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# 2021 Work Plan and Budget Update

## Global Water and Ocean Governance Support Programme

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## Introduction

UNDP's Water and Ocean Governance Programme ([WOGP](#)) comprises some xx+ projects mostly funded by vertical funds like the Global Environment Facility (GEF). The policy advocacy and cross-cutting endeavours of the Programme have been greatly aided by a long-standing support from Sweden. Since 2014, Sida has supported WOGP's contribution to the realization of UNDP's Strategic Plan. In 2019, this support was structured into one **Global Water and Ocean Governance Support Programme**. This project has four mutually supportive components:

- 1) **Water/ocean governance thought leadership, thematic expertise, technical support and policy advocacy promoted and strengthened globally – delivered by BPPS and the UNDP-SIWI Water Governance Facility.**
- 2) **Freshwater and coastal resources management frameworks strengthened at local and national level – delivered by UNDP Country Offices (GoAL-WaterS).**
- 3) **Enhanced individual and institutional knowledge and capacities for sustainable water management – delivered by networks affiliated to Cap-Net (with GWP)**
- 4) **Innovative and scalable solutions to ocean challenges identified and supported: the UNDP Ocean Innovation Challenge.**

Gradually since 2020, Sweden's support to UNDP's water and ocean governance and innovation work is part of the **Sida-UNDP Programme on Environment and Climate Change**. The budget therefore combines various funding modalities, most of them drawing on support from Sweden.

The present document outlines direction of work the **Global Water and Ocean Governance Support Programme** during 2021 and the requisite resources deployed in this. The water governance and policy work furthers the quest for inclusion of water management into climate change processes and mitigation endeavours, and develops UNDP's Integrated Water Offer. The ocean innovation support is in full swing with a cohort of innovators awarded to address pollution, and a new cohort of innovators to address challenges related to fisheries being under evaluation.

## 2021 Narrative Work Plan Update

This section outlines the 2021 plans and ongoing endeavours of the Global Water and Ocean Governance Support Programme. The work is grouped under the four mutually supportive substantive components of the Global Water and Ocean Governance Support Programme

These endeavours constitute the implementation of 'Area B. Sustainable Water and Ocean Governance' towards Output 2: Oceans/Water (Water/Ocean Governance thought leadership, thematic expertise, technical support and policy advocacy promoted and strengthened globally) of the Sida-UNDP Strategic Collaboration Programme on Environment and Climate Change (the 'Sida Programme').

The subsequent section outlines the 2021 resource needs for these plans, along with a full 2019-2023 overview of the whole Global Water and Ocean Governance Support Programme budget status.

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

In support of the UN working together and delivering ‘as one,’ freshwater-related knowledge management and thought leadership efforts align with the UN-Water-coordinated [SDG 6 Global Acceleration Framework](#) and its ‘accelerators’: Financing, Data & Information, Capacity Development, Innovation, and Governance.

The global policy advocacy is now geared towards a set of international meetings, the most prominent being [2023 UN Water Decade Conference](#) (constituting the mid-term review of the 2018-2028 water decade). Leading up to this, UNDP is supporting the [Dushanbe Process](#) and [2022 Dushanbe High-Level Meeting](#) with thematic work on integrated water management and nature-based solutions, and finding ways to facilitate the voice of local communities (including indigenous peoples) to have an influence on international deliberations. Potential support in a similar vein, including also flood disaster management, is being explored in relation to the [9<sup>th</sup> World Water Forum](#) to be held in Senegal in March 2022.

The strengthening of the voice of local communities rhymes well with the contribution by UNDP and partners (WGF/SIWI and GWP) towards the [UN World Water Development Report 2021: Valuing Water](#): Recognizing the importance multiple values and perspectives on water management, and the inherent difficulties linked with the methodologies for assessing very different sets of values, the participation and adequate representation of underrepresented voices, e.g. of local communities, become additionally critical. This is anticipated to be realised through the major groups’ forums to conferences, as well as through contributions e.g. to the #water2me campaign linked to the [World Water Day 2021 Campaign](#).

In relation to marine governance, UNDP also engages with Oceans platforms, maintaining the [Ocean Action Hub](#). Preparations in this area also relate to the Ocean Conference. As in 2017 UN Ocean Conference in New York, UNDP plans to be heavily engaged in the 2022 UN Ocean Conference in Lisbon. This will involve a series of thematic side events (including the work of the Ocean Innovation Challenge), dissemination of knowledge products, and high level plenary and thematic dialogue statements.

UNDP’s engagement in the Action Platform for Source-to-Sea Management ([S2S Platform](#)) has, since its initiation in 2014, contributed to a strong increase in policy, financial and operational commitment for source-to-sea management to support implementation of SDGs 6, 14 and 15 as well as opportunities for knowledge exchange between a wide range of stakeholders working to address land-based pressures on the ocean and institutional fragmentation in so doing. The preparations for the Ocean Conference in 2022 also provide an opportunity to leverage existing partnerships to further galvanize commitment for source-to-sea action.

Further, UNDP engages in the preparation of Stockholm+50 in June 2022. This also includes environmental considerations of ocean and water governance.

In 2021, UNDP continues its quest towards integrating water into climate change processes. This advocacy is partly driven through the WMO-led [Water and Climate Coalition](#). Together with the Alliance for Global Water Adaptation ([AGWA](#)), the Stockholm International Water Institute ([SIWI](#)) and other civil society partners, the integration of water into climate change negotiation processes will also be pushed at the upcoming COP26.

The support to countries, through UNDP's Climate Promise, to update and enhance their Nationally Determined Contributions (NDCs) to the Paris Agreement continues in 2021. In collaboration with the World Resources Institute ([WRI](#)), UNDP & WRI produced the [Enhancing NDCs: A Guide to Strengthening National Climate Plans by 2020](#), leading also to a set of sectoral follow-up guides, such as [Opportunities for Ocean-Based Climate Action](#) and a soon to be published 'Opportunities in Water.'<sup>1</sup>

In order to deepen the understanding of the links between water management and climate change mitigation, a research report on Water and Mitigation was initiated by SIWI, the Stockholm Resilience Centre ([SRC](#)), and the Potsdam Institute, with support from UNDP and GIZ. This report explores and quantifies the water and climate change mitigation links identified e.g. in the [Stop Floating, Start Swimming: Water and climate change – interlinkages and prospects for future action](#) report.

The 2022 UN World Water Development Report (written during 2021) focuses on *Groundwater*. UNDP's contribution – on groundwater governance and management – is being developed with leadership and support by the UNDP-SIWI Water Governance Facility ([WGF](#)), in collaboration with UNESCO and other partners.

Following the 2021 UN World Water Development Report, and as part of the research into socio-cultural values regarding water, WGF led a series of studies and write-ups regarding indigenous people's values relating to water and water management. These specific contributions are being summarised into a separate report and indigenous people's values and contributions will e.g. be discussed in a separate networking forum at the 2021 World Water Week (and the broader process of facilitating the voice of local communities at international policy forums).

Commissioned by UNDP and UNICEF, an analysis on ways to overcome the fragmentation between water resources management and water supply and sanitation, has been carried out by SIWI/WGF, and is being finalised for publication. Such cross-institutional collaboration is seen as increasingly critical for achieving climate security and sustainable development. (The study was conceived at a UN-Water 'open space' event and its publication through UN-Water will be explored.)

The World Water Week provides an opportunity to collaborate with a wide range of organizations active in the water space and beyond. UNDP is always active as contributor to events, knowledge exchange and high-level dialogues to advance policy advocacy. At World Water Week 2021, UNDP and WGF builds upon its activities in the areas of water and climate, indigenous perspectives on water governance, WRM-WASH linkages and source-to-sea management.

The thought leadership, thematic expertise, technical support and policy advocacy component includes both internal and external knowledge management and involves informing about UNDP's ongoing water and ocean governance work. An important part relates to supporting the Country Offices with water/coastal/ocean related issues.

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<sup>1</sup> The support to countries in addressing water-related priorities as part of climate planning builds upon the groundwork undertaken with SIWI/WGF, AGWA and Cap-Net in 2019-2021 to develop guidance and to implement trainings on "[Water Interactions for Consideration in NDC Enhancement and Implementation](#)." Follow-up studies of enhanced NDCs to identify opportunities to support their implementation in the area of water are currently being carried out by SIWI/WGF as part of a project financed by GIZ.

WGF provides technical assistance to Country Offices and partners in relation to 'Sida Programme' pilot countries and those supported under the GoAL-WaterS banner (see component 2), assisting countries with water resources planning, including a source-to-sea perspective, climate proofing, and the integration of other cross-cutting concerns (gender, human rights, integrity) into water and coastal resources management.

**Note on 2021 budget: As shown in Table 3, starting page 16, the UNDP-BPPS Global Policy Network (GPN) efforts going into Component 1 are mostly charged from the Sida-UNDP Strategic Collaboration Programme on Environment and Climate Change, the 'Sida Programme' budget (Atlas Output 00120004, Activity 1/1.10 – thematic area B1). For the initial months of 2021 the funding for this activity area is complemented by remaining WOGP budget (Atlas Output 00113069 – Activity 1).**

The services delivered by contracted responsible party the Stockholm International Water Institute (SIWI), hosting the UNDP-SIWI Water Governance Facility (WGF) partnership, are financed entirely through the 'Sida Programme' budget (Atlas Output 00120004, Activity 1.20). Several joint pursuits also receive additional co-funding through other participating partners.

### ***Project Component 2: Freshwater and coastal resources management frameworks strengthened at local and national level***

This component helps national/local partners to implement improved frameworks for water and coastal resources management. As of 2020, whence the present Global Water and Ocean Governance Support Programme started to integrate into the broader **Sida-UNDP Strategic Collaboration Programme on Environment and Climate Change**, the direction of the local- and national-level support has increasingly been geared towards the presently nine pilot countries linked to the Sida Programme.<sup>2</sup>

The best modalities for *technically* supporting water & ocean endeavours in these countries are still being explored. The funding, however, is mostly channelled through country-level '**joint programming**' at the level of USD 225,000 per year from the Water & Ocean Governance (Theme B). The water/ocean-related work is mostly found in:

- **Bangladesh.** This project will provide nature-based solutions to food, water and livelihood security of climate vulnerable people including women and children and protect biodiversity and freshwater resources. Focusing on governance, UNDP together with FAO, UNCDF and IFAD will support Bangladesh in creating enabling environments and long-term and comprehensive partnerships for sustainable use and protection of freshwater and marine resources, and the efficient and equitable provision of related services.
- **Cambodia.** The joint programme in Cambodia addresses the main development challenges relating to i) the degradation of natural resources and the loss of biodiversity,

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<sup>2</sup> The present 'Sida Programme' pilot countries are **Bangladesh, Cambodia, Colombia, Ethiopia, Fiji (multi-country), Haiti, Myanmar, Nepal, and Uganda.**

ii) the growing demand for energy and related increase in greenhouse gas emissions, and  
iii) increasing climate vulnerability and inadequate water management.

To ‘support national and sub-national governments to plan and engage communities in water governance and wastewater management,’ additional resources (under the GoAL-WaterS banner) are channelled to the Country Office in Cambodia. This support is being used for a water assessment for Kbal Chhay Multiple Use Area, which should contribute to catchment management, monitoring, and planning in the area by a multi-stakeholder working group, and eventually a scheme for Payment for Ecosystem Services in the area.

A second component of this support is to formulate guidelines for wastewater management and community engagement in Southern Cambodia– in partnership with UN-Habitat. The combined effects of sea-level rise, coastal flooding, and on-shore development challenges, such as wastewater disposal, are causing coastal erosion and widespread pollution of livelihood providing ecosystems. Thus, it is imperative to improve wastewater and solid waste management in the coastal area of Cambodia, to reduce the vulnerability of the communities and enhance their resilience.

- Colombia. In Colombia, nature-based solutions are being integrated into the water security plan in prioritized areas of the Colombian Central Region<sup>3</sup> and into the Payments for Ecosystem Services Programme. The work will include online engagement with youth, women and local communities as well as local and regional authorities and academia to find ways of localising policy targets related to water security of the Colombian Central Region. A water protection programme – ‘Cuidadores del agua’ is also envisaged to be developed with communities.
- Haiti. In line with the environment portfolio of projects of UNDP in Haiti, the Sida Programme will work on sustainable water governance and increasing climate action for sustainable development. Linking with the Nationally Determined Contributions of Haiti, the programme supports linkages between biodiversity/coastal area and mangrove protection for reducing disaster risks and enhancing resilience. The programme is also producing communication materials on the energy-water nexus (in collaboration with India-funded solar pumping of water). The programme in Haiti can fruitfully apply source-to-sea perspectives also in addressing pollution problems (including plastics).
- Nepal. The activity plan for Nepal focuses on increasing financial flow to biodiversity conservation and resilience to climate change at the community level. Capacities will also be developed to use Climate, Land-use, Energy and Water Systems (CLEWS) models to assess interlinkages between resource systems, food, energy and water security, and climate change.

