

Stockholm International Water Institute – Project Document

Project Title: Democratic and Economic Governance Knowledge Management: Water Supply and Sanitation

Executing Entity: United Nations Development Programme, UNDP

Implementing Agencies: Stockholm International Water Institute, SIWI

Summary:

The result to be achieved is to ensure that generated knowledge and innovations from the MDG-F Programme Area Democratic Economic Governance are properly documented, analysed and widely disseminated for uptake and replication. The UNDP Water Governance Facility (WGF), which is housed by the Stockholm International Water Institute (SIWI), will implement the Knowledge Management system. It will facilitate knowledge sharing between the MDG-F country programmes as a way to enhance implementation and sustainability. Lessons learned and innovative practices will also be synthesized and shared beyond the MDG-F to similar initiatives. This will be done through particular activities, such as, regional and global workshops; the production of case studies and research papers; development and facilitation of virtual platforms for knowledge sharing and; report on key recommendations for targeted distribution.

The programme is intended to benefit implementation, uptake and replication of MDG-F programmes and UN country teams; government agencies, civil society organization and other stakeholders in developing countries; and globally, to strengthen water governance knowledge base and international policy dialogue and advocacy for equitable and adaptive water governance. It will further strengthen ongoing partnerships with other water-relevant actors both internally and externally, and facilitate the UN Reform process and seek to catalyze One-UN coordinated approaches in relation to water. It will be important to collaborate with UN-agencies involved in joint country programming such as, UNICEF, UNFPA, UNESCO, FAO, UN-Habitat and others.


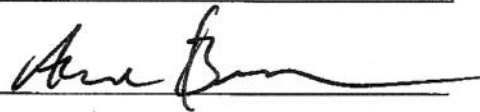
The WGF is well placed to coordinate and execute the MDG-F Knowledge Management system on Democratic and Economic Governance in relation to water supply and sanitation. WGF works in 3 main service areas to: 1) Provide technical and policy advice on water governance related issues, 2) Develop and disseminate water governance knowledge and 3) Contribute to and develop global and regional water governance assessment and monitoring processes. WGF is currently active in close to 20 countries. It produces and disseminates various types of knowledge products and assessments on water governance progress. An important part of the work will be to develop close collaboration with MDG-F country teams, UN-partners and as well as government and civil society stakeholders. WGF already has a well developed an extensive water governance network and collaborates with organizations and initiatives such as, Cap-Net, GWP, WIN, WWDR, SWA, WSP and others.

Since WGF is a part of UNDP's Water Governance Programme it has access to the UNDP system and its networks and resources. WGF has well established relations to many country governments, relevant civil society actors and partnering agencies, such as UNICEF, FAO, ILO, WHO etc. Current water and sanitation programming within UNDP and other UN-agencies provides a solid basis for synergies between MDG-F and other similar initiatives by UN-partners. The fact that the WGF is housed by SIWI will create additional access to networks, capacities and platforms for events and dissemination of results, such as the annual World Water Week meeting.

Programme Period: 2,5 years
Start date: Date of signature
End Date: 31 December 2012

Total resources required: USD 750,000
Total allocated resources: USD 750,000
Funding Source: MDG Achievement Fund

Date: 3/9-10
Agreed by Mr. Anders Berntell, Director, SIWI:



Date: 3/8/10 Agreed by Ms. Sophie de Caen, Director, MDG-F Secretariat:

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Table of Contents

List of Acronyms

- I. Situation Analysis
- II. Strategy
- III. Results & Resources Framework and Budget 2010 - 2012
- IV. Annual Work Plan
- V. Management Arrangement
- VI. Monitoring Framework and Evaluation

Annex 1: Risk Analysis

List of Acronyms

| | |
|------------|--|
| BDP | Bureau of Development Policy (UNDP) |
| Cap-Net | Capacity Building for Integrated Water Resources Management |
| DEG-KM | Democratic and Economic Governance Knowledge Manager |
| EEG | Environment and Energy Group (UNDP) |
| FAO | United Nations Food and Agriculture Organization |
| GWA | Gender Water Alliance |
| GWP | Global Water Partnership |
| ILO | International Labor Organization |
| MDG | Millennium Development Goals |
| MDG-F | MDG Achievement Fund |
| SIWI | Stockholm International Water Institute |
| SWA | Sanitation and Water Alliance |
| UNCT | United Nations Country Team |
| UNDP | United Nations Development Programme |
| UNESCO | United Nations Educational, Scientific and Cultural Organization |
| UNFPA | United Nations Population Fund |
| UN-Habitat | United Nations Human Settlements Programme |
| UNICEF | United Nations Children's Fund |
| WB | World Bank |
| WGF | UNDP Water Governance Facility at SIWI |
| WHO | World Health Organization |
| WIN | Water Integrity Network |
| WSP | Water and Sanitation Programme |
| WSSCC | Water Supply and Sanitation Collaborative Council |
| WWDR | World Water Development Report |

I. Situation Analysis

Access to clean, safe, and adequate freshwater is a key pillar of sustainable development and an integral component for the achievement of all other Millennium Development Goals. Water is central in economic activities such as agriculture and industry and a vital part of any ecosystem. But access to safe water is increasingly threatened as human populations grow, pollution increases and as climate change alters the hydrologic cycle with more frequent and more severe water-related disasters as a result. In addition, widespread poverty is compounded by unresolved problems of water supply, sanitation and unsustainable water management practices. Improved water resources management provides one important state of readiness for increased climate variability and potential climate change.

