the process itself. Similarly, whereas training design can be improved and streamlined, individual courses or interventions cannot be compressed, but each new participant does require requisite time and attention.⁹²

The replication of pilots need to build on lessons learned and be adapted to new contexts. However, capacity development or stakeholder processes need to get sufficient time and resources in every application. This may hamper the potential speed of replication and scaling up but should secure the quality and sustainability of interventions and support.

NOTE also that the Sida-UNDP Strategic Collaboration Framework on Environment and Climate Change will have one project document, including all thematic areas of the same in one document:

- A. Sustainable Management of Ecosystems, Biodiversity, and Natural Capital**
- B. Sustainable Water and Ocean Governance**
- C. Scaling up Climate Change Action for Sustainable Development, and**
- D. Nexus Area: Sustainable Food Systems – Mobilizing Government, Businesses, Communities and Investors for Transforming Food Systems**

Once operational, the present project will transition into area B and become an integral part of that framework and project document. Consequently, the present document will be closed as and when all outputs have transitioned into the new unified project document, and the existing funding sources attached to the present document have been depleted. The inclusion into one document should foster additional opportunities for cross-fertilization between the thematic areas in the scaling up.

⁹² It is not uncommon that pilot implementation processes have ample support, expertise, and important training elements, only to have such investments reduced to the minimum in a follow-on scaling up. Such "savings" are not conducive to durability or sustainability. Replication requires adaptation to new circumstances but should not be compressed to the bare minimum.

IV. RESULTS FRAMEWORK

Project title: Global Water and Ocean Governance Support Programme	Atlas Project Number: 00115482 / Atlas Output Number: 00113069⁹³
Intended Outcome as stated in the UNDP Strategic Plan Results and Resource Framework: Outcome 1. Advance poverty eradication in all its forms and dimensions	
Outcome indicators as stated in the UNDP Strategic Plan Results and Resources Framework, including baseline and targets: 1.9 Number of countries reporting progress in multi-stakeholder development effectiveness monitoring frameworks that support the achievement of the sustainable development goals	
Applicable Output(s) from the UNDP Strategic Plan: ^{94, 95} SP Output: 1.2.1 Capacities at national and sub-national levels strengthened to promote inclusive local economic development and deliver basic services including HIV and related services - related indicator: 1.2.1.1) Number of countries where national and sub-national governments have improved capacities to plan, budget, manage and monitor basic services ⁹⁶ SP Output: 1.4.1 Solutions scaled up for sustainable management of natural resources, including sustainable commodities and green and inclusive value chains - related indicator: 1.4.1.2) Natural resources that are managed under a sustainable use, conservation, access and benefit-sharing regime: (c) Number of shared water ecosystems (fresh or marine) under cooperative management SP Output: 2.4.1 Gender-responsive legal and regulatory frameworks, policies and institutions strengthened, and solutions adopted, to address conservation, sustainable use and equitable benefit sharing of natural resources ⁹⁷ , in line with international conventions and national legislation - related indicator: 2.4.1.1) Number of countries with gender-responsive measures in place for conservation, sustainable use, and equitable access to and benefit sharing of natural resources, biodiversity and ecosystems a) Policy frameworks; b) Legal and regulatory frameworks; c) Institutional frameworks; and d) Financing frameworks SP Output: 3.4.1 Innovative nature-based and gender-responsive solutions developed, financed and applied for sustainable recovery - related indicator: 3.4.1.1) Number of countries in special situations implementing innovative solutions at scale for sustainable recovery: a) Nature-based; b) Gender-responsive	

⁹³ New Atlas Output Number to be created for Project Output 4 (Ocean Innovation).

⁹⁴ UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

⁹⁵ Donor reporting (to Sida) may use less detailed output indicators but will instead relate to agreed thematic priority areas and previously determined outcome indicators relating to the joint achievement of the initiatives under the WOGP.

⁹⁶ Basic services include social services (e.g. health and nutrition, education, water and sanitation, social housing, vocational training), economic services (including finance), environmental and energy services (e.g. renewables, clean fuels and technology, use of natural resources), and other services (e.g. rule of law and justice). It should be noted that UNDP focuses primarily on policies and capacities that improve the enabling environment for provision of basic services.

⁹⁷ Includes oceans and marine and freshwater ecosystems, forests, biodiversity and ecosystems, land rights, and management of chemicals and waste.

Project title: Global Water and Ocean Governance Support Programme					Atlas Project Number: 00115482						
EXPECTED OUTPUTS ⁹⁸	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)						DATA COLLECTION METHODS & RISKS
			Value	Year 0 (2018)	Year 1 (2019)	Year 2 (2020)	Year 3 (2021)	Year 4 (2022)	Year 5 (2023)	FINAL ⁹⁹	
Output 1: Water/Ocean Governance thought leadership, thematic expertise, technical support and policy advocacy promoted and strengthened globally	1.1 Water governance-related publications made available globally– including thru/with UN-Water and syntheses of lessons from the field. (A share of which addressing gender equality and issues of importance to marginalized groups)	<i>Report / publication</i> <i>Report contents</i>	Total number of substantive reports/ /policy documents / papers/ contributions published by or with substantive contributions by the Project (Share of which address gender equality [GEN], and share addressing inclusion/ equality more broadly [LNOB])	9 GEN: 30% LNOB: 65%	5 GEN: 50% LNOB: 100%	5 GEN: 50% LNOB: 100%	5 GEN: 50% LNOB: 100%	5 GEN: 50% LNOB: 100%	5 GEN: 50% LNOB: 100%	5 GEN: 50% LNOB: 100%	<i>Recording publication reference and web-sites.</i> <i>Additional monitoring of downloads and/or citation as appropriate.</i> <i>Risk: Reports/ contributions published but not accessed, read or understood.</i>
	1.2 Global/international and/or UN-interagency water-related meetings and conferences contributed to and/or organized (with adequate gender representation)¹⁰⁰	<i>Conference proceedings and project log (summary in progress report)</i>	Number of events with active engagement of node / facility (% females on among speakers / panels organized - GEN)	11 (GEN: 40%)	10 (GEN: 50%)	10 (GEN: 50%)	10 (GEN: 50%)	10 (GEN: 50%)	10 (GEN: 50%)	10 (GEN: 50%)	<i>Log to count number of organized events and contributions to relevant events (including gender balance of panels and/or project-sponsored participants)</i> <i>Monitoring Risk: Systematic determination of what events</i>

⁹⁸ Project outputs are operationalised into Atlas ACTIVITY areas, as reflected in the Multi-Year Work Plan / Budget.

⁹⁹ Note that targets of future years will be carried over into the one project document of the Sida-UNDP Strategic Collaboration Framework on Environment and Climate Change

¹⁰⁰ A related goal relates to insuring that conference participation or panel organization also represent geographies (especially the 'global South'), a varied set of ages, and particular groups, e.g. slum dwellers, landless, smallholders, indigenous peoples. This will be noted from a qualitative perspective in progress reporting. Only gender representation is monitored in quantitative terms.

Project title: Global Water and Ocean Governance Support Programme					Atlas Project Number: 00115482							
EXPECTED OUTPUTS ⁹⁸	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)						DATA COLLECTION METHODS & RISKS	
			Value	Year 0 (2018)	Year 1 (2019)	Year 2 (2020)	Year 3 (2021)	Year 4 (2022)	Year 5 (2023)	FINAL ⁹⁹		
												<i>qualify, effectively recording panel composition and/or sponsored participants and reflecting equal participation (not only representation) in related processes</i>
	1.3 Responses to internal (UNDP) and external requests/needs for technical advice, document reviews, briefs / talking points on water governance related matters	<i>Log summary in Progress Reports</i>	Total number of internal / external requests/needs (% responded to in time)	45+ (6 techn. advice to COs; 40+ reviews / talk.pts, etc) 100%	30 (100%)	30 (100%)	30 (100%)	30 (100%)	30 (100%)	30 (100%)		<p><i>Log of requests to be kept by Sr Wat Adv and WGF, including record of requesting office and timeliness of response.</i></p> <p><i>Operational Risk: Project overwhelmed by requests or by requests not related to water governance. Or get too few requests.</i></p> <p><i>Monitoring Risk: Difficulties in determining what constitutes a request, its relevance, and meaning of timely. Noting the great variation of the time input to respond (ranging from a few hours up to weeks).</i></p> <p><i>Further, if recording to log is too cumbersome, risk missing requests/ responses or taking time from substance work.</i></p>

Project title: Global Water and Ocean Governance Support Programme					Atlas Project Number: 00115482						
EXPECTED OUTPUTS ⁹⁸	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)						DATA COLLECTION METHODS & RISKS
			Value	Year 0 (2018)	Year 1 (2019)	Year 2 (2020)	Year 3 (2021)	Year 4 (2022)	Year 5 (2023)	FINAL ⁹⁹	
	1.4 Number of active projects adequately backstopped with technical assistance and quality assurance	<i>ATLAS and progress reporting</i>	Number of active projects backstopped ¹⁰¹ (% having regular meetings/ reporting)	14 (100%)	17 (100%)	14 (100%)	13 (100%)	13 (100%)	13 (100%)		<i>Reports produced and made available at relevant web pages (and share of those addressing gender equality). In addition, citations and downloads tracked as appropriate</i>
	1.5 Number of web-sites well-resourced with water/ocean governance knowledge materials	<i>www</i>	# of websites / landing spaces fed with accessible water/ocean governance knowledge products	3	4	5	<i>Tbd</i>	<i>Tbd</i>	<i>Tbd</i>		<i>Web-site statistics Risk: comparability of site statistics may vary. Difficulty in determining number of sites and quality/accessibility of knowledge products displayed.</i>
Output 2: Freshwater and coastal resources management frameworks strengthened at local and national level	2.1 Countries with gender-responsive measures in place for conservation, sustainable use, and equitable access to and benefit sharing of natural resources, biodiversity and ecosystems a) Policy frameworks; b) Legal and regulatory frameworks; c) Institutional frameworks; and	<i>Summarised in Progress Report</i>	Number of countries with gender-responsive measures in a) Policy frameworks; b) Legal and regulatory frameworks; c) Institutional frameworks; and d) Financing frameworks	a) 0 b) 0 c) 0 d) 0	a) 1 b) 1 c) 1 d) 1	a) 2 b) 1 c) 2 d) 1	a) 2 b) 1 c) 2 d) 1	a) 2 b) 1 c) 2 d) 1	a) 2 b) 1 c) 2 d) 1		<i>Quarterly discussions / progress reports from the UNDP COs to the WGF, including information on country-level outcomes and the extent to which gender responsiveness has been instituted. (Analysing gender contents of results reported under 2.1-2.3) Monitoring risk: putting gender responsive measures can be instituted/decided many times over. +</i>

¹⁰¹ Includes backstopping to GoAL-Waters (see output 2), UNICEF Accountability for Sustainability collaboration and other potential UNDP project needs. With additional resource mobilization for GoAL-Waters projects, targets would increase.

Project title: Global Water and Ocean Governance Support Programme					Atlas Project Number: 00115482							
EXPECTED OUTPUTS ⁹⁸	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)						DATA COLLECTION METHODS & RISKS	
			Value	Year 0 (2018)	Year 1 (2019)	Year 2 (2020)	Year 3 (2021)	Year 4 (2022)	Year 5 (2023)	FINAL ⁹⁹		
	d) Financing frameworks <i>(SP output indicator 2.4.1.1)</i>											<i>Difficult to consistently distinguish between a, b, c, and d.</i> <i>Operational risk: Potentially ineffective if substantial policy – implementation gap</i>
	2.2 Number of national and/or local water and coastal governance assessments undertaken with view to promoting joint understanding and political will for water /coastal/marine governance reform	<i>Summarised in Progress Report</i>	Number of assessments (% specifically addressing needs of marginalised groups)	3 ⁽¹⁰²⁾ (LNOB: 30%)	4 (LNOB: 50%)	5 (LNOB: 60%)	5 (LNOB: 60%)	5 (LNOB: 60%)	5 (LNOB: 80%)		<i>Quarterly discussions / progress reports from the UNDP COs to the WGF, including information on country-level activities and outcomes and the extent to which they meaningfully address</i> <i>Risk: Difficult to consistently qualify what constitutes joint understanding and meaningfully addressing gender</i>	
	2.3 Number of commitments on improving water/coastal /marine governance frameworks	<i>Summarised in Progress Report</i>	Number of commitments (% specifically addressing needs of marginalised groups)	4 ⁽¹⁰³⁾ (LNOB: 25%)	3 (LNOB: 30%)	3 (LNOB: 67%)	4 (LNOB: 75%)	5 (LNOB: 80%)	5 (LNOB: 80%)		<i>Quarterly discussions / progress reports from the UNDP COs to the WGF, including information on country-level activities and outcomes and the extent to which they meaningfully address</i> <i>Risk: Difficult to consistently qualify what constitutes a</i>	

¹⁰² From predecessor GoAL WaSH programme: Niger, Liberia, Paraguay

¹⁰³ From predecessor GoAL WaSH programme: Niger (12 municipalities); Liberia; Bosnia & Herzegovina (2 utilities); Cambodia (4 utilities)

Project title: Global Water and Ocean Governance Support Programme					Atlas Project Number: 00115482							
EXPECTED OUTPUTS ⁹⁸	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)						DATA COLLECTION METHODS & RISKS	
			Value	Year 0 (2018)	Year 1 (2019)	Year 2 (2020)	Year 3 (2021)	Year 4 (2022)	Year 5 (2023)	FINAL ⁹⁹		
												commitment and meaningfully addressing gender
	2.4 Number of countries supported in implementing national, sub-national and local water/coastal/marine governance reforms	Summarised in Progress Report	Number of countries with policy implementation action recorded (%specifically addressing needs of marginalised groups)	10 LNOB: 50% ⁽¹⁰⁴⁾	5 LNOB: 50%)	2 LNOB: 50%)	2 LNOB: 50%)	4 LNOB: 50%)	5 LNOB: 60%)		Quarterly discussions / progress reports from the UNDP COs to the WGF, including information on country-level activities and outcomes and the extent to which they meaningfully address Risk: Difficult to consistently qualify what constitutes policy implementation and meaningfully addressing gender	
Output 3: Enhanced individual and institutional knowledge and capacities for sustainable	3.1 Number of countries where national and sub-national governments have improved capacities to plan, budget, manage and monitor status/management of freshwater/coastal/marine resources (draws on of SP output indicator: 1.2.1.1)	Cap-Net Monitoring Evaluation and Learning Plan (MELP)	Number of countries from where benefitting participants report relevant “institutional change” in MELP originate from, disaggregated by type of institution – national and sub-national gov vs other institutions	tbd (tbd)	10 (40)	10 (40)	10 (40)	10 (40)	10 (40)		MELP questionnaires applied certain time after each major training. Risk: Incorrect data or inconsistent capture in progress reporting and event completion report, low response rate or insufficient application of MELP of the networks	

¹⁰⁴ From predecessor GoAL WaSH programme: Tajikistan, Bosnia & Hercegovina, Madagascar, Philippines, Paraguay

Project title: Global Water and Ocean Governance Support Programme					Atlas Project Number: 00115482							
EXPECTED OUTPUTS ⁹⁸	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)						DATA COLLECTION METHODS & RISKS	
			Value	Year 0 (2018)	Year 1 (2019)	Year 2 (2020)	Year 3 (2021)	Year 4 (2022)	Year 5 (2023)	FINAL ⁹⁹		
water management			(total no of institutions where participants claim [relevant] institutional change)									
	3.2 Number of individuals (by gender) applying knowledge and skills in the knowledge and formulation and implementation of relevant policies, laws and strategies.	<i>Cap-Net Monitoring Evaluation and Learning Plan (MELP)</i>	Number of persons reporting knowledge having been shared or applied through MELP survey (GEN: % female)	600 GEN: 30%	1000 GEN: 40%	1200 GEN: 40%	1200 GEN: 50%	1200 GEN: 60%	1200 GEN: 60%		<i>MELP questionnaires applied certain time after each major training. Risk: low response rate or insufficient application of MELP of the networks</i>	
	3.3 Number of institutions supported / accompanied towards improved capacity to manage water sustainably	<i>Progress report supported by individual network annual reports</i>	Number of institutions having been accompanied by cap dev programs targeting own needs, or participate in institutional twinning arrangements	0	4	8	8	8	8		<i>Progress reporting and event completion reports. Monitoring Risk: Incorrect or inconsistent data capture in progress reporting and event completion report. Inconsistent classification of support arrangements</i>	
	3.4 Number of networks and partnerships promoting learning and knowledge exchange (and share specifically promoted learning on	<i>Progress report supported by individual network</i>	Number of affiliated networks (a) and international partners (b) promoting learning and knowledge	(a). 23 (GEN: tbd) (b). 40 (GEN: tbd)	(a). 24 (GEN: 40%) (b). 40 (GEN: 50%)	(a). 24 (GEN: 40%) (b). 40 (GEN: 50%)	(a). 25 (GEN: 50%) (b). 40 (GEN: 50%)	(a). 25 (GEN: 60%) (b). 40 (GEN: 50%)	(a). 26 (GEN: 60%) (b). 40 (GEN: 50%)		<i>Progress report supported by individual network annual reports Risk: Incorrect or inconsistent recording in progress reporting and</i>	

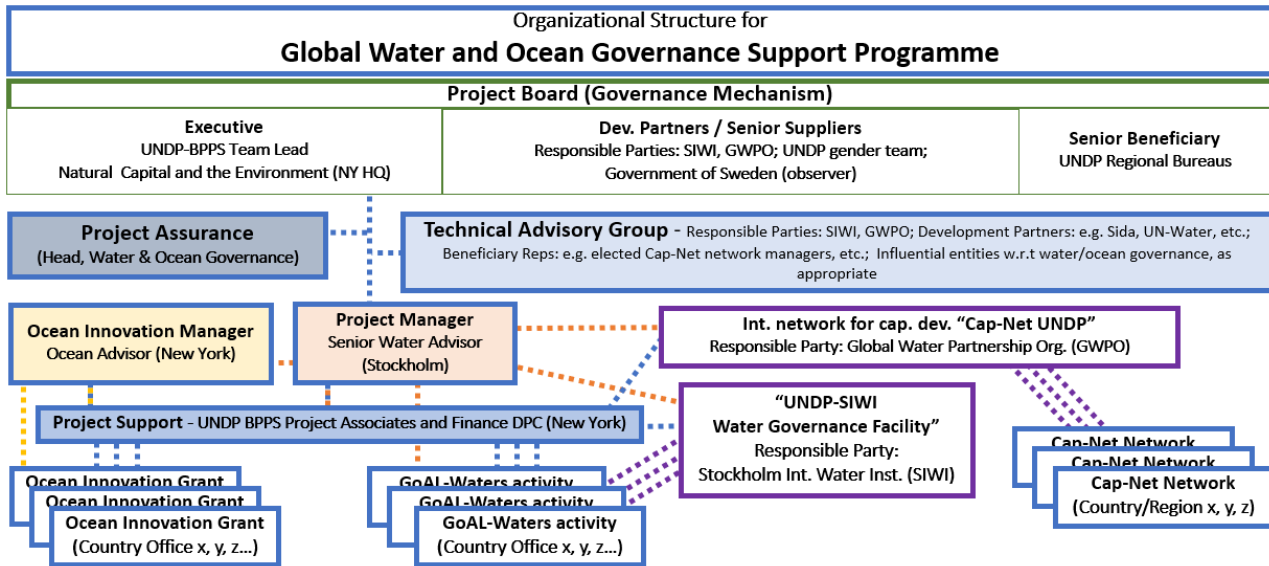
Project title: Global Water and Ocean Governance Support Programme					Atlas Project Number: 00115482							
EXPECTED OUTPUTS ⁹⁸	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)						DATA COLLECTION METHODS & RISKS	
			Value	Year 0 (2018)	Year 1 (2019)	Year 2 (2020)	Year 3 (2021)	Year 4 (2022)	Year 5 (2023)	FINAL ⁹⁹		
	gender equality and women's empowerment)	annual reports	exchange (% gender-specific)									individual network annual reports.
	3.5 Number of individuals (by gender) participated in training.	Progress report summaries and event completion reports	Number of persons completing (% female)	1500 (GEN: 35%)	2000 (GEN: 40%)	2000 (GEN: 45%)	2000 (GEN: 50%)	2000 (GEN: 55%)	2000 (GEN: 60%)			Progress reporting and event completion reports. Risk: Incorrect or inconsistent data capture, errors in aggregating in progress reporting and event completion reports.
	3.6 Number of new training packages (manuals, tools) developed or revised/ updated (and proportion mainstreaming or containing specific module on gender)	Progress report summaries. Training packages	Number of packages completed and distributed during year (% including gender module and/ or streamlining throughout)	4 (GEN: 50%)	4 (GEN: 50%)	4 (GEN: 75%)	4 (GEN: 75%)	4 (GEN: 75%)	4 (GEN: 75%)			Progress reporting and event completion reports. Operational Risk: Delays in production – including quality assurance Monitoring Risk: Qualifying sufficient update and/or gender mainstreaming / specific module.
Output 4: Innovative and scalable solutions to ocean challenges identified	4.1 Ocean Innovation Challenge/calls launched and disseminated / downloaded	OIF Website	Number of Challenges launched (# of downloads in the registration form;)	0	1 (1500 downloads)	1 (2000 downloads)	1 (2000 downloads)	1 (2000 downloads)	1 (2000 downloads)			
	4.2 Development of a database of scalable innovative projects, hosted in the OIF website and Ocean Action Hub (OAH)	OIF and OAH Website	# database	0	Under way	1 built	1 maintained	1 maintained	1 maintained			

Project title: Global Water and Ocean Governance Support Programme					Atlas Project Number: 00115482							
EXPECTED OUTPUTS ⁹⁸	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)						DATA COLLECTION METHODS & RISKS	
			Value	Year 0 (2018)	Year 1 (2019)	Year 2 (2020)	Year 3 (2021)	Year 4 (2022)	Year 5 (2023)	FIN AL ⁹⁹		
and supported	4.3 Establishment of the OIF Secretariat Unit	OIF quarterly reports		0	1	1 maintained	1 maintained	1 maintained	1 maintained	1 maintained		
	4.4 Number and dollar value of ocean solutions / proposals accessing catalytic funding, based on the core criteria: <ul style="list-style-type: none"> ▪ Impact ▪ Innovation ▪ Replicability ▪ Scalability ▪ Sustainability ▪ Gender equality 	OIF data base & UNDP, OIF & OAH websites	Number and dollar value of ocean proposals accessing catalytic funding, complying with core criteria	0	0	7-15 (USD 1 million)	7-15 (USD 1 million)	7-15 (USD 1 million)	7-15 (USD 1 million)		Note: financial targets build on successful resources mobilization	
	4.5 M&E mechanism established to follow up initiatives financed by the OIF	OIF quarterly reports, OIF & OAH websites			Under way	Being established	1 built	1 maintained	1 maintained			
	4.6 Development of a website and a communications strategy for the OIF	OIF Website online			Under way	1 built	1 maintained	1 maintained	1 maintained		See output indicator 1.5 above.	