Though UN-Water’s Country-Level Engagement work, there have also been discussions with the UN Country Team regarding ways to strengthen capacities on IWRM and wastewater management, as well as to strengthen platforms for SDG6 prioritization and monitoring. Additional support, under the GoAL-WaterS banner, is being developed for Nepal, with the idea of strengthening community governance in watershed management.

Beyond the Sida Programme pilot countries, UNDP Country Offices are supported with technical assistance and strategic management, greatly facilitated by the WGF partnership.

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<sup>3</sup> These include the five departments of Cundinamarca, Tolima, Huila, Meta, Boyaca and the Capital District of Bogota.



Most support to the *Sustainable Use and Protection of Freshwater and Coastal Resources through Strengthened National and Local Governance* is channelled through the **GoAL-WaterS** banner / delivery mechanism which was launched in 2019. This perspective applies the ‘source-to-sea’ perspective and aligns with ongoing support – mostly through UN-Water members (e.g. UN Agencies like e.g. UN-Habitat) and partners (international organizations, e.g.[country-level partnerships of the] Global Water Partnership).

Beyond the pilot countries’ support indicated above, local/national-level initiatives in the following countries are being supported during 2021:

- Jordan: Applying nature-based solutions rooted in managed aquifer recharge approach to mitigate the drought impacts on the natural water resources of Azraq Basin. The “managed aquifer recharge” (MAR) captures run-off from the highlands into the groundwater system before it gets evaporated in low lying wadis. Construction works have been concluded and the MAR-system is hence operational. Monitoring of the aquifer recharge has started and guidelines for use and maintenance of the system have been drafted. Partners include the Ministry of Water and Irrigation, the Inter-Islamic Network on Water Resources Development and Management (INWRDAM), and the Azraq Municipality. Further, the prospect of water returning to the area has raised widespread local interest in reviving socio-economic activities, together with claims on the potential resource from different stakeholders: recreational activities by the municipality, traditional salt harvesting by local CBOs etc. Consultations with concerned stakeholders were held to prioritize the MAR locations and application criteria. Further pursuits relate to monitoring of groundwater recharge, surface water and land cover change and fund-raising for similar and continued pursuits.
- India: 2021 support in India has focuses on ‘Women Leadership in Water.’ A [Women Water Champions](#) Compendium that documents the journey of 41 women water stewards in India, and recognises the role of women’s leadership in water governance was recently released. A detailed process covering nearly 14 states in India: Andhra Pradesh, Assam, Bihar, Haryana, Gujarat, Jharkhand, Maharashtra, Madhya Pradesh, Odisha, Rajasthan, Tamil Nadu, Uttarakhand, Uttar Pradesh, West Bengal was followed to identify the champions. These path-breaking achievements highlight that these women have not only secured their livelihoods and protected their communities through environmentally sound and sustainable practices, they have often also helped to further empower other women, upscale the activities and bolster economic opportunities for many.
- Armenia: In Armenia, UNDP/GoAL WaterS supports the localisation of SDG6 targets and development of implementation strategy and monitoring mechanisms towards achieving SDG6 goals and targets through the GWP National Water Partnership (Armenia-NWP) and related SDG6 Support Programme. Building commitment for achieving SDG6, especially SDG6.5.1, at national, local and basin levels, including the Lake Sevan Basin has been difficult, due to the COVID pandemic and the Nagorno Karabagh conflict. Despite this, the collaboration was able to deliver a gap analyses report, a legal review of SDG-6 implementation, and established an intergovernmental working group (with balanced gender representations). In early 2021, a conference was held to better understand the obstacles to reach SDG 6 targets, and to discuss a draft Strategy and training needs assessment for each state institution responsible for activities towards the achievement of the SDG 6. The Strategy is to be submitted to the Government for formal adoption, and

it is expected that the SDG 6 target monitoring implementation group would be established by the Governmental decree.

- Tajikistan: In collaboration with the Ministry of Energy and Water Resources, an assessment of the regulatory framework in the field of hydro-energy facilities was conducted. This included an analysis of the existing requirements for establishing the boundaries of protected zones for hydro-energy facilities, conditions for water use, and use of riparian areas within their borders. The results were presented during the water sector reform platform meeting. Going forward, a draft technical regulation for establishing protection zones of the hydro-energy facilities is to be developed.
- Lao PDR: Laos has increasingly been affected by natural hazards that damage to infrastructure and livelihoods. UN-Habitat has developed a set of Community-based Vulnerability Assessments under the Adaptation Fund project. The Ministry of Natural Resources and Environment has requested that the methodology be institutionalized, replicate and scaled-up to the entire country. The work toward supporting a comprehensive understanding of water resource challenges is now underway to provide guidance on how climate change resilience strategies can improve water resources management. The UN-Habitat-led team is developing the community-based vulnerability assessment and action planning guidelines.
- Vietnam: The *Mekong Delta Local Water Governance* work synthesizes knowledge on local water governance practices, relationships and aspirations and the current status of IWRM in the Mekong Delta. Options to enhance the roles of local communities in water governance are to be developed. The team produced an executive summary of the research that was presented at the 'Conference on Climate Resilient and Sustainable Development of the Mekong River Delta of Viet Nam' on Resolution 120/NQ-CP; which took place in Can Tho/ Mekong Delta in March 2021. The recommendations outlined in the synthesised report highlight the need for better integration of local water user groups and cooperatives (which relates to the issue of local governance, inclusiveness and transparency). Women's Union and Youth Unions are also put forward as key groups to engage with in improving the governance mechanism related to water usage in the Mekong Delta.
- Comoros. The GoAL-WaterS support facilitated consultations and assisted the development of a revised Water Code and the development of bylaws drawing on principles for the integrated water resources management (IWRM). Despite COVID-19 restrictions on face-to-face activities, the country office was able to organize a presentation and discussion workshop around the new water code project. A national legal expert has supported the minister in charge of water to present the new water code to parliament. Along with awareness raising activities, the new water code was passed by parliament and then promulgated by the president in December 2020. In addition to the new code, which is the central piece of water legislation, first drafts of 8 by-laws and enforcement procedures were drafted for the implementation of IWRM and WASH service provision across Comoros. Follow-on activities will be supported through the Green Climate Fund (GCF)-financed project on [Ensuring Climate Resilient Water Supplies in the Comoros Islands](#).
- Bosnia & Herzegovina: In Bosnia & Herzegovina, UNDP has been supporting the Federal Ministry of Agriculture, Water Management and Forestry to develop the Tariff Methodology for improved regulation of water supply and wastewater treatment. In



Bosnia & Herzegovina. In collaboration with the [Municipal Environmental and Economic Governance \(MEG\)](#) project, the present project will (as technical support under Component 1, delivered by WGF) help train utilities to improve efficiency by applying the Water Integrity Toolbox.

Climate resilience is an overarching theme for the water resources and coastal management interventions and work is aligned with the Climate Promise country-level support to enhancing NDCs, most concretely in Nigeria:

- **Nigeria:** UNDP is supporting the NDC enhancement in Nigeria, as coordinated by the NDC Partnership e.g. through bi-weekly coordination meetings, in the area of water management by way of a national consultant and expertise provided through WGF. This water-thematic support through the Climate Promise /NDC Support Programme aims to ensure that water interlinkages be appropriately addressed in Nigeria's enhanced NDC which is in its final stage before submission to UNFCCC. Follow-on support to implementation is envisaged to continue in line with the next chapter of the Climate Promise.

New and additional support to national- and local-level water management through UNDP country offices is also being explored in an ongoing conversation with Sanitation and Water for All. Such collaboration could help strengthen water management accountability, mobilization and the more effective use scarce resources.

**Note on 2021 budget: The local- and country-level support Sustainable Use and Protection of Freshwater and Coastal Resources, as delivered through UNDP Country Offices, forms part of Project Component 2.**

As shown in Table 3, starting page 16, the remaining resources of the 'old WOGP' agreement were channelled towards concluding ongoing activities of GoAL-WaterS (Armenia, Comoros, India, Tajikistan, Vietnam). These expenditures, during the first four months of 2021 amounted to 72kUSD as indicated in Table 1 above (output 113069, Activities 11-19 refers).

Specifically targeted activities in Pilot Countries (Cambodia and Nepal) and non-pilot countries (India, Jordan, Lao PDR, Vietnam) are to be supported by the Sida Programme thematic Area B at the level of 384kUSD through Output 0012004 (Activities 1.41-1.54), see Table 1 above. Most resources have been channelled to the Managed Aquifer Recharge in Jordan.

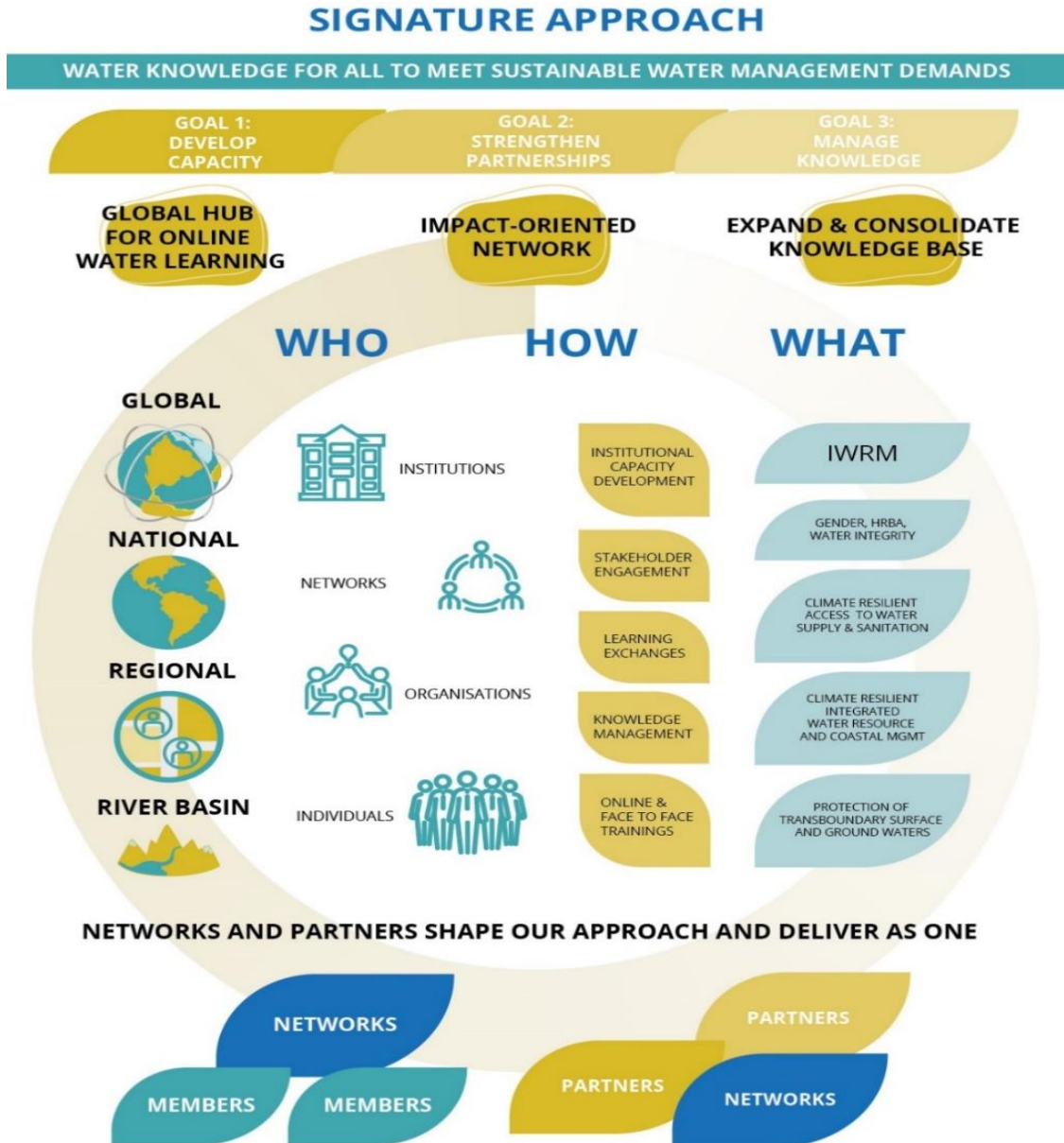
The Sida Programme 'Joint Programming' resources for this are not shown under the present 'Water & Ocean Governance' Area B budget, but resources from Area B (at the level of USD 225 per year) are channelled into the joint budgeting for Pilot Countries.