Now past the mid-point of the time frame for achieving the Millennium Development Goals, the world still faces serious challenges in achieving the water supply and sanitation MDGs. Progress on the drinking water target of the MDG has been good, and the world at large is on track to achieve it. However, much of the progress is in urban rather than rural areas, and there is also significant inequity both between regions (with Africa lagging behind) and within regions and countries.

The world is not on track to meet the MDG target for sanitation, which could be missed by a staggering 1 billion people. Globally, over 2.6 billion people lack adequate sanitation facilities. Between 1990 and 2006 the proportion of people without improved sanitation decreased by only 8 percentage points. Poor sanitation spreads disease, pollutes the environment, destroys livelihoods, consumes scarce health sector resources, and prevents children (especially girls) from attending school. Without an immediate acceleration of progress, the world will not achieve even half of the sanitation target by 2015.

The economic losses due to the lack of water and sanitation in Africa alone is estimated at \$US 28.4 billion or about 5% of GDP. And these losses are concentrated amongst the poorest and most vulnerable members of society; amongst women and children. Analyses by UNDP show that no variable examined (access to energy, spending on health, spending on education) explains more (78%) of the variance in the Human Development Index than access to a safe water supply and improved sanitation. Solving the water and sanitation crisis would bring huge humanitarian and economic benefits, and could trigger the next leap forward in poverty reduction and human development.

A basic insight – which has not yet garnered enough attention – is that the insufficiency of water supply and sanitation is primarily driven by poor governance and insufficient and non-efficient investments rather than by water scarcity *per se*. Improved governance implies decreased investment risks for new public and private investments, and increases the efficiency and sustainability of already made and planned investments. The governance of water services and the investment incentives/disincentives that follows in its trail is therefore critical to poor people's access to basic services, such as drinking water and sanitation.

More systematic knowledge on governance requirements of water and sanitation improvements are yet to emerge. The Knowledge Management system for MDG-F provides an opportunity to advance knowledge and innovations on better governance for improved efficiency and equity in water services

delivery beyond the MDG-F programmes. Knowledge management is thus an important tool to enhance MDG achievements.

In the area of Democratic Economic Governance MDG-F supports 11 joint programmes with a value of almost US\$60 million. These programmes focus mainly on strengthening the government's capacity to manage water provision and water quality, including citizens, especially the poorest, in plans and policies regarding water, and increasing financial investments in the water provision sector. These efforts contribute directly to meeting the MDG target of halving the proportion of people without sustainable access to safe drinking water by 2015, one of the targets of MDG 7.

The purpose of this proposal is to develop a knowledge management system to ensure that generated knowledge and innovations from the MDG-F Programme Area Democratic Economic Governance are documented, analysed and shared not only within the MDG-F but also to other similar existing and/or planned activities.

Importantly the DEG-KM will develop close relations to country teams and collaborating UN-agencies, such as UNICEF, FAO, UNESCO, UNFPA, UN-Habitat and others. Synergies with similar programming by other UN-agencies will be sought.

The WGF will coordinate and execute the MDG-F Knowledge Management system on Democratic and Economic Governance in relation to water supply and sanitation. WGF works in 3 main service areas to: 1) Provide technical and policy advice on water governance related issues, 2) Develop and disseminate water governance knowledge and 3) Contribute to and develop global and regional water governance assessment and monitoring processes. WGF is currently active in close to 20 countries and works with governance in relation to water services and resources. It produces and disseminates various types of knowledge products and assessments on water governance progress. It has developed an extensive water governance network and collaborates with organizations and initiatives such as Cap-Net, GWP, WIN, UNICEF, WHO, UNESCO, WSSCC, WWDR, SWA and others.

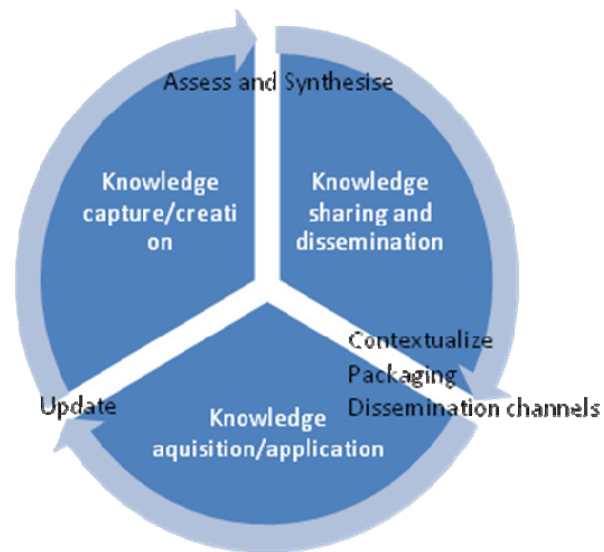
II. Strategy: Proposal Design and Implementation Plan

A range of strategies and practices will be used to identify, represent, distribute, and enable adoption of experiences made by the MDG-F programmes. The codification (through case studies, papers, workshop outputs etc.) of knowledge and innovations will be widely disseminated through web-sites, relevant networks, meetings. Importantly, the knowledge management products need to be contextualized and adapted to final users' characteristics and their options to access information. For example, developing useful lessons learned will be different for community based organizations as compared to policy-makers. Hence it is important that information is contextualized and packaged in accessible ways. Moreover, in many developing countries access to internet is limited and many times with "slow" connections. It is therefore important to also find other ways to disseminate lessons learned. Other dissemination strategies, such as the use of CD-Roms, video etc will be explored. The Programme Manager will be responsible for developing communication and dissemination strategy and has to take into account issues such as contextualizing information, packaging and presentation of materials and

how they can be effectively disseminated to various user groups ranging from local communities to policy-makers.