V. PROJECT GOVERNANCE AND MANAGEMENT ARRANGEMENTS¹⁰⁵

This global project is implemented by UNDP through the Direct Implementation Modality (DIM). UNDP's Bureau for Policy and Project Support (BPPS) will be responsible for the overall project, with partner responsible parties implementing specific components.

Figure 3 – Illustration of Governance and Management Arrangements



Project Board

The Project Board provides overall policy and strategic guidance to facilitate the effective and efficient implementation of the project, and is responsible for making management decisions when guidance is required by the Project Manager. This includes recommendations for approval of project plans and revisions and addressing any project level grievances.

Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition. The Project Board will meet annually (virtually, or in New York in February/March).

Specific responsibilities of the Project Board include:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the Project Manager;
- Provide guidance on new project risks, and agree on possible countermeasures and management actions to address specific risks;
- Review the annual work plan and project progress, and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;
- Appraise the annual project implementation report, including the quality assessment rating report; make recommendations for the workplan;
- Agree on project manager's tolerances as required;

¹⁰⁵ NOTE that once the *Sida-UNDP Strategic Collaboration Framework on Environment and Climate Change project document*, is operational, and the non-Framework funding of the present project depleted. The present project endeavours will transition into area B of the Framework project document. This will change governance arrangements during future years.

- Provide ad hoc direction and advice for exceptional situations when/if the Project Manager's tolerances are exceeded; and
- Assess and decide to proceed on project changes through appropriate revisions.

The composition of the Project Board will include the following roles: Senior Beneficiary, Executive, Senior Supplier.

Executive

The Executive (also called Project Director) is an individual who represents ownership of the project and chairs the Project Board. The Executive is ultimately accountable for the results of the project. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The Executive has to ensure that the project gives value for money, ensuring cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

- Specific Responsibilities (as part of the above responsibilities for the Project Board):
- Ensure that there is a coherent project organization structure and logical set of plans;
- Set tolerances in the annual work plan and other plans as required for the Project Manager;
- Monitor and control the progress of the project at a strategic level;
- Ensure that risks are being tracked and mitigated as effectively as possible;
- Brief relevant stakeholders about project progress;
- Organize and chair Project Board meetings.

The Executive is the UNDP-BPPS Chief of Profession Sustainable Development.

Development Partners / Senior Suppliers

The Development Partner (also called Senior Supplier) is an individual or group representing the interests of the parties concerned which provide technical expertise and/or funding to the project. The Development Partners' primary function within the Project Board is to provide guidance regarding the technical feasibility of the project.

Specific Responsibilities (as part of the above responsibilities for the Project Board):

- Make sure that progress towards the outputs remains consistent from the supplier perspective;
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management;
- Ensure that the supplier resources required for the project are made available;
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts.
- Promote coordination among the present and related project endeavours of UNDP

The Development Partners / Senior Suppliers are representatives from the Responsible Parties, SIWI and GWPO. Project synergies and coordination points can be promoted by representatives of projects with similar or related objectives which may be included as necessary. Strategic gender expertise is contributed by UNDP's Gender Team.

Any financial partner (at present, principally the Government of Sweden) has the option to participate fully, or as observer, to the work of the Project Board.

Senior Beneficiary

The Senior Beneficiary is an individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Project Board is to ensure the realization of project results from the perspective of project

beneficiaries. The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The Senior Beneficiary role monitors progress against targets and quality criteria.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Prioritize and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Ensure that the specification of the Beneficiary's needs is accurate, complete and unambiguous;
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target;
- Impact of potential changes is evaluated from the beneficiary point of view;
- Risks to the beneficiaries are frequently monitored.

The Senior Beneficiaries are representative(s) of UNDP's Country Offices, Regional Hubs/Centres, or Regional Bureaus.

Project Quality Assurance

UNDP-Bureau for Policy and Project Support will provide oversight and project quality assurance services through the leadership of the Water and Ocean Governance Programme.

The Project Assurance role supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed.

Technical Advisory Group

The Technical Advisory Group (TAG) will advise on the project; identify opportunities for synergistic use of resources through joint events and initiatives, and increase outreach functions of the project through the convening capacities of the entities represented in the TAG.

The TAG will be composed of representatives from UNDP, SIWI, GWP, financial partners, and collaborating entities such as UN-Water and/or UN-Oceans, UN-Environment, FAO, etc. Emphasis is put on the science/economy/policy expertise cutting across the SDG 6 and 14 target areas, from freshwater and marine pollution to fisheries to area-based management. Selected Cap-Net network representatives will form part of the TAG. Additional Advisory Group members, as needed, will be found through referral received from partners and reputable institutions.

The committee will meet virtually or face-to-face, as appropriate, at least annually, and most conveniently in conjunction with the Stockholm World Water Week in August/September every year, and at relevant ocean meetings. All TAG members will attend the sessions at their own cost.

Additional or separate advisory functions connected to each of the outputs/components will be arranged, as appropriate. For example, relevant members of the TAG are expected to provide a vital source of peer review to 'short-listed' OIF proposals in areas that fit the TAG's expertise.

Project Management

As a global project, administration will be based with BPPS at the UNDP headquarters in New York.

Under the supervision of the Project Board, the Project Manager has the prime responsibility to ensure that the project produces the results (outputs) specified in the project document, to the required standard of quality and within the specified constraints of time and cost. The Project Manager will also be responsible for liaising with other relevant projects and initiatives both internally and externally to UNDP.

The Project Manager (the Senior Water Advisor) will be based in Stockholm, Sweden, together with the key Responsible Parties, and able to draw on Stockholm-based centres of excellence on water.

The Project Manager is responsible for day-to-day management of activities contributing to Output 1, and the overall guidance for the implementation of activities contributing to Outputs 2, 3 and 4. Day-to-day management of GoAL-Waters/Output 2 rests with respective Country Offices, with strategic guidance provided by the UNDP-SIWI Water Governance Facility. Day-to-day management of Cap-Net/Output 3 is undertaken by the Global Water Partnership Organization. A New-York based secretariat is built for the day-to-day management of the Ocean Innovation Facility/Output 4, coordinated by the Ocean Advisor.¹⁰⁶

The Project Manager will hold regular technical team meetings, as appropriate.

The Project Manager will ensure diligent preparation and coordination of the Project Board meetings, and will be responsible for drafting the workplans, budgets and implementation reports related to the project, in coordination with the responsible parties.

Annex 5 (starting page 115) contains the ToR for key positions of this project:

- Project Manager, i.e. the existing Senior Water Advisor / Technical Advisor (Water Resources)
- Ocean Advisor, overseeing/managing component 4 (to be recruited)
- Seconded Technical Expert. (to be secured, and ToR adapted to fit with donor requirements and project needs)

The Project Support role provides project administration and technical support to the Project Manager, from New York, as required. Budget provision for overall project support are made for Project Associates (50% and 30%), Finance Officer (10%) and gender backstopping (5%). For output 4 (OIF), an additional Project Associate (50%) is required.

Country Offices

The activities of components/outputs 2 and 4 of this project are delivered through UNDP Country Offices (COs) as appropriate.

Output 2 – GoAL-Waters national and/or local level activities – are agreed with COs on an individual case by case basis, using a template for outlining purpose, expected results and activities.¹⁰⁷ Depending on grant sizes, some 15 GoAL-Waters projects should be possible to entertain during 2019. For ensuing years, resources need to be mobilised for continued delivery. The aim, pending further resources to be mobilized, is to have activities running in at least 20 countries.

GoAL-Waters priority focus would be on countries with challenges related to freshwater (e.g. aridity) or marine (e.g. pollution) or coastal resources (e.g. erosion), or complexities related to water/ocean governance (e.g. recovering from conflict, disasters or economic downturn). Yet, interest on behalf of government authorities and UNDP offices will be the main determining factor for projects being developed. The GoAL-Waters programme is demand-responsive and aims to contribute to ongoing endeavours by way of 'gap-filling' with complementary, e.g. coordination, activities.¹⁰⁸

For output 4 – the OIF – COs are to be involved in the promotion of challenges to harness innovative and scalable solutions from their areas. Then, COs are also responsible for managing the granting

¹⁰⁶ During the first year, in particular, the OIF Secretariat will receive part-time support and guidance from an experienced UNDP Policy Advisor of the GPN. In order to guarantee a swift and conducive start-up of OIF activities, the GPN Policy Advisor will act as Manager of the OIF dedicated output/component and the OIF Secretariat until the Ocean Conference in June 2020, whence the Ocean Advisor will take over the Management role of the OIF output.

¹⁰⁷ GoAL WaSH engagements by end-2018 were present in Bosnia & Hercegovina, Cambodia, Jordan, Kyrgyzstan, Laos, Madagascar, Niger, Paraguay, Philippines, Tajikistan, Togo and in Vietnam (through a "Mekong regional" in collaboration with UN-Habitat). These were individual NEX/DIM projects held by Country Offices.

Starting 2019 with GoAL-Waters operations, country/local-level activities are construed as dedicated Atlas Activities of the present global project. Because of the amended thematic focus, only a sub-set of GoAL WaSH countries will continue with GoAL-Waters activities. Additional countries, pending resource availability and interest of UNDP offices and national/local authorities, are to be added.

¹⁰⁸ Thematically GoAL-Waters projects focus on sustainable use and protection of freshwater and coastal resources through strengthened national and local governance.

of [the subset of] funds to the selected local and/or national level innovations in their respective countries. [Note that OIF will also grant funding to initiatives not linked to particular countries/COs.]

As/when acting as the main partner at the country level, the COs will be responsible for administration, progress reporting, budget maintenance, and country-level communication and outreach.

The CO is responsible for complying with relevant UNDP national project-level M&E requirements as outlined in the UNDP rules and procedures.

Responsible Parties

As Responsible Parties to the Global Water and Ocean Governance Support Programme, SIWI and the GWPO will be responsible for the implementation of selected components of the project. They have been assessed against applicable selection criteria and are found to be suitable Responsible Parties. In fact, their high level of technical expertise and commitment to furthering water governance is critical for the successful implementation of the project. Further information about their respective comparative advantages and the externally assessed level of risk is contained in Annex 4 on Capacity Assessment of Responsible Parties.

The responsible parties will provide UNDP with reports on the use of funds, the progress of the activities, and tracking of higher-level outcome, as set out in a reporting schedule to be contained in the individual agreements.

UNDP and the Responsible Parties will use their best efforts to promptly settle through direct negotiations any dispute, controversy or claim arising out of or in connection with this Project Document or any breach thereof.

Any changes to the Project Document that would affect the work being performed by the Responsible Parties shall be recommended only after consultation between the parties. Any amendment to this Project Document shall be effected by mutual agreement in writing.

VI. MONITORING AND EVALUATION

The project results as outlined in the project results framework will be monitored and evaluated periodically during project implementation to ensure the project effectively achieves these results.

M&E Oversight and monitoring responsibilities:

Project Manager: The Project Manager, assisted by the Programme Associate, is responsible for project oversight and regular monitoring of project results and risks, including social and environmental risks.

The Project Manager will hold regular meetings with responsible parties to ensure that the partners maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. Narrative and financial reporting will be undertaken in a schedule that supports the consolidated reporting by the Project Manager to the Project Board, the TAG, and the Financial Partners to the project.

The Project Manager will inform the Project Board of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted. The Project Manager will also discuss project priorities and context with the Technical Advisory Group (TAG) to ensure apt adaptation to changing environments and opportunities for enhancing the contribution of water governance to sustainable development globally.

The Project Manager will coordinate the development of global annual work plans based on a multi-year work plan, including annual output targets to support the efficient implementation and the monitoring of project results. This includes ensuring the results framework indicators are monitored

annually in time for evidence-based reporting in the Annual Performance Review, and that the monitoring of risks and the various plans/strategies developed to support project implementation occur on a regular basis.

Responsible Parties: The responsible parties will undertake all day-to-day project oversight and regular monitoring of project results and risks, including social and environmental risks, as it relates to their specific components of the project.

Project Board: The Project Board will hold annual meetings, scheduled for February each year in New York, to assess the performance of the project and appraise the Annual Work Plan. The Project Board will decide upon corrective action as needed to ensure that the project achieves the desired results.

Technical Advisory Group: The Advisory Group will hold annual meetings, in conjunction with the Stockholm World Water Week held annually in August/September, to assess the relevance of the project's endeavours and advise on ways for adapting to changing contexts and to explore opportunities for enhancing the contribution of water governance to sustainable development globally.

Monitoring Plan

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans:

Monitoring Activity	Purpose	Frequency	Expected Action	Partners	Cost
Track results progress	Progress data against the results indicators in the results framework will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Semi-annually	Issues related to timing/quality of progress will be addressed by project management. This tracking forms basis for summary report to Board / TAG.	All (UNDP, SIWI, GWPO)	Part of (preparing for) annual project board and advisory group meetings, respectively. (Forms part of duties of key project staff/personnel)
Resp. Party Financial Reporting	FACE reporting of expenditure and request of new advance, as appropriate	Quarterly	Issues related to timing/quality of reporting will be addressed by project management.	SIWI, GWPO	Part of project administration
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.	All (UNDP, SIWI, GWPO) (project manager)	Continuous and regular activity. (Forms part of duties of key project staff/personnel)
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.	Annually	Relevant lessons are captured by the project team and used to inform	All (UNDP, SIWI, GWPO) (TAG)	Part of (preparing for) annual reporting. (Forms part of duties of key

Monitoring Activity	Purpose	Frequency	Expected Action	Partners	Cost
			management decisions.		project staff/personnel)
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.		Part of project budget – (provision of 27kUSD/year)
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making. ¹⁰⁹	Annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.	All (UNDP, SIWI, GWP)	Part of (preparing for) annual project board and advisory group meetings, respectively. (Forms part of duties of key project staff/personnel)
Project Progress Report	A project progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined (gender disaggregated) annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the project (final report)	Approve reports and decide on future course of actions.	All (UNDP, SIWI, GWP)	Forms part of duties of key project staff/personnel
Donor Reporting	<p>The progress report presented to the Project Board will be complemented to serve also as the annual progress report to the key donor (Gov. of Sweden)</p> <p>The donor reporting will report progress in compliance with each agreement that contributes to the funding of the project.</p> <p>[This includes - Sida support to WOGP's contribution to realizing UNDP's strategic plan (support extended through 2019) Donor project no 61050034. - Sida support to Ocean Innovation (on-year proof of concept, 2019. Donor project no 61050352. (including additional inception report by 30 November 2019, as per contract)</p>	Annually, and at the end of the project (final report)	<p>Approve reports and decide on future course of actions.</p> <p>Basis for payment of contribution from donor.</p>	All (UNDP, SIWI, GWP)	Forms part of duties of key project staff/personnel

¹⁰⁹ Sex-disaggregated data will be used to the greatest extent possible. A gender analysis in the second year of the project is envisaged to review the present level of monitoring and advise on improvements.

Monitoring Activity	Purpose	Frequency	Expected Action	Partners	Costs
	- UNDP-Sida Framework for Environment and Climate (under development)]				
Project Review (Project Board)	The project's governance mechanism (i.e., project board) will hold annual 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.	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.	All (UNDP, SIWI, GWP)	Forms part of duties of key project staff/personnel
Project Advisory (Technical Advisory Group)	The project's technical/strategic advisory mechanism (Technical Advisory Group) will hold annual project reviews to assess the relevance and performance of the project and review partnerships and collaborative arrangements over the life of the project.	Annually	Identification of strategic activities and alliances in order to leverage project endeavours.	All (UNDP, SIWI, GWP)	(Included as part of duties of key project staff/personnel)
Cap-Net Monitoring, Evaluation and Learning Plan (MELP)	Beyond course/training evaluations, each Cap-Net sponsored training is followed up with a survey to gather feedback on the use and sharing of knowledge imparted, and the extent to which it has contributed to institutional changes. ¹¹⁰	As appropriate (3-6 months after training occasion)	Learning tool to improve design of training and to monitor outcome-level results.	Cap-Net affiliated networks (GWPO)	Included in Cap-Net (project budget - Output 3) learning costs.
Gender Analysis	Beyond continuous gender analysis within existing project monitoring and progress reporting, a more in-depth gender analysis will be conducted; provisionally during the second year of the project. ¹¹¹	TBD	Learning tool to improve design of training and to monitor outcome-level results.	All (UNDP, SIWI, GWP) (project manager)	TBD (project budget – Output 1, Int. Cons.)

Evaluation Plan

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Mid-Term Evaluation	ALL		Mid 2021		40,000 USD (project budget, Int. Cons.)
Final Evaluation	ALL		End 2023		40,000 USD (project budget, Int. Cons.)

¹¹⁰ <http://www.cap-net.org/monitoring-evaluation-and-learning/>

¹¹¹ The special gender analysis will review all major project activities and the way they are monitored and documented from a gender/women's empowerment perspective and suggest improvements for activities and monitoring/reporting. This is to ensure that Gender Marker results be optimally integrated in planning and decision making. Particular guidance on the improved / streamlined use of gender-disaggregated data is expected.

The Project Board will assess the project progress reporting and the gender analysis [to be determined], the mid-term evaluation and the final external review to help capture lessons learned and discuss opportunities for improvement, continuation and scaling up. Reports will also be shared with the Technical Advisory Group, when/as appropriate.

VII. FINANCIAL PLANNING AND MANAGEMENT

The total budget proposed for the Global Water and Ocean Governance Support Programme is just over USD 31 million over 5 years. The first year (2019) has been secured, consisting of a final extension year of an existing contribution by the Government of Sweden to the WOGP,¹¹² and a one-year proof-of-concept (2019-2020) for the Ocean Innovation Facility.¹¹³

From 2020 onwards, the project depends on the successful conclusion of the ongoing discussion between Sida and the UNDP about a broader, initially 4-year, Sida-UNDP Strategic Collaboration Framework on Environment and Climate Change. This Framework is to cover most of the financial needs of the project going forward, albeit the realization of the targeted results also depends on additional resources to be mobilized.

The Sida-UNDP Strategic Collaboration Framework on Environment and Climate Change – presently under negotiation – embraces the following thematic areas:

- A. Sustainable Management of Ecosystems, Biodiversity, and Natural Capital**
- B. Sustainable Water and Ocean Governance**
- C. Scaling up Climate Change Action for Sustainable Development, and**
- D. Nexus Area: Sustainable Food Systems – Mobilizing Government, Businesses, Communities and Investors for Transforming Food Systems**

Once operational, the present project will transition into area B and become an integral part of that framework and project document. Consequently, the present document will be closed as and when all outputs have transitioned into the new unified project document, and the existing funding sources attached to the present document have been depleted.

Unfunded parts relate principally to water and sanitation services governance [SDG targets 6.1 and 6.2], which fall outside of the thematic priorities of the envisaged Sida-UNDP Strategic Collaboration Framework on Environment and Climate Change. Moreover, local/national-level ‘Source-to-Sea’ governance is significantly underfunded unless further resources be secured.

All project outputs will require a more diversified funding base, especially during latter years of the project in order to continue with sustained delivery of result throughout the project time period.

The Ocean Innovation, Component 4, has secured its first ‘proof-of-concept’ funding, but should ideally be running at above 3 million USD per annum in order to give room for two ‘challenges’ per year. There have been far-reaching discussions with several potential donors, but the full funding of the OIF is yet to be secured.

Resource mobilization efforts aim at adding one additional financial partner per year. The objective of diversifying the funding base, apart from adding sufficient resources to ensure that all anticipated

¹¹² UNDP Award 50169. Additional resources amounting to SEK 30million were awarded for an extension year 2019, received 21-May-2019, equivalent to USD 3,149,606.30.