### ***Project Component 3: Enhanced individual and institutional knowledge and capacities for sustainable water management***

The capacity development for sustainable water management is delivered through [Cap-Net UNDP](#), which is composed of affiliated regional- and country-level networks delivering training to water professionals in their regions. As of April 2019, Cap-Net UNDP is being

implemented through the Global Water Partnership Organization (GWPO – the secretariat of the [Global Water Partnership](#)).

Through this global network, Cap-Net UNDP strengthens local institutions with tailored contents and accessibility of local and international expertise, resulting in increased and sustained impact (signature approach).



Cap-Net UNDP trainings are delivered through innovative approaches designed for face to face, virtual or through blended modality, based on the target audience, means on the ground and outreach objectives.

Increasingly, longer-term institutional arrangements for capacity development and improved on-the-ground programmatic synergies with GWP’s Country Water Partnerships are being sought. This is currently being piloted through the SDG661 project across three countries, in Argentina, Kazakhstan and Kenya, with the objective to encourage and promote the

integration of environmental data within relevant decision-making processes through multi-stakeholder engagement, to improve the protection, management and restoration of freshwater ecosystems.

A global curriculum has been developed to inform capacity development activities which will be adapted to the contexts on the ground. As an agent of change, Cap-Net UNDP invests in enhanced and strategic impact mainly through improved quality and versatility of online products. The growing demand for innovative technologies in the light of the current pandemic and within a context of financial restrictions, has established the Virtual Campus as the main delivery mechanism for Cap-Net UNDP and partners in 2021 and the foreseeable future. A snapshot of Cap-Net UNDP delivery targets for the year is contained in the figure.

#### Snapshot of Cap-Net 2021 targets



In 2021 the Cap-Net UNDP Secretariat will facilitate Network Regional One on One Calls to provide ideas and suggestions. The objective of the Calls will focus on 3 identified topics (1. Cross-Network Collaboration, 2. Risk Management, and 3. Enhanced delivery) based on a survey completed by the networks to facilitate an informal dialogue on how to address the challenges under these 3 themes. The expected output is to provide a shared exchange and learning space for networks to “ideate” and address challenges networks are facing while keeping an engaged momentum.

2021 projections show an increase of demand for virtual trainings in light of the current trend result from the Covid-19 pandemic. As such, in 2020 the volume of courses increased by 300%. This is expected to continue in 2021, with both networks and international partners placing a substantial emphasis of delivery through the [Virtual Campus](#).

Further details are contained in the Cap-Net-specific 2021 Work Plan and Budget. At this place, a list of international partner collaboration initiatives is included, see Table 1.

**Table 1: Envisaged Cap-Net collaboration with international partners in 2021**

International Partners	Collaborative programme
SIWI	Building Governance Capacity for Improved Water Security (GO-WATER)
SIWI, WGF	Water integrity and gender; women and water diplomacy in the Nile basin (tbc)
SIWI, WGF	Human Rights Based Approach to IWRM Online course
UNEP-DHI, SIWI, WGF, GWP (tbc)	IWRM 2.0
MetaMeta	The Water Channel, communication, 3R, roads for water
IW:LEARN	Capacity development for GEF-International Waters projects

International Partners	Collaborative programme
UNEP-DHI, WMO	Drought Risk Reduction and IWRM Online course
GWP, UNEP-DHI	Climate Change Adaptation and IWRM Online course
WIN / WGF SIWI/ CEWAS	Water integrity Online course
OECD	Water Governance Initiative
ANSI	<a href="#">Training and adaptation of ISO 30500 and 24521</a> Phase II
OneWorld	<a href="#">SADC GMI Sustainable Groundwater Financing</a>
UNEP-DHI, AKVO, IHE-Delft, ESA, IWA, RAIN, UT, MetaMeta, WRC	Cap-Tec: Use of new technologies for improved water productivity and management
UNDP, GWP, AGWA, SIWI-WGF	<a href="#">NDC: Water and Climate webinar series</a>
Water Mission, Skat, UNICEF	Groundwater Management and IWRM
SIWI, GWP and others	<a href="#">Source to Sea Platform</a>
UNDP	National Adaptation Plans webinars

In 2021, Cap-Net UNDP in collaboration with the Secretariat of the Action Platform for Source-to-Sea Management and its partners, launched a capacity needs assessment survey with the objective towards understanding the current degree of awareness of the need for a source-to-sea approach, the capacity levels for implementation and the challenges and barriers for doing so. The outcomes will provide an insight to the needs and identify underlying gaps, for which it is necessary to develop cohesive capacity development interventions and knowledge products. This will allow a demand-driven tailored approach to awareness raising and capacity development, informed products, funding opportunities and strategic leadership to deliver on the vision: “A world in which land, freshwater, coastal and marine resources are managed holistically, balancing benefits for the environment, communities and economy from source to sea”.

*Source to sea*  
**TAKE THE SURVEY**  
**Discover the approach**



More specific collaboration within GWP and its broader network is also envisaged, as detailed in Table 2.

**Table 2: Envisaged Cap-Net collaborative programmes with GWPO in 2021**

<b>Activity</b>	<b>Scope</b>
SDG 651 support programme	Global
SDG 661 pilot project	3 countries
NDC webinars	Global
Gender and IWRM online course and webinar series	Global
Youth Professional Development Series	Global
International Water Law	Regional
Food, water and energy nexus	Regional
Continental Africa Water Investment Program	Africa
Youth Fellowship training Programme	Africa
MSP webinar series x6	Global
ToolBox	Global
Learning Deltas Asia Initiative (LDAI)	Asia
Nature-based solutions	Global
Monitoring, Learning and Evaluation	Global
Material development, training and liaison FAO/ESA/University of Twente	Global
Floodplain restoration with GWP CEE	Regional
APFM/IDMP continuation	Global

In 2021, Cap-Net plans to continue investing in revamping its Monitoring, Evaluation, and Learning (MEL) system, through the creation of online data collection tools and reporting templates. Cap-Net’s Theory of Change is being reviewed in consultation with the networks and will be followed by a results-based approach with outcome mapping methodology, allowing an improved contribution to the Global Water and Oceans Governance Support Programme. Through the strategic results framework approach and outcome mapping, indicators and progress markers will be added to improve a mixed method approach of quantitative and qualitative measurement of performance and results at output, outcome, and impact level of Cap-Net’s 2021 planned activities and beyond.

**Note on 2021 budget: As indicated in Table 3 below, the projected delivery of capacity development activities (Component 3) amount to slightly over 1MUSD. This allocation draws 902kUSD on the ‘Sida Programme’ budget (Atlas Output 00120004, Activity 1.30) and 130kUSD on the UN-Water Trust Fund resources (Atlas Output 00113069 – Activity 5). (All amounts channelled through UNDP include UNDP-GMS.)**

**The operations of Cap-Net are significantly larger as partners provide an important part of the funding for training activities. The envisaged delivery of training courses amount to a total of 560kUSD, with Cap-Net-UNDP funding covering and estimated 120kUSD and partner co-funding covering 440kUSD. Apart from the cash or kind contribution through affiliated networks, co-funding is also provided through the collaborative engagements (contracted through GWPO) e.g. ANSI, Oneworld, GWP, UNICEF, WIN and UNESCO.**



#### **Project Component 4: Innovative and scalable solutions to ocean challenges identified and supported**

The newest but largest component of the Global Water and Ocean Governance Support Programme is constituted by the UNDP [Ocean Innovation Challenge](#) (OIC).

The OIC was officially launched in December 2019, with the aim to spur action by identifying and financing a suite of pilot initiatives that demonstrate innovative approaches to ocean sustainability, cutting across SDG14 targets and associated sustainability challenges. By providing seed financing, advice and guidance, technical, knowledge and networking support, the Challenge will help remove barriers and demonstrate approaches that can deliver transformational changes in ocean-relevant resource management.

The first Challenge focuses on reducing marine pollution, i.e. SDG target 14.1: “By 2025, prevent and significantly reduce marine pollution of all kinds, in particular from land-based activities, including marine debris and nutrient pollution.” The 609 proposals (concept notes) received were internally reviewed and the most promising proposals/concepts were invited to submit more detailed proposals for review and evaluation by a team of top peer review experts.

The UNDP Bureau for Management Services approved clearance of these through the UNDP Model Innovation Challenge Modality, scaled up from \$40,000 USD to \$250,000 on the condition that these proposals clear the Advisory Committee on Procurement (ACP) which is the highest and strictest procurement body in UNDP. A total of nine proposals were cleared by the Technical Review Board for submission to ACP in January 2021. The UNDP ACP required detailed inputs and UNDPs most rigorous monitoring/evaluation and management oversight of these projects. This entails monthly meetings with the OIC Management team, monthly progress notes for stakeholders, quarterly reports to include quarterly deliverables, updated risk registers, detailed work-plans, and lessons learned reports to be approved by OIC Management, and all detailed documentation of expenditures.

By March-2021 these contracts had been issued to eight innovators using the UNDP Model Innovation Challenge Agreement, and a Memorandum of Understanding signed with UNDP Comoros Country Office for the ninth innovation project. All first-round innovators have since held inception workshops featuring finalized detailed work-plans, risk registers and social and environmental commitment plans with the OIC Team, local and international stakeholders and innovators. Due to difficulties resulting from COVID 19, one innovation project had to withdraw. As of the end of June 2021, the remaining eight innovations addressing marine pollution challenges are all operational.

The second UNDP Ocean Innovation Challenge – launched in March 2021 - focuses on sustainable and equitable fisheries - SDG 14.4, 14.7 and 14.B, which will also contribute significantly to increasing benefits to Small Island Developing States. This call for proposals was open from 9 March to 9 May 2021. A total of 301 eligible proposals were received, out of which a subset has been shortlisted by the Technical Review Board. This body, composed of eight UNDP staff, reviews and scores the top 30 proposals by consensus.

The highest-scoring proposals will be invited to submit detailed technical proposals and comprehensive operational proposals, due end July 2021. These will be shared with the topic specific Expert Peer Reviewers, who will assess the technical feasibility, innovativeness, transformational, replicability and scalability, gender mainstreaming, poverty reduction and



income generating potential of the detailed proposals. The UNDP OIC Secretariat will support the completion of the operational proposals. It is anticipated that the final versions of these will be submitted to the Technical Review Board in late September for approval prior to submission to ACP for contracting.

While the Norwegian Development Agency contributed 1MUSD to the first OIC Innovations, additional support is also being sought for the Sustainable Fisheries call and beyond. Additionally, concerted efforts are under way to attract complementary funding from public sector/governments, the private sectors, individuals, and foundational support.

The ambition is to mobilize the necessary resources in time for the OIC to support a larger number of the present applicants in the sustainable fisheries cohort, and further to be able to continue with a new challenge call each year. It is anticipated that the 2022 UNDP Ocean Innovation Challenge will be specifically on SDG 14 targets 14.2 to protect and restore ecosystems, and 14.5 on conservation of coastal and marine areas.

It is anticipated that funding will be raised to support these and subsequent calls including: ocean based energy to reduce ocean acidification for SDG 14 Target 3 in 2023, and then SDG 14 Target 1 again in 2024 for additional marine pollution innovations. The initial seed money provided by Sida serves as an important catalyst to drive additional funding.

In response to the requirements of the UNDP ACP, the OIC Secretariat team has contracted additional team members to mentor the innovators and draw attention to their work, develop visibility for the UNDP OIC and enhance communications to ensure efficiency and consistency in external outreach in order to continue to attract high-quality applications from a diverse range of sectors.

**Note on 2021 budget: As indicated in Table 3, below, the UNDP Ocean Innovation Challenge will in 2021 draw on the Sida Advance / 'proof of concept' / funding (output 00117778, Activity 1, 3.1, 3.3, 3.6, 3.7, and 3.8) at the level of 773kUSD – targeted towards the initial payments to five<sup>4</sup> of the Call #1 innovators and Secretariat cost. (Additional output-based payments to innovators will follow in 2022 and 2023.)**

**Initial payments to four<sup>5</sup> Call #1 innovators (focusing on plastics) draw on the Norad contribution (output 00117778, Activity 3.1, 3.2, 3.5, 3.9) at the level of 457kUSD in 2021. (Additional output-based payments to innovators will follow in 2022 and 2023.)**

**Technical reviews, mentoring and communications are funded through the Sida Programme (Output 00120004, Activity 2 [thematic area B2 – ocean governance]) at a level of 198kUSD in 2021. As indicated in the narrative, Call #2 on Sustainable Fisheries will draw on the 'Sida Programme' area B2 in 2022 and 2023.**

**Total UNDP OIC requirements in 2021 are, as indicated in Table 3, estimated at slightly above 1.4MUSD.**

<sup>4</sup> One of the innovation projects has shared funding between 'Sida Advance' and 'Norad Contribution' funding streams.