Some examples of knowledge management strategies that can be used include: Knowledge brokers for specific areas of Democratic and Economic Governance; documentation of narratives as a means of transferring tacit knowledge; knowledge mapping etc. Figure 1 depicts the knowledge management cycle that will be used by the DEG-KM.

Figure 1. Knowledge management cycle



WGF will work closely with the MDG-F country teams and relevant UN-partners, such as UNICEF, UNEP; FAO, ILO etc and the MDG-F Secretariat for knowledge capture and dissemination. Discussions have been initiated with UNEP – knowledge manager for the Environment and Climate Change thematic window of the MDG-F – to do joint workshops. This would create potential for knowledge management synergies as well as cutting cost.

It will also work with other relevant organizations and networks in relation to particular issues, such as working with Cap-Net for issues related to capacity development, Gender and Water Alliance in relation to gender, Water Integrity Network related to water integrity and accountability and the UNDP.

Along with water and sanitation governance activities in other UN-agencies, UNDP programming on water and sanitation governance provides a platform for synergies. The network of country offices holds a wealth of detailed, specific governance information in nearly every developing country. The WGF works on governance in water and sanitation through managing the UNDP MDG GoAL-WaSH programme which is being implemented in more than 12 developing countries. Many other UNDP country offices support local water programmes. All these programmes are at various stages of implementation and there are many potential knowledge management synergies. The participation of relevant UNDP offices, as well as partners, water and sanitation programming will be encouraged.

The Democratic and Economic Governance Knowledge Management system (hereafter called DEG-KM) will collaborate closely with the MDG-F Secretariat in all its activities. The MDG-F Secretariat has already developed its work on programme monitoring and evaluation and it is expected that this will contribute significantly towards knowledge capture.

Capturing lessons learned and innovative approaches

DEG-KM will capture knowledge, lessons learned and innovative approaches from the country programmes. This knowledge will also be synthesized to draw additional knowledge conclusions related to policy development etc.

An important work of the DEG-KM programme is to capture the experiences of the MDG-F country programmes. A range of knowledge sharing tools will be used such as creating learning space through workshops, “Team-works” electronic forum, knowledge mapping etc to enable MDG-F country teams to interact and share knowledge. Country case study and thematic reports will be used to document and codify lessons learned and innovative approaches. In addition, a number of country consultations will take place, including MDG-F country teams, relevant government agencies, NGOs and UN-partners.

Regional Workshop

A regional workshop is planned to be held during the second to third quarters of the project. It is important to hold regional workshop at an early stage since it will, among other things, provide guidance to selection of case studies and research topics. It will also provide platform for face to face sharing of early experiences between programme country teams.

In workshop preparations the country programme teams and partners (governments and civil society) will be consulted to determine workshop agenda. They will also provide information on particular workshop objectives as a basis for workshop seminars, inter-active groups, panels etc. It is important that processes are owned by local actors. Their active participation and agenda setting will encourage better sustainability of achievements of the different MDG-F programmes. UN-partners along with other types of partners will play key roles in workshop facilitation and peer-to-peer support.

The programme monitoring and evaluation is an important source of information to identify and document areas like innovative practices, sustainability of achievements and degree of replicability. WGF is already responsible for technical monitoring of MDG-F programmes (such as the Joint Programme on Water and Sanitation in Angola) and has oversight of project activities in other countries where the GoAL-WASH programme is working together with MDG-F funded water governance projects. Importantly, the MDG-F Secretariat has already developed an advanced the monitoring and evaluation strategy in a number of focus countries and the workshop should build on what already has been accomplished. For example the MDG-F Secretariat together with the UNCT plans to do 60 mid-term evaluations in 2010.

The workshop will involve MDG-F country programmes, and participation from a mix of agencies will be encouraged. It is expected that there will be a strong focus on representatives from national governments and civil society organisations. Staff from WGF, UNDP and partnering organisations will also participate in the workshop. The participation of other UNDP and partners' water and sanitation governance programmes will be strongly encouraged. A special workshop stream can be included that facilitates knowledge sharing across MDG-F and other similar programmes.

The regional workshop along with MDG-F Secretariat consultations will be important to determine topics for case studies and research papers. The selection of cases should take into account regional balance and cover a variety of governance and knowledge management related issues of concern and interest to the MDG-F programmes. See below under case studies and research papers for some suggestions of possible topics.

Case studies and Research Papers

Two research papers and six case studies will be developed to document and analyse experiences and achievements in a systematic and standardised manner. It is expected that case studies and research papers will contribute important analyses and recommendations on strengthening the work on water governance and knowledge management methods and factors contributing to advancing the work of MDG-F programmes. The six case studies will be synthesised in a separate lessons learned report, for wide dissemination within MDG-F and beyond.

The particular topics to be researched will be selected in consultations with country teams and partners. The regional workshops will provide a natural platform for such a selection. Importantly selected topics should also be coordinated with broader knowledge management aims of the MDG Fund Secretariat. WGF will lead and coordinate the research exercises. Based on a synthesis of the MDG-F country programmes on Democratic and Economic Governance the DEG-KM Programme Manager can propose a selected number of topics that are of mutual interest to the country programmes and the MDG Fund Secretariat. Such a proposal provides an input to the regional workshops.

The MDG-F programmes on Democratic and Economic Governance focuses on improving water supply and sanitation. Some general topics of possible case studies and research papers can include, but will not be limited to:¹

- ✓ Relevant factors that can induce policy change and support implementation of pro-poor national water supply and sanitation policies. Some possible governance related entry points can include, national inter-ministerial coordination mechanisms, decentralization of water services, public sector services reform, public-private partnerships and participatory decision-making, in particular to ensure “voice” by economically weak sections of society.