¹¹³ SEK 20million was paid in December 2018, equivalent to USD 2,206,044.56. No-cost extension through 2020 has been discussed and formally requested. [Awaiting formal approval/agreement amendment.]

and potential work of the project gets funded, also aims at providing greater stability and long-term financial sustainability of the programme.

An in-kind contribution from the Government of France consists of an international water and sanitation expert seconded to UNDP. This position is valued at USD 220,000 per annum [ending 30 June 2019]. The extension/new secondment requested from the Government of France is not materialising, but a future in-kind contribution of a seconded technical expert is included in the budget (under 'unfunded') to mark the need for additional expertise to contribute to the project's work. Staff secondment to be pursued.

Financial planning, management and reporting will be done in accordance with the UNDP Programme and Operations Policies and Procedures (POPP).¹¹⁴

¹¹⁴ <https://popp.undp.org/SitePages/POPPRoot.aspx>

Overview of anticipated financial contributions to the Global Water and Ocean Governance Support Programme¹¹⁵							
Financial Partner	Amount Year 1 (2019) (USD)	Amount Year 2 (2020) (USD)	Amount Year 3 (2021) (USD)	Amount Year 4 (2022) (USD)	Amount Year 5 (2023) (USD)	TOTAL – All Years (USD)	Comments:
Sida (support to WOGP contribution to UNDP-SP)	3,149,606					3,149,606	Sida project 61050034 – UNDP Award 50169, extended until 2019-12-31
Sida (support to Ocean Innovation Facility)	297,270	1,908,775				2,206,045	Sida project 61050352 – UNDP ref 115195 for OIF 2019 ‘proof of concept’
Sida-UNDP Strategic Collaboration Framework on Environment and Climate Change NOTE: This funding will be utilized by transitioning into the unified project document of the Framework	Utilizing OIF advance (line above)		1,550,000	1,250,000	650,000	3,450,000	Allocation for Marine Resources (area B2) [giving continuity to the OIF, to be considered as advance payment from this Framework]
		2,450,000	2,150,000	1,700,000	843,955	7,143,955	Total allocation for Freshwater / Source-to-Sea (area B1)
UN-Water Trust Fund		10,000	30,000			40,000	To be programmed for expenses incurred by Task Forces
COSUDE/SDC	5,000					5,000	Water footprint training in Latin America
TO BE MOBILIZED	0	0	1,080,000	1,296,000	2,700,000	5,076,000	RM target for expanding/continuing Ocean Innovation
	2,999	308,571	514,286	514,286	514,286	1,854,428	RM target for the full implementation of the Capacity Development for Sustainable Water Management
	0	910,000	910,000	910,000	1,100,000	3,830,000	RM target for GoAL-Waters freshwater/coastal/marine resources governance with ‘Source-to-Sea’ perspective
	10,000	800,000	900,000	1,000,000	1,100,000	3,810,000	RM target for GoAL-Waters revival of thematic work towards “Safely managed, equitable and resilient water and sanitation services”
Column Total:	3,464,875	6,387,346	7,134,286	6,670,286	6,908,241	30,565,034	Note: cash contribution only

¹¹⁵ Note: Color coding of financial contributions matches color coding of multi-year budget in the next section below.

VIII. MULTI-YEAR WORK PLAN

Total Budget and Work Plan		
Atlas Proposal or Award ID:	Atlas Proposal ID 00115482	Atlas Primary Output Project ID: 00113069 (outputs 1-3: WOGP funding) and xxxxxxxx (output 4: OIF funding)
Atlas Proposal or Award Title:	Sida Award 50169 (extended through 2019)	
Atlas Business Unit		
Atlas Primary Output Project Title	Global Water and Ocean Governance Support Programme	
Implementing Partner	UNDP	

NOTE: The funding from the Sida-UNDP Strategic Collaboration Framework on Environment and Climate Change will be utilized by way of transitioning into Area B or the Framework project document.

Project Component/Atlas Activity	Resp. Party/Atlas Impl Agent	Fund ID	Donor Name	Atlas Budgetary Account Code & Description	Amount Year 1 (USD): 2019	Amount Year 2 (USD): 2020	Amount Year 3 (USD): 2021	Amount Year 4 (USD): 2022	Amount Year 5 (USD): 2023	TOTAL (USD)	Note ¹¹⁶
Project Output 1 (ATLAS ACTIVITY 1) Water/Ocean Governance thought leadership, thematic expertise, technical support and policy advocacy promoted and	UNDP(HQ)	30000	Sweden (Sida)	61200 Salaries GS Staff	109,425	112,708				222,133	¹¹⁷
	UNDP(HQ)	30000	Sweden (Sida)	61300 Salary & Post Adj Cst-IP Staff	250,725	257,982	283,975	291,674	224,702	1,309,058	¹¹⁸
	UNDP(HQ)	30000	Sweden (Sida)	71200 International Consultants	5,000	5,000				10,000	
	UNDP(HQ)	30000	Sweden (Sida)	71600 Travel	15,000	15,000	15,000	15,000	3,750	63,750	¹¹⁹

¹¹⁶ Guide to colour coding is contained in 'Overview of anticipated financial contributions to the Global Water and Ocean Governance Support Programme' table above (page 62).

¹¹⁷ Provides for two (G7) project associates in New York, working 50% and 30% respectively.

¹¹⁸ Provides for UNDP Senior Water Advisor (100%, P5, Stockholm), Financial Support (10%, P3, New York), gender backstopping (5%, P3, New York) and annual contribution of approx. USD 15,000 for Quality Assurance.

¹¹⁹ Travel for Senior Water Advisor and related conference/meeting participants.

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Project Component/Atlas Activity	Resp. Party/ Atlas Impl Agent	Fund ID	Donor Name	Atlas Budgetary Account Code & Description	Amount Year 1 (USD): 2019	Amount Year 2 (USD): 2020	Amount Year 3 (USD): 2021	Amount Year 4 (USD): 2022	Amount Year 5 (USD): 2023	TOTAL (USD)	Note 116
strengthened globally	UNDP(HQ)	30000	Sweden (Sida)	73100 Rental Maint-Premises	12,000	12,000	12,000	12,000	9,000	57,000	120
	UNDP(HQ)	30000	Sweden (Sida)	74500 Misc	1,000	1,000	1,000	1,000	750	4,750	
Project Output 1 (ATLAS ACTIVITY 5) Water/Ocean Governance thought leadership, thematic expertise, technical support and policy advocacy promoted and strengthened globally	UNDP(HQ)	30000	Sweden (Sida)	61200 Salaries GS Staff			116,089	119,571	92,369	328,029	121
	UNDP(HQ)	30000	Sweden (Sida)	71200 International Consultants			40,000	15,000	40,000	95,000	122
	UNDP(HQ)	To be identified				9,259	9,259	9,259	185,185	212,963	
	UNDP(HQ)	30000	UN-Water TF	74500 Misc	-	9,259	27,778			37,037	123
Project Output 1 (ATLAS ACTIVITY 2) Water/Ocean Governance thought leadership, thematic expertise, technical support and policy advocacy promoted and strengthened globally	SIWI (UNDP-WGF)	30000	Sweden (Sida)	71800 Contractual Services-Imp Partn (staff)	481,633	475,000	450,000	350,000	110,000	1,866,633	
	SIWI (UNDP-WGF)	30000	Sweden (Sida)	71300 Local Consultants	71,916	65,000	55,000	45,000	15,000	251,916	
	SIWI (UNDP-WGF)	30000	Sweden (Sida)	71600 Travel	56,693	45,000	35,000	25,000	10,000	171,693	124
	SIWI (UNDP-WGF)	30000	Sweden (Sida)	75700 Training, Workshops & Conf	26,772	25,000	20,000	20,000	10,000	101,772	125

¹²⁰ Desk @ USD 1,000/month for Project Associate in New York.

¹²¹ Provides for two (G7) project associates in New York, working 50% and 30% respectively [same as above].

¹²² Includes provision for mid-term and final evaluations.

¹²³ To be programmed for expenses incurred for Task Forces of UN-Water.

¹²⁴ Field missions of SIWI Staff working for UNDP-SIWI Water Governance Facility

¹²⁵ Principally targeted to WWW engagement, enhancing UNDP's presence at WWW.

Project Component/Atlas Activity	Resp. Party/ Atlas Impl Agent	Fund ID	Donor Name	Atlas Budgetary Account Code & Description	Amount Year 1 (USD): 2019	Amount Year 2 (USD): 2020	Amount Year 3 (USD): 2021	Amount Year 4 (USD): 2022	Amount Year 5 (USD): 2023	TOTAL (USD)	Note 116
	SIWI (UNDP-WGF)	30000	Sweden (Sida)	73100 Rental Maint-Premises	11,076	11,000	11,000	11,000	8,250	52,326	126
	SIWI (UNDP-WGF)	30000	Sweden (Sida)	74500 Misc	630	630	630	630	630	3,150	
	SIWI (UNDP-WGF)	30000	Sweden (Sida)	72400 Comms & Audio Visual Eq.	420	420	420	420	420	2,100	
	SIWI (UNDP-WGF)	30000	Sweden (Sida)	74200 Audio Visual & Print Prodn	4,199	2,000	2,000	2,000	2,000	12,199	
	SIWI (UNDP-WGF)	To be identified			9,259	92,593	185,185	277,778	370,370	935,185	
		DIRECT COSTS OUTPUT 1			1,055,748	1,138,851	1,264,336	1,195,332	1,082,427	5,736,694	
		75105 GMS			84,460	91,108	101,147	95,627	86,594	458,936	
		total (cash) output 1			1,140,208	1,229,959	1,365,483	1,290,959	1,169,021	6,195,630	
	IN KIND	30000	France	NRLA	110,000					110,000	
	IN KIND	To be identified		NRLA		110,000	220,000	110,000		440,000	
		TOTAL COSTS OUTPUT 1			1,250,208	1,339,959	1,585,483	1,400,959	1,169,021	6,745,630	
Project Output 2 (ATLAS ACTIVITY)	UNDP PRY (Atlas 11)	30000	Sweden (Sida)	71300 Local Consultants	55,556	50,000	50,000			155,555	

¹²⁶ Provides for office services afforded to UNDP Senior Water Advisor and UNDP seconded experts housed at SIWI.

Project Component/Atlas Activity	Resp. Party/ Atlas Impl Agent	Fund ID	Donor Name	Atlas Budgetary Account Code & Description	Amount Year 1 (USD): 2019	Amount Year 2 (USD): 2020	Amount Year 3 (USD): 2021	Amount Year 4 (USD): 2022	Amount Year 5 (USD): 2023	TOTAL (USD)	Note 116
11, 12, 13... ETC) Freshwater and coastal resources management frameworks strengthened at local and national level <i>127</i>	CO Paraguay										
	UNDP JOR (Atlas 12) CO Jordan	30000	Sweden (Sida)	71300 Local Consultants	100,000	75,000	50,000	50,000		275,000	
	UNDP TJK (Atlas 13) CO Tajikistan	30000	Sweden (Sida)	71300 Local Consultants	50,000	40,000	40,000	40,000		170,000	
	UNDP BIH (Atlas 14) CO Bosn & Herceg.	30000	Sweden (Sida)	71300 Local Consultants	37,037	35,000	35,000			107,037	
	UNDP XXX (Atlas 1x) CO TDB	30000	Sweden (Sida)	71300 Local Consultants	75,000	75,000	75,000	75,000	48,567	348,567	
	UNDP YYY (Atlas 1y) CO TDB	30000	Sweden (Sida)	71300 Local Consultants	402,221	-	75,000	75,000		552,221	<i>128</i>
	UNDP CO TDB	To be identified				648,148	648,148	648,148	648,148	2,592,593	
	UNDP CO TDB	To be identified				833,333	833,333	833,333	833,333	3,333,333	
	DIRECT COSTS OUTPUT 2				719,814	1,756,481	1,806,481	1,721,481	1,530,049	7,534,306	
	75105 GMS				57,585	140,518	144,519	137,719	122,404	602,745	
	TOTAL COSTS OUTPUT 2				777,399	1,897,000	1,951,000	1,859,200	1,652,453	8,137,051	

¹²⁷ Authorized to Country Offices by 'Delegation of Authority' letters.

¹²⁸ Balance at end 2019 from Sida support to WOGP (Award 50169) proposed to be reinvested in GoAL-Waters country-level activities in 2020. To requested from Sida.

Project Component/Atlas Activity	Resp. Party/ Atlas Impl Agent	Fund ID	Donor Name	Atlas Budgetary Account Code & Description	Amount Year 1 (USD): 2019	Amount Year 2 (USD): 2020	Amount Year 3 (USD): 2021	Amount Year 4 (USD): 2022	Amount Year 5 (USD): 2023	TOTAL (USD)	Note ¹¹⁶
Project Output 3 (ATLAS ACTIVITY 3) Enhanced individual and institutional knowledge and capacities for sustainable water management	GWP (Cap-Net UNDP)	30000	Sweden (Sida)	71600 Travel	40,000	20,000	20,000	15,000	10,000	105,000	¹²⁹
	GWP (Cap-Net UNDP)	30000	Sweden (Sida)	71800 Contractual Services-Companies	150,000	120,000	80,000	60,000	10,000	420,000	¹³⁰
	GWP (Cap-Net UNDP)	30000	Sweden (Sida)	72500 Supplies	10,000	10,000	10,000	10,000	10,000	50,000	
	GWPO (Cap-Net UNDP)	30000	Sweden (Sida)	72800 Information Technology Equipmt	20,000	10,000	10,000	10,000	5,000	55,000	
	GWPO (Cap-Net UNDP)	30000	Sweden (Sida)	73100 Rental Maint-Premises	15,000	10,000	10,000	10,000	5,000	50,000	¹³¹
	GWPO (Cap-Net UNDP)	30000	Sweden (Sida)	73300 Rental & Maint of Info Tech Eq	105,000	50,000	50,000	50,000	20,000	275,000	
	GWPO (Cap-Net UNDP)	30000	Sweden (Sida)	74100 Professional Services	100,570	75,000	75,000	70,000	40,000	360,570	¹³²

¹²⁹ Cap-Net staff travel and conferences

¹³⁰ Support to networks, case studies and MELP reporting.

¹³¹ Office rental at 2 GWP regional offices, accommodating the Director/Head of Section at GWP Southern Africa and Capacity Development Analyst Monitoring,

¹³² Includes provision for GWPO Indirect Costs (expense acct: 74105- Management and Reporting Services)

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Project Component/Atlas Activity	Resp. Party/ Atlas Impl Agent	Fund ID	Donor Name	Atlas Budgetary Account Code & Description	Amount Year 1 (USD): 2019	Amount Year 2 (USD): 2020	Amount Year 3 (USD): 2021	Amount Year 4 (USD): 2022	Amount Year 5 (USD): 2023	TOTAL (USD)	Note 116
	GWPO (Cap-Net UNDP)	30000	Sweden (Sida)	74500 Misc	4,430	20,000	10,000	5,000	15,000	54,430	
	GWPO (Cap-Net UNDP)	30000	Sweden (Sida)	75700 Training, Workshops & Conf	370,000	295,075	190,000	100,000	50,000	1,005,075	¹³³
	GWPO (Cap-Net UNDP)	30000	Sweden (Sida)	71800 Contractual Services-Imp Partn (int&gral serv staff)	335,000	335,000	309,140	280,000	160,000	1,419,140	¹³⁴
	GWPO (Cap-Net UNDP)	10282	Switzerl and (SDC/C OSUDE)		4,630					4,630	¹³⁵
	GWPO (Cap-Net UNDP)	To be identified			2,777	285,714	476,190	476,190	476,190	1,717,063	
	DIRECT COSTS OUTPUT 3				1,157,407	1,230,789	1,240,331	1,086,190	801,190	5,515,908	
	75105 GMS				92,593	98,463	99,226	86,895	64,095	441,273	
	TOTAL COSTS OUTPUT 3				1,249,999	1,329,252	1,339,557	1,173,086	865,286	5,957,180	

¹³³ Courses, trainings and Annual Network Managers' meeting.

¹³⁴ Includes: Director/Head of Section, Capacity Development Analyst Monitoring, Evaluation and Learning/Network and Administrative Officer, Capacity Development, Programme Associate/Senior Assistant, Communications Assistant/shared with GWP 50/50, Information Technology Specialist/shared with GWP 50/50.

Note: During 2019 budgeted/spent under accounts 77105,77205 and 77305. Expense account 71810 will be used from January 2020.

¹³⁵ Provided by SDC/COSUDE in Colombia for support to Water Footprint training (initial focus Latin America).

PROJECT DOCUMENT: GLOBAL WATER AND OCEAN GOVERNANCE SUPPORT PROGRAMME

Project Component/Atlas Activity	Resp. Party/ Atlas Impl Agent	Fund ID	Donor Name	Atlas Budgetary Account Code & Description	Amount Year 1 (USD): 2019	Amount Year 2 (USD): 2020	Amount Year 3 (USD): 2021	Amount Year 4 (USD): 2022	Amount Year 5 (USD): 2023	TOTAL (USD)	Note 116
Project Output 4 (ATLAS OUTPUT XXX) Innovative and scalable solutions to ocean challenges identified and supported	UNDP(HQ)	30000	Sweden (Sida)	61300 Salary & Post Adj Cst-IP Staff	20,967	259,153	266,928	274,936	212,388	1,034,371	¹³⁶
	UNDP(HQ)	30000	Sweden (Sida)	73100 Rental & Maintenance-Premises	8,000	24,000	24,000	24,000	18,000	98,000	¹³⁷
	UNDP(HQ)	30000	Sweden (Sida)	71200 International Consultants	50,000	80,000	65,000	55,000	35,000	285,000	
	UNDP(HQ)	30000	Sweden (Sida)	71600 Travel	10,000	30,000	15,000	15,000	5,000	75,000	¹³⁸
	UNDP(HQ)	30000	Sweden (Sida)	72600 Grants	-	1,386,025	861,000	638,063	170,000	3,055,088	¹³⁹
	UNDP(HQ)	30000	Sweden (Sida)	74200 Dissemination and Outreach	41,250	15,000	5,000	5,000	5,000	71,250	
	UNDP(HQ)	30000	Sweden (Sida)	61200 Salaries Costs - GS Staff	22,797	70,442	36,278	18,683	7,216	155,416	¹⁴⁰
	UNDP(HQ)	30000	Sweden (Sida)	75700 Training, Workshops & Conf	10,000	15,000	5,000	5,000	4,924	10,000	
	UNDP(HQ)	To be identified				-	1,000,000	1,200,000	2,500,000	4,700,000	
	DIRECT COSTS OUTPUT 4				275,250	1,767,384	2,273,850	2,212,014	2,985,551	9,514,049	
	75105 GMS				22,020	141,391	181,908	176,961	238,844	761,124	
	TOTAL COSTS OUTPUT 4				297,270	1,908,775	2,455,758	2,388,975	3,224,395	10,275,173	

¹³⁶ Provides for P4 Programme Specialist, Ocean, New York 100% (to be recruited – provisionally starting 1 Dec, 2019)

¹³⁷ Desk @ USD 1,000/month in New York (for Admin Associate + Ocean Advisor)

¹³⁸ Travel for Ocean Advisor, OIF Secretariat and participants at GESAMP, Ocean Conference, as appropriate

¹³⁹ Funds allocated to OIF challenges/calls.

¹⁴⁰ Provides for 50% G7 admin associate in New York.

PROJECT DOCUMENT: GLOBAL WATER AND OCEAN GOVERNANCE SUPPORT PROGRAMME

Project Component/Atlas Activity	Resp. Party/ Atlas Impl Agent	Fund ID	Donor Name	Atlas Budgetary Account Code & Description	Amount Year 1 (USD): 2019	Amount Year 2 (USD): 2020	Amount Year 3 (USD): 2021	Amount Year 4 (USD): 2022	Amount Year 5 (USD): 2023	TOTAL (USD)	Note 116
TOTAL direct PROJECT COSTS					3,208,218	5,893,506	6,584,999	6,215,018	6,399,217	28,300,957	
TOTAL GMS					256,657	471,481	526,800	497,201	511,937	2,264,077	
total budget (cash) Direct Cost & GMS					3,464,875	6,364,986	7,111,798	6,712,219	6,911,155	30,565,034	
TOTAL in kind					110,000	110,000	220,000	110,000	-	550,000	
GRAND PROJECT TOTAL (Cash & kind)					3,574,875	6,474,986	7,331,798	6,822,219	6,911,155	31,115,034	

NOTE: The funding from the Sida-UNDP Strategic Collaboration Framework on Environment and Climate Change will be utilized by way of transitioning into Area B or the Framework project document. After transition is fully completed, and the existing funding attached to this document has been depleted, this project will be closed.

IX. LEGAL CONTEXT

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the “Project Document” instrument referred to in: (i) the respective signed Standard Basic Assistance Agreements (SBAA) for the specific countries; or (ii) in the [Supplemental Provisions to the Project Document](#) attached to the Project Document in cases where the recipient country has not signed an SBAA with UNDP, attached hereto and forming an integral part hereof. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by UNDP in accordance with its financial regulations, rules, practices and procedures.

The responsible parties will implement their respective outputs/components 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 Responsible Party 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

Programmatic risks related to the substance of the project are discussed above in Section on Risks and Assumptions (page 38). A summary of those, along with further operational risks related to the management of the various component of the project, are listed in Annex 3 (page 97). The risk log there will be used for the continuous monitoring and management of risks by project management.

With reference to Social and Environmental Risks, the overall Project risk is categorized as “low.” For further detail, please see Annex 2 (page 90).