<sup>5</sup> One shared between Sida/Norad contributions.

The UNDP OIC coordinates and shares information with related initiatives such as the World Bank's ProBlue, Sustainable Ocean Fund, Sustainable Ocean Alliance, World Economic Forum Ocean Uplink, 1,000 Ocean Startups Venture Capital, and others. The UNDP OIC Manager and team are currently collecting information all Ocean Innovation Challenges being conducted by public sector, private sector, NGOs, international organizations, and venture capital organizations to map the status of the innovation support system. This includes incubators, accelerators, funding sources, and training bodies that support ocean innovators to develop and scale up innovations to meet SDG 14.

The UNDP Ocean Innovation Challenge now has a working Proof of Concept that is serving as the basis for the current and future fundraising drives. As mentioned, funds are being sought to support many of the excellent sustainable fisheries innovation proposals, beyond the top 10 to be funded by the 'Sida Programme' Area B2 budget. The subsequent call under development for marine ecosystems will depend on the results of the innovative fundraising methodologies by the OIC Secretariat. In addition, the application of the up-scaled UNDP Model Innovation Challenge Modality, piloted by UNDP OIC, is serving as the prototype for future UNDP Innovation Challenges in other areas of development.

## 2021 Budget Update

This section summarises the envisaged resource use of the Global Water and Ocean Governance Support Programme half-way into 2021, along with a highlight of the total budget/resources situation.

Table 3 here below details the anticipated resource use of just over USD 4 million in 2021. It is specified by quarter, budget source and implementing agent for each of the four components. The budget draws on Sida's 'old' support to the WOGP,<sup>6</sup> the 'new' Sida Programme,<sup>7</sup> the OIC advance,<sup>8</sup> as well as contributions from Norad and the UN-Water Trust Fund.

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<sup>6</sup> Sida's "old WOGP" support to the WOGP Contribution to the Realization of UNDP's Strategic Plan (Sida Ref. 61050034, UNDP Award 50169/00115482 Atlas Output 00113069) was operationally completed 1 May 2021.

<sup>7</sup> Sida-UNDP Strategic Collaboration Programme on Environment and Climate Change (Atlas Project Number: 00124739, Atlas Output Number: 00120004 - Water & Oceans)

<sup>8</sup> Sida's 'proof-of concept' advance funding to the "Ocean Innovation Facility [Challenge]" (Sida Ref. 61050352, UNDP Atlas Output 00117778).

**Table 3: 2021 Budget (including UNDP-GMS), by component, lead party & funding source**

Project Component - by Atlas Output & Activity and Implementing Agent, and Budget Source	Time period:	Q1-2021	Q2-2021	Q3-2021	Q4-2021	Jan-Dec 2021
		USD	USD	USD	USD	USD
<b>Component 1 – Water/ocean governance thought leadership, thematic expertise, technical support and policy advocacy promoted and strengthened globally</b>						
Atlas Output 113069 ('WOGP') UNDP-BPPS - Activity 1		67,759	3,877	0	0	71,636
Atlas Output 00120004 (Area B1) UNDP-BPPS – Activity 1/1.10		52,650	107,633	117,731	138,200	416,213
Atlas Output 00120004 (Area B1) UNDP-SIWI- WGF – Activity 1.20		149,499	165,649	167,498	143,479	626,125
<b>Sub-Total Component 1</b>		<b>269,908</b>	<b>277,159</b>	<b>285,229</b>	<b>281,679</b>	<b>1,113,975</b>
<b>Component 2 – Freshwater and coastal resources management frameworks strengthened at local and national level</b>						
Atlas Output 113069 ('WOGP') UNDP COs (GoAL-WaterS): – Activities 11-19		54,179	18,083	0	0	72,262
Atlas Output 00120004 (Area B1) UNDP COs (GoAL-WaterS): – Activities 1.41 - 1.54		73,119	58,488	112,956	120,337	364,900
<b>Sub-Total Component 2</b>		<b>127,297</b>	<b>76,571</b>	<b>112,956</b>	<b>120,337</b>	<b>437,161</b>
<b>Component 3 – Enhanced individual and institutional knowledge and capacities for sustainable water management</b>						
Atlas Output 00120004 (Area B1) Cap-Net UNDP (GWPO)– Activity 1.30		208,278	226,682	233,420	233,420	901,800
Atlas Output 113069 (UN-Water TF) Cap-Net UNDP (GWPO)– Activity 5		12,739	18,534	49,462	49,462	130,198
<b>Sub-Total Component 3</b>		<b>221,017</b>	<b>245,217</b>	<b>282,882</b>	<b>282,882</b>	<b>1,031,998</b>
<b>Component 4 – Innovative and scalable solutions to ocean challenges identified and supported</b>						
Atlas Output 00117778 (OIC advance) UNDP-BPPS – Activity 1, 3.1, 3.3, 3.6, 3.7, 3.8		96,689	145,536	299,202	231,771	773,198
Atlas Output 00117778 (Norad) UNDP-BPPS – Activity 3.1, 3.2, 3.5, 3.9		0	84,348	218,300	154,472	457,120
Atlas Output 00120004 (Area B2) UNDP-BPPS – Activity 2		21,005	25,110	80,815	107,190	234,120
<b>Sub-Total Component 4</b>		<b>117,694</b>	<b>254,994</b>	<b>598,317</b>	<b>493,434</b>	<b>1,464,438</b>

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Time period:	Q1-2021	Q2-2021	Q3-2021	Q4-2021	Jan-Dec 2021
Project Component - by Atlas Output & Activity and Implementing Agent, and Budget Source	USD	USD	USD	USD	USD
<b>All Components – Global Water and Ocean Governance Support Programme</b>					
<b>Total 2021 Project Budget (including GMS)<sup>9</sup>, by quarter</b>	<b>735,917</b>	<b>853,940</b>	<b>1,279,384</b>	<b>1,178,332</b>	<b>4,047,572</b>
<b>All Components – Distribution by Atlas Output / Funding Source</b>					
Subtotal output 113069 - WOGP	121,938	21,960	0	0	143,898
Subtotal output 0012004 - Area B 1 (freshwater)	483,546	558,451	631,605	635,436	2,309,038
Subtotal output 0012004 - Area B (oceans)	21,005	25,110	80,815	107,190	234,120
Subtotal output 111778 - OIC Advance	96,689	145,536	299,202	231,771	773,198
Subtotal output 111778 - Norad	0	84,348	218,300	154,472	457,120
Subtotal output 113069 - UN-Water	12,739	18,534	49,462	49,462	130,198
Note: The allocated amounts are <i>inclusive</i> of the General Management Support (GMS), which since 2014 is levied at the level of 8% on all activities. (7% on UN-Water-related activities since MoU dates from 2011.)					

As envisaged in the project document, most activities of the present Global Water and Ocean Governance Support Programme will transition into the broader Sida-UNDP Strategic Collaboration Programme on Environment and Climate Change. In practice, this means that the various project components straddle the various funding sources.<sup>10</sup>

The Sida support to the WOGP has now been operationally completed, and the last remaining balances were utilized during the first four months of this year.<sup>11</sup> The freshwater and coastal management side of the project (components 1-3) hence now rely principally on the Sida Programme – Thematic area B1. The UNDP Ocean Innovation Challenge presently utilizes the Sida Advance/proof-of-concept funding and the Norad contribution to finance the first Innovation Challenge addressing marine pollution. In 2022 the OIC will straddle onto the Sida Programme – Thematic area B2 – to finance the second Innovation Challenge on Sustainable Fisheries.

<sup>9</sup> General Management Support (GMS) of 8% accrues on all contributions since 2014. The UN-Water Trust Fund MoU from 2011, however, stipulates a 7% GMS for all UN Agencies.

<sup>10</sup> It was previously anticipated that the present project would be closed as/when resources were depleted and all activities had effectively ‘migrated’ to the broader Strategic Collaboration Programme on Environment and Climate Change. However, projects and agreements need to be kept operational for as long as activities are on-going. Moreover, as additional resources have been mobilized, resources are not envisaged to be depleted in the near future.

<sup>11</sup> This support to [Water and Ocean Governance Programme Contribution to Realizing the UNDP Strategic Plan](#) is also reported separately to the donor.

The multi-page Table 4 starting on the next page provides a full 2019-2023 overview of the whole Global Water and Ocean Governance Support Programme budget status. The full project budget, all years with resources secured to-date, amounts to USD 17.6 million.

The first two years, 2019 and 2020, show reported utilization of the 'old' WOGP funding and the OIC 'advance' along with incipient utilization of the Sida Programme Area B funding in 2020. The present year figures reflect the year-totals of the funds also detailed by quarter in Table 1 above.

The planned resource utilization for 2022-2023 has been updated, showing somewhat lower resources availability for freshwater/coastal (components 1-3) whereas the OIC (component 4) increases as payments will be carried out to first-call innovators as well as second-call innovators. All project components, however, have some level of budget shortfall to fully achieve their goals and plans.

Resource mobilization targets are indicated, by component, for 2021, 2022 and 2023. In those years compared to the present. The shortfalls or resources needed to be mobilized to fully achieve what the project sets out to do amounts to over USD 9 million. If achieved, the total resources for the full duration of the project would amount to over USD 26 million.<sup>12</sup>

Additional funds and efforts during 2021 are being allocated to resources mobilization.

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<sup>12</sup> The anticipated total budget (including unfunded/resources to be mobilized) in the project document amounted to USD 30.5 million. Some additional resources have been mobilised, but the resources mobilization targets have been slightly revised.

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**Table 4: 2019-2023 Budget Overview – global Water and Ocean Governance Support Programme**

Year	Project Component & Delivery Mechanism  Atlas P/N, output,Activity #	Comp 1: Water/Ocean Governance Thought Leadership (UNDP-BPPS) <b>USD</b>	Comp 1: Water/Ocean Them Exptise & Policy Advice.(WGF @SIWI) <b>USD</b>	Comp 2: Local- / National-Level Water & Coastal (UNDP-COs) <b>USD</b>	Comp 3: Knowledge & Capacity Development (Cap-Net @GWPO) <b>USD</b>	Comp 4: UNDP Ocean Innovation Challenge (UNDP-BPPS) <b>USD</b>	All (row totals) <b>USD</b>
2019	GWOGSP 00115482 (WOGP) #113069	422,357	479,342	277,445	1,043,895		<b>2,223,039</b>
	GWOGSP 00115482 (Sida Advance) #117778					73,755	<b>73,755</b>
	<b>Full year TOTAL</b> (reported for 2019)	<b>422,357</b>	<b>479,342</b>	<b>277,445</b>	<b>1,043,895</b>	<b>73,755</b>	<b>2,296,794</b>
2020	GWOGSP 00115482 (WOGP) #113069	323,620	656,161	398,350	744,876		<b>2,123,007</b>
	GWOGSP 00115482 (Sida Advance) #117778					259,858	<b>259,858</b>
	‘Sida Programme’ 00124739 Atl.output #120004 Act#1... (B1)	42,129	157,677		387,690		<b>587,496</b>
	‘Sida Programme’ 00124739 Atl.output #120004 Act#2... (B2)					39,684	<b>39,684</b>
	<b>Full year TOTAL</b> (reported for 2020)	<b>365,750</b>	<b>813,838</b>	<b>398,350</b>	<b>1,132,566</b>	<b>299,542</b>	<b>3,010,046</b>