¹ The Terms of Reference for the MDG-F Programme Area Democratic and Economic Governance provides a number of key elements, gaps and opportunities with regard to various governance issues related to water and sanitation services provision.

- ✓ Relevant factors that can leverage new investments and make current investments more effective. Moreover, can it be important to showcase the social and economic benefits of increased investments in water and sanitation with the explicit aim to reduce poverty.
- ✓ Relevant factors for institutional change and implementation of regulatory strategies.
- ✓ External factors that provide opportunities for good water governance (such as anti-corruption initiatives) or constrain the provision of water supply and sanitation (such as climate change).
- ✓ Methodologies of knowledge management generation and dissemination by country teams and potential use of different knowledge management products developed within and across countries. One particular example includes the reduction of information asymmetries for enhanced legitimacy and quality of decision-making. The application and analysis of knowledge management within and beyond the MDG-F programmes is one important element to encourage sustainability and replicability of MDG-F programme achievements.
- ✓ The issue of measuring programme impact is important. Hence, developed systems of indicators within the programmes to monitor progress and impact can be useful for broader analysis and lessons learned.

Given the strong emphasis on poverty reduction and MDG achievement of the MDG-F, a pro-poor focus should run through all case studies and research papers.

Global Workshop

Towards the end of the project a global synthesis workshop will be held to share lessons learned of implementation and to assist country programme teams to ensure sustainability and further development of achievements, such as wider application of innovative practices.

Inputs from the MDG-F country teams with UN partners and the MDG-F Secretariat will be critical for setting the agenda for the Global Workshop. As previously mentioned collaboration is sought with UNEP to do joint regional and global workshops.

The workshops will involve MDG-F country programmes, and participation from a mix of agencies will be encouraged, with a strong focus on representatives from national governments and civil society organizations. Staff from WGF, UNDP and partnering organisations will also participate in the workshops. The participation of other UNDP and partners' water and sanitation governance programmes will be encouraged. Like with the regional workshops a special workshop stream can be applied to facilitate synthesis of lessons learned and innovative practices.

As one discussion basis for the workshop, the country teams can develop a long-term road-map for future steps that can contain: 1) Lessons learned with regard to programme implementation and achievements in relation to Democratic and Economic Governance Programme Area and 2) Lessons learned and best practices in relation to sharing information and knowledge within and between programmes. This will be facilitated by technical experts from WGF and partner organisations.

The workshop will develop policy guide-lines to be shared with other similar initiatives. A mapping exercise will be carried out by WGF to identify similar processes and fora before the global workshop. Representatives for such processes and fora will be invited to the workshop.

MDG-F country programme sustainability promotion

DEG-KM will promote that Country teams, including UN-partners, government and civil society organizations develop MDG-F sustainability road-maps for activities related to the thematic area of Democratic and Economic Governance. The purpose with this activity is to ensure better longevity of activities once funding from MDG-F comes to an end. It will also facilitate up-take and replication of innovative approaches used in MDG-F country programmes.

DEG-KM will undertake country consultations as well as utilizing workshops to prepare for sustainability road-maps. The content of road-maps will be decided by country actors but can for example contain mapping of critical national stakeholders and drivers, proposed ways forward, lessons learned and innovative approaches used and how they can be replicated, possible funding sources etc.

Examples of Other Activities

Besides organization and execution of workshops, case study and research paper production the DEG-KM Programme Manager will be responsible for setting in place the Knowledge Management system. Some examples of activities that will be important during the first quarter of the DEG-KM will include:

- ✓ Synthesise country programme proposals with regard to: 1) Similar interests related to Democratic and Economic Governance topics and 2) similar interests with regard to knowledge management within and between the country programmes. Such synthesis can then be an input to regional workshops to facilitate case study and research topic selection.
- ✓ Identify and enhance all existing areas of co-operation (e.g. GoAL WaSH and MDG-F monitoring and evaluation studies) where WGF and UNDP are already working closely with MDG-F projects
- ✓ Develop draft strategy and methodologies for knowledge and innovation capture, including communications and dissemination strategy. The development of such strategy and methodologies should be done in consultation with programme country teams and partners as well as MDG-F Secretariat and the MDG-F strategy on communication and advocacy. Moreover, should the communications and dissemination strategy take into account the contextualization of information and that many partners and beneficiaries have very limited access to internet.

Facilitating the sharing and dissemination of data and information

WGF will, together with the MDG-F Secretariat, develop a sub-site for the Democratic and Economic Governance Knowledge Management system within the framework of Team-works and also make links to WaterWiki.net and other relevant web-based knowledge resources. Team-works will serve as the area for storing and retrieving information and data. It should be easily accessible by partners, by topic and by country. Also alternative non-web based strategies need to be considered for the dissemination of information. The Senior DEG-KM Programme Manager will coordinate management of content on

this sub-site and also monitor site use as well as develop appropriate non-web based ways of disseminating information. It will take advantage of already collected material by the MDG-F Secretariat to avoid any duplication.

The planned workshops will also serve as vehicles for information sharing and dissemination.

The Programme Manager will develop communications and dissemination strategy. It is critical that Lessons learned, innovation case studies and other reports are contextualized and appropriately packaged to target groups. It will be critical to contextualize to be able to reach for example relevant local and national actors (government, civil society, community level etc). It will also be important to contextualize recommendations to global levels and other similar initiatives.

Inter-agency collaboration and synergies

The modalities of MDG-F strongly promote the “One-UN Approach” and thus UN inter-agency collaboration. The various MDG-F country programmes all contain this multi-agency approach and clear divisions of roles and responsibilities between UN-agencies and other implementing partners. Deg-KM will ensure proper coordination with UN-partners through multiple activities. Country consultations will take place on a regular basis with the MDG-F country teams as well as with UN-partners.