Below follows a guidance to be followed for managing operational risks of a UNDP project under direct implementation modality (DIM).

UNDP (DIM)¹⁴¹

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 be 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.

¹⁴¹ The standard text for (template model option b) UNDP Direct Implementation (DIM) refers.

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.
 - 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. ¹⁴²

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.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

¹⁴² Choose one of the three options – Option 1 chosen.

Note: The term “Project Document” as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

- 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.

XI. ANNEXES

List of annexes.

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1. Project Quality Assurance Report

The Project QA Assessment – Design and Appraisal has been filled on-line:

<https://intranet.undp.org/sites/H21/project/00115482/SitePages/DesignAppraisalFormV3.aspx?year=2018>

Report extracted here.

Design & Appraisal Stage Quality Assurance Report

Overall Project Rating:

Decision:

Project Number: 00115482

Project Title:

Project Date: 01-Jan-2019

Strategic

Quality Rating:

1. Does the project's Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project)

- 3: The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project's strategy is the best approach at this point in time.
- 2: The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence.
- 1: The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme/CPD's theory of change.

Evidence

Management Response

Explicit explanation and change pathways relating to the Water and Ocean Governance Programme theory of change outlined in ProDoc section II, pages 8-11

2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project)

- 3: The project responds to one of the three areas of development [work](#) as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging [areas](#); an issues-based analysis has been incorporated into the project design; and the project's RRF includes all the relevant SP output indicators. (all must be true to select this option)
- 2: The project responds to one of the three areas of development [work](#) as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. (both must be true to select this option)
- 1: While the project may respond to one of the three areas of development [work](#) as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan.

Evidence

Project responds to most development settings and signature solutions; most directly to dev setting 1 (eradicate poverty) and sign sol 4 (nature-based solutions for a sustainable p section III, starting page 13.

Relevant

**Quality
Rating:**

3. Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project)

- 3: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. Beneficiaries will be identified through a rigorous process based on evidence (if applicable.)The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the project board) (all must be true to select this option)
- 2: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. (both must be true to select this option)
- 1: The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalised populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project.

Not Applicable

Evidence

Management Response

The project furthers equity and rights-based approaches throughout. In relation to water resources management, specific focus is put on the situation of landless people and indigenous peoples, having particular relevance for poverty eradication as well as natural resources management. ProDoc Section I, especially pages 5-7, and LNOB indicators in Result Framework, Section IV starting page 30.

4. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option from 1-3 that best reflects this project)

- 3: Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project's theory of change and justify the approach used by the project over alternatives.
- 2: The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project's theory of change but have not been used/are not sufficient to justify the approach selected over alternatives.
- 1: There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence.

Evidence

Management Response

The project builds on previous projects and initiatives which are continued into the present project. ProDoc (pages 11-13) explains how reviews, evaluations and lessons learned have been used to update ToC and improve design.

5. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project)

- 3: A participatory gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (all must be true to select this option)
- 2: A gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (all must be true to select this option)

- 1: The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the constraints have not been clearly identified and interventions have not been considered.

Evidence

Management Response

Gender equality and mainstreaming featuring strongly throughout project endeavors. Gender markers explained on ProDoc pages 17-18, 20-21, and 23-24. Gender-specific indicators to monitor results contained in Result Framework (ProDoc Section IV, starting page 30). Additional gender analysis to be conducted during year 2.

6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select the option from 1-3 that best reflects this project)

- 3: An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project's intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. (all must be true to select this option)
- 2: Some analysis has been conducted on the role of other partners where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project. Options for south-south and triangular cooperation may not have not been fully developed during project design, even if relevant opportunities have been identified.
- 1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.

Evidence

Management Response

Following analysis of institutionalization of capacity development activities, the project has amended partnerships to work with more like-minded organizations working for improved water governance. (output 3). Also, south-south and triangular cooperation built into output 3. Significant emphasis on coordination with other UN Agencies and collaborate with UN-Water. (Also responding to water resources management gap identified in review of UN agencies' work). Need for and emphasis on governance gives UNDP a duty and comparative advantage to respond to existing water challenges.

Social & Environmental Standards

Quality Rating:

7. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project)

- 3: Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. (all must be true to select this option)
- 2: Some evidence that the project aims to further the realization of human rights. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget.
- 1: No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.

Evidence

Management Response

The project consistently works with a rights-based approach, which is part of the purpose, to introduce more of transparency, accountability and capacity of rights holders and duty bearers into water resources and services management.

8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project)

- 3: Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant, and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (all must be true to select this option).
- 2: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget.
- 1: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered.

Evidence

Management Response

The project purpose is to enhance environmental sustainability, and integrates poverty-environment linkages (principally by emphasizing sustainable livelihoods and use of natural resources with the combination of rights- and ecosystem-based approaches) as the over-riding mission is to eradicate poverty.

9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? [If yes, upload the completed checklist as evidence. If SESP is not required, provide the reason(s) for the exemption in the evidence section. Exemptions include the following:

- Preparation and dissemination of reports, documents and communication materials
- Organization of an event, workshop, training
- Strengthening capacities of partners to participate in international negotiations and conferences
- Partnership coordination (including UN coordination) and management of networks
- Global/regional projects with no country level activities (e.g. knowledge management, inter-governmental processes)
- UNDP acting as Administrative Agent

- Yes
- No
- SESP not required

Evidence

Management & Monitoring

10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project)

- 3: The project's selection of outputs and activities are at an appropriate level and relate in a clear way to the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. (all must be true to select this option)
- 2: The project's selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. (all must be true to select this option)

Quali
ty
Ratin
g:

- 1: The results framework does not meet all of the conditions specified in selection “2” above. This includes: the project’s selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project’s theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators.

Evidence

Management Response

ProDoc Results Framework (Section IV, starting page 30) and Theory of Change section, pages 8-11, and section (III) on Results and Partnerships, starting page 13, refer.

11. Is there a comprehensive and costed M&E plan with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?

- Yes
- No

Evidence

Succinct M&E Plan, extracted from Prodoc (uploaded)

12. Is the project’s governance mechanism clearly defined in the project document, including planned composition of the project board? (select from options 1-3 that best reflects this project)

- 3: The project’s governance mechanism is fully defined in the project document. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. (all must be true to select this option).
- 2: The project’s governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The prodoc lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (all must be true to select this option)
- 1: The project’s governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.

Evidence

Management Response

Project's governance mechanism clearly explained. Most roles have been defined and some have already agreed.

13. Have the project risks been identified with clear plans stated to manage and mitigate each risks? (select from options 1-3 that best reflects this project)

- 3: Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. (both must be true to select this option)
- 2: Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk.
- 1: Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document.

Evidence

Management Response

Risks and assumptions elaborated in ProDoc (pages 25-28, and 53-55), and risk management plan outlined in Risk Log contained in ProDoc Annex 3

Efficient

Quality Rating:

14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.

- Yes
- No

Evidence

Joint operations pursued with 'responsible parties' which have documented excellence in area of water governance and can provide services and support to project and stakeholders in an effective way.

15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)

- Yes
- No

Evidence

Yes, plans to coordinate with others. Some already specifically worked on (e.g. with UN-Water). In addition, draws on Technical Advisory Group to ensure to capture future opportunities.

16. Is the budget justified and supported with valid estimates?

- 3: The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget.
- 2: The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget. Costs are supported with valid estimates based on prevailing rates.
- 1: The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.

Evidence

The project budget groups similar activities and specifies funding sources and responsible parties for implementation. Estimates are supported by similar projects since the present on-going activities. Foreign exchange rate exposure weighed in as a potential cost increase.

17. Is the Country Office fully recovering the costs involved with project implementation?

- 3: The budget fully covers all direct project costs that are directly attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)
- 2: The budget covers significant direct project costs that are directly attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.

- 1: The budget does not reimburse UNDP for direct project costs. UNDP is cross-subsidizing the project and the office should advocate for the inclusion of DPC in any project budget revisions.

Evidence

Management Response

The project budgets all relevant costs, albeit funds need to be identified for some of them in future years. Direct Project Costs of HQ financial and project administration support included. 8% GMS across the board.

Quality Rating:

Effective

18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project)

- 3: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. (both must be true to select this option)
- 2: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments.
- 1: The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered.

Evidence

Management Response

Global project with UNDP as implementor. HQ/hubs working in line with new GPN to be developed. Output 2 delivered through selected Country Offices. Support to all outputs by carefully selected Responsible Parties (capacity assessment, HACT micro assessment conducted and included as Annex 4 in ProDoc) Full HACT micro-assessments of responsible parties uploaded

19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination?

- 3: Credible evidence that all targeted groups, prioritising marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions.

- 2: Some evidence that key targeted groups, prioritising marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions.
- 1: No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project.
- Not Applicable

Evidence

Target groups involved in ongoing efforts and consulted in general terms (via country offices) on the way forward.

20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?

- Yes
- No

Evidence

Yes, included in M & E Plan. Specific monitoring of capacity development efforts through Cap-Net UNDP's "Monitoring, Evaluation and Learning Plan" which follows up on use potential spin-offs after training occasions. Additional (bi-annual) reviews of specific interventions/thematic areas. Most recently a scrutiny of Theory of Change. Previously, specific "Integrity" (anti-corruption) training outcomes.

21. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.

- Yes
- No

Evidence

GEN2 for all three outputs

Management Response

22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 1-3 that best reflects this project)

- 3: The project has a realistic work plan & budget covering the duration of the project at the activity level to ensure outputs are delivered on time and within the allotted resources.
- 2: The project has a work plan & budget covering the duration of the project at the output level.
- 1: The project does not yet have a work plan & budget covering the duration of the project.

Evidence

The project has a work plan & budget covering the duration of the project at the output level. ProDoc Section VIII (starting page 47) refers.

Sustainability & National Ownership

**Quality
Rating:**

23. Have national partners led, or proactively engaged in, the design of the project?

- 3: National partners have full ownership of the project and led the process of the development of the project jointly with UNDP.
- 2: The project has been developed by UNDP in close consultation with national partners.
- 1: The project has been developed by UNDP with limited or no engagement with national partners.
- Not Applicable

Evidence

There has been some national-level consultation (through country offices), though principally with global actors relating to water governance.

24. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project):

- 3: The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.
- 2.5: A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities.
- 2: A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment.
- 1.5: There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned.
- 1: Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions.
- Not Applicable

Evidence

Output 3 is in itself a comprehensive strategy for strengthening water governance capacities of national institutions - in the spirit of 'water knowledge for all.' (Additional capacity will also be conducted as part of the project). Results of trainings monitored some 3-6 months after training occasion, in accordance with Cap-Net's MELP (Monitoring Evaluation and Learning Plan).

25. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?

- Yes
- No
- Not Applicable

Evidence

Very little procurement. Monitoring/evaluations all at global level. National systems more 'targets' in themselves, e.g. for supporting national SDG monitoring by way of capacity building (on behalf of relevant UN custodian agencies).

26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation strategy)?

- Yes
- No

Evidence

'Philosophy' for scaling up and sustaining results explained in Prodoc (pages 28-29). Emphasis put on building robust governance systems to identify risks and withstand corruption to create enabling environments to attract additional finance, and make best use of existing.

Quality Assurance Summary/PAC Comments

2. Social and Environmental Screening

Project Information

Project Information	
1. Project Title	Global Water and Ocean Governance Support Programme
2. Project Number	ATLAS Project Proposal ID 00115482
3. Location (Global/Region/Country)	Global

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the Project mainstreams the human-rights based approach

The **Global Water and Ocean Governance Support Programme** interventions and implementation of governance reform processes take due regard to transparency, accountability, participation and non-discrimination as fundamental HRBA standards in design and operation of programme delivery steps. In keeping with the Do no harm-principle and to refrain from providing support for activities that may contribute to violations of a State’s human rights obligations, the project also contributes to furthering the realization of human rights through its delivery mechanisms through: Analysis of global policies, research and trends in the understanding of the human rights to water and sanitation and interlinked rights and obligations including the evolving relationship between human rights and the environment, and the development in the field of a binding international treaty on business and human rights; Assessment of situation and root-causes behind implementation gaps, if any, in existing governance systems and processes—based on which relevant human rights and corresponding obligations are mapped and rights-holders and specific duty-bearers identified; Capacity development to empower involved actors through training or other avenues, as requested, to support States to protect, respect and fulfil human rights. The expertise involved in the Project includes experts on HRBA and its application as part of water governance reform processes.

Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment

The **Global Water and Ocean Governance Support Programme** will improve gender equality and women’s empowerment through: 1) Consistently working towards greater equality in resources and services management. This relates to any group being marginalised, and particularly to women. Water decision-making is often engineering-heavy and male-dominated. Strategic ways of enabling women’s groups and individual women professionals to more effectively take part in and influence the direction of decisions. In order to create and disseminate role models; showcasing of best practice and solutions that feature gender equality and women’s empowerment through more inclusive water governance (strategically), and also by way of promoting solutions that (practically) enhance well-being and ease women’s commonly onerous and labour-intensive role in household water management. 2); Ensuring that women are fully represented and engaged in participatory processes, (through awareness raising, encouragement and practical arrangements for mobilizing women to engage, but also by way of moving processes into existing forums where women may have a stronger role or presence). The process needs to be adapted to fit with women’s priorities and availability. 3) The Project develops training materials, tools and methodologies for water management. There is a training package on gender & water, and all other packages have – or will have! – at least a module or gender streamlined into the subject as relevant. 4) The expertise involved in the Project includes gender specialists that will support the integration of gender-responsive measures as part of project delivery and building internal capacities across clusters.5) Promoting equal gender representation at events organized

or contributed to by the Project is a concrete way of mobilising relevant experts and expertise for international policy processes. 6) finally, within project/programme management; ensure to lead by examples by fostering an inclusive and respectful organizational culture

Briefly describe in the space below how the Project mainstreams environmental sustainability

The **Global Water and Ocean Governance Support Programme** is designed to help address root causes of unsustainable management of water, addressing both social and environmental dimensions of sustainability, by enhancing the contribution of water governance towards reducing poverty and exclusion while protecting fragile ecosystems and the integrity of the water cycle. The project mainstreams environmental sustainability in all its project components, as a fundamental principle and aim of good water governance. Through its contributions to global policy work, programme delivery, knowledge and capacity development, and catalysing finance, the Project will support knowledge generation and sharing to national policy processes. Provide technical support to regional, national and local partners and build capacities of individuals and institutions to increase environmental sustainability and resilience through improved water governance. Furthermore, the project will strive to minimize carbon-based travel, wherever possible, through virtual means, including teleconferences, webinars and online trainings and materials. The experts involved in the Project includes expertise on mainstreaming environmental sustainability as part of water governance processes.

Part B. Identifying and Managing Social and Environmental Risks

<p>QUESTION 2: What are the Potential Social and Environmental Risks?</p> <p><i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i></p>	<p>QUESTION 3: What is the level of significance of the potential social and environmental risks?</p> <p><i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>			<p>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</p>
<p>Risk Description</p>	<p>Impact and Probability (1-5)</p>	<p>Significance (Low, Moderate, High)</p>	<p>Comments</p>	<p>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</p>
<p>No risks identified</p>				
<p>QUESTION 4: What is the overall Project risk categorization?</p>				

	Select one (see SESP for guidance)		Comments
	<i>Low Risk</i>	<input checked="" type="checkbox"/>	The project does not represent social and environmental risks. The project aims to mitigate social and environmental risk through improved water governance.
	<i>Moderate Risk</i>	<input type="checkbox"/>	
	<i>High Risk</i>	<input type="checkbox"/>	
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?		
	Check all that apply		Comments
	<i>Principle 1: Human Rights</i>	<input type="checkbox"/>	
	<i>Principle 2: Gender Equality and Women's Empowerment</i>	<input type="checkbox"/>	
	<i>1. Biodiversity Conservation and Natural Resource Management</i>	<input type="checkbox"/>	
	<i>2. Climate Change Mitigation and Adaptation</i>	<input type="checkbox"/>	
	<i>3. Community Health, Safety and Working Conditions</i>	<input type="checkbox"/>	
	<i>4. Cultural Heritage</i>	<input type="checkbox"/>	
	<i>5. Displacement and Resettlement</i>	<input type="checkbox"/>	
	<i>6. Indigenous Peoples</i>	<input type="checkbox"/>	
	<i>7. Pollution Prevention and Resource Efficiency</i>	<input type="checkbox"/>	

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
Principles 1: Human Rights		Answer (Yes/No)
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ¹⁴³	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	N/A
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	No

¹⁴³ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

	<i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ¹⁴⁴ greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No

¹⁴⁴ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? ¹⁴⁵	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	Potentially yes
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	yes
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?	Purpose is to strengthen HR claims, e.g. the right to free, prior

¹⁴⁵ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

	<i>If the answer to the screening question 6.3 is "yes" the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	informed consent (FPIC)
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

3. Risk Analysis

OFFLINE RISK LOG



Project Title: Global Water and Ocean Governance Support Programme	Award ID: 50169 (for 2019) ATLAS Project Proposal ID 00115482	Date: 15 November, 2018
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#	Description	Date Identified	Type of Risk	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
1.1	Limited buy-in and commitment among partners for water governance as a means to address unsustainable water management and lack of access to resources and services	15 Nov 2018 (Project formulation/ design)	Strategic	This could negatively influence the demand for UNDP water governance support and advice and its ability to contribute to and influence global processes to advance policy and knowledge generation in the field of water (P = 1, I = 4)	Provide high-quality inputs to key processes, to show-case and communicate the contribution of water governance for sustainable water management and service delivery	UNDP Senior Water Advisor	UNDP Senior Water Advisor	15 Nov 2018 (Project formulation / design)	tbd
1.2	Reform does not take place, or derails, in spite of accessible information and capacitated knowledgeable people in the right places	15 Nov 2018 (Project formulation/ design)	Strategic (political)	Important elements might be missing, e.g. political will or funding to enable action to take place. Alternatively, there may be hidden- agendas that work derail efforts. (P = 2, I = 4)	Constant evaluation of the context to understand blockages or missing elements. Continued active promotion of 'water integrity' to make governance structures less vulnerable to corruption or malpractice.	UNDP Country Offices / WGF (SIWI)	UNDP Senior Water Advisor	15 Nov 2018 (Project formulation / design)	tbd

#	Description	Date Identified	Type of Risk	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
1.3	Assumption that governance, management and implementation of policies is most importantly helped by strengthened individual and institutional capacities, does not hold true.	15 Nov 2018 (Project formulation/design)	Strategic	Resources spent on training could have been more effectively deployed elsewhere. (P = 2, I = 3)	Follow broader research and lessons learned on capacity development more broadly. Assure that the project's engagement builds on the best available methods and tools for capacity development.	Cap-Net UNDP (GWPO)	UNDP Senior Water Advisor	15 Nov 2018 (Project formulation / design)	tbd
1.4	Participatory processes derail; miss important people, e.g. marginalized groups, women, young or elderly; become captured by vested interests, or; take too long time to remain relevant.	15 Nov 2018 (previously identified)	Strategic	This risk may be to the detriment to urgent action, and a less effective participatory process may result in the project supporting the wrong cause or reaching less effective outcomes. In the worst case, security of some community members may be at risk, if a process goes seriously wrong, or exposes severe mis. (P = 3, I = 4)	Participation is both a means and an end. 'Accountability' in programming important to assure that participation does not become an excuse for slow or poorly managed implementation. The HRBA provides guidance for how to structure the nature of participation and influence. Scrutiny of gender markers aid identifying potential capture or at least gender imbalance. Special measures required to assure 'real' influence of groups that are marginalized.	UNDP Country Offices / WGF (SIWI)	UNDP Senior Water Advisor	15 Nov 2018 (Project formulation / design)	tbd

#	Description	Date Identified	Type of Risk	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
1.5	Poverty-environment conflicts (livelihood improvements conflict with environmental resource protection)	5 Dec 2018 (through poverty scan/update)	Strategic / environmental	The risk is that poverty eradication is not achieved and/or that important environmental values are impaired. The effects may be immediate or long-term. (P = 3, I = 5)	This risk/impact may be difficult to identify and understand as causal links may not be entirely obvious. Project needs to carefully monitor outcomes of water governance reform, and continuously evaluate results and impacts. Findings need to be incorporated into ToC and influence project continued action / related endeavours	UNDP Country Offices / WGF (SIWI)	UNDP Senior Water Advisor	5 Dec 2018 (Project formulation / design)	tbd
2.1	Political, economic and social instability in countries where water governance support is provided.	15 Nov 2018 (previously identified)	Political	Political, economic and social instability would hamper or delay project implementation and affect the possibilities to deliver on planned activities and outputs. (P = 3, I = 3)	The programme is designed to enable technical support to those countries most in need, but awareness of political situation and flexibility to adapt programme outputs to changing contexts need to be factored in as part of project design.	UNDP Country Offices / WGF (SIWI)	UNDP Senior Water Advisor	15 Nov 2018 (Project formulation / design)	tbd
2.2	Conflict/contention around disclosure and information about who controls resources.	5 Dec 2018 (through gender scan/update)	Political	Analysis and disclosure may cause blockages to project progress or may also threaten security of staff. (P = 3, I = 4)	Always working in a constructive and transparent manner. (Naming and shaming is not part of the present project's strategy.) Continued openness about work and e.g. 'institutional	UNDP Country Offices / WGF (SIWI)	UNDP Senior Water Advisor	5 Dec 2018 (Project formulation / design)	tbd