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Year	Project Component & Delivery Mechanism  Atlas P/N, output, Activity #	Comp 1: Water/Ocean Governance Thought Leadership (UNDP-BPPS) USD	Comp 1: Water/Ocean Them Exptise & Policy Advice.(WGF @SIWI) USD	Comp 2: Local- / National-Level Water & Coastal (UNDP-COs) USD	Comp 3: Knowledge & Capacity Development (Cap-Net @GWPO) USD	Comp 4: UNDP Ocean Innovation Challenge (UNDP-BPPS) USD	All (row totals) USD
2021	GWOGSP 00115482 (WOGP) #113069	71,636		72,262			143,898
	GWOGSP 00115482 (Sida Advance) #117778					773,198	773,198
	'Sida Programme' 00124739 Atl.output #120004 Act#1... (B1)	416,213	626,125	364,900	901,800		2,309,038
	'Sida Programme' 00124739 Atl.output #120004 Act#2... (B2)					234,120	234,120
	GWOGSP 00115482 (UN-Water TF) Atl.output #113069 Act#5				130,198		130,198
	GWOGSP 00115482 (Norad) Atl.output #117778					457,120	457,120
	<b>Full year TOTAL</b> (available/planned for 2021)	<b>487,850</b>	<b>626,125</b>	<b>437,161</b>	<b>1,031,998</b>	<b>1,464,438</b>	<b>4,047,572</b>
	<i>Resource Mobilization target / unfunded</i>	<i>50,000</i>	<i>100,000</i>	<i>200,000</i>	<i>100,000</i>	<i>2,200,000</i>	<i>2,650,000</i>
	<i>Full-year potential resource availability (incl RM targets)</i>	<i>537,850</i>	<i>726,125</i>	<i>637,161</i>	<i>1,131,998</i>	<i>3,664,438</i>	<i>6,697,572</i>

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Year	Project Component & Delivery Mechanism  Atlas P/N, output, Activity #	Comp 1: Water/Ocean Governance Thought Leadership (UNDP-BPPS) USD	Comp 1: Water/Ocean Them Exptise & Policy Advice.(WGF @SIWI) USD	Comp 2: Local- / National-Level Water & Coastal (UNDP-COs) USD	Comp 3: Knowledge & Capacity Development (Cap-Net @GWPO) USD	Comp 4: UNDP Ocean Innovation Challenge (UNDP-BPPS) USD	All (row totals) USD
2022	GWOGSP 00115482 (Sida Advance) Atl.output #117778					825,340	<b>825,340</b>
	'Sida Programme' 00124739 Atl.output #120004 Act#1... (B1)	350,000	530,000	220,000	750,000		<b>1,850,000</b>
	'Sida Programme' 00124739 Atl.output #120004 Act#2... (B2)					1,604,254	<b>1,604,254</b>
	GWOGSP 00115482 (UN-Water TF) Atl.output #113069 Act#5				22,342		<b>22,342</b>
	GWOGSP 00115482 (Norad) Atl.output #117778					495,450	<b>495,450</b>
	<b>Full year TOTAL</b> (secured for 2022)	<b>350,000</b>	<b>530,000</b>	<b>220,000</b>	<b>772,342</b>	<b>2,925,044</b>	<b>4,797,386</b>
	<i>Resource Mobilization target / unfunded</i>	<i>100,000</i>	<i>170,000</i>	<i>400,000</i>	<i>230,000</i>	<i>2,200,000</i>	<b><i>3,100,000</i></b>
	<i>Full-year <b>potential</b> resource availability (incl RM targets)</i>	<i>450,000</i>	<i>700,000</i>	<i>620,000</i>	<i>1,002,342</i>	<i>5,125,044</i>	<b><i>7,897,385</i></b>

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Year	Project Component & Delivery Mechanism  Atlas P/N, output, Activity #	Comp 1: Water/Ocean Governance Thought Leadership (UNDP-BPPS) USD	Comp 1: Water/Ocean Them Exptise & Policy Advice.(WGF @SIWI) USD	Comp 2: Local- / National-Level Water & Coastal (UNDP-COs) USD	Comp 3: Knowledge & Capacity Development (Cap-Net @GWPO) USD	Comp 4: UNDP Ocean Innovation Challenge (UNDP-BPPS) USD	All (row totals) USD
2023	GWOGSP 00115482 (Sida Advance) Atl.output #117778					273,895	<b>273,895</b>
	'Sida Programme' 00124739 Atl.output #120004 Act#1... (B1)	313,465	450,000	90,000	675,000		<b>1,528,465</b>
	'Sida Programme' 00124739 Atl.output #120004 Act#2... (B2)					1,565,897	<b>1,565,897</b>
	GWOGSP 00115482 (Norad) Atl.output #117778					97,605	<b>97,605</b>
	<b>Full year TOTAL</b> (secured for 2023)	<b>313,465</b>	<b>450,000</b>	<b>90,000</b>	<b>675,000</b>	<b>1,937,396</b>	<b>3,465,861</b>
	<i>Resource Mobilization target / unfunded</i>	<i>200,000</i>	<i>200,000</i>	<i>400,000</i>	<i>300,000</i>	<i>2,200,000</i>	<b><i>3,300,000</i></b>
	<i>Full-year <b>potential</b> resource availability (incl RM targets)</i>	<i>513,465</i>	<i>650,000</i>	<i>490,000</i>	<i>975,000</i>	<i>4,137,396</i>	<b><i>6,765,861</i></b>
2019-2023	<b>GRAND TOTAL (programmed)</b>	<b>1,939,422</b>	<b>2,899,306</b>	<b>1,422,956</b>	<b>4,655,800</b>	<b>6,700,175</b>	<b>17,617,659</b>
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2021 Work Plan and Budget Update  
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Year	Project Component & Delivery Mechanism  Atlas P/N, output, Activity #	Comp 1: Water/Ocean Governance Thought Leadership (UNDP-BPPS) USD	Comp 1: Water/Ocean Them Exptise & Policy Advice.(WGF @SIWI) USD	Comp 2: Local- / National-Level Water & Coastal (UNDP-COs) USD	Comp 3: Knowledge & Capacity Development (Cap-Net @GWPO) USD	Comp 4: UNDP Ocean Innovation Challenge (UNDP-BPPS) USD	All (row totals) USD
<b>Total funding available, by source:</b>							
All Years	<b>GWOGSP 00115482 (WOGP) Atl.output #113069</b>	817,614	1,135,503	748,057	1,788,771	-	<b>4,489,945</b>
	<b>GWOGSP 00115482 (Sida Advance) Atl.output #117778</b>	-	-	-	-	2,206,045	<b>2,206,045</b>
	<b>'Sida Programme' 00124739 (theme B1 – freshwater/coastal) Atl.output #120004 Act#1...</b>	1,121,808	1,763,802	674,900	2,714,490	-	<b>6,275,000</b>
	<b>'Sida Programme' 00124739 (theme B2 – ocean gov) Atl.output #120004 Act#2...</b>	-	-	-	-	3,443,955	<b>3,443,955</b>
	<b>GWOGSP 00115482 (UN-Water TF) Atl.output #113069 Act#5</b>	-	-	-	152,539	-	<b>152,539</b>
	<b>GWOGSP 00115482 (Norad) Atl.output #117778</b>	-	-	-	-	1,050,175	<b>1,050,175</b>
	<b>GRAND TOTAL (programmed)</b>	<b>1,939,422</b>	<b>2,899,306</b>	<b>1,422,956</b>	<b>4,655,800</b>	<b>6,700,175</b>	<b>17,617,659</b>
	<i>Total RM targets</i>	<i>350,000</i>	<i>470,000</i>	<i>1,000,000</i>	<i>630,000</i>	<i>6,600,000</i>	<i>9,050,000</i>
<i>Grand potential/targeted total (incl RM success)</i>	<i>2,289,422</i>	<i>3,369,306</i>	<i>2,422,956</i>	<i>5,285,800</i>	<i>13,300,175</i>	<i>26,667,659</i>	

Note: Minor differences between sub-totals and grand totals due to rounding of figures.

## **Resources Mobilization and Leverage**

As mentioned above, whereas the project budget for 2021 is fully financed, additional resources need to be mobilized for the project to continue at the present level of activity towards achieving its objectives.

**Resource mobilization efforts have been intensified in order to fill the identified shortfalls but above all, to secure expansion and continuation of the water and ocean governance and innovation pursuits also into the future.**

Conversations with bilateral agencies, foundations and banks are maintained at various levels to gather additional support to the project endeavours. Engaging additional experts and consultants in resource mobilization, the project is now also drawing more effectively on the resources of UNDP's Bureau of External Relations and Advocacy (BERA).

For the OIC, a second request has been formulated to the Government of Norway, suggesting co-funding of some 8-12 most promising innovation proposals at the level of some 2-3 MUSD in total (principally focusing on sustainable fisheries). This would greatly enhance the reach of the existing Sida contribution to the Fisheries Call. An expanded roadmap and strategy is being developed with the UNDP Nordic Office and others for fundraising from public, private, individual, and foundational donors interested in supporting the expansion of the UNDP Ocean Innovation Challenge.

In the realm of freshwater resource mobilization will be pushed through the UNDP Integrated Water Offer which is currently under development. It is anticipated– as consultations progress – that UNDP's strengths in the area of water and environmental governance will be further emphasised, and channelled into pillars focusing on Equity and Efficiency. Substance matters anticipated to receive greater attention involve pollution management and climate security.

The Integrated Water Offer, once finalised, will provide a coherent chapeau for the wealth of discrete initiatives under way. Several such initiatives are projects being developed for submission to the Green Climate Fund. UNDP also participates in the multi-actor [Resilient Water Accelerator](#) led by WaterAid, aiming to boost climate finance to build vulnerable people's resilience through water access. Several other ways to leverage finances into water management are also being explored.

Concrete ways of improving equity by better bringing the perspective of local communities into water management deliberations are being formulated, in support of global as well as local policy processes.

In order to amplify the reach and impact of the project, several co-funded initiatives are implemented by the 'responsible parties' (GWPO and SIWI) through the Cap-Net and WGF delivery mechanisms. The pursuit of co-funded initiatives and additional support needs reinvigorated efforts by project staff and partners in order to stretch present resources towards greater impacts.

Cap-Net has secured agreements with the following partners contributing to the 2021 Work Plan and budget.

- UN-Water Trust Fund: SDG 661 pilot “Integrating freshwater data into sector-wide decision making to improve the protection and restoration of freshwater ecosystems” (with a total contribution of USD143,424 to UNDP – effectively reprogramming remaining balances from previous work). The work, piloted in three countries (Argentina, Kazakhstan and Kenya) began in 2021 and should be completed during the first half of 2022. It is jointly implemented by Cap-Net and GWP.
- American National Standards Institute (ANSI) and Cap-Net UNDP agreed in 2020 to cooperate on adaptation and contextualization, coordination, training and monitoring and evaluation on the following standards:
  1. "Activities relating to drinking water and wastewater services - Guidelines for the management of basic on-site domestic wastewater services," International Standard ISO 24521:2016(E) and
  2. “Non-sewered sanitation systems — Prefabricated integrated treatment units — General safety and performance requirements for design and testing,” International Standard ISO 30500:2018(E).ANSI’s contribution (USD299,160 in total) anticipates activities and commitments in 2021 amounting to USD181,440.
- Additional work with ANSI is anticipated for 2022 with a new concept note and budget based on on-going negotiations.
- Oneworld contributed USD30,000 for “Training of Trainers on Green Climate Fund (GCF) Project Development.” This project is supported through a grant from the Korea-Africa Fund for Economic Cooperation (KOAFEC) and is implemented by the African Development Bank’s (AfDB) Climate Finance Division (PECG1).
- GWP and Cap-Net UNDP are collaborating in presenting multi-stakeholder platforms workshop series as part of GWP’s StRONG programme’s efforts to invest further in building a more inclusive and agile network of partners at country and regional level. The goal of this series of workshops is to reinforce the skillset of country and regional water partnership leaders with a provision for 20 Cap-Net UNDP Network Managers to participate as part of programmatic collaboration. GWP is contributing USD 10,000 for Cap-Net staff time for the preparation, hosting and facilitation.
- GWP-SA contribution to office rental as part of the Cap-Net fees charged for the hosting and running of a UNICEF course on climate resilience WASH. Outstanding balance amounts to USD5,600.
- Water Integrity Network Association (WIN) and Cap-Net UNDP have agreed in partnering on “Development of Knowledge Package: Ensuring the mass dissemination and initiation of multiple change processes for integrity in the water and sanitation sector in Latin America”. The project would have a duration of 11 months, starting in April 2021 to February 2022. The contribution from WIN is meant for Cap-Net staff costs USD10,000 and user accounts in Cap-Net Virtual Campus USD2,850, Total USD12,850 to be programmed in 2022.
- Negotiations between Cap-Net UNDP and SIWI on the GO-Water project are underway and nearing conclusion (Project duration from April 2021 to December 2022).<sup>13</sup> The agreement will be made between GWPO and SIWI. The annual work plan and budget for 2021 and 2022 is anticipated at slightly over USD210,000.

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<sup>13</sup> The GO-Water programme aims specifically to make impact at policy level (systemic level) by strengthening institutional capacities of select number of key government water institutions in six focus countries (Cluster 1: Afghanistan, Iraq and Sudan; and Cluster 2: Bolivia, Colombia, and Peru) to assist them to transitioning from water crisis management to managing water risk and opportunity.