Partnering UN-agencies will be an additional important asset to get advice and ideas and anchor certain decisions on research topics, the organization of workshops etc. Partnering UN-agencies will take part in planned workshops. It is envisaged that UN-partners for example can lead certain topics during workshops and also take part as workshop facilitators.

Other potential synergies

Contacts have been initiated with UNEP – MDG-F Knowledge Manager for Environment and Climate Change – to collaborate on workshop activities and possibly also do joint reporting wherever appropriate. Similarly, synergies will be sought with other Knowledge Manager windows, such as those related to the role of gender, private sector etc.

WGF has already provided substantial technical support to UNDP country offices in developing and implementing MDG-F programmes, such as in Angola and Paraguay on water and sanitation and in Jordan on improved water governance for better adaptation to climate change.

A number of other synergies are expected with UNDP related programming on the governance of water and sanitation. For example, Cap-Net for capacity development, the Water-Wiki website containing a wealth of water governance information and the GEF IW:LEARN project and the water and sanitation governance programme GoAL-WaSH. Another such programme on water and sanitation is the Community Water Initiative, which is being implemented through the GEF Small Grants Programme mechanism. Mutual learning opportunities and knowledge capture will be an important asset. WGF works closely with UN-Water and related processes such as the World Water Development Report (WWDR) and Global Annual Assessment of Sanitation and Drinking-Water (GLAAS). All the above

initiatives can be used as outlets for lessons learned of MDG-F Programme Area on Democratic and Economic Governance.

In many of the MDG-F country programmes UNDP already have other water and sanitation programmes in place. It is expected that the MDG-F programmes already are coordinating with these. The DEG-KM will encourage in-country knowledge sharing between MDG-F programmes and other similar programmes.

The annual Stockholm World Water Week, organized by SIWI, can be used as a platform for global knowledge events and dissemination. Additional water networks will be reached through SIWI. SIWI are active in a range of activities related to bridging research with practice. In terms of developing policy recommendations SIWI will provide excellent value-added and mutual learning opportunities and knowledge capture will be important.

III. Results Resources Framework

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| <p>Objective: To ensure that generated knowledge and innovations from the MDG-F Programme Area Democratic Economic Governance are properly documented, analysed and widely disseminated for uptake and replication. The DEG-KM will facilitate knowledge sharing between the MDG-F country programmes as a way to enhance implementation and sustainability, but importantly, lessons learned and innovative practices will be shared beyond the MDG-F itself.</p> |
| <p>Applicable Key Result Area (UNDP 2010-2012 Strategic Plan): Mainstreaming Environment and Energy</p> |
| <p>Partnership Strategy: UNDP Water Governance Facility works in collaboration with MDG-F Country Teams, including line ministries, NGOs and UN-partners. It will also collaborate closely with the MDG-F Secretariat in all activities. WGF will also seek synergies with other UN-related water governance programming and collaborate and seek synergies with internationally acknowledged organizations and networks, such as Cap-Net, WSP, GWA, GWP, WIN etc.</p> |
| <p>Project Title and ID: Democratic and Economic Governance Knowledge Management: Water Supply and Sanitation</p> |

| INTENDED OUTPUTS | OUTPUT TARGETS | INDICATIVE ACTIVITIES | RESPONSIBLE PARTIES | INPUTS |
|---|---|--|--|---|
| <p>1. Knowledge capture and development: Strategic and contextualized recommendations developed targeting country actors and international processes and fora to share knowledge with similar initiatives</p> <p>Indicators:</p> <ul style="list-style-type: none"> - Recommendations on lessons learned and innovative approaches developed, contextualized and packaged in accessible ways - #of strategy and methodology docs for knowledge capture and | <p>Synthesise country programme proposals with regard to: 1) Similar interests related to water governance topics and 2) similar interests with regard to knowledge management within and between the country programmes</p> <p>Lessons learned and innovative approaches from 11 countries documented and synthesised</p> <p>Recommendations on lessons learned and innovative approaches developed, contextualized and packaged in accessible</p> | <ul style="list-style-type: none"> - Develop strategy and methodologies for knowledge and innovation capture, including communications and dissemination strategy. - Synthesise country programme proposals with regard to particular governance issues and contexts - Country consultations - Develop 6 Case Studies - Develop 2 Research papers - Develop Synthesis Report - Regional Workshop - Global Workshop - Country consultations with country teams, including partner UN-agencies, Govt, | <p>Responsible: DEG-KM</p> <p>Critical partners: MDG-F country teams, UN-agencies, relevant civil soc. and government partners and MDG-F Secretariat</p> | <p>USD 383,000</p> <p>Contractual Services Int'l consultants Local consultants Meetings/learning Travel</p> |