#	Description	Date Identified	Type of Risk	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
					reviews' but weighing risks carefully where (information about) resources control and ownership is contentious.				
3.1	Lack of ownership and prioritization among project partners.	15 Nov 2018 (Project formulation/design)	Operational	May delay or hamper project implementation. (P = 2, I = 3)	Work closely with partners to identify, plan and develop activities to ensure strong buy-in and ownership. Develop partnership agreements that clearly define roles and responsibilities of each programme partner. Careful selection of partners.	All: (UNDP Senior Water Advisor / WGF (SIWI) / Cap-Net UNDP (GWPO) / Country Offices)	UNDP Senior Water Advisor	15 Nov 2018 (Project formulation / design)	tbd
3.2	Project design / 'governance support' too complex, making it difficult to deliver upon the full scope of programmatic activities	15 Nov 2018 (Project formulation/design)	Operational	Difficulties in delivering on the full scope of programmatic activities, and delays in achieving project outputs and outcomes. (P = 2, I = 3)	Monitoring and evaluation processes must be carried out on a regular basis, feeding into project implementation to ensure process efficiency	UNDP Senior Water Advisor	UNDP Senior Water Advisor	15 Nov 2018 (Project formulation / design)	tbd
3.3	Water governance support insufficient to address unsustainable water management and lack of access to resources and services in a given context	15 Nov 2018 (Project formulation/design)	Operational	Resources spent to support water governance reform process could have been more effectively deployed elsewhere (P = 1, I = 5)	Programme applies a demand-driven and gap-filling approach whereby technical support on water governance can be provided as a complement to other project/program	UNDP Country Offices / WGF (SIWI)	UNDP Senior Water Advisor	15 Nov 2018 (Project formulation / design)	tbd

#	Description	Date Identified	Type of Risk	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
				(Difficult to monitor, as results take time. i.e. risk applies to inadequate monitoring as well as to insufficient delivery of result)	activities that address other aspects of water management/service delivery (e.g. infrastructure development) Constant scrutiny of the theory of change (ToC), to ensure interventions updated / amended accordingly.				
3.4	People move, which may be detrimental to the capacity of an institution	15 Nov 2018 (previously identified)	Operational	Loss of key personnel may temporary delay or hamper delivery of results. (P = 3, I = 4)	Work more with institutional companionship rather than depending on individuals.	Cap-Net UNDP (GWPO) / UNDP Country Offices	UNDP Senior Water Advisor	15 Nov 2018 (Project formulation / design)	tbd
4.1	Limited capacity at UNDP Country Offices to engage in water governance support processes	15 Nov 2018 (previously identified)	Organizational	If the UNDP Country Office fails to engage with the project activities, it will affect the sustainability of the interventions. (P = 2, I = 4)	Strengthen internal outreach and coordination mechanisms within UNDP – GPN, HQ, regional hubs, country offices. Increased emphasis on water resources, climate change and nature-based solutions – as strong UNDP areas.	UNDP Senior Water Advisor / Country Offices	UNDP Senior Water Advisor	15 Nov 2018 (Project formulation / design)	tbd
5.1	Lack of funds mobilized / allocated for implementation	15 Nov 2018 (previously identified)	Financial	Uncertain funding situation limits scope of activities, heightens uncertainty and may induce too much competition throughout	Pro-active resource mobilization.	UNDP Senior Water Advisor, with all	UNDP Senior Water Advisor	15 July 2019 (Project amendment / design)	tbd

#	Description	Date Identified	Type of Risk	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
				project organization and among partners. (P = 4, I = 5)	Activities to be prioritized and adjusted according to funding allocations.	partners: WGF (SIWI) / Cap-Net UNDP (GWPO) / Country Offices)			
5.2	Administrative delays in disbursement of funds	15 Nov 2018 (previously identified)	Financial	Causes delays and stop-go / erratic implementation (P = 4, I = 4)	Additional admin personnel. Pilot different financial modalities	UNDP Senior Water Advisor and Project Associate, with all partners: WGF (SIWI) / Cap-Net UNDP (GWPO) / Country Offices)	UNDP Senior Water Advisor	15 Nov 2018 (Project formulation / design)	tbd
5.3	Fluctuation in exchange rates	15 Nov 2018 (previously identified)	Financial	Either negative or positive affect on the budget. Creates uncertainty. (P = 3, I = 3)	Plan with contingency. Cushioned by diversification of funding sources.	Senior Water Advisor / WGF / Cap-Net	UNDP Senior Water Advisor	15 Nov 2018 (Project formulation / design)	tbd

4. Capacity Assessment of Responsible Parties

The Responsible Parties to aid the implementation of the present project are:

- **Stockholm International Water Institute (SIWI), hosting the UNDP-SIWI Water Governance Facility (WGF), and**
- **The Global Water Partnership Organization (GWPO), hosting the secretariat for the international capacity development network in sustainable water management (Cap-Net)**

Below please find for each of these organizations / responsible parties:

- 1) The results of the assessment of comparative advantage,
- 2) A summary of the finding of the HACT Micro Assessments, and
- 3) Draft terms of reference for the ensuing agreement with each of the responsible parties.

The Stockholm International Water Institute (SIWI)

SIWI is a water institute that generates knowledge, builds capacity and informs decision-making with a view to improve the way freshwater is governed. Based on successful fruitful previous collaboration, UNDP confirms that the Stockholm International Water Institute (SIWI) has the necessary capacity, expertise and experience in providing technical assistance to water governance processes, as Responsible Party to the implementation of the Global Water and Ocean Governance Support Programme.

SIWI has hosted the UNDP-SIWI Water Governance Facility (WGF) since 2005. During this time, WGF has become major hub for water governance knowledge and SIWI has proven its ability to support UNDP at all levels – global, regional national and local – with water governance-specific knowledge and expertise.

WGF has supported coordination and strategic management of several signature programmes of the UNDP Water and Ocean Governance Programme (e.g. GoAL-WaSH, Every Drop Matters and the EU Water Initiative Africa Working Group). WGF has developed knowledge and capacities to improve water governance and supported UNDP in advancing the global water governance agenda.

WGF personnel are SIWI employees that seamlessly support UNDP's endeavours relating to water resources and water and sanitation services governance. SIWI's knowledge on water governance and global water policy complements UNDP's development skills and local presence around the world. WGF is the mechanism to join these complementary capacities.

Relevant websites:

- www.sivi.org
- www.watergovernance.org
- www.worldwaterweek.org

Assessment of Comparative Advantage - SIWI

Comparative Advantage Component	Stockholm International Water Institute (SIWI)
Proven track record in cross collaboration with UNDP and other agencies assisting and providing technical advice in water governance processes.	SIWI has hosted the UNDP-SIWI Water Governance Facility (WGF) since 2005. During this time, SIWI has proven its ability to support UNDP, at all levels – global, regional national and local - with water governance-specific knowledge and expertise and WGF has become a major hub for water governance knowledge.

Comparative Advantage Component	Stockholm International Water Institute (SIWI)
	<p>WGF responds to demands for support and advice (directly and as channelled through the UNDP Senior Water Advisor) from UNDP Country Offices and Regional Hubs (Regional Technical Advisors, (Water and Ocean Governance) with timely, high-quality water governance advice. Further, WGF has supported 16 UNDP Country Offices through the longer-term GoAL WaSH programme.</p> <p>WGF supports UNDP’s work towards a number of international water-related processes, including UNDP’s now annual contribution on water governance to the World Water Development Report (WWDR).</p> <p>WGF has also supported programme coordination of several initiatives under the UNDP WOGP umbrella (e.g. GoAL-WaSH, Every Drop Matters and EU Water Initiative Africa Working Group).</p> <p>WGF also implements a multi-year tripartite partnership between SIWI, UNICEF and UNDP, through which SIWI provides water governance support to UNICEF country offices for the programming of water and sanitation governance (<i>Accountability for Sustainability</i>).</p>
<p>Positive international credibility and ability to draw on strong networks and established relationships in relation to water.</p>	<p>SIWI focuses on a range of research and development topics within and around water that support decision-makers. SIWI organizes the world’s leading annual water event: World Water Week,¹⁴⁶ administers the Stockholm Water Prize the most prestigious water award, and the Stockholm Junior Water Prize, which fosters future generations of water excellence.</p> <p>SIWI also hosts several flagship programmes, including networks and platforms like the Action Platform for Source-to-Sea Management (S2S Platform) and the Alliance for Global Water Adaptation (AGWA), a UNESCO Category II Centre - the International Centre for Water Cooperation (ICWC), as well as the UNDP-SIWI Water Governance Facility (WGF).</p>
<p>Proven track record in providing knowledge and capacity development to improve water governance.</p>	<p>SIWI contributes to knowledge and capacity development through a number of projects and programs, some recent examples including: The Regional Capacity Building Programme, Promoting and Developing Water Integrity in the Middle East and Northern Africa was implemented by SIWI and WGF in collaboration with regional and local partners in Jordan, Lebanon, Morocco, Palestine and Tunisia during 2014-2017. The programme empowered a growing community of skilled water integrity ambassadors and practitioners with methodologies and tools to identify and reduce integrity risks. In total, 27 trainings were conducted.</p> <p>The Regional Capacity Building Programme Promoting and Developing Water Integrity in Sub-Saharan Africa was a collaboration of implementing partners (WGF, WIN-S, WaterNet, SIWI and Cap-Net UNDP) and their respective networks, through which 579 participants</p>

¹⁴⁶ As the world’s largest annual global event on water the World Water Week in 2018 gathering over 3300 participants and 380 co-convening organizations from over 135 countries.

Comparative Advantage Component	Stockholm International Water Institute (SIWI)
	<p>were trained. The trainees held a range of responsibilities, up to the level of minister, and from the areas of regulation, control, planning, policy development and decision-making.</p> <p>SIWI is at the forefront in the applied research on a number of water governance-related topics, including water integrity (transparency, accountability and participation), inter-cultural approaches, gender, human rights, “source-to-sea” management, transboundary water management / “water diplomacy,” water & climate, and sanitation & climate change.</p>
Proven experience in providing facilitation and mediation support.	<p>SIWI helps stakeholders to engage in transboundary processes with a long-term perspective of promoting both security and development and encourages a holistic approach that includes the perspectives of other affected sectors. By employing tools such as modelling, SIWI enables decision makers to gain understanding of risks, benefits and opportunities associated with different strategies. Moreover, SIWI conducts critical analysis of transboundary water management approaches in specific regions and develops tools and methods – such as water diplomacy – to unpack the development opportunities in a transboundary water setting.</p> <p>UNDP helped initiate the Shared Waters Partnership with support from the UN State Department. This is now a multi-donor partnership initiative which receives continued support through the WGF.</p> <p>SIWI also provides a neutral platform to discuss ways forward and serve as a trusted third-party facilitator.</p> <p>More broadly, the World Water Week provides an established annual meeting point for water stakeholder. For example, the UN-Water holds one of its two annual Senior Programme Managers’ meetings in conjunction with the Week.</p>
Experience providing secretariat services to international processes and partnerships.	<p>SIWI chairs and is hosting the secretariat of the Source-to Sea Platform. This platform is a multi-stakeholder initiative that helps freshwater, coastal and marine experts to contribute to global knowledge generation on source-to-sea interconnections, connect and engage in collaborative projects, promote best practices, and take collaborative action to improve the management of land, water, coastal and marine linkages.</p> <p>SIWI co-chairs (together with the World Bank) the Steering Committee of the Alliance for Global Water Adaptation (AGWA) and hosts the secretariat. AGWA is an informal network established to bridge policy and field-based activities. The network provides tools, partnerships and technical assistance to improve decision making in water resources management, focusing on climate change adaptation.</p>
Relationship with main donors	<p>SIWI has a long-standing relationship with the main donor, Sida, which, on behalf of the Swedish Government, makes an annual contribution to SIWI’s endeavours.</p>

Summary of HACT Micro-Assessment / Risk Evaluation

Extract of UNDP Micro Assessment of Stockholm International Water Institute (SIWI) report produced by Moore Stephens LLP on 14 November 2018 (page 4):

HACT Framework Micro Assessment - Stiftelsen Stockholm International Water Institute (SIWI)

1.2. SUMMARY OF RISK ASSESSMENT RESULTS

The table below summarizes the results and main internal control gaps found during application of the micro assessment questionnaire (in Annex IV). Detailed findings and recommendations are set out in section 1.3 below.

Tested subject area	Risk assessment*	Comments
1. Implementing partner	Low	Stiftelsen Stockholm International Water Institute (SIWI) is registered as a foundation (stiftelse) in Sweden, with the organisation number 802425-8702 and the registration date 16 December 2008. It has worked with a number of donors, in particular SIDA, and is governed by its Board of Directors. It suffered from reduced funding in 2015/16 but has had no recent issues.
2. Programme management	Low	SIWI manages their projects through applying the Project model (lifecycle management of projects) which consists of various tools, templates and guidance. SIWI prepare an action plan annually in Q3 each year which will align to the strategic plan which covers 3-5 years. The Chief Operating Officer ensures robust review and management of all projects.
3. Organisational structure and staffing	Low	There are 75 FTE in SIWI broadly split into 3 areas (Finance/IT (c10FTE), Projects (c30FTE) and Policy and Communications (c35FTE)). Staff reviewed appear suitably qualified. The current HR Manager due to retire in June 2019 and she takes with her those years of experience as well as performing some finance functions.
4. Accounting policies and procedures	Low	SIWI uses the accounting systems Visma Administration 1000 and a number of other systems, including Visma Lön 600 (for payroll). It is currently implementing the Aqueduct system which should improve project management including donor and management reporting.
5. Fixed assets and inventory	Low	SIWI has a small number of assets and have recently moved to an almost 100% use of operating leases. Safeguards are covered in the Finance manual and physical checks are completed annually. The fixed asset register does not include all required information to allow tracking to assets however.
6. Financial reporting and monitoring	Low	Several significant improvements have been implemented in the last three years, based on recommendations from auditors: implementation of monthly closing of the books process, master data inventory, consolidation of general ledger, new and upgraded policies and hand books, upgrade of ERP system and a more robust model to calculate revenues.
7. Procurement	Low	The IP follows procurement procedures as set out in its procurement manual. The procurement manual was updated in 2017 as a result of previous audit findings. There is no electronic system in place and the IP is currently using paper forms. It is however implementing NGO online, which is for project and document management (including procurement forms).
Overall risk assessment	Low	

* High, Significant, Moderate, Low

The overall assessment concludes that contracting SIWI as a Responsible Party for the implementation of the Global Water and Ocean Governance Support Programme is a low-risk undertaking.

Draft Terms of Reference (ToR) - UNDP-SIWI Water Governance Facility (WGF)

Terms of Reference

UNDP-SIWI Water Governance Facility

Background/context:

UNDP's Global Water and Ocean Governance Support Programme provides global thought leadership and policy advocacy on water governance, and assists governments and stakeholders prepare and implement water governance reforms.

The Global Water and Ocean Governance Support Programme has three mutually supportive outputs/components:

- 1) Water Governance thought leadership, thematic expertise, technical support and policy advocacy promoted and strengthened globally
- 2) Water governance and management frameworks strengthened at local and national level
- 3) Enhanced Individual and institutional knowledge and capacities for sustainable water management

By way of programme delivery, knowledge and capacity development, global policy work, and enabling environments for catalysing finance; the project helps stakeholders achieve *integrated climate-resilient, sustainable and equitable management of water and ocean resources and equitable access to benefits and services, through improved water and ocean governance.*

The UNDP-SIWI Water Governance Facility (WGF)

As a partnership between UNDP and the Stockholm International Water Institute (SIWI) since 2005, the WGF supports UNDP in providing relevant thought leadership globally and policy advice to countries, and to build the knowledge and capacities at all levels for improved water governance within governments and civil society.

The Facility contributes to the whole Global Water and Ocean Governance Support Programme, but principally in relation to Output 1. WGF is expected to deliver results in the following areas:

- 1) Water Governance thought leadership, thematic expertise, technical support and policy advocacy promoted and strengthened globally**, through providing accurate and timely advice on water governance related matters to UNDP country offices/platforms, regional hubs and headquarter functions; through project management, strategic oversight, and quality control to support implementation of WOGP-related projects and programmes; while supporting knowledge management for improved water governance and contributing to the international water governance reform agenda.
- 2) Water governance and management frameworks strengthened at local and national level** through technical and policy advice on water governance to developing countries to meet governance reform needs at local, national and river basin levels.
- 3) Enhanced individual and institutional knowledge and capacities for sustainable water management** through contributing to the development and implementation of trainings and institutional strengthening in close cooperation with Cap-Net UNDP and its partners.

In doing so, the UNDP-SIWI WGF will engage with and draw from a broad range of partners and stakeholders beyond UNDP to advance knowledge, operational tools and methods. In relation to its technical support functions, the Facility's main counterpart is UNDP offices and platforms.

WGF also supports UN coordination and joint endeavours in relation to UN-Water. In addition, WGF implements the *Accountability for Sustainability* partnership with UNICEF, to support its country offices to analyse the sector and identify bottlenecks and program support for accountability and sustainability. This collaboration should be conducive for further UNDP-UNICEF collaboration on water/sanitation and climate change.

The Facility will also contribute to specific knowledge products directly for UNDP, and to the WGF report series; policy briefs and issue sheets; and continue to develop communication channels on water governance knowledge (the WGF website, newsletters and twitter).

The finalized ToR will be attached [as part of Annex B] to the [Responsible Party Agreement](#) which is the legal instrument used by UNDP to engage a civil society organization (including NGOs, academia, foundations, state-owned enterprises) as a Responsible Party.

The Global Water Partnership Organization – GWPO

The Global Water Partnership Organization (GWPO) is an intergovernmental organization functioning under public international law. It performs the Secretariat function for the Global Water Partnership (GWP).

GWP has over 3,000 partner organisations in 183 countries, with 63 Country Water Partnerships and 13 Regional Water Partnerships. GWP's network provides knowledge and builds capacity to improve water management at all levels: global, regional, national and local. The networking approach provides a mechanism for coordinated action and adds value to the work of many other key development partners.

GWP has provided the most commonly cited definition of Integrated Water Resources Management (IWRM) and supports this approach with water governance knowledge, approaches and methods. The hosting of Cap-Net UNDP's secretariat, by the GWPO, will be a useful complement to GWP's existing endeavours and will serve to strengthen the outreach and training on sustainable water management globally.

Relevant web-sites:

- www.gwp.org
- www.cap-net.org

In terms of the UNDP's Selection of Responsible Parties, GWPO, like other UN agencies, intergovernmental organizations and government agencies, is exempted from competitive procurement processes. They can be selected and identified in a signed project document or project board decision.

The Assessment of Comparative Advantage serves to reinforce the decision for GWPO to be the Responsible Party to the Global Water and Ocean Governance Support Programme based on successful, fruitful previous and on-going collaboration. UNDP confirms that the GWP/GWPO has contributed to the successful establishment of Cap-Net and has substantively contributed to the development of joint educational and training products. GWP/O is one of the two main founding international partners (including also IHE-Delft Institute for Water Education) which has remained on the Cap-Net UNDP Project Management Board.