Cap-Net UNDP Secretariat continues to ensure equitable allocation of financial resources and support to affiliated networks. After phases of progressive successful intervention, Cap-Net UNDP maintains the strength and capacity of networks through increased delivery and increasing outreach by reaching more countries than ever before through innovative training methods and technologies.

The anticipated project budget and co-funding are summarised in Table 5.

**Table 5: Cap-Net Activity Budget and Co-Funding in 2021**

Global Water and Ocean Governance Support Programme – component 3 - Sub-Activity areas of Cap-Net UNDP, as implemented through GWPO	Revised project budget	Contribution from partners	Grand Total 2021
	USD	USD	USD
<b>3.1 and 3.2. Delivery of capacity development/Activity 1.1, 1.2, 1.3 and 1.4</b>	<b>100,000</b>	<b>87,000</b>	<b>187,000</b>
<b>3.3. Strengthening partnership/Activity 2.1, 2.2,2.3</b>	<b>138,000</b>	-	<b>138,000</b>
Capacity developers trained	18,000		<b>18,000</b>
Network management	100,700		<b>100,700</b>
Partnership development	20,000		<b>20,000</b>
<b>3.4 Knowledge management/Activity 3.1, 3.2 and 3.3</b>	<b>112,000</b>	<b>131,040</b>	<b>243,040</b>
Training material developed	15,000	-	<b>15,000</b>
Information management and communication	43,000	131,040	<b>174,040</b>
Monitoring and learning plan implementation	54,000	-	<b>54,000</b>
<b>Project implementation (Activity 3.5)/Activity 4</b>	<b>485,000</b>	<b>112,680</b>	<b>597,680</b>
Personnel costs	403,000	82,200	<b>485,000</b>
Office and operational costs	20,000	5,600	<b>25,600</b>
Technical Advisory Group (catered under partnership development)	-		-
<b>Subtotal</b>	<b>773,000</b>	<b>305,840</b>	<b>1,078,840</b>
GWPO Indirect services to the project (8%)	62,000	24,880	<b>86,880</b>
<b>Total Cap-Net 2021 budget</b>	<b>835,000</b>	<b>330,720</b>	<b>1,165,720</b>
Sources: Cap-Net workplan and budget 2021 + updates (email Themba Gumbo 13-July-2021).			

UNDP-SIWI Water Governance Facility (WGF) utilizes co-funding through SIWI and partners. In 2021, this includes:

- studies on climate change and mitigation, and climate change and indigenous peoples, co-financed with SIWI and GIZ.
- The long-standing joint pursuits around the Action Platform for Source-to-Sea Management generates joint activities, and UNDP has been supporting the Secretariat's work (intermittently in-between the support from the Swedish Ministry of Environment) for many years.
- UNDP also contributes to discrete activities of the multi-donor Shared Waters Partnerships and tripartite UNICEF-UNDP-SIWI *Accountability-for-Sustainability*.

These diverse partnerships are summarised in Table 5.

**Table 5: WGF Activity Budget and Co-Funding in 2021**

<b>Global Water and Ocean Governance Support Programme – Component 1, Activity 2 / 1.20</b>			
<b>Sub-Activity areas of UNDP-SIWI Water Governance Facility, as implemented through SIWI</b>	<b>Project budget</b> (as proposed April-2021)	<b>Contribution from partners</b>	<b>Budget Note</b>
	<b>SEK</b>	<b>SEK</b>	
1.1 WG Knowledge Development Shared, including climate change	1 234 600	606 000	1
1.2 Emerging Water Governance principles	319 598	50 000	2
1.3 Source to Sea	274 780	1 800 000	3
1.4 partnership arrangements	55 900		
2.1 respond to demand	544 450		
2.2 Shared Waters Partnership	250 400	5 600 000	4
2.3 UNICEF Global	172 340	3 800 000	5
2.4 UNICEF MENA Water Scarcity	0	550 000	6
4.1 World Water Week	437 930	65 100	7
4.2 International processes and platforms	589 840	1 000 000	8
5.1 WGF Administration	805 716		
5.2 GoAL-WaterS Management	479 980	To be determined	9
<b>Grand Total</b>	<b>5 165 534</b>	Not quantified	

**Source: Water Governance Facility Work Plan for 2021, Pers. Comm./Email Jaraiseh 13 July 2021.**

**Notes:**

- 1) **A report on *Water and [Climate Change] Mitigation* is being produced in cooperation with the Stockholm Resilience Centre (SRC) and Potsdam Institute, with co-financing from SIWI and GIZ**
- 2) **Work on Indigenous peoples and water governance in relation to the Climate Change COP process – co-financed by SIWI and GIZ**
- 3) **Support from SIWI’s Programme Support (Sida); GIZ funding: “Design and Accountability for Source-to-Sea Action”**
- 4) **Funding from Sida, MFA Netherlands, and US State Dept for Shared Waters Partnership**
- 5) **The total contribution from UNICEF 2018- 2021 amounts to 1.7MUSD. UNDP provides an in-kind contribution – through WGF – amounting to 20% of the total budget of the Accountability-for-Sustainability project. In 2020 WGF will contribute about 9 %, SIWI about 17 %, and UNICEF will cover the remaining 74 %.**
- 6) **The WGF in-kind contribution to global and MENA Accountability-for-Sustainability endeavors is constituted by a study on how water resources management links to water services, looking at governance fragmentation in relation to overall resources management. In 2021 WGF will not contribute to this work due to budget limitations.**
- 7) **WWW activities and events are always co-funded between co-convening partners. In 2021, as the WWW is being held online, WGF will be involved in co-convening six different events.**
- 8) **SIWI/Sida co-funding for the Source-to-Sea Platform**
- 9) **The leverage effects of the ‘new’ GoAL-WaterS delivery mechanism are yet to be assessed. The WGF sub-activity budget covers the management with backstopping and proposal preparation and assessment work conducted by WGF. (The locally disbursed funding is captured under the Global Water and Ocean Governance Support Programme Component 2 budget.)**

The leverage and impact of the resources invested at the country level have not been fully analysed, but in the past there has been substantive local investment generated by the improved water governance and investment planning. In Jordan, the local municipality has contributed with both cash and kind resources to the Managed Aquifer Recharge.

Several separate project initiatives to boost investments into water and ocean governance and resources management are under way as a result of UNDP’s broader Water and Ocean Governance Programme portfolio.

## Project Management

This global project is implemented by UNDP-BPPS through the Direct Implementation Modality. The overall management is guided by the project document ([link](#)). The Project Board meets virtually once per year. There have been two Board Meetings to-date; August-2019 to endorse the amendment/expansion of the project; and June-2020 to endorse the annual update on progress, work plan and budget.

As envisaged in the project document, most activities of the present Global Water and Ocean Governance Support Programme will transition into the broader Sida-UNDP Strategic Collaboration Programme on Environment and Climate Change. The water and ocean governance pursuits constitute Thematic Area B of that broader Programme. Being in the midst of this transition, the project hence utilizes several budget streams.<sup>14</sup> The freshwater and coastal management side of the project (components 1-3) rely more on the Strategic Collaboration Programme in 2021, whereas the Ocean Innovation Challenge will draw substantially on this Programme only in 2022.

The Global Water and Ocean Governance Support Programme also enjoys the guidance and thematic coordination of a Technical Advisory Group (TAG). The TAG meets annually in conjunction with the World Water Week (WWW) in August/September. In 2020, was held in September 2020, after the virtual/@home version of the 2020WWW. Also in 2021, the TAG meeting is anticipated to be held in September, *after* the WWW. A brief progress update is to be provided ahead of the TAG meeting.

## Staffing

The Global Water and Ocean Governance Support Programme has a lean staffing and draws prominently on contracted Responsible Parties for several components of the project.

At UNDP-BPPS, the Senior Water Adviser acts as Project Manager for the overall Global Water and Ocean Governance Support Programme, with focus on components 1-3. A Policy Advisor on Ocean Governance has been recruited and took office in November-2020. The incumbent leads the Ocean Innovation Challenge, Component (4), and support thought leadership / thematic expertise (Component 1) on both ocean and freshwater management issues.

For the Ocean Innovation Challenge, which provides seed funding to a range of innovation projects, the UNDP Advisory Committee for Procurement (ACP) has added strict oversight requirements for the Ocean Innovators. The UNDP OIC Secretariat has hence been expanded with logistical, financial and accounting resources, as well as mentoring, communications and promotion skills, in order to meet the requirements for the successful implementation of the OIC.

To reduce additional staffing requirements of the UNDP OIC, and further integrate the OIC with the WOGP, Vertical Fund Regional Technical Advisors with Ocean Experience are serving

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<sup>14</sup> It was previously anticipated that the present project would be closed as/when resources were depleted and all activities had effectively 'migrated' to the broader Strategic Collaboration Programme on Environment and Climate Change. However, projects and agreements need to be kept operational for as long as activities are on-going. Moreover, as additional resources have been mobilized, resources are not envisaged to be depleted in the near future.

on the OIC Technical Review Board, the body charged with reviewing and shortlisting OIC proposals.

BPPS also avails administrative support in terms of an operations specialist and administrative associates that support the project implementation and reporting.

Through Responsible Parties SIWI and GWPO, the project draws on staff of these organizations to implement the work of the WGF and Cap-Net UNDP. WGF draws upon the necessary expertise at SIWI with an aggregate of hours equivalent to nearly four full-time positions. The Cap-Net Global Secretariat is increasingly integrated into the GWPO structure, with many of its eight positions being shared between the organizations.

The Global Water and Ocean Governance Support Programme is stepping up resource mobilization. Consultants are drawn upon to provide strategies and inputs to fundraising, initially for the next and present Ocean Innovation Call, and for freshwater governance, stakeholder participation, and innovation endeavours, as outlined in the Integrated Water Offer under development.

### **Result Reporting**

The results of the activities outlined in this plan contribute to the results contained in the UNDP Strategic Plan, captured in its Integrated Results and Resources Framework (IRRF), and more broadly to the achievement of the 2030 Agenda. Result reporting and communications are also important to underpin successful resource mobilization.

Result indicators from IRRF and a set of more detailed indicators of delivery are contained in the Global Water and Ocean Governance Support Programme's Results Framework. The most updated results matrix for the Global Water and Ocean Governance Support Programme is the one contained in the 2020 Progress Update (report finalised in May-2021, submitted to Management Board in July). The matrix, which contains targets for all years, is referred to for the purpose of this project's 2021 reporting framework.

As the project constitutes the work under thematic area B of the Sida-UNDP Strategic Collaboration Programme on Environment and Climate Change, the results are also reported through that programme. The results indicators that specifically relate to thematic area B of the 'Sida Programme' overlap to some extent with the result matrix of the Global Water and Ocean Governance Support Programme.

Further qualitative and quantitative reporting will follow as part of the imminent 2020 Progress Report to Sida on Water and Ocean Governance Programme Contribution to Realizing the UNDP Strategic Plan.

There is also a specific schedule for reporting of OIC (component 4) achievement to Sida, as part of the financing agreement of the 'proof-of-concept' advance funding. This OIC-specific reporting is due by the end of November each year.<sup>15</sup>

Further reporting is also provided as part of the interaction with the project's Technical Advisory Group. The TAG receives an annual progress update ahead of its annual meeting in August/September.

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<sup>15</sup> As part of the requirements of the UNDP Advisory Committee on Procurement, the OIC has also set up a Technical Review Board. This is not part of results reporting, but the Technical Review Board nonetheless provides detailed reports on its evaluation and ranking of the OIC innovator proposals.

Finally, in accordance with the evaluation plan contained in the [project document](#), the Global Water and Ocean Governance Support Programme is up for mid-term evaluation. This evaluation, originally anticipated by mid-2021, is planned for early 2022.<sup>16</sup> The mid-term evaluation is suggested to be more truly 'mid-term' by then since for the OIC, the first set of innovators will all be operational, and the second set being determined and negotiating contracts. UNDP's Integrated Water Offer, constituting an important milestone for the freshwater endeavours, will also be completed by then.

### **Risk Management**

Overall, the Social and Environmental Risks level of the present endeavour has been characterized as low (see [Project Document](#) Annex 2: Social and Environmental Screening, Project Document, starting page 90). The deeper assumptions underpinning the project's Theory of Change ([Project Document](#) starting page 38) are constituted by structural and development issues that are generally not controlled by the project. Rather, they pose the very challenges that the project sets out to address.