| INTENDED OUTPUTS | OUTPUT TARGETS | INDICATIVE ACTIVITIES | RESPONSIBLE PARTIES | INPUTS |
|--|--|--|---|--|
| dissemination - #of country consultations - #of case studies, research reports and synthesis reports - #workshops, including workshop synthesis reports and strategic outcomes - #of country consultations | ways to targeted groups, including governments, civil society, other similar initiatives | NGOs etc | | |
| 2. Knowledge sharing and dissemination: Lessons and innovative approaches shared and disseminated between country teams, UN-agencies and other similar initiatives Indicators: - Recommendations, workshop reports, case studies, research papers, synthesis report effectively disseminated to targeted groups (country actors and other international similar initiatives) - Similar key processes and fora mapped - Web-sub-site developed - #of country teams using Team-works - #workshops, including targeted dissemination of workshop synthesis reports and strategic outcomes - #of country consultations | Lessons learned and innovative approaches from 11 countries disseminated to country teams, government and civil society organizations, UN-agencies and similar water governance initiatives by other actors Documented application of lessons learned/innovations reported by the case study and/or research papers, by at least 5 countries Documented application of lessons learned/innovations shared during the workshops and/or on the virtual platform by at least 5 countries The DEG-KM site developed (Team-works) and contributions made by at least 3 countries per quarter | <ul style="list-style-type: none"> - Develop strategy and methodologies for communications and dissemination strategy - Contextualize and package information according to target group - Disseminate 6 Case Studies - Disseminate 2 Research papers - Disseminate Synthesis Report - Disseminate Regional workshop outcomes - Disseminate Global workshop outcomes - Develop "Team-works" sub-site on DEG-KM - Develop DEG-KM sub-site on WGF website - Map similar initiatives - Using regional and global workshop for both knowledge capture and sharing - Country consultations with country teams, including partner UN-agencies, Govt, NGOs etc | Responsible: DEG-KM Critical partners: MDG-F country teams, UN-agencies, relevant civil soc. and government partners and MDG-F Secretariat | USD 304,000 Contractual Services Int'l consultants Local consultants Meetings/learning Travel |
| 3. MDG-F sustainability: Promoting sustainability of country programming | Road maps developed on next steps for enhanced sustainability developed for at | <ul style="list-style-type: none"> - Preparation of Road-maps - Country consultations with country teams, | Road-maps developed by MDG-F country | USD 63,000 Contractual Services |

| INTENDED OUTPUTS | OUTPUT TARGETS | INDICATIVE ACTIVITIES | RESPONSIBLE PARTIES | INPUTS |
|--|---|--|--|--|
| Indicators: - # of countries that have developed road-maps - #of road maps containing constructive and sustainable ways forward - #of country consultations | least 6 countries Road-maps to, i.a., include critical national stakeholders and drivers, proposed ways forward, lessons learned and innovative approaches used, possible funding sources etc. | including partner UN-agencies, Govt, NGOs etc - Technical advice and support provided by DEG-KM | teams supported by DEG-KM Other partners: MDG-F country teams, UN-agencies, relevant civil soc. and government partners and MDG-F Secretariat | Local consultants Meetings/learning Travel |

IV. Annual Work Plan and Time Table

| | |
|--|--|
| Business Unit: | UNDP Water Governance Facility at SIWI |
| Project Title: | Democratic and Economic Governance Knowledge Management: Water Supply and Sanitation |
| Executing Agency/ Implementing Partner: | UNDP / SIWI |
| Total Project Budget | USD 750,000 |

Total Budget

| Outcome/Atlas | Responsible Party/ | Fund ID | Donor | Atlas Budgetary | ATLAS Budget | Amount | Amount | Amount | Total USD |
|---------------|--------------------|---------|-------|-----------------|--------------|--------|--------|--------|-----------|
|---------------|--------------------|---------|-------|-----------------|--------------|--------|--------|--------|-----------|

| Activity | Implementing Agent | | Name | Account Code | Description | Year 1 USD | Year 2 USD | Year 3 USD | | |
|--|--------------------|--|-------|--------------|---------------------------|-------------------------------------|----------------|----------------|----------------|----------------|
| Total Programme budget for components 1-3 | UNDP/SIWI | | MDG-F | 72100 | Contractual services | 45,000 | 91,000 | 91,000 | 227,000 | |
| | | | MDG-F | 71200 | International Consultants | 9,000 | 30,000 | 35,000 | 74,000 | |
| | | | MDG-F | 71300 | Local Consultants | 25,000 | 50,000 | 20,000 | 95,000 | |
| | | | MDG-F | 74500 | Meetings/Learning | 30,000 | 108,000 | 159,000 | 297,000 | |
| | | | MDG-F | 71600 | Travel | 6,000 | 11,000 | 11,000 | 28,000 | |
| | | | MDG-F | 74500 | Miscellaneous | 5,000 | 12,000 | 12,000 | 29,000 | |
| | | | | | sub-total | | 120,000 | 302,000 | 328,000 | |
| | | | | | | Total Outcome Components 1-3 | | | | 750,000 |

Budget by component 1-3

| Outcome/Atlas Activity | Responsible Party/ Implementing Agent | Fund ID | Donor Name | Atlas Budgetary Account Code | ATLAS Budget Description | Amount Year 1 USD | Amount Year 2 USD | Amount Year 3 USD | Total USD |
|---|---------------------------------------|---------|------------|------------------------------|---------------------------|-------------------|-------------------|-------------------|-----------|
| Component 1: Knowledge capture and development | UNDP/SIWI | | MDG-F | 72100 | Contractual services | 28,000 | 40,000 | 30,000 | 98,000 |
| | | | MDG-F | 71200 | International Consultants | 7,000 | 25,000 | 30,000 | 62,000 |

| | | | | | | | | | |
|--|--|--|--------------|-------|------------------------|---------------|----------------|----------------|----------------|
| | | | MDG-F | 71300 | Local Consultants | 25,000 | 38,000 | 13,000 | 76,000 |
| | | | MDG-F | 74500 | Meetings/Learning | 20,000 | 50,000 | 50,000 | 120,000 |
| | | | MDG-F | 71600 | Travel | 4,000 | 5,000 | 5,000 | 14,000 |
| | | | MDG-F | 74500 | Miscellaneous | 3,000 | 5,000 | 5,000 | 13,000 |
| | | | | | sub-total | 87,000 | 163,000 | 133,000 | |
| | | | | | Total Outcome 1 | | | | 383,000 |