GWP/O has demonstrated programmatic and operational capacity to deliver high-quality and timely results in the area of water management including capacity development and knowledge management. UNDP has conducted a comparative advantage analysis based on general and specific criteria as in the table below. UNDP has performed a capacity assessment for GWPO, following a HACT micro-assessment methodology, which has yielded a low risk in the utilization of project resources by GWPO (see summary further below)

Assessment of Comparative Advantage GWPO

Comparative Advantage Component¹⁴⁷	Global Water Partnership Organisation (GWPO)
Recognized leader in water management and facilitating multi-stakeholder platforms on sustainable water management, including at the global level.	<p>Yes. GWP's vision is a water secure world. Their mission is to advance governance and management of water resources for sustainable and equitable development. Its value proposition is: "We're a large, diverse, inclusive, multi-stakeholder partnership that supports communities and countries to improve the way they manage water. Put simply, we're about bringing water users together (that's everyone) to solve water problems".</p> <p>GWP is present in over 180 countries.</p>

¹⁴⁷ **Note:** The Yes/No responses relate to an assessment of whether the criteria are deemed to be a comparative advantage for this Intergovernmental Organization within the general and specific contextual criteria of the engagement

Comparative Advantage Component¹⁴⁷	Global Water Partnership Organisation (GWPO)
Historical and current links to UNDP and alignment to UNDP strategies and ambitions	<p>Yes. UNDP and GWP share a common concern for improving water governance for the achievement of SDG6 and the broader 2030 Agenda. The water-related endeavours of the respective organizations are highly complementary, and there is a long-standing recognition to pursue joint capacity development activities and the further pursuit of joint projects.</p> <p>UNDP and GWP have collaborated extensively on the joint implementation of trainings, including through Cap-Net UNDP and the GEF IW:LEARN. One major UNDP-GEF transboundary water management project is currently implemented by GWP.</p>
Ability to draw on strong networks, partnerships and established relationships in the water management space to help advance the goals of Cap-Net the capacity development arm of the Global Water and Ocean Governance Support Programme	<p>Yes. GWP is a global action network with over 3,000 Partner organisations in 183 countries. The network has 63 Country Water Partnerships and 13 Regional Water Partnerships. The network is open to all organisations involved in water resources management: developed and developing country government institutions, agencies of the United Nations, bi- and multi-lateral development banks, professional associations, research institutions, non-governmental organisations, and the private sector.</p> <p>GWP's action network provides knowledge and builds capacity to improve water management at all levels: global, regional, national and local. GWP's networking approach provides a mechanism for coordinated action and adds value to the work of many other key development partners.</p> <p>GWP's comparative advantage is a large and diverse multi-stakeholder network that can deploy 20 years of knowledge and experience in applying the cross-sectoral integrated water resources management approach to sustainable development.</p> <p>GWP's work complements and overlaps with Cap-Net's mission "Water Knowledge for All: Empowering Individuals, Enabling Environments". The synergies are apparent with Cap-Net established in 2002 and currently composed of 23 affiliated regional and country level capacity development networks with over 1000-member organisations in 120 countries, delivering training and education to water professionals in Asia, Africa, Latin America and the Caribbean. Cap-Net further partners with more than 40 international organisations and global thematic networks to ensure that the best available knowledge and state of the art capacity development delivery is joined in comprehensive packages consisting of training programmes and accessible training manuals. This structure also supports triangular cooperation regarding sharing water knowledge and capacity development.</p> <p>Joint programming and possibility to enhance resource mobilisation for both Cap-Net and GWPO is a tangible outcome.</p>
Positive international credibility reputation and stability, low risk of failure based on funding and years in existence	<p>Yes. The GWP network is complex, as are networks with semi-autonomous components. GWPO has comprehensive legal statutes that regulate the functions and organisation of the GWP Network (the Network) and of the Global Water Partnership Organisation (the Organisation), and the relation between the two. GWPO has a functional governance which includes Members of the Organisation called Sponsoring Partners (States and Intergovernmental</p>

Comparative Advantage Component¹⁴⁷	Global Water Partnership Organisation (GWPO)
	<p>Organisations), the Steering Committee¹⁴⁸ and the Secretariat with clear lines of responsibility and functions.</p> <p>A full audit of the financial management and transactions of the Organisation are conducted on an annual basis. (To-date, the organization has 18 years of clean audits.) The audit conducted by External Auditors from an independent international accounting firm appointed by the Meeting of the Sponsoring Partners (refer the HACT micro-assessment).</p>
<p>Administrative agility, flexibility and ability to be a responsible party for a global project like Cap-Net</p>	<p>Yes. GWP has a policy relating to Partners. These clarify the concept and position of a Partner within the GWP and different categories. The policy brings a degree of formality whilst maintaining the basic GWP ethos of inclusiveness and flexibility. Like Cap-Net partners are the basis on which the GWP network is constructed and operates. GWP has established conditions for accreditation for regional and country water partnerships.</p> <p>With this understanding, superimposed with fundamentals of network management it is assumed that GWPO has the capacity and ability to foster and nurture Cap-Net affiliated and autonomous partner networks without interfering in their management, governance, or work planning. Conducive administrative and management systems that will allow Cap-Net partner networks to receive financial support on a cost-shared-basis (in cash and in kind). It is important that also within GWP recognition is made that some partner networks have no formal legal persona and robust financial and management systems but derive these through hosting arrangements.</p> <p>GWPO will allow budget allocation to follow the Cap-Net work plan, prepared by the secretariat, following specific plans from affiliated partner networks and arising opportunities from international partners. Work plan and budget will be approved through a transparent consultative process involving the partner networks and established governance structures.</p>
<p>Human resources management</p>	<p>Yes. GWPO has transparent and well-established personnel conditions of service, privileges for internationally recruited staff (diversity in recruitment, setting of salaries and benefits at a global scale, flexibility and ease of travel for personnel, taxation; location change, immunity for international staff).</p> <p>GWPO offers a flexible environment for optimising or reducing fixed costs (salary and operational costs) whilst maintaining a lean, functional and efficient Cap-Net secretariat including opportunities for training of Cap-Net personnel on new or evolving controls environment and systems.</p>
<p>Donor Preference for this entity as Implementing Partner</p>	<p>Yes. Donor(s) have expressed support for Cap-Net UNDP to become part of a larger concern – including co-funding – for improved water governance globally. (including representatives of Swedish and Dutch support agencies).</p>

¹⁴⁸ UNDP participates in GWP's Steering Committee, as an observer.

Summary of HACT Micro-Assessment / Risk Evaluation of GWPO

Extract of UNDP Micro Assessment of Global Water Partnership Organization (GWPO) report produced by Moore Stephens LLP on 20 November 2018 (page 4):

HACT Framework Micro Assessment - Global Water Partnership Organisation

1.2. SUMMARY OF RISK ASSESSMENT RESULTS

The table below summarizes the results and main internal control gaps found during application of the micro assessment questionnaire (in Annex IV). Detailed findings and recommendations are set out in section 1.3 below.

Tested subject area	Risk assessment*	Comments
1. Implementing partner	Low	The Global Water Partnership Organisation (GWPO) was originally set up as a unit within SIDA (Swedish International Development Cooperation Agency) in 1996 and then in 2002 was reconstituted as an intergovernmental organisation. GWPO is not legally registered as a separate entity in Sweden but is registered for local Swedish taxes. It has had previous agreements with UNESCO, UNCSD, UNICEF and UNDP.
2. Programme management	Low	GWPO has a Project Management manual (last updated in January 2015) with associated templates and checklists including Annual workplan templates, and project proposal templates. There are monthly, quarterly and annual reviews completed with submissions by regions and reviewed centrally. On site reviews are completed mainly by regional offices.
3. Organisational structure and staffing	Low	There are 23 FTEs in Stockholm with 1 in Cairo (roving finance office) and 1 on secondment in Geneva. Project management constitute the largest proportion of staff with approximately 17 FTE and remaining staff within Finance (4FTE) and HR (1 FTE). Staff appear to be suitably qualified for their relevant roles.
4. Accounting policies and procedures	Low	GWPO use Microsoft NAV which has multiple dimensions including project coding. There is no timesheet functionality, although manual timesheets are completed for EC projects, so any partial salary costs charged to a project are done based on an offline Microsoft Excel analysis and journalled into NAV. There is no separate internal audit function or role within GWPO but the Audit and Finance subcommittee reviews relevant risks/issues related to internal audit.
5. Fixed assets and inventory	Low	Fixed asset register is maintained and reviewed annually although assets are expensed and not held on the balance sheet. There is an annual physical count - assets consist of laptops/desktops and other office furniture.
6. Financial reporting and monitoring	Low	There are a number of different reports produced from individual donor reports to overall GWPO monthly reports. The source data comes from the Microsoft NAV accounting system. They include actuals and budget. GWPO are looking to improve this by using Power BI but currently actuals are exported to Excel and compared to the offline budget.
7. Procurement	Low	Procurement policies and procedures are detailed in the Procurement manual but this was last updated in 2003. GWPO has a low level of procurement activity and therefore a separate team is not required.
Overall risk assessment	Low	

* High, Significant, Moderate, Low

The overall assessment concludes that contracting the GWPO as a Responsible Party for the implementation of the Global Water and Ocean Governance Support Programme is a low-risk undertaking.

Draft Terms of Reference (ToR) – International Network for Capacity Development in Sustainable Water Management (Cap-Net)

ToR - Global Water Partnership Organisation (GWPO)

Terms of Reference

Global Water Partnership Organisation

Background/context:

UNDP's Global Water and Ocean Governance Support Programme provides global thought leadership and policy advocacy on water governance, and assists governments and stakeholders prepare and implement water governance reforms.

The Global Water and Ocean Governance Support Programme has three mutually supportive outputs/components:

- 1) Water Governance thought leadership, thematic expertise, technical support and policy advocacy promoted and strengthened globally
- 2) Water governance and management frameworks strengthened at local and national level
- 3) Enhanced Individual and institutional knowledge and capacities for sustainable water management

By way of programme delivery, knowledge and capacity development, global policy work, and enabling environments for catalysing finance; the project helps stakeholders achieve *integrated climate-resilient, sustainable and equitable management of water and ocean resources and universal access to safe water supply and sanitation, through improved water and ocean governance.*

Global Water Partnership Organisation

About Cap-Net

Global Water Partnership Organisation is the Implementing Partner (Responsible Party) of Cap-Net, the global capacity development network for sustainable water management. The Cap-Net mechanism ensures enhanced individual and institutional knowledge and capacities for sustainable water management at local and regional level. Currently composed of 23 affiliated regional and country level capacity development networks with over 1000-member organisations in 120 countries, it delivers training and education to water managers, professionals and schools programme in Asia, Africa, Latin America and the Caribbean.

Cap-Net's mission "Water Knowledge for All: Empowering Individuals, Enabling Environments" is guided by 3 strategic goals:

- a) Capacity development: To develop capacity of individuals and institutions achieve integrated climate-resilient, sustainable and equitable management of water and ocean resources and universal access to safe water supply and sanitation, through improved water and ocean governance.
- b) Strengthening partnerships. To use effective networks of capacity developers to impact on the ground and develop partnerships with international agencies and private sector organizations to improve their outreach and collaboration on capacity development.
- c) Knowledge management: To develop and implement knowledge management systems in response that ensure access to the best of international and local knowledge for all, measuring the effectiveness of capacity development services, and reviewing indicators and monitoring systems. Cap-Net monitors its capacity development outcomes and impacts and focuses on enhanced impacts through demand-based capacity development. To this end Cap-Net has developed – and continually updates – tools for monitoring, evaluation and learning abbreviated as MELP

Functional Responsibilities

GWPO as Implementing Partner (Responsible Party) will provide strategic support to Cap-Net and facilitate in achieving its 3 strategic goals which form part of The Global Water and Ocean Governance Support Programme and its three mutually supportive outputs/ components. The Implementing Partner will also serve as administrative lead for sub-contractors providing agile, flexible and efficient systems to foster and nurture Cap-Net affiliated and autonomous partner networks. GWPO shall provide a conducive administrative, operational procedures and management systems that will allow Cap-Net partner networks to receive financial support (sub-contractors) based on a cost-shared-basis.

GWPO shall provide financial and administrative management of the activities of the global Cap-Net programme. The agreement and the applicable general conditions set forth the principles of what services GWPO should provide, but specific tasks and duties as well details regarding the financial, administrative and office services to be provided are set out in these Terms of Reference.

Duties and responsibilities of the Responsible Party will include the following

Strategic and programmatic alignment

- 1) Advancing the goals of Cap-Net the capacity development arm of the Global Water and Ocean Governance Support Programme
- 2) Addressing capacity, knowledge management and capacities for monitoring and reporting on progress as per UNDP's Global Water and Ocean Governance Support Programme, which includes, quality assurance, documentation, archiving and recording of lessons learnt
- 3) Enhancing joint programming, strategic and work programme between GWP and Cap-Net networks
- 4) Exploring, implementing where appropriate and in agreement with the Cap-Net team, possibilities to share common resources and complement each networks effort in resource mobilization

Financial management and administration of funds

GWPO's obligation to provide financial management and administration of funds shall include:

- 1) Allowing budget allocation to follow the Cap-Net workplan, following specific plans from affiliated partner networks and arising opportunities from international partners
- 2) Qualified financial management to safeguard the UNDP funds, including proper delegated authorities, timely payments, transparent and acceptable procurement practices, adherence to GWPO travel policy
- 3) Preparation of financial reports in English and to provide an English speaking contact person for financial and administrative matters
- 4) Accurate and up to date accounting, using a suitable accounting software
- 5) Storage and safeguarding of all documents related to accounting, staff, procurement, contracts, consultancy agreements in an orderly manner for no less than 7 years
- 6) Maintaining separate bank accounts for UNDP funds in US Dollars or Euro, and to receive and make international payments in the same
- 7) Ensuring the necessary legal and financial management arrangements with affiliated regional or country partner networks for transfer of funds. Providing guidance to the partner networks on financial management and reporting
- 8) Monitoring the annual budget, expenditures, and securing sufficient cash flow
- 9) Submitting fund requests to UNDP
- 10) Preparing financial reports as requested by UNDP, including bi-annual financial expenditure and balance reports
- 11) Where necessary procuring and facilitating the annual audit of the partner networks and to guide and facilitate the audits
- 12) Providing necessary and timely response to audit reports and Management Letter.

Administrative, risk and issues management

The administrative management to be provided by GWPO shall include contractual arrangements, employment and human resources management, procurement, and where specifically requested office space and services for Cap-Net personnel/staff. GWPO is to enter into any formal contractual arrangements required for the operations of the Cap-Net programme. GWPO obligation to provide employment and Human Resources management shall include:

- 1) Applying transparent and well-established personnel conditions of service, privileges for internationally recruited staff (diversity in recruitment, setting of salaries and benefits at a global scale, flexibility and ease of travel for personnel, taxation; location change, opportunities for training on new or evolving controls environment and systems)
- 2) Responsibility for applying the GWPO's rules and policies for human resources and employment. The employment of Cap-Net personnel shall be based on the staff policies of the Responsible Party, unless otherwise directed by UNDP.
- 3) All contracts shall include;
 - a clause regarding dismissal by cause, based on a decision by GWPO in consultation with UNDP
 - a clause stating that staff shall adhere to the GWPO Anti-Fraud/Corruption Policy
 - that the staff member has a duty to inform and request approval by the GWPO Executive Secretary and CEO for any paid engagement outside his/her duties
 - that all contracts are subject to availability of funds
- 4) Remuneration levels are to be agreed with the incumbents, Cap-Net Director and GWPO (GWPO Executive Secretary and CEO and HR representative)
- 5) Recruitment of Personnel based on the Job descriptions/Terms of Reference determined by the Cap-Net Director, GWPO Executive Secretary and CEO and GWPO HR representative thereby ensuring standard good practice criteria for the recruitment, which require transparent, fair and non-discriminatory selection procedures, offering equal opportunities, where knowledge and competence shall be the basis for selection. One staff member from GWPO shall always be a member of the recruitment panel
- 6) Performing annual performance assessments according to GWPO's procedures on annual assessments. For support staff this will involve the Cap-Net Director and the incumbents
- 7) In the case of the Cap-Net Director's annual performance assessment, UNDP representative and GWPO Executive Secretary and CEO shall always give input on the annual performance assessment.
- 8) Handling payroll administration
- 9) Ensuring that Cap-Net personnel travel is in line with the GWPO travel policy rules
- 10) GWPO shall undertake procurement of goods and services, including consultants, in accordance with GWPO Procurement Rules and in accordance with the principles of transparency, professionalism, efficiency, competition, merit, and equity.
- 11) Upon request acceptable standard of office accommodation for Cap-Net Secretariat Personnel including utilities (water, electricity, toilettes, air conditioning and office cleaning). Access to meeting room
- 12) Well-functioning technical facilities including internet and telephone access to make mostly national calls and receive calls as well, national and international ones.
- 13) Allowing Cap-Net communication and IT support services, where appropriate, to be independent and focused to the niche audience and its unique business plan
- 14) Compiling and maintaining a risk-based performance assessment system, identifying risk of implementation, risk response plan, issue register and plan, and impact
- 15) Maintaining a risk register which shall be reviewed and feeds into the UNDP's Global Water and Ocean Governance Support Programme.

Periodic reviews

UNDP will conduct an internal review at the Responsible Party, within one-year of the date of signature of the Agreement. The review is aimed at ensuring a good understanding of the implementing partner/responsible party arrangement and to identify any issues at an early stage. Additional reviews will be conducted as agreed.

The finalized ToR will be attached [as part of Annex 2] to the [Standard letter of agreement \(LOA\)](#), which is the legal instrument used by UNDP to engage an Intergovernmental organization as a Responsible Party.

5. Terms of Reference for key positions

The Terms of Reference (ToR) included in this section are those of the

- 1) Senior Water Advisor / Technical Advisor (Water Resources),
- 2) Ocean Advisor, and
- 3) International Water and Sanitation Expert (seconded by the Governance of France to UNDP)

Terms of Reference – Senior Water Advisor / Technical Advisor (Water Resources)

(As advertised in February 2016 - https://jobs.undp.org/cj_view_job.cfm?cur_job_id=63391. Position filled in August 2016.)

As of 2019 also serving as Project Manager of the Global Water and Ocean Governance Support Programme.

Technical Advisor (Water Resources)

Location:	Stockholm, SWEDEN
Type of Contract:	FTA International
Post Level:	P-5
Languages Required:	English

Background

The Bureau for Policy and Programme Support (BPPS) has the responsibility for developing all relevant policy and guidance to support the results of UNDP's Strategic Plan. BPPS's staff provides technical advice to Country Offices; advocates for UNDP corporate messages, represents UNDP at multi-stakeholder fora including public-private dialogues, government and civil society dialogues, South-South and Triangular cooperation initiatives, and engages in UN inter-agency coordination in specific thematic areas. BPPS works closely with UNDP's Crisis Response Unit (CRU) to support emergency and crisis response. BPPS ensures that issues of risk are fully integrated into UNDP's development programmes. BPPS assists UNDP and partners to achieve higher quality development results through an integrated approach that links results based management and performance monitoring with more effective and new ways of working. BPPS supports UNDP and partners to be more innovative, knowledge and data driven including in its programme support efforts.

UNDP is committed to supporting water governance reforms; mainstreaming water, sanitation and water resource management targets into SDG-based national development and poverty reduction strategies; and facilitating strategic partnerships and coordinated approaches to action and advocacy on water resources management, water supply and sanitation.

Under the supervision of and in collaboration with the Principal Technical Advisor, International Waters and Head, UNDP Water & Ocean Governance Programme (WOGP), the incumbent will raise funding and support the further development and operationalization of WOGP's Contribution to the UNDP Strategic Plan and development of strategic partnerships towards its implementation.

The incumbent will have a key role in liaising and collaborating with internal and external partners, including staff and senior managers of BPPS, Regional Bureaux, Regional Centers/Hubs, Policy Centres, UNDP Country Offices, the

Executive Office, donors (MFA, development assistance agencies), UN partner agencies, UN-Water, IFIs, and international organizations and NGOs. Similarly, s/he will support effective functioning and delivery of the fully integrated WOGP including UNDP/GEF W&O team, Cap-Net and UNDP Water Governance Facility @ SIWI team.

Other salient features of the Senior Water Advisor's role in developing and managing water-related components of the WOGP include:

- Liaison with and fund raising responsibilities towards donors to the WOGP, especially the Swedish International Co-operation Agency (Sida);
- Strategic oversight and coordination of the activities of the UNDP Water Governance Facility at SIWI;
- Managing and developing the Cap-Net programme including staff oversight of the Director, through chairing the Cap-Net management board and representing the programme externally and towards strategic partners;
- Representing UNDP in UN-Water and contributing through its Task Forces, Thematic Priority Areas, Working Groups and other UNDP obligations towards UN-Water;
- Fulfill UNDP's commitment towards Global Water Partnership including being a member of its Steering Committee.

Duties and Responsibilities

Support to Policy Dialogue, Development, Mainstreaming and Partnerships:

- Support region-specific development and implementation of UNDP's Water & Ocean Governance Contribution to the UNDP Strategic Plan 2014-17 to (1) prioritize target countries; (2) identify working modalities and approaches, both with respect to UNDP's coordination role and through its own operational policy and capacity building support to countries; (3) operationalize internal capacity and work plans, and (4) mobilize additional financial resources;
- In support of BPPS/SD's environmental mainstreaming agenda, liaise and coordinate with other Practices, Groups and corporate initiatives to identify synergies and effective cross-practice collaboration;
- Support senior management by providing strategic policy advice, advocacy support for corporate policy frameworks, preparation of UNDP's engagement in key water meetings and events and preparation of briefing notes and speaking points.
- Develop policy documents related to IWRM, climate change adaptation and other sub-topics of the WOGP.

Support to Regional Teams, Country Offices, Executing Agencies, other partners:

- Support continued effective functioning of the fully integrated UNDP Water and Ocean Governance Programme team with a particular focus on mainstreaming equitable water governance, integrated water resource management and climate change adaptation in development strategies and WOGP programming;
- Ensure effective interaction on needs and support components between WOGP regional teams and the WGF;
- Ensure that GWP steering committee and senior management are satisfied with the strategic guidance and collaborative initiatives provided by UNDP;
- In the context of UN-Water, participate in meetings and support and contribute to advancement of IWRM, Climate Change Adaptation and country level coordination to more effectively achieving the IWRM and water supply and sanitation Sustainable Development Goals;
- Pro-actively contribute to the development of strategic partnerships with both internal and external partners to advance the implementation of WOGP's contribution to the UNDP Strategic Plan;
- Support collaboration within the BPPS Sustainable Development Cluster on mainstreaming water resources management, water supply and sanitation and adaptation to climate change into national development and poverty reduction strategies;
- Development Impact, Programme and Project implementation oversight and support:

- Develop capacity at regional and national levels in IWRM, CC-A, gender equity, HRBA, integrity and other water governance related topics through the development of training materials and delivery of training courses;
- Provide strategic oversight and coordination of the activities of the UNDP Water Governance Facility at SIWI including its signature programs – Water Integrity, GoAL-WaSH, Shared Waters Partnership;
- Manage and develop the Cap-Net programme including staff oversight of the Director, chairing the Cap-Net management board and representing the programme externally and towards strategic partners.

Resource Mobilization, Programme and Project identification and development:

- Pro-actively contribute to strengthening donor relationships and raise funds for all aspects of the WOGP;
- Explore and develop strategic alliances with key partners for joint fund-raising and service delivery;
- Ensure the long term sustainability of the WOGP programs, especially Cap-Net and the WGF;
- Develop partnerships with other Nordic, European and North-American donors;
- Explore and develop new partnerships with foundations, philanthropist and the private sector.