The assumptions about the project's pursuits still hold, and the importance of environmental management and protection as well as equity and poverty alleviation has only been reinforced by the Covid-19 pandemic. Hence, whereas the Covid-19 pandemic has implicated delays on some deliverables, especially at the local level, the model of delivery – through electronic/virtual means – of the Global Water and Ocean Governance Programme has more generally been reinforced than undermined.

The promise of improved participation, innovation, capacity and integrity in water/ocean governance and related resource management remain the overarching opportunity and challenge for the Global Water and Ocean Governance Support Programme. Yet, the way that human interaction is carried out needs to seek new ways and additionally make use of electronic means of communications.<sup>17</sup>

Regarding implementation partners, the risks relating to the operational/financial capacity of responsible parties to the project was also assessed as low through HACT Micro-Assessments. These operational have been monitored through HACT Spot Checks and more recently full audits, and remain assessed as low risk.

Social and Environmental Screening has also been done for all the new Ocean innovators before any funding agreement is included. The OIC Team has worked closely with the Safeguards team to review innovations, and where appropriate to also involve external consultants to provide inputs into the proposal reviews.

Each OIC Innovation project is required to complete and regularly update the "Social and Environmental Commitment Plan" developed with the safeguards team to ensure steps for compliance are included in the innovation project management cycle. Additionally, all innovators are required to maintain and update quarterly a detailed risk register that is

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<sup>16</sup> A budget of USD 40,000 (for late 2021 / early 2022) has been set aside for the evaluation.

<sup>17</sup> The upswing in the on-line training courses on Cap-Net's Virtual Campus, and the resounding success of the OIC Ocean Day event in 2021 [A Conversation with the 2020 UNDP Ocean Innovators](#) is testimony to that the project is managing this 'virtual' or 'on-line' environment very well.

approved by the OIC Management. This enables innovators and OIC Management to foresee and mitigate challenges as they emerge to ensure smoother implementation. Additionally, this informs the quarterly lessons learned report that is included every quarter. The Standard Operating Procedures (SOPs) for Ocean Innovators provide guidance on development and regular updating of the risk register, as per UNDP Monitoring and Evaluation requirements. It is attached as Annex 2.

The risks faced by the project are continuously followed, managed and dealt with as they arise. The most numerate (though minor) risks relate to the intricacies of progress reporting. These are outlined in the right-most column of the projects' results matrices. Linked to this is the many hours of time invested into reporting. There is a deeper/structural risk relating to the time constraints in the implementation of actual development pursuits. There is a continuous need to balance implementation of activities with optimal documentation, analysis and learning both for follow-up and future/additional pursuits.

The programmatic/substantive and operational/generic risks are summarised in the [Project Document](#)'s Risk Analysis / Log (Annex 1). These risks are revisited with responsible (implementing) parties on a quarterly bases, and notes about issue or actions are made in most quarterly reports. An update of the summary Risk Analysis framework is contained in the ensuing Annex 2.

The major risk – as highlighted also in the risk log – relates to insufficient financing of the project itself. The prospects of achieving all anticipated results are compromised by certain parts of the budget not fully financed. In order to address this, resource mobilization efforts have been intensified, with the aim of not only assuring full financing of the budget, but also to create additional inroads through new and continued project endeavours towards improved water and ocean governance.



## Annex 1: Risk Matrix – Update

#	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 and project implementing partners	UNDP (project manager)	16 July 2021	Generally strong commitment from partners, incl Cap-Net partners and e.g. countries including water in NDC enhancement.
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.  Concerted capacity development needed	UNDP Country Offices / WGF (SIWI)	UNDP (project manager)	16 July 2021	Reform takes time but may still progress (as in Comoros).  Note: speed need not be the best indicator of success.

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#	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.  Theory of change (ToC) to be continuously questioned.	Cap-Net UNDP (GWPO)	UNDP (project manager)	16 July 2021	Remains important to review.  Question could be made part of upcoming mid-term evaluation.
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.	UNDP Country Offices / WGF (SIWI)	UNDP (project manager)	16 July 2021	Constantly present risk which need to be monitored in every process  GoAL-WaterS monitoring & proposal template to be made to additionally emphasise participation, HR & gender.

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#	Description	Date Identified	Type of Risk	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
					Special measures required to assure 'real' influence of groups that are marginalized.				
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 (project manager)	16 July 2021	Constantly present risk  Continued ToC questioning, e.g. through Integrated Water Offer.  Question could also be made part of upcoming mid-term evaluation.
2.1	Political, economic and social instability in countries where water governance support is provided.	15 Nov 2018 (previously identified)	Political / operational	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 (project manager)	16 July 2021	Constantly present risk  Implementation in Armenia suffered delays due to conflict. Risk management = allow for delays or activity cancellation as necessary.

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#	Description	Date Identified	Type of Risk	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
2.2	Conflict/ contention around disclosure and information about who controls resources.	5 Dec 2018  (through gender scan/ update)	Political / operational	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 reviews' but weighing risks carefully where (information about) resources control and ownership is contentious.	UNDP Country Offices / WGF (SIWI)	UNDP (project manager)	16 July 2021.	Remains.  Kazakhstan-Kyrgyzstan progress / collaboration hampered due to lack of trust.  (Risk exists among both close and remote partners. May relate to resources mobilization.)  Risk management = PEA actually not done because of funding constraints
3.1	Lack of ownership and prioritization among project partners.	15 Nov 2018 (Project formulation/ design)	Operational / strategic	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 (project manager) / WGF (SIWI) / Cap-Net UNDP (GWPO) / Country Offices)	UNDP (project manager)	16 July 2021.	Short duration of many interventions (due to funding limitations) increase risk of not establishing conducive relationships. Generic risk, at times potentially causing lack of progress (e.g. as with wastewater in Tajikistan. Risk mgmt. strategy: transfer to other activity.)
3.2	Project design / 'governance support' too complex, making it difficult to	15 Nov 2018 (Project formulation)	Operational / strategic	Difficulties in delivering on the full scope of programmatic activities, and delays in	Monitoring and evaluation processes must be carried out on a regular basis, feeding into project implementation	UNDP (project manager)	UNDP (project manager)	16 July 2021.	High Risk.  Complexity adds <b>difficulty for resources mobilization.</b>

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#	Description	Date Identified	Type of Risk	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
	deliver upon the full scope of programmatic activities	ion/ design)		achieving project outputs and outcomes.  (P = 2, I = 3)	to ensure process efficiency.  Requires further/ improved explanation and presentation. (optional strategy: give in and simplify activities)				Risk management? Dare add complexity by also including equity/participation and PEA?  Risk need to be assumed as UNDP's niche lies in 'governance' and not generally in quick-fix interventions.  Water Offer will aim to make complexity manageable + add 'attractiveness' to issues by focusing more on innovation than 'tradition.'
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 / strategic	Resources spent to support water governance reform process could have been more effectively deployed elsewhere  (P = 1, I = 5)  (Difficult to monitor, as results take time. i.e. risk applies to inadequate monitoring as well as to insufficient delivery of result)	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 activities that address other aspects of water management/service delivery (e.g. infrastructure development)	UNDP Country Offices / WGF (SIWI)	UNDP (project manager)	16 July 2021	Remains.  Important to link governance intervention with actual / financial investments in water / coastal / ocean resources development to make the governance more effective and motivated.  Requires more fruitful linking to partners, broader pursuits and co-financing.

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#	Description	Date Identified	Type of Risk	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
					Constant scrutiny of the 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 (project manager)	16 July 2021	Cap-Net addressing by business continuity plans that ensure redundancy – also in the face of potential long-term illness / COVID-19.
4.1	Limited capacity at UNDP Country Offices to engage in water governance support processes	15 Nov 2018 (previously identified)	Organizational / operational	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.  Also ensure clarity on administration processes for greater management effectiveness	UNDP (project manager) / Country Offices	UNDP (project manager)	16 July 2021	Risk remains. Noting important to clarify administrative procedures, as limited time of COs may be consumed by project admin (e.g. around agreement signatures as with Agency-to-Agency Agreement, Cambodia).  Risk management: build additional in-house capacity to support on substance, contacts and exchange between offices. + mobilize resources to add people/time.
4.2	The number of projects under implementation may be increased	30 March 2021	Strategic	The secretariate may not be able to review and provide guidance to the proponents due	The Secretariate should make sure that future funding for the new rounds of OICs projects	UNDP, OIC	UNDP OIC	16 July 2021	ToRs are in place for scaling up additional support needs

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#	Description	Date Identified	Type of Risk	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
	in the future and the Secretariate may not be able to follow up all these projects with the current capacities		operational	to the large number of projects executed at the same time. There is a risk of delaying the approval of deliverables and the approval of payments that may affect the progress of the projects.  (P = 3, I = 3)	must have an overhead cost for projects' management. This overhead cost should be used to hire additional staff to support the OIC secretariate in the monitoring and follow up the running projects.				
4.3	One or more of the proponents may not have the technical and the management capacity to execute the proposed project	15 April 2021	Strategic/ operational	The proponent may not have the technical capacity to execute the proposed project. There will be a risk of canceling the project and lose the time and effort spent in the evaluation and preparation of the detailed proposal  (P =1, I = 1)	The OIC secretariate should include in the due diligence looking at the past experiences of each proponent and raise red Flag to the Technical review board if they find signs that the proponent is not technically qualified	UNDP, OIC	UNDP OIC	16 July 2021	Additional screening criteria through the operational and technical review process has been include in the OIC selection process
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 project	OIC Program secretariat will hire an international consultant and establish a task force with a mandate to identify the potential funding organizations, develop	UNDP (project manager), with all partners: WGF (SIWI) / Cap-Net	UNDP (project manager)	16 July 2021	Remains as important risk / problem for most project components, already necessitating tighter prioritization between activities. Resources not yet mobilized to the extent

*2021 Work Plan and Budget Update  
Global Water and Ocean Governance Support Programme*

#	Description	Date Identified	Type of Risk	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
				organization and among partners. (P = 4, I = 5)	an information package on OIC current achievements and future plans, and communicate with all potential donors to seek for additional funding.  Water & climate expert assisting with Integrated Water Offer have Resource Mobilization on ToR from August-2021 onwards.	UNDP (GWPO) / Country Offices)			needed. Efforts intensified by seeking to involve BERA and additional in-house and external expertise. Implementing partners mobilizing resources to specific activities (importantly enhancing the reach of the project impact, but not contributing to building of core capacity).
5.2	Administrative delays in disbursement of funds	15 Nov 2018 (previously identified)	Financial / operational	Causes delays and stop-go / erratic implementation (P = 4, I = 4)	Additional admin personnel.  Pilot different financial modalities.  Adding routines for consistent follow-up.	UNDP (project manager) & all partners: WGF (SIWI) / Cap-Net UNDP (GWPO) / Country Offices)	UNDP (project manager)	16 July 2021	Remains a risk.  Persistent follow-up routine critical.  Yet, few hiccups or delays in the past year.  Financial reporting (to multiple sources) cumbersome and may cause delays.
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.  Cushion by diversification of funding sources.  Plans and budgets adapt to availability of funding.	UNDP (project manager) / WGF / Cap-Net	UNDP (project manager)	16 July 2021	Remains a risk to be monitored. For broader project (Sida Programme) so far positive evolution of currency relations, but some components



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#	Description	Date Identified	Type of Risk	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
									hampered by cost increases due to currency. Risk management: assuming to even out with time.
5.4	Staff falling ill	10 June 2020	Operational	May cause delays or hamper delivery or reporting. (P = 2, I = 3)	Ensuring flexible arrangements with multiple persons informed and able to pursue different tasks	UNDP (project manager) & all partners: WGF (SIWI) / Cap-Net UNDP (GWPO) / Country Offices)	UNDP (project manager)	16 July 2021	Risk having materialised with Covid-19. (operations maintained albeit reporting delayed.)

## Annex 2: Ocean Innovation SOP for Risk Management



### Ocean Innovation Challenge Standard Operating Procedure Risk Management



Empowered lives.  
Resilient nations.

#### 1. Introduction and rationale

UNDP requires frequent and thorough documenting of risk registers for successful risk management. Risks must be documented and updated each quarter as part of the OIC Monitoring and Evaluation Strategy. The risk register is required to so that any threats to successful project implementation are catalogued and that the UNDP OIC Manager is familiar with the risks and can advise on mitigation strategies as necessary.

There are many kinds of risks that must be carefully managed. These include risk to timely project completion risk of over-expenditure or financial risks, risk of failed technology, risk of inability to meet production goals, risks of consultants underperforming, risks of delays due to supply chain disruptions, possible risk of stakeholder dissatisfaction, reputational risk to innovator and UNDP, risk of failure to realize project objectives for a variety of reasons. Risks due to COVID restrictions, including risks that workshops or travel may not be possible, are new risks that must be addressed.