| Outcome/Atlas Activity | Responsible Party/ Implementing Agent | Fund ID | Donor Name | Atlas Budgetary Account Code | ATLAS Budget Description | Amount Year 1 USD | Amount Year 2 USD | Amount Year 3 USD | Total USD | |
|---|--|----------------|-------------------|-------------------------------------|---------------------------------|--------------------------|--------------------------|--------------------------|------------------|----------------|
| Component 2: Knowledge Sharing and dissemination | UNDP/SIWI | | MDG-F | 72100 | Contractual services | 15,000 | 40,000 | 50,000 | 105,000 | |
| | | | MDG-F | 71200 | International Consultants | 2,000 | 4,000 | 4,000 | 10,000 | |
| | | | MDG-F | 71300 | Local Consultants | -- | 10,000 | 5,000 | 15,000 | |
| | | | MDG-F | 74500 | Meetings/Learning | 10,000 | 50,000 | 90,000 | 150,000 | |
| | | | MDG-F | 71600 | Travel | 2,000 | 5,000 | 5,000 | 12,000 | |
| | | | MDG-F | 74500 | Miscellaneous | 2,000 | 5,000 | 5,000 | 12,000 | |
| | | | | | | sub-total | 31,000 | 114,000 | 159,000 | |
| | | | | | | Total Outcome 2 | | | | 304,000 |

| Outcome/Atlas Activity | Responsible Party/ Implementing Agent | Fund ID | Donor Name | Atlas Budgetary Account Code | ATLAS Budget Description | Amount Year 1 USD | Amount Year 2 USD | Amount Year 3 USD | Total USD | |
|--|---------------------------------------|---------|------------|------------------------------|---------------------------|-------------------|-------------------|-------------------|-----------|--------|
| Component 3: MDG-F country programme sustainability | UNDP/SIWI | | MDG-F | 72100 | Contractual services | 2,000 | 11,000 | 11,000 | 24,000 | |
| | | | MDG-F | 71200 | International Consultants | -- | -- | -- | -- | |
| | | | MDG-F | 71300 | Local Consultants | - | 3,000 | 3,000 | 6,000 | |
| | | | MDG-F | 74500 | Meetings/Learning | - | 8,000 | 19,000 | 27,000 | |
| | | | MDG-F | 71600 | Travel | - | 1,000 | 1,000 | 2,000 | |
| | | | MDG-F | 74500 | Miscellaneous | - | 2,000 | 2,000 | 4,000 | |
| | | | | | sub-total | | 2,000 | 25,000 | 36,000 | |
| | | | | | Total Outcome 3 | | | | | 63,000 |

Indicative Time Table

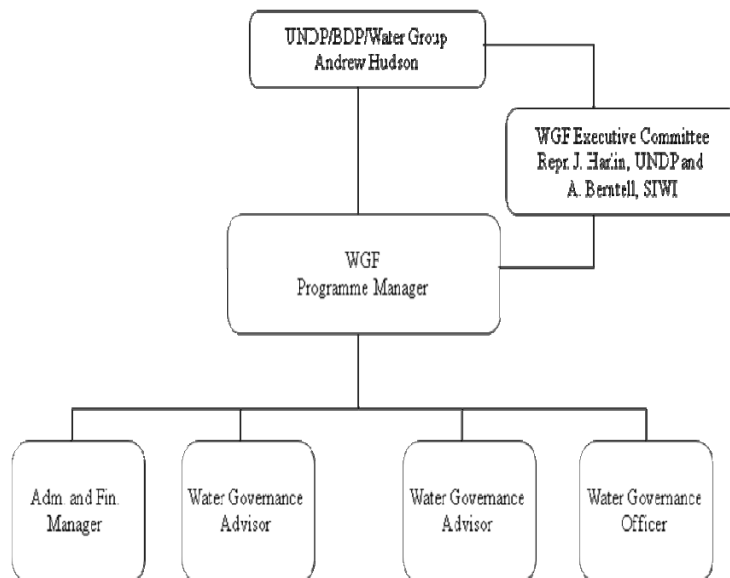
| Outputs | Activity | Year 1 - 2010 | | | | Year 2 - 2011 | | | | Year 3 - 2012 | | | |
|---|--|---------------|----|----|----|---------------|----|----|----|---------------|----|----|----|
| | | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| 1. Knowledge capture and development: Strategic and contextualized recommendations developed targeting country actors and | Develop strategy and methodologies for knowledge and innovation capture, including communications and dissemination strategy | | | | | | | | | | | | |
| | Synthesise country programme proposals with regard to | | | | | | | | | | | | |

V. Management Arrangements

The Democratic and Economic Governance Knowledge Management system (DEG-KM) will be implemented by the WGF. It is a UNDP funded programme based at the Stockholm International Water Institute (SIWI). UNDP/EEG Water Governance Group will co-ordinate and oversee the implementation.

WGF provides strategic technical and policy support to governments for improved water governance to advance water resources and water services issues in relation to the MDGs. It develops and disseminates knowledge on water governance and takes part in international water governance monitoring processes such as the World Water Assessment Programme/World Water Development Report (WWAP/WWDR). WGF operates through the UNDP structures and is a part of implementing UNDPs over-arching Water Governance Programme and Strategy to benefit water governance related work of governments, civil society and other stakeholders in developing countries. WGF reports to the EEG Cluster Leader and Principal Technical Advisor, UNDP Water Governance Programme.