Learning, Knowledge Management, Advocacy and Self Development:

- Ensure that training materials, tools and advocacy publications for the WOGP are produced and effectively disseminated;
- Support and promote implementation of UNDP WOGP practices and experience through contributions to relevant BPPS networks and communities of practice;
- Self-development and work-life balance developed through targeted thematic and managerial training course, avoidance of work over weekends and effective utilization of annual leave;
- In collaboration with internal and external partners pro-actively identify and contribute to WOGP advocacy and outreach;
- Effective communication, advocacy and dissemination of WOGP and other relevant UNDP knowledge products at international and national conferences and meetings, such as Stockholm World Water Week, World Water Forum and other relevant fora and international processes.

Competencies

Innovation:

- Ability to make new and useful ideas work.

Leadership:

- Ability to persuade others to follow.

People Management:

- Ability to improve performance and satisfaction:

Communication:

- Ability to listen, adapt, persuade and transform.

Delivery:

- Ability to get things done.

Technical/Functional

Primary:

Water knowledge:

- Knowledge of issues related to water and ability to apply to strategic and/or practical situations.

Capacity Development:

- Ability to strengthen and maintain the capabilities of individuals, societies, organizations and governments to set and achieve development objectives over time.

Sustainable Development Goals (SDGs):

- Knowledge of the Sustainable Development Goals and the ability to apply to strategic and/or practical situations.

Partnerships:

- Ability to engage with other agencies, donors, and other development stakeholders and forge productive working relationships.

Strategic Planning:

- Ability to make decisions that align with strategy, vision, and mission.

Secondary:

Knowledge Management:

- Ability to capture, develop, share and effectively use information and knowledge.

Substantive positioning of UNDP:

- Knowledge of global institutions (such as the UN, IFIs), processes (such as G20 and various UN initiatives), good grasp of UNDP's niche, and ability to engage and foster strong networks with those institutions.

Results-Based Management:

- Ability to manage programmes and projects with a strategy aimed at improved performance and demonstrable results.

Climate Change Adaptation:

- Knowledge of climate change adaptation concepts and the ability to apply to strategic and/or practical situations.

Required Skills and Experience

Education:

- Masters or higher degree in water/sanitation management and/or engineering, natural resources management or related field.

Experience:

- Minimum of 10 years professional experience of progressively larger responsibility in water management mainly in developing countries.
- A good understanding of the relationship between water and sanitation management and sustainable development/poverty issues from a developing country perspective;
- Knowledge of economics and/or public policy in water context;
- Excellent understanding of science and linkages between climate change and water resources;
- Experience with water related project development, implementation and management;
- Experience with policy development processes associated with water and sustainable development issues;
- Skills in leadership, facilitation, coordination, entrepreneurial spirit and demonstrated ability to work both in a team as well as in an independent manner;
- Experience in handling relationships, communication and fund raising towards bilateral donors, UN organizations, private sector; academic institutions, governments and NGOs.
- Solid knowledge of UNDP and the UN system
- Full computer literacy.

Language:

- Full proficiency in written and spoken English;
- Proficiency in a Nordic or UN Official languages an advantage.

Terms of Reference – Ocean Advisor

I. Position Information	
Job Title: Ocean Advisor	Grade Level: P4P4
Position Number: xxxxx	Duty Station: New York, NY
Department: UNDP	Family Duty Station as of Date of Issuance:
Reports to: Head, Water & Ocean Governance Programme (L6)	Date of Issuance:
Direct Reports: Project Associate (G7) and consultants	Closing Date:
Position Status: Non-Rotational/Non-Rotational	Duration and Type of Assignment: One year initial, extended based on availability of funding; Fixed Term Appointment
Job Family: Yes	

II. Job Purpose and Organizational Context

The Bureau for Policy and Programme Support (BPPS) has the responsibility for developing all relevant policy and guidance to support the results of UNDP's Strategic Plan. Through the Global Policy Network (GPN) BPPS and Crisis Response Unit (CRU) staff provide technical advice to Country Platforms; advocate for UNDP corporate messages, represent UNDP at multi-stakeholder fora including public-private dialogues, government and civil society dialogues, South-South and Triangular cooperation initiatives, and engages in UN inter-agency coordination in specific thematic areas.

GPN assists UNDP and partners to achieve higher quality development results through an integrated approach that links results-based management and performance monitoring with more effective and new ways of working. The GPN supports UNDP and partners to be more innovative, knowledge and data driven including in its programme support efforts.

UNDP is committed to supporting ocean governance reforms; mainstreaming marine, coastal and fisheries resources management targets into SDG-based national development and poverty reduction strategies; and facilitating strategic partnerships and coordinated approaches to action and advocacy on marine resources management.

Under the supervision of and in collaboration with the Principal Technical Advisor, International Waters and Head, UNDP Water & Ocean Governance Programme (WOGP), the incumbent will raise funding and support the further development and operationalization of WOGP's Contribution to the UNDP Strategic Plan and development of strategic partnerships towards the implementation of the 2030 Agenda.

The incumbent will have a key role in liaising and collaborating with internal and external partners, including staff and senior managers of BPPS/GPN, Regional Bureaux, Regional Centers/Hubs, Policy Centres, UNDP Country Offices, the Executive Office, donors (MFAs, development assistance agencies), UN partner agencies, UN-Oceans, IFIs, and international

organizations and NGOs. Similarly, s/he will support effective functioning and delivery of the fully integrated WOGP including UNDP/GEF W&O team.

Other salient features of the Ocean Advisor's role in developing and managing marine-related components of the WOGP include:

- Serve as Project Manager for the new UNDP Ocean Innovation Facility (approximately 50%)
- Support and advise senior UNDP representation on the UN's Group of Experts on the Scientific Aspects of Marine Environmental Protection (GESAMP)
- Support and advise senior UNDP representation on UN-Oceans, the UN system coordination mechanism on oceans
- Support and advise senior UNDP representation on the Global Compact's Sustainable Ocean Business Action Platform
- Support and advise on country-level activities of Global Water and Ocean Governance Support Programme (under development)

III. Duties and Responsibilities

Support to Policy Dialogue, Project Development, Mainstreaming and Partnerships (10%):

- Support development and implementation of UNDP's Water and Ocean Governance Support Programme e.g. to help (1) prioritize target countries/areas; (2) advise on modalities and approaches and capacity development support to countries; (3) operationalize source-to-sea interconnections in freshwater and marine resources management, and (4) mobilize additional financial resources;
- Within the BPPS/Natural Capital and Environment Cluster and 'PLANET' group of the Global Policy Network, liaise and coordinate with biodiversity, climate and other environmental experts to identify synergies and effective collaboration within and between projects;
- In support of BPPS/Natural Capital and Environment Cluster and 'PLANET' group of the Global Policy Network, liaise and coordinate with other Practices, Groups and corporate initiatives to identify synergies and effective cross-practice collaboration;
- Support senior management by providing strategic policy advice, advocacy support for corporate policy frameworks, preparation of UNDP's engagement in key ocean meetings and events and preparation of briefing notes, speeches and talking points.
- Develop policy and learning documents related to ocean, fisheries, marine and coastal resources management or relevant sub-topics of the WOGP.
- Pro-actively contribute to strengthening donor relationships and raise funds for all aspects of the WOGP;
- Explore and develop strategic alliances with key partners for joint fund-raising and service delivery;

Support to Regional Teams, Country Offices, Executing Agencies, other partners (10%):

- Support continued effective functioning of the fully integrated UNDP Water and Ocean Governance Programme team with a particular focus on mainstreaming effective and equitable ocean/marine governance frameworks, fisheries and coastal resources management and climate change adaptation in development strategies and WOGP programming;
- Pro-actively contribute to the development of strategic partnerships with both internal and external partners to advance the implementation of WOGP's contribution to the UNDP Strategic Plan;
- Support collaboration within the BPPS Sustainable Development Cluster on mainstreaming marine and coastal resources management, ocean-related aspects of adaptation to climate change into national development and poverty reduction strategies.

<ul style="list-style-type: none"> • Provide support and advice to UNDP engagement in a range of ocean dialogues and processes including UN-Oceans, GESAMP, UN Global Compact Sustainable Ocean Business Platform, 2020 Ocean Conference, and others.
<p>Resource Mobilization, Programme and Project Identification and Development (10%)</p> <ul style="list-style-type: none"> • Pro-actively contribute to strengthening donor relationships and raise funds for all aspects of the WOGP, especially the Ocean Innovation Facility. • Explore and develop strategic alliances with key partners for joint fund-raising and service delivery. • Ensure the long-term sustainability of WOGP programs, especially the Ocean Innovation Facility. • Develop partnerships with other Nordic, European and North-American donors. • Explore and develop new partnerships with foundations, philanthropists and the private sector
<p>Learning, Knowledge Management, Advocacy and Self Development (10%)</p> <ul style="list-style-type: none"> • Ensure that training materials, tools and advocacy publications for the WOGP are produced and effectively disseminated. • Support and promote implementation of UNDP WOGP practices and experience through contributions to relevant GPN networks and communities of practice. • Self-development and work-life balance developed through targeted thematic and managerial training course, avoidance of work over weekends and effective utilization of annual leave. • In collaboration with internal and external partners pro-actively identify and contribute to WOGP advocacy and outreach. • Effective communication, advocacy and dissemination of WOGP and other relevant UNDP knowledge products at international and national conferences and meetings, such as UN Ocean Conference, Our Ocean Conference, Annual Global LME Consultation and other relevant fora and international processes.
<p>Development, implementation and management of the UNDP Ocean Innovation Facility (OIF) (50%):</p> <ul style="list-style-type: none"> • Manage OIF at a global scale, working to maximise and showcase impacts, to grow and develop the initiative, and to strengthen relationships with stakeholders at all levels, including strategic partners inside and outside UNDP, partner governments and donors; • Provide strategic guidance and management oversight to the OIF and the OIF team, reviewing on a regular basis progress reports, deliverables, disbursements and budgets to ensure implementation is on track, and troubleshooting and adapting management as required; • Ensure the global OIF team operates in a productive manner, through a clear division of labour, the setting of specific annual goals by all team members and the organization of regular online and face to face meetings, including an annual planning meeting at the start of each year. • Ensure the management and administrative requirements (technical, financial, communications, audits, evaluations, etc.) of the different partners/donors of the Initiative are met; • Ensure that UNDP-specific processes (integrated work planning, budgeting, procurement, monitoring and evaluation, performance planning of global OIF staff and appraisals, etc.) are met; • Establish and convene meetings of the Global Steering Committee (Project Board), to define priorities, evaluate progress and management, provide strategic advice and guidance, and exchange information; • Manage and monitor risks and issues, submitting newly identified ones to the global head of Water & Oceans and/or GSC for consideration and decision if required; • Identify and source necessary technical expertise and support, and oversee the recruitment of global OIF staff members, international consultants and service providers, ensure necessary training and ongoing capacity building are carried out;

- Ensure that UNDP Water & Oceans, Ecosystems & Biodiversity and other relevant programmes and projects and the OIF draw from and feed into each other, avoiding duplication and maximizing synergy;
- Liaise with other relevant UNDP staff including in-country colleagues regarding the OIF, including to share information about trends and issues in the thematic area;
- Develop and implement a communications strategy for the Ocean Innovation Facility.

IV. Competencies and Selection Criteria	Description of Competency at Level Required (For more comprehensive descriptions please see the competency inventory)
<p>In this section list all core competencies as well as the most relevant technical/functional competencies the role will require along with the appropriate level. A Detailed list of competencies can be accessed through the following link: https://intranet.undp.org/unit/ohr/competency-framework/SitePages/Home.aspx</p>	
Core	
Innovation <i>Ability to make new and useful ideas work</i>	Level 5: Creates new and relevant ideas and leads others to implement them Level 5: Creates new and relevant ideas and leads others to implement them
Leadership <i>Ability to persuade others to follow</i>	Level 5: Plans and acts transparently, actively works to remove barriers Level 5: Plans and acts transparently, actively works to remove barriers
People Management <i>Ability to improve performance and satisfaction</i>	Level 5: Models high professional standards and motivates excellence in others Level 5: Models high professional standards and motivates excellence in others
Communication <i>Ability to listen, adapt, persuade and transform</i>	Level 5: Gains trust of peers, partners, clients by presenting complex concepts in practical terms to others Level 5: Gains trust of peers, partners, clients by presenting complex concepts in practical terms to others
Delivery <i>Ability to get things done while exercising good judgement</i>	Level 5: Critically assesses value and relevance of existing policy / practice and contributes to enhanced delivery of products, services, and innovative solutions Level 5: Critically assesses value and relevance of existing policy / practice and contributes to enhanced delivery of products, services, and innovative solutions
Technical/Functional	Detailed list of competencies can be accessed through https://intranet.undp.org/unit/ohr/competency-framework/SitePages/Home.aspx and hiring managers are encouraged to familiarize themselves for more information
Technical	Level 5: Originate: Catalyzes new ideas, methods, and applications to pave a path for innovation and continuous improvement in

<p><i>Demonstrated broad knowledge of ocean science, policy, economics, governance, of the suite of issues and challenges faced by the ocean, and of the types of solutions required to address these challenges systematically. Ability to quickly recognize innovative approaches to ocean challenges, cutting across technological, policy, economic, financial, institutional and other areas of possible intervention.</i></p>	<p>professional area of expertise Level 5: Originate: Catalyzes new ideas, methods, and applications to pave a path for innovation and continuous improvement in professional area of expertise</p>
<p>Environmental Sustainability</p> <p><i>Full understanding behind concepts of environmental sustainability particularly in the context of marine ecosystems and the 'blue economy'</i></p>	<p>Level 5: Originate: Catalyzes new ideas, methods, and applications to pave a path for innovation and continuous improvement in professional area of expertise Level 5: Originate: Catalyzes new ideas, methods, and applications to pave a path for innovation and continuous improvement in professional area of expertise</p>
<p>Results-Based Management</p> <p><i>Ability to manage programmes and projects with a strategy aimed at improved performance and demonstrable results.</i></p>	<p>Level 5: Originate: Catalyzes new ideas, methods, and applications to pave a path for innovation and continuous improvement in professional area of expertise Level 5: Originate: Catalyzes new ideas, methods, and applications to pave a path for innovation and continuous improvement in professional area of expertise</p>
<p>Resource Mobilization</p> <p><i>Ability to identify and organize programmes and projects to implement solutions, demonstrate impact and generate additional resources from existing and new donors</i></p>	<p>Level 5: Originate: Catalyzes new ideas, methods, and applications to pave a path for innovation and continuous improvement in professional area of expertise Level 5: Originate: Catalyzes new ideas, methods, and applications to pave a path for innovation and continuous improvement in professional area of expertise</p>
<p>Relation Management and Partnerships</p> <p><i>Ability to engage with other agencies / parties towards building and managing productive partnerships.</i></p>	<p>Level 5: Originate: Catalyzes new ideas, methods, and applications to pave a path for innovation and continuous improvement in professional area of expertise Level 5: Originate: Catalyzes new ideas, methods, and applications to pave a path for innovation and continuous improvement in professional area of expertise</p>
<p>Advocacy and Representation</p> <p><i>Ability to productively share and promote UNDP knowledge and activities (at UN and other venues)</i></p>	<p>Level 5: Originate: Catalyzes new ideas, methods, and applications to pave a path for innovation and continuous improvement in professional area of expertise Level 5: Originate: Catalyzes new ideas, methods, and applications to pave a path for innovation and continuous improvement in professional area of expertise</p>
<p>Knowledge Management</p>	<p>Level 5: Originate: Catalyzes new ideas, methods, and applications to pave a path for innovation and continuous improvement in</p>

<i>Ability to efficiently and broadly manage and share information and knowledge.</i>	professional area of expertise Level 5: Originate: Catalyzes new ideas, methods, and applications to pave a path for innovation and continuous improvement in professional area of expertise
Strategic Planning <i>Ability to make and act on decisions that align with strategy, vision, and mission of UNDP and the project.</i>	Level 5: Originate: Catalyzes new ideas, methods, and applications to pave a path for innovation and continuous improvement in professional area of expertise Level 5: Originate: Catalyzes new ideas, methods, and applications to pave a path for innovation and continuous improvement in professional area of expertise

V. Recruitment Qualifications	
Education:	Master's or higher degree in marine science, marine policy, environmental science, marine conservation, or a related field.
Experience:	<ul style="list-style-type: none"> • Minimum of 10 years of professional experience in marine or related (e.g. fisheries) environmental management; • Experience at international level and with developing countries; • Experience in results-based and results-oriented project implementation and management; • Experience in managing teams, inspiring and mentoring staff, facilitating their capacity development, and resolving conflicts; • Experience with projects/contracts financed by multi-lateral (GEF, GCF, etc.) and bilateral donors is desirable; • Experience in overseeing and guiding the development of communications and knowledge management strategies and products; • Experience in overseeing implementation of projects involving government, NGO/CSO, private sector, academia and/or intergovernmental stakeholders. • Working experience in UN or other international organization, and knowledge of UNDP policies, procedures and practices are advantageous
Language Requirements:	<ul style="list-style-type: none"> • English. Other official language(s) of the UN are desirable
Other:	<ul style="list-style-type: none"> •

Terms of Reference – International Water and Sanitation Expert (seconded)

Terms of Reference – 1 July 2017 – 30 June 2019:

Terms of Reference

International Water and Sanitation Expert

Secondment by France to UNDP's Water & Ocean Governance Programme Office in Stockholm

The Water and Ocean Governance Programme ([WOGP](#)) is placed within the Sustainable Development Cluster of the Bureau for Programme and Policy Support (BPPS) of the United Nations Development Programme ([UNDP](#)). The WOGP focuses on the achievement of Sustainable Development Goals (SDGs) 6 to “Ensure availability and sustainable management of water and sanitation for all” and 14 to “Conserve and sustainably use the oceans, seas and marine resources for sustainable development.”

Addressing the governance challenge of services delivery and resources management, the WOGP promotes agreements, coordination and collective action in the management of freshwater and marine resources and related services. Contributing to the ultimate aim of sustainable development – eradicating poverty and reducing inequalities and exclusion – the WOGP fosters more efficient, equitable and prudent use, management and preservation of freshwater and marine resources and promotes more democratic and inclusive ways of governing natural resources and service delivery.

The WOGP consists of a number of coordinated programmes and projects that deliver on particular aspects in relation to specific levels of collective action; the local, national, regional and global. The UNDP Water Governance Facility ([WGF](#)) at the Stockholm International Water Institute ([SIWI](#)) contributes to the overall knowledge management, capacity development and advocacy of the WOGP and strategically manages programme delivery of several initiatives. [GoAL WaSH](#) (Governance, Advocacy and Leadership in Water, Sanitation and Hygiene) helps governments make priorities, coordinate and implement water and sanitation services in over 12 countries.

The International Water and Sanitation Expert (the Expert) will be employed by the Delegation for the External Action of Local Authorities (DAECT), Directorate General of Globalization of the Ministry of Foreign Affairs and International Development of France, will be seconded to the UNDP-WOGP and located to Stockholm. The Expert will work closely with the UNDP Senior Water Advisor and the UNDP-WGF team at SIWI.

The Expert will contribute to the development and implementation of the WOGP mission and the WGF programme portfolio. The focus will be on water and sanitation, primarily in relation the [GoAL WaSH](#) programme and the exploration of opportunities for integration and collaboration with local authorities and water and sanitation service providers, potentially through the Global Water Solidarity ([GWS](#)) initiative. Emphasis will be put on resource mobilization and collaboration with other delivery mechanisms of the WOGP and WGF related initiatives, e.g. the [Accountability for Sustainability](#) partnership with UNICEF.

Specific tasks:

The Expert will work as an integrated part and member of the WOGP-WGF team and contribute to the broader project portfolio of WOGP-WGF. Particular tasks envisaged for the Expert involve:

- Identify activities and agreements of the GWS that are sustainable and can be incorporated into the UNDP-WOGP and GoAL WaSH programmatic umbrella.

- Support resource mobilization and the programmatic coherence of GWS and GoAL WaSH.
- Maintain and enhance relations with French water utilities and contributors through the Water Solidarity levy, to ensure continuous collaboration, as appropriate.
- Identify and enhance relations with other similar local government and water utility collaboration, to be revived and reinforced, as appropriate.
- Develop relations with new partners and support UNDP-WOGP-WGF fundraising strategy and activities;
- Support the coordination, promotion and implementation of GoAL WaSH, in collaboration with GoAL WaSH team in Stockholm and through in-country missions, as appropriate.
- Support the implementation of the Accountability for Sustainability partnership between the UNDP-WGF and UNICEF, including the development of programme knowledge and materials as well as in-country missions as appropriate.
- Support additional activities of WOGP's and WGF's activities in relation to Water, Sanitation and Hygiene (WASH) and integrated water resources management (IWRM).

Duty station and supervision:

The Expert will be based in Stockholm and integrated into the UNDP Water Governance Facility team at SIWI.

Day-to-day supervision will be provided by the WASH Portfolio Manager of the UNDP Water Governance Facility at SIWI together with the UNDP Senior Water Adviser in Stockholm.

In addition, the Expert will provide regular updates of activities to the Directorate General of Globalization in France.