The OIC Manager, OIC Team, and Innovators are all part of the OIC Risk Management Team. As such, we will collaborate, coordinate, and brainstorm together to mitigate risks as much as possible and adapt where it is not possible. In order to do this successfully it is required that each innovation keep and quarterly update their risk registers.

The risk register includes:

- the reference number and date for each identified risk
- description of the risk
- description of the impact should the risk occur
- likelihood of the risk occurring
- impact if the risk occurred
- risk severity (likelihood x impact)
- timeframe and risk status
- mitigation actions for risk

This SOP provides guidance on development and regular updating of the risk register, as per UNDP Monitoring and Evaluation requirements.

***In the event of a pressing immediate risk, the Innovation Team Leader must alert the OIC Manager within 48 hours of becoming aware of the pressing immediate risk.***

## 2. Application and Approach

The OIC Proposal required risk logs for each innovation. These identified risks can serve as the initial starting point for the risk register. Each Innovation Team Leader should meet with her or his respective team to brainstorm additional risks. This can be done in line with the preparation of the detailed workplan and Gantt chart, as often awareness of risks and assumptions arise through this process.

The Risk Register, in the attached template contains the following fields:

- **Reference number and date for each identified risk**

In order to closely identify and track each identified risk a reference number should be assigned to the specific risk and the date for the risk should be noted. As the risk register is being updated the reference number for a particular risk will remain the same, but the date will be amended as it is entered in a new row on a for the corresponding new date.

If a new risk is identified, it will be assigned a new reference number with the corresponding date.

- **Description of the risk**

A summary description of the risk is required in order to be aware of what the risk is where it is originating from, and the type of risks. Risk may be operational, technical, financial, logistical, or other types. They should be identified in the risk description.

- **Description of the impact should the risk occur**

The impact of the risk should be described in the risk register, if that impact were to occur. This description requires both creativity and being realistic regarding the likely impacts of this risk. It would be helpful to identify impacted stakeholders, types of impacts on stakeholders, and the scope of impacts should they occur.

- **Likelihood of the risk occurring**

The likelihood of the risk occurring is presented on a scale of 1 to 5 with one being the lowest level of likelihood, and five being the greatest level of likelihood. The determination made of the likelihood of the risk occurring is based on similar risks occurring or the probability of this risk occurring given current or anticipated circumstances.

- **Impact if the risk occurred**

The impact of the risk occurs is also presented on a scale of 1 to 5 for level of severity. The impact with one is very low impact, a level five impact is a very high and serious impact on the on project progress and success, the innovator, UNDP, or other stakeholders.

- **Risk severity (likelihood x impact)**

The risk severity is the combination of the likelihood of the risk occurring multiplied by the impact of the risk occurring. The risk register template provides a color-coded guidelines for low green, medium yellow, high orange, and severe risk red. Please color code the risk severity accordingly in the risk register.

Impact	5	5	10	15	20	25
	4	4	8	12	16	20
	3	3	6	9	12	15
	2	2	4	6	8	10
	1	1	2	3	4	5
	1	1	2	3	4	5
Likelihood						

- **Timeframe and risk status**

Please enter the timeframe and risk status into the risk register with each update of each risk. The timeframe categories are: immediate (1 day – 1 month), short term (1-6 months), medium term (6-18 months), long term (18+ months, including post project completion).

Risk status categories are: Emergent, Pending, Active, Resolved

An emergent risk is a risk that has potential to develop or emerge, but currently is unrealized. A pending risk is a situation that has occurred but has not yet posed a direct risk. An active risk is a risk that is currently ongoing, and a resolved risk is any risk that is no longer posing any potential risk threat.

- **Mitigation actions for risk**

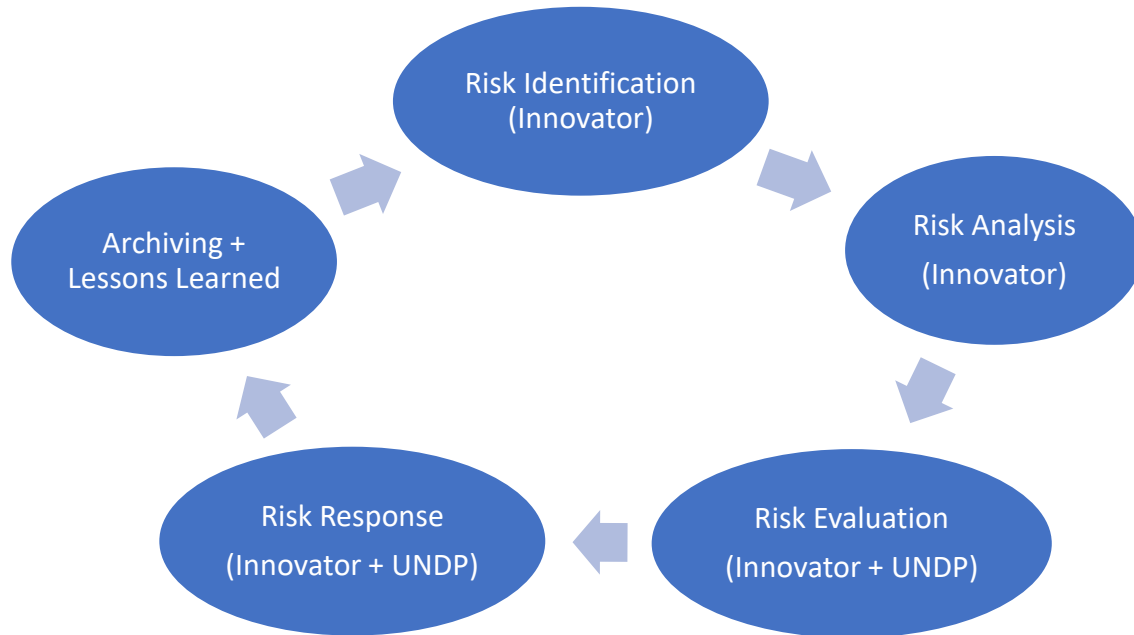
In order to reduce impacts of risk mitigation actions must be outlined and activated as needed. The mitigation actions for risks are those which are feasible, practical, and effective. Risk mitigation should be thought out in advance and mitigation action steps may need to be spelled out as the mitigation risk status, likelihood, and impact evolve. Wherever possible, mitigation should be preemptive to the risk occurring, and should have as little impact on the project processes, stakeholders, and reputation as possible.

It is important to note that the risk register is a living document to be updated regularly, and to serve as guidance for successful project implementation. When new challenges are encountered, as noted in annex two of the quarterly report, these may become additional risks to be entered into the risk register.

The innovator is required to prepare a detailed risk plan that covers the following aspects:

- a. Environmental risks
- b. Political risks
- c. Operational risks
- d. Social and Environmental Commitment Plans

The above is to be shared with the OIC project manager and to be reviewed (quarterly) and developed (when needed).



## Risk Assessment Process

1. Risk Identification
  - 1.1 Collect and organize relevant information
  - 1.2 Identify the Risk
  
2. Risk Analysis
  - 2.1 Prepare the Risk Assessment report, identifying reasons, occurrence, impact and suggestions.
  
3. Risk Evaluation
  - 3.1 Discuss with UNDP the possible mitigation solution and their impact.
  - 3.2 Receive the recommendation from UNDP.
  
4. Risk Response
  - 4.1 Implement the agreed solution.
  - 4.2 Analyze the re-actions and outcomes.
  - 4.3 Provide post-action report to UNDP.
  
5. Archiving
  - 5.1 Prepare and maintain the risk log.
  - 5.2 Prepare the share future mitigation plans.
  - 5.3 Re-review the risk policy and update it accordingly.

### 3. Roles and Responsibilities

Action	Ocean Innovator	OIC Management Team
Preparation or Risk Register (first month of project)	Prepare the Risk Register for the project in advance of the Inception workshop, share with OIC Manager for approval or comments for revision	Review and recommend revisions or approve Risk Register. Be available for discussion Risk Register with Ocean Innovator as needed.
Inception Workshop	Present risk register with key stakeholders at inception workshop, revise as needed	Approve presentation and revisions as needed
Quarterly report	Update all risks in risk register as part of quarterly reporting	Approve or request revisions as needed
End of project Closure of Risk Register	Finalize risk register, including noting any long-term risks that may warrant further attention	Approve or request revisions as needed

OIC Risk Register Template (PROJECT NAME and INNOVATOR)

ID & date	Risk Description	Impact description	Likelihood of risk occurring 1-5*	Impact if risk occurred 1-5*	Risk Severity (Likelihood x Impact)	Timeframe & risk status	Mitigation Actions

\*low = 1, high = 5

Impact	5	5	10	15	20	25
	4	4	8	12	16	20
	3	3	6	9	12	15
	2	2	4	6	8	10
	1	1	2	3	4	5
	1	1	2	3	4	5
Likelihood						

Timeframe category – immediate, short term (1-6 months), medium term (6-18 months), long term (18+ months, including post project completion)

Risk status categories – Emergent, Pending, Active, Resolved

## Acronyms and Abbreviations

<b>ACP</b>	UNDP Advisory Committee on Procurement	<b>MSP</b>	Marine Spatial Planning
<b>BERA</b>	UNDP Bureau of External Relations and Advocacy	<b>MUSD</b>	Million United States Dollars
<b>BPPS</b>	UNDP Bureau for Policy and Programme Support	<b>OIC</b>	Ocean Innovation Challenge
<b>Cap-Net</b>	International Network for Capacity Building in Sustainable Water Management (UNDP programme)	<b>OIF</b>	Ocean Innovation Facility (proposed UNDP project / delivery mechanism, renamed to OIC)
<b>COs</b>	Country Offices	<b>PEA</b>	Political Economy Analysis
<b>GEF</b>	Global Environment Facility	<b>RP</b>	Responsible Party
<b>GEF:IW</b>	Global Environment Facility: International Waters	<b>SDG</b>	Sustainable Development Goal
<b>GEN</b>	Gender (marker/indicator)	<b>SEK</b>	Swedish Crowns
<b>GCF</b>	Green Climate Fund	<b>SGP</b>	(UNDP-GEF) Small Grants Programme
<b>GIZ</b>	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH	<b>Sida</b>	Swedish International Development Cooperation Agency
<b>GoAL WaSH</b>	Governance, Advocacy and Leadership in Water, Sanitation and Hygiene (UNDP programme, closed)	<b>Sida Programme</b>	Sida-UNDP Strategic Collaboration Programme on Environment and Climate Change (P/N 00124739)
<b>GoAL-WaterS</b>	Governance, Accountability and Learning for Water Sustainability (UNDP programme / delivery mechanism)	<b>SIWI</b>	Stockholm International Water Institute
<b>GPN</b>	UNDP Global Policy Network	<b>SOP</b>	Standard Operating Procedures
<b>GWOGSP</b>	Global Water and Ocean Governance Support Programme (P/N 00115482)	<b>SP</b>	(UNDP) Strategic Plan
<b>GWP</b>	Global Water Partnership	<b>SRC</b>	Stockholm Resilience Centre
<b>GWPO</b>	Global Water Partnership Organization	<b>TAG</b>	Technical Advisory Group
<b>GPN</b>	UNDP Global Policy Network	<b>tbd</b>	To be determined
<b>HACT</b>	(UN) Harmonized Approach to Cash Transfers	<b>TDA</b>	Transboundary Diagnostic Analysis
<b>HRBA</b>	The Human Rights-Based Approach	<b>TF</b>	Trust Fund
<b>IW:LEARN</b>	GEF International Waters Learning Exchange and Resource Network	<b>ToC</b>	Theory of Change
<b>kUSD</b>	Thousand United States Dollars	<b>UN</b>	United Nations
<b>LNOB</b>	Leave No One Behind	<b>UNDP</b>	United Nations Development Programme
<b>M&amp;E</b>	Monitoring and Evaluation	<b>UNICEF</b>	United Nations Children's Fund
<b>MEL</b>	Monitoring, Evaluation and Learning	<b>UNOPS</b>	United Nations Office for Project Services
<b>MFA</b>	Ministry of Foreign Affairs	<b>UN-Water</b>	United Nations' inter-agency mechanism coordinating efforts of UN entities and international organizations working on water and sanitation issues
<b>MoU</b>	Memorandum of Understanding	<b>USD</b>	United States Dollars
		<b>WASH</b>	Water, Sanitation and Hygiene
		<b>WWDR</b>	United Nations World Water Development Report
		<b>WGF</b>	UNDP-SIWI Water Governance Facility
		<b>WOGP</b>	UNDP Water and Ocean Governance Programme