A Senior Water Governance Programme Manager will be dedicated on a part time basis to develop and oversee implementation of the work programme. The Programme Manager will work under the direction of an annual work programme and report to the Director of the WGF. The Programme Manager will be responsible to coordinate regional and global level actions with key agencies, such as, UNICEF, WHO and national governments.



UNDP/BDP/Water Governance Group: Provides funding to WGF; Approves annual work programme and annual progress reports; Provides overall guidance to WGF.

WGF Executive Committee (consisting of UNDP Sr. Water Advisor based in Stockholm and SIWI Director): Approves on new activities which are not part of annual work programme; Approves procurements; Approves on budget item re-allocations above 20%, but not changing the total budget.

SIWI Director: SIWI hosts and executes WGF; Overall responsibility for WGF implementation; Signs any agreement and contract related to WGF; Hiring of staff; General oversight and quality assurance.

WGF Programme Manager: WGF implementation according to work plans; Prepares annual work programmes and reports; Ensures quality control ; Negotiates contracts and agreements; Assures monitoring and coordination of WGF; Assures follow up and monitoring of agreements and contracts; Delegates work to and supervise WGF staff and consultants as appropriate.

VI. Monitoring Framework and Evaluation

The progress of the DEG-KM will be monitored on a regular basis. Annual work plans and reports will be developed by the Programme Manager for approval by UNDP. The WGF is reporting to UNDP on an annual basis following the calendar year. Annual work programme outlining proposed activities and budget should be submitted by 15 December. Annual report should be submitted by 1 March.

Wide consultations (country teams and MDG-F Secretariat) are envisaged to develop work programmes and annual reports. The MDG-F Secretariat is already monitoring and evaluating various aspects of MDG-F country programmes and this will be an important source of information and hence not a mandate for the DEG-KM.

Another indicator for the degree of country team engagement is to what extent they are actively contributing to case studies and research papers. Inputs from country teams and partners are critical for developing these products. A fruitful dialogue on case studies and research papers will help monitoring the work of the DEG-KM itself and to make sure it is on the right track with regard to knowledge collection, transfer and application, as well as it will ensure the active engagement and participation from country teams and partners.

The various workshops will be evaluated. It is critical that the first workshop is carefully evaluated to use feed-back for ensuing workshops.

Annual assessment of progress made will be developed by the DEG-KM Programme Manager. The format will be based on the UNDP Annual Project Report – Project Implementation Review (APR-PIR)

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

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

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

- An analysis of project performance over the reporting period, including outputs produced and, where possible, information on the status of the outcome

- The constraints experienced in the progress towards results and the reasons for these
- The three (at most) major constraints to achievement of results
- AWP, CAE and other expenditure reports (ERP generated)
- Lessons learned and best practices
- Clear recommendations for future orientation in addressing key problems in lack of progress

Annex 1: Risk Analysis

OFFLINE RISK LOG

| | | |
|---|------------------|---------------------------|
| Project Title: Democratic and Economic Governance Knowledge Management: Water Supply and Sanitation | Award ID: | Date: 20 June 2010 |
|---|------------------|---------------------------|

| # | Description | Type | Impact & Probability | Countermeasures/ Management response | Owner |
|---|---|-------------------------------|--|--|--------------------------------|
| | Overall programme risk: Operational and organizational constraints on achieving external and internal collaborative partnership arrangements | Organizational Operational | Delays in achievement of project outputs and need to adjust project outputs. P = 2, I = 3 | <ul style="list-style-type: none"> Proactively seek coordination; regular and timely communication; and coordinated work planning with country teams, MDG-F Secretariat and partner UN-agencies | Project Manager |
| 1 | Limitations of capacity and/or delays of some Country Teams to implement projects | Organizational Strategic | Delays in project implementation; non-engagement of Country Teams P = 2, I = 5 | <ul style="list-style-type: none"> Clear communication of expectations, requirements, and available support resources at start of consultations with Country Teams and UN-partners Alignment with UNDAF, CPAP, and facilitation of coordinated 'one-UN' approach | Country teams UN-partners |
| 2 | Partnerships with UN-agencies and others fail to reach their potential | Strategic Financial | Delays or diminished scope of development and implementation of programme P = 2, I = 4 | <ul style="list-style-type: none"> Work closely with partners on identification, planning and development of interventions Use of sounding board members to get partnerships more effective | Project Manager UN-partners |
| 3 | Collaborative partnership arrangements fail to reach their | Organizational Strategic | Reduced impact of project to promote lessons learned and | <ul style="list-style-type: none"> Ongoing communication with partners and focused coordination Appropriate contextualization and | Project Manager UN-agency |

| # | Description | Type | Impact & Probability | Countermeasures/ Management response | Owner |
|---|--|-----------------------------|--|--|--|
| | full potential and capacity constraints on uptake of guidance and recommendations developed | | innovative approaches on WSS P = 3, I = 5 | packaging of recommendations and guidance | partners Country teams |
| 4 | Lack of inter-agency support for coordination I; uncoordinated and sub-optimal prioritization of interventions; limited access to water related knowledge products | Strategic Organizational | Failure to improve coordinated and pro-poor oriented water programmes and opportunity costs of lack of access to knowledge and advocacy products P = 3, I = 3 | <ul style="list-style-type: none"> Increased and ongoing communication with country teams and other partners Strengthening linkages with UN-partners Collaboration with centers of excellence | Project Manager UN-partners |
| 5 | Lessons learned and innovative practices and methodologies are not applied | Operational Political | Reduced value of project. P = 2, I = 3 | <ul style="list-style-type: none"> Ensure good dialogue and consultation with partners and stakeholders in the development of lessons learned, methodologies and guidance Strengthen country collaboration and external partnerships | Project Manager Country teams and UN-partners |