Required skills and experiences:

- Solid understanding of advancing water, sanitation and hygiene (WASH) in low- and middle-income countries
- Experience of development and implementation of WASH projects;
- Good knowledge of global issues of international development
- Good interpersonal skills and ability to work in a multi-cultural setting;
- Excellent command of English and French (oral and written)
- Knowledge of the external action of the French and international local authorities and their networks (associations representing French and international) experience in multilateral international organizations (UN and Financial Institutions ...).
- At least seven years of professional experience within the area of WASH and development, as well as international experience in the field and / or international organizations.

Proposed Terms of Reference – 1 July 2020 – 30 June 2022:

**International Water and Sanitation Technical Expert
Secondment to UNDP's Water & Ocean Governance Programme**

Duty Station: Stockholm, Sweden

1 July 2020 – 30 June 2022

The Water and Ocean Governance Programme ([WOGP](#)) is placed within the Sustainable Development Cluster of the Bureau for Programme and Policy Support (BPPS) of the United Nations Development Programme ([UNDP](#)). The WOGP focuses on the achievement of Sustainable Development Goals (SDGs) 6 to “Ensure availability and sustainable management of water and sanitation for all” and 14 to “Conserve and sustainably use the oceans, seas and marine resources for sustainable development.”

Addressing the governance challenge, the WOGP promotes agreements, coordination and collective action in the management of freshwater and marine resources, and water and sanitation services. Contributing to the ultimate aim of sustainable development – eradicating poverty and reducing inequalities and exclusion – the WOGP fosters more efficient, equitable and prudent use, management and protection of freshwater and marine resources and promotes more democratic, accountable and inclusive ways of governing service delivery.

The WOGP consists of a set of coordinated programmes (delivery mechanisms) and projects that support partners in relation to specific aspects and sub-themes relating to water and ocean-related endeavours throughout UNDP in relation to specific levels of collective action; the local, national, regional and global. The total active WOGP portfolio, including the pipeline, amounts to more than USD 360 million and covers activities in over 100 countries.

The UNDP Water Governance Facility ([WGF](#)) at the Stockholm International Water Institute ([SIWI](#)) contributes to the overall knowledge management, capacity development and advocacy of the WOGP and strategically manages programme delivery of several initiatives. The UNDP [GoAL-Waters](#) (Governance Accountability and Learning for Water Sustainability) helps governments make priorities, coordinate and implement integrated water resources management and strengthen water and sanitation services, presently in over 12 countries. The Expert will work closely with the UNDP Senior Water Advisor and the UNDP-WGF team.

The overarching objective is to enhance the collaboration between UNDP and likeminded agencies in the area of water and environment (including e.g sanitation, waste-water, integrated water resources management, disaster risk reduction, etc.). The Expert will contribute to highlighting cooperation experiences and other expertise in relation to water and environment as relevant to WOGP mission and program portfolio and help present related endeavours of UNDP and other cooperation at international fora (World Water Week, World Water Forum, etc.). Emphasis will be put on mutual technical assistance and collaboration between related initiatives and the UNDP-WOGP delivery mechanisms, including the WGF.

Specific tasks

The Expert will work as an integrated part and member of the WOGP-WGF team and contribute to the broader project portfolio of WOGP and WGF. Particular tasks envisaged for the Expert involve

1. Contribute to policy development and advocacy in international processes related to water and the environment

- Contribute to reports and publications on water governance, highlighting ways to enhance efficiency, accountability and inclusiveness of policy making and implementation.
- Contribute to the development of knowledge and communication materials of UNDP's work with water, the WOGP and partners' endeavours (including financial partners like GEF, GCF, or Sida, and implementing partners like SIWI and the Global Water Partnership.
- Contribute to highlighting collaborative efforts of UNDP and partners at water-related events like the World Water Week (held annually in Stockholm), World Water Forum (Dakar 2021), Africa Sustainable Cities and Eau Mega conferences in 2020, as appropriate;

2. Provide technical assistance for improved water governance to stakeholders and partners

- Support the implementation of the UNDP-UNICEF-WGF partnership on *Accountability for Sustainability*, including the development of programme knowledge and materials as well as in-country missions (capacity building), as appropriate.
- Support the coordination, promotion and implementation of water governance projects, GoAL-Waters, in collaboration with WGF team in Stockholm and through in-country missions, as appropriate.
- Support poverty/power/gender analyses in relation to WASH / water resources governance reform.
- Build capacity of UNDP partners and stakeholders on governance, accountability and sustainability related to water and environmental management (Partners States, decentralized state stakeholders, regional and national network/platform, NGOs, academia...)

3. Contribute to enhanced synergies between the pursuits of UNDP and other agencies in water governance and environment issues

- Support UNDP-WOGP partnership building with francophone countries and institutions;
- Develop synergies and collaboration on water and sanitation governance and environment management at local, regional; national and global level
- Also identify and enhance relations between UNDP and other similar local government and water utility collaboration, to be revived and reinforced through different UN agencies, as appropriate.

4. Contribute to resources mobilization for UNDP water and environment endeavours

- Develop relations with new partners in support of UNDP-WOGP-WGF resources mobilization pursuits.
- Explore potential fundraising for related initiatives and joint projects.

Duty station and supervision:

The Expert will be based in Stockholm, and integrated into the UNDP Water Governance Facility team

Day-to-day supervision will be provided by UNDP Senior Water Adviser in Stockholm and the Director of the Water Governance Facility.

6. Lessons Learned with Challenge Funds

Following is a compilation of Challenge Funds operationalized in different fields which offer relevant lessons learned that can be applied in the implementation of different phases of the Ocean Innovation Facility.

Challenge Fund Name	Lessons Learned	Recommendations (Formal Evaluation)
<p>Challenge Fund (2015 - present)</p> <p><i>An initiative of the Global Challenge for Disaster Reduction and Recovery (GFDRR) and DFID</i></p> <p>Focus: Funding disruptive technologies and approaches in the disaster risk identification field</p>	<p>8 lessons learned are¹⁴⁹:</p> <ol style="list-style-type: none"> 1. Local demand matters; 2. True partnership is critical; 3. Implementing a challenge fund alongside other projects can improve effectiveness; 4. Once a scalable technology proves to be successful, other multilateral and bilateral partners will come running; 5. There will be some projects that fail; 6. Consult with experts; 7. The administrative process will take longer than you think; 8. You need an awesome team to deliver an innovative program. 	
<p>Securing Water for Food (2013 - present)</p> <p><i>An initiative of USAID, Sida, the Government of South Africa, and the Ministry of Foreign Affairs of the Kingdom of the Netherlands</i></p> <p>Focus: Funding innovators for producing more food with less water and making more water available for the food value chain.</p>	<p>10 lessons learned are¹⁵⁰:</p> <ol style="list-style-type: none"> 1. Milestone-based funding, paired with acceleration support services, deliver greater program and individual innovator impact; 2. Capacity building on grants management helps innovators; 3. Innovator success requires multi-stakeholder collaboration; 4. In order to scale, every innovator must be able to define their customer segments and relationships and validate their assumptions on the value they deliver to their customer, their distribution channels, their cost structure and revenue streams; 5. Early-stage small and medium enterprises need to focus on creating a viable financial model along with a 	<p>Midterm review recommendations are¹⁵¹:</p> <p>At the more macro level, SWFF should:</p> <ul style="list-style-type: none"> • Continue to systematically contribute to the [thinking around the] evolution of the Grand Challenge (GC) model as a key instrument of ODA, as part of a sequencing of and harmonizing with other financing modalities, and how it aligns with government policies in countries in which the innovations are funded. [The pros and cons of GC modalities should be tested more systematically against traditional development approaches for effectiveness, sustainability and impact under different circumstances.] Now that systems are in place, SWFF should be investing more in institutional learning and institutional memory. • Continue to reinforce and invest in the “SWFF community of practice” approach between innovators, and with SWFF as part of a wider network

¹⁴⁹ <https://blogs.worldbank.org/voices/8-things-we-learned-running-challenge-fund>

¹⁵⁰ <https://www.globalwaters.org/resources/blog/swff-grand-challenge-lessons-learned>

¹⁵¹ <https://securingwaterforfood.org/wp-content/uploads/2016/03/SWFF-MTR-Final-Report-19-Sept-16.pdf>

Challenge Fund Name	Lessons Learned	Recommendations (Formal Evaluation)
	<p>realistic sales and marketing strategy before focusing on a sales target;</p> <ol style="list-style-type: none"> 6. NGOs and nonprofits that have focused on financial sustainability and developed viable business models in the earliest stages of their innovation’s development were more likely to have reached their milestones; 7. Sequenced and incremental acceleration support where innovators experience meaningful short-term results can build momentum for success and help innovators meet milestones at an accelerated pace; 8. Practical and actionable gender recommendations can create gender champions and facilitate gender-inclusive programming; 9. In some cases, innovators have become more profitable because they have incorporated design and marketing feedback from women to address the specific challenges women face; 10. When farmers lack the ability to initially pay the full cost for the innovation, reasonable loan systems with a down payment have allowed farmers to get up to 10 times their original investment. 	<p>of GCs and related initiatives as part of SWFF’s contribution to learning at the program as well as innovator levels. As noted, SWFF is “sitting on a goldmine” of learning based on the experiences of the innovators specifically and the initiative more widely.</p> <ul style="list-style-type: none"> • Support further contextual analysis and potential linkages (partnerships) with other initiatives at the innovator level regarding adoption of innovations. SWFF should be tapping into all potential linkages within its Founding Partners and wider network to support innovators, including through the use of the Catalytic Fund, to help transition to more mainstream initiatives. • Continue to increase the ‘Southern’ content of SWFF, not only by undertaking specific measures to source high quality southern proposals, but also by considering how to more genuinely and effectively include the views of the South in the design, implementation and evaluation of SWFF. This would mean more southern voices on the IIAC, continuing to actively encourage South Africa’s role and potentially that of other southern governments as a partner, continuing to work with and through southern vendors, continuing to foster innovator-to-innovator sharing platforms, etc. <p>At the operations and Implementation level, SWFF should:</p> <ul style="list-style-type: none"> • Consider emphasizing or delineating future funding to innovations that are implemented in areas facing water scarcity (or expected to do so in nearby future) and/or that build water resilience. • Recognize that SWFF is not in the first instance a program aimed at combatting poverty or promoting gender equality – there are other initiatives aimed specifically at these goals. • Seek ways to further reduce selection time and the burden of PAS processes (particularly in recognition that the context in which innovations are conceived and develop can change quickly). • Continue efforts to provide a more differentiated approach in the acceleration support process. This should reflect the environment (low vs. higher level of development); the type of organization in charge of implementation (based in the North versus in the South; research institution or NGO or for-profit organization); the level of advancement of the innovation, business model, market and other related factors; the

Challenge Fund Name	Lessons Learned	Recommendations (Formal Evaluation)
		<p>level of need to build resilience to cope with water scarcity and the engagement of government (through policy, regulation, its own business acceleration efforts, etc.); and the kinds of indicators that are most meaningful for the business with regard to water use (and otherwise). This should also include customized analysis of the transition requirements for hybrid social/NGO (with commercial arms) to market-based initiatives.</p> <ul style="list-style-type: none"> • Work with other GCs to help identify links to a pool of appropriate investors that would be interested in SWFF innovations. • With a view to recognizing and balancing the various functions of M&E (accountability – learning – policy support), clarify further the aims and rationale of the M&E system (including the different role and function of monitoring and evaluation), maintaining but reviewing the milestones approach so that it becomes a tool (among others) for dialogue, learning, and decision making on adjustments related to future implementation. • Define clear procedures and criteria for the termination of support to awarded innovations, whereby the procedure should include the opportunity for innovators to defend themselves directly at the level of IIAC and FP decision making levels. • Consider secondments from each Founding Partner to enhance their contribution and with the express purpose of bringing learning back into their organization.
<p>The Global Fund (2001 - present)</p> <p>Focus: Funding innovators to fight AIDS, Tuberculosis and Malaria</p>	<p>4 lessons are¹⁵²:</p> <ol style="list-style-type: none"> 1. Countries were invited to submit large-scale funding proposals for review by the Global Fund’s Technical Review Panel (TRP) comprising independent experts; 2. Ability and willingness to disburse funds directly to government departments, local and international civil society organizations, international organizations, or the private sector; 3. Works closely with businesses to harness innovation and ensure well-functioning markets; 	<p>Latest recommendations are¹⁵³:</p> <p>Continue and embed</p> <ul style="list-style-type: none"> • Embed the process of strategic implementation further; • Continue to drive toward prioritization for impact; • Continue to operationalize policies and guidance related to sustainability, transition and co-financing; promote country ownership of these; • Continue to focus on working with technical and development partners with a clear focus on long-term impact and accountability for results; • Continue to focus on integrating human rights and gender issues into country programs;

¹⁵² <https://oecd-development-matters.org/2018/02/15/promoting-innovation-lessons-from-the-global-fund/>

¹⁵³ <https://www.theglobalfund.org/en/technical-evaluation-reference-group/2017-strategic-review/>

Challenge Fund Name	Lessons Learned	Recommendations (Formal Evaluation)
	<p>4. Supports systematic implementation research and independent evaluations of its operations and programmes.</p>	<ul style="list-style-type: none"> • Where practical, embed “modelling for impact and efficiency” in national decision-making processes. <p>Monitor and course correct</p> <ul style="list-style-type: none"> • Ensure short-term activities are aligned with achieving impact; • Monitor and course correct measures and policies on differentiation; • Take stock of risk management processes; • Further clarify to countries the intended focus of investments in resilient and sustainable systems for health; • Monitor and review the impact of catalytic funding; • Ensure the Global Fund is well position as relevant and value-adding for the next Replenishment and beyond. <p>Act now</p> <ul style="list-style-type: none"> • Undertake a thorough review of “country ownership” to develop a better defined and flexible framework for operationalizing Global Fund policies and principles in this regard; • Strengthen collaboration with technical and development partners on key issues: human rights, key population and gender; • Ensure the Accelerated Integration Management project delivers.
<p>Powering Agriculture (2012 - present)</p> <p><i>Founded by USAID, Sida, Duke Energy Corporation, the Government of Germany, and the Overseas Private Investment Corporation</i></p> <p>Focus: Supports the development and deployment of clean energy innovations that increase agriculture productivity and stimulate low</p>		<p>Midterm Review recommendations are¹⁵⁴:</p> <p>General Strategic Level</p> <ul style="list-style-type: none"> • The Powering Agriculture Initiative should be continued, as it is a unique challenge fund, which addresses valid developmental challenges in the energy-agriculture nexus. • The partners should try to win new partners from the private sector to increase the leverage ratio of Powering Agriculture - An Energy Grand Challenge for Development (PAEGC). For this purpose they should clarify their expectations regarding the private sector’s role and the added value the private sector partner can gain from its participation in PAEGC.

¹⁵⁴ https://poweringag.org/sites/default/files/Powering_Agriculture_Program-Level_Mid-Term_Evaluation_Final_Report_Public.pdf

Challenge Fund Name	Lessons Learned	Recommendations (Formal Evaluation)
<p>carbon economic growth in the agriculture sector of developing countries to help end extreme poverty and extreme hunger.</p>		<ul style="list-style-type: none"> • The partners should develop a system to measure developmental impact by using “the last hard number” concept and conduct independent reviews for high impact projects. <p>Strategic Set-Up of PAEGC</p> <ul style="list-style-type: none"> • The partners should develop a new strategic set-up to further increase PAEGC’s effectiveness. <p>Operational Level</p> <ul style="list-style-type: none"> • In future calls the partners should put a stronger emphasis on the analysis of local markets and demands as a pre-requisite for applicants. Moreover, the assessment of the quality of these analyses as well as the conceptual feasibility of the proposed business model should play a central role in future calls (especially for scaling-up windows). The selection process should be structured in such a way that innovators can already receive business models and market analysis support during the selection phase. • In order to increase clarity the partners should clearly communicate the roles of Powering Agriculture Support Task Order (PASTO) and Agreement Officer’s Representatives (AORs) towards the innovators. • The partners should extend the support offered by Powering Agriculture Xcelerator (PAX) to the innovators for 3 more years to increase the likelihood of their future success and PAEGC’s effectiveness. • The partners should move forward to integrate gender not only as “gender equity” but as “gender as a social construct” in PAEGC’s selection and M&E processes. For this purpose the newly hired gender consultant at PASTO can be used.

7. Ocean Innovation Facility and other Ocean Funds

In the past years several Ocean Funds have emerged. Overall, the emergence of Ocean funds is seen as a possibility for scaling up impact and further exploring the complementarities in the objectives and services that many of the Funds propose. Given the financing gap needs to achieve SDG 14 and its related targets, it is good there is both growth and overlap across initiatives as it shows different ‘facilities’ of this type are focusing on the many gaps and opportunities that SDG 14 presents as one of the most ambitious SDGs. A key issue is how to promote better coordination across the several initiatives. The Ocean Action Hub Platform – which will host the OIF webspace – can provide a coordination platform for connecting different types of funds and open additional opportunities for collaboration.

Challenge/Fund Name	Important Details	Ocean Innovation Facility Relation
PROBLUE	<p>PROBLUE is a new Multi-Donor Trust Fund (MDTF), housed at the World Bank, that supports healthy and productive oceans. PROBLUE supports implementation of Sustainable Development Goal 14 (SDG 14) and is fully aligned with the World Bank’s twin goals of ending extreme poverty and increasing the income and welfare of the poor in a sustainable way. PROBLUE is part of the World Bank’s overall Blue Economy program, which takes a multi-pronged, coordinated approach to ensuring the protection and sustainable use of marine and coastal resources.</p> <p>PROBLUE focuses on four key themes:</p> <ul style="list-style-type: none"> • the management of fisheries and aquaculture • the threats posed to ocean health by marine pollution, including litter and plastics • the sustainable development of key oceanic sectors such as tourism, maritime transport and off-shore renewable energy • building the capacity of governments to manage their marine and coastal resources in an integrated fashion to deliver more and long-lasting benefits to countries and communities. 	<p>The OIF has engaged in discussions with the new World Bank ‘ProBlue’ programme. ProBlue and OIF will link and/or build upon their respective investments, providing additional catalytic financing in line with the OIF’s accelerator/incubator role. Both incipient programs will share project information once available</p>
Blue Action Fund	<p>Objective: Blue Action Fund supports national and international non-governmental organizations in their efforts to conserve the oceans and coastlines in the developing world.</p> <p>Blue Action finances individual grants to selected marine/coastal conservation projects in marine protected areas (MPAs) and their buffer zones, focusing on the most sensitive coastal waters of Africa, Latin America and Asia/Pacific.</p>	<p>The Ocean Innovation Facility will operate across all regions of the globe and across all SDG 14 targets The Ocean Innovation Facility may provide small grants to different entities and not only to NGOs.</p>

Challenge/Fund Name	Important Details	Ocean Innovation Facility Relation
	<p>Its goal is to contribute to reducing the dramatic loss of marine biodiversity and to advancing local development, e.g. through stabilizing incomes in coastal communities or enhancing coastal protection.</p> <p>Modalities for \$\$: The initial endowment provided is worth 24 million Euro (approx. 26 million USD).</p> <p>Countries operating: Africa, Latin America and Asia</p> <p>Year established: In December 2016 the German Ministry for Economic Cooperation and Development (BMZ), through the KfW Development Bank (KfW), established the Blue Action Fund. In June 2017, the Swedish Ministry for Foreign Affairs became partner to the Blue Action Fund.</p>	
<p>Sky Ocean Ventures</p>	<p>Objective: An impact investment vehicle that will invest in new ideas and businesses who can help solve the oceans plastic crisis.</p> <p>Sky Ocean Ventures is encouraging, among others, businesses and innovators who are developing plastic packaging alternatives, new tech for the home that will help assist recycling and those developing alternative fibres for clothing to share their ideas and seek support.</p> <p>Ideas could include alternatives to coffee cups, plastic bottles and plastic bags as well as tech that foster a virtuous recycling circle between consumers, retailers and local authorities.</p> <p>Modalities for \$\$: Media giant Sky's committed £25m. Aims to quickly scale up to £100m with the support of other businesses.</p> <p>Countries operating: UK, EU</p> <p>Year established: Launched in March 2018.</p>	<p>The Ocean Innovation Facility focuses on all the targets of SDG 14 beyond the pollution problem and the plastic crisis. OIF can address ocean plastics issues under the planned RFP for SDG 14.1, marine pollution including nutrients and plastics, and could liaise with Sky Ocean on relevant initiatives.</p> <p>The OIF is expected to be truly global but focuses is on the benefits to developing countries. Along with the conservation of ocean resources, poverty eradication and gender equality are key objectives of the Facility.</p>
<p>Maritime Innovation & Technology (MINT) Fund</p>	<p>Objective: Supporting local maritime companies and the development of the Singapore maritime technology cluster to enhance innovation and develop a competitive advantage through R&D</p>	<p>The OIF is truly global, with a focus in supporting developing countries and not exclusively on technology innovations as per MINT's mandate</p>

Challenge/Fund Name	Important Details	Ocean Innovation Facility Relation
	<p>Modalities for \$\$: Maritime and Port Authority of Singapore has established a S\$200 million MINT Fund to support development programmes for the maritime technology cluster.</p> <p>Countries operating: Singapore</p> <p>Year established: With the setting up of the Singapore Maritime Institute (SMI) in 2011 to develop the maritime education, training and research and development (R&D) landscape in Singapore, the MINT Fund will focus on promoting Research and Technology Development in partnership with the industry.</p